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**DEPARTMENT OF THE TREASURY**  
**BUREAU OF ENGRAVING AND PRINTING**  
**WASHINGTON, D.C. 20228**

May 8, 2019

**FOIA Request No. 2018-06-101**

This letter is in response to your request under the Freedom of Information Act (FOIA), 5 U.S.C. 552 received by the Department of the Treasury, Bureau of Engraving and Printing (BEP), Office of the Chief Counsel-FOIA & Transparency Services. You requested a copy of each of the following BEP Manuals and Circulars found on the BEP internal employees' intranet site:

- 10-01. Organizational Manual
- 10-02.5 Authorization of All Production Activities
- 10-04.1 Bureau of Engraving and Printing's Internal Control Program
- 10-04.2 Liaison and Coordination of Office of Inspector General
- 10-04.5 Physical Inventory and Destruction Procedures for RFA-Produced Securities
- 10-06.6 Internal Control Policy Committee Charter
- 10-10.1 BEP Lean Six Sigma Policy
- 35-00.10 BEP Representation Fund
- 35-00.11 Receipt, Handling and Transport of Mutilated Currency Received thru BEP Mail
- 35-00.12 Spoilage
- 40-00.11 Policy for BEP Courtesy Floor Tours in Production Areas
- 40-00.14 Social Media Policy
- 40-00.15 Annual Transfer of Numismatic Items and Related Materials to the Smithsonian Institution
- 40-00.16 Exhibition Program
- 40-00.4 External Relations Policy
- 50-00.7 Record Systems Subject to the Privacy Act
- 50-00.8 Processing Requests Under the Freedom of Information and Privacy Acts
- 67-35.3 Dress Code
- 67-35-5 Employee Responsibilities and Conduct
- 67-35-6 Domestic Violence, Sexual Assault, and Stalking
- 70-03.18 Physical Inventory Requirements for Sensitive Property & Security Items

- 71-00 BEP Security Manual
- 82-00.13 Policy and Procedures for Banknote Equipment Manufacturers and Currency Reader Manufacturers
- 84-00.5 Verification Team Procedures
- 84-00.6 Control and Custody of Unissued Federal Reserve Notes
- 84-00.7 BEP Low Serial Number and Special Request FRN Policy
- 84-00.90 Transferring Currency Sheets and/or Notes to Mutilated Currency for Redemption
- 85-00.1 Series Change Procedures for Next Generation (NXG) and Old Currency Design (OCD) \$1 and \$2 FRNs
- 92-00.11 Internal Control and Accountability of Foreign Currency Specimens
- 93-00.6 Approval and Control of Test/Experimental Work
- M-60.1 BEP Personnel Manual

Enclosed please find the following documents responsive to your request:

- 10-01. Organizational Manual
- 10-02.5 Authorization of All Production Activities
- 10-10.1 BEP Lean Six Sigma Policy
- 35-00.10 BEP Representation Fund
- 35-00.11 Receipt, Handling and Transport of Mutilated Currency Received thru BEP Mail
- 40-00.11 Policy for BEP Courtesy Floor Tours in Production Areas
- 40-00.14 Social Media Policy
- 40-00.15 Annual Transfer of Numismatic Items and Related Materials to the Smithsonian Institution
- 40-00.16 Exhibition Program
- 40-00.4 External Relations Policy
- 50-00.7 Record Systems Subject to the Privacy Act
- 50-00.8 Processing Requests Under the Freedom of Information and Privacy Acts
- 67-35.3 Dress Code
- 67-35-5 Employee Responsibilities and Conduct

The Agency will be following up with additional responsive documents. If you have any questions regarding your request, please call (202) 874-2500.

Sincerely,

/s/

Nichole L. Jenkins  
Disclosure Officer

Enclosures (14)



BUREAU OF ENGRAVING AND PRINTING

ORGANIZATION MANUAL

April 12, 2017



**CONTENTS**

**PURPOSE** ..... 6

**SCOPE** ..... 6

**POLICY** ..... 6

**SUPERSESSSION** ..... 6

**ORGANIZATION STRUCTURE**..... 6

**ORGANIZATION CODES** ..... 7

**COST CENTER CODES**..... 8

**ORGANIZATION SYMBOLS** ..... 8

**DELEGATIONS OF AUTHORITY**..... 11

**OFFICE OF PRIMARY RESPONSIBILITY**..... 17

**100000 DIRECTOR** ..... 17

**100000 DEPUTY DIRECTOR** ..... 18

**110000 CHIEF COUNSEL**..... 20

**130000 OFFICE OF EXTERNAL RELATIONS** ..... 21

    131000 EXTERNAL AFFAIRS DIVISION (DCF) ..... 24

    132000 EXTERNAL AFFAIRS DIVISION (WCF) ..... 25

    133000 MARKETING DIVISION ..... 26

    134000 PUBLIC SERVICE DIVISION ..... 27

**200000 ASSOCIATE DIRECTOR, CHIEF FINANCIAL OFFICER** ..... 28

    200000 DEPUTY ASSOCIATE DIRECTOR, CHIEF FINANCIAL OFFICER ..... 29

**220000 OFFICE OF FINANCIAL MANAGEMENT** ..... 31

    221000 FINANCIAL SYSTEMS AND ACCOUNTING DIVISION ..... 34

    223000 FINANCIAL PERFORMANCE DIVISION ..... 36

        223100 STRATEGIC PLANNING BRANCH ..... 37

        223200 BUDGET BRANCH ..... 37

    224000 COST ANALYSIS AND PRICING DIVISION ..... 38

    225000 FINANCIAL SERVICES DIVISION ..... 39

        225010 MAIL AND COPYING SECTION ..... 39

    226000 MUTILATED CURRENCY DIVISION ..... 41

        226100 EXAMINING AND REDEMPTION BRANCH ..... 41

        226200 CLAIMS PROCESSING BRANCH ..... 41

    227000 PRODUCTION MANAGEMENT DIVISION ..... 42

**230000 OFFICE OF ACQUISITION**..... 43

    231000 CONTRACTS DIVISION ..... 45

    236000 ACQUISITION POLICY DIVISION ..... 47

**280000 OFFICE OF COMPLIANCE**..... 48

    281000 PROCESS IMPROVEMENT & COMPLIANCE DIVISION ..... 51

        281100 ACCOUNTABILITY OPERATIONS BRANCH ..... 51

282000	ACCOUNTABILITY SYSTEMS AND COMPLIANCE DIVISION .....	52
284000	INTERNAL REVIEW DIVISION .....	54
285000	DESTRUCTION STANDARDS AND COMPLIANCE DIVISION .....	55
286000	COMPLIANCE DIVISION .....	56
286100	ACCOUNTABILITY OPERATIONS BRANCH .....	57
<b>300000</b>	<b>ASSOCIATE DIRECTOR, MANUFACTURING.....</b>	<b>57</b>
<b>310000</b>	<b>OFFICE OF SECURITY PRINTING.....</b>	<b>60</b>
310100	FEDERAL RESERVE VAULT AND PACKAGING BRANCH .....	62
310110	NOTE PACKAGING.....	62
310120	FEDERAL RESERVE VAULT .....	63
310130	SINGLE NOTE INSPECTION .....	63
311000	CURRENCY OVERPRINTING DIVISION .....	64
311100	COPE-PAK BRANCH .....	65
311200	LEPE BRANCH .....	65
312000	CURRENCY INSPECTION DIVISION.....	66
313000	MISCELLANEOUS PRODUCTS DIVISION .....	66
313010	MISCELLANEOUS PRINTING SECTION .....	66
313020	FLATBED OFFSET SECTION .....	67
313030	WEB OFFSET SECTION .....	68
313040	BINDERY SECTION .....	69
314000	INTAGLIO PRINTING DIVISION .....	70
314100	SUPER ORLOF INTAGLIO BRANCH .....	71
314200	INTAGLIO I-10 BRANCH .....	71
315000	OFFSET PRINTING DIVISION .....	72
<b>320000</b>	<b>OFFICE OF ENGRAVING .....</b>	<b>73</b>
322000	ENGRAVING & PREPRESS DIVISION .....	76
322100	ENGRAVING BRANCH .....	76
322110	PICTURE ENGRAVING SECTION .....	77
322120	LETTER & SCRIPT ENGRAVING SECTION.....	77
322130	SIDEROGRAPHY SECTION .....	78
322200	PHOTOENGRAVING BRANCH .....	79
322210	CONVENTIONAL PREPRESS SECTION.....	79
322220	DIGITAL PREPRESS SECTION .....	80
323000	PLATE MANUFACTURING DIVISION .....	81
323100	PLATE MANUFACTURING BRANCH .....	81
323110	ELECTROLYTIC SECTION .....	82
323120	ELECTRONIC DISCHARGE MACHINE (EDM) SECTION .....	83
323120	ELECTRONIC DISCHARGE MACHINE (EDM) SECTION (continued) .....	Error! Bookmark not defined.
324000	ACCOUNTABILITY & VAULT OPERATIONS DIVISION .....	83
324010	PLATE VAULT SECTION.....	83
324020	ACCOUNTABILITY SECTION.....	84
<b>370000</b>	<b>OFFICE OF OPERATIONS SUPPORT (ECF) .....</b>	<b>86</b>
370100	RISK AND COMPLIANCE STAFF .....	88
371000	WAREHOUSE AND MATERIALS DISTRIBUTION DIVISION .....	88
372000	PRODUCTION SUPPORT DIVISION .....	90
372100	ELECTRO-MACHINE SHOP.....	91
372200	MACHINE SHOP .....	92
373000	OPERATIONS ANALYSIS DIVISION .....	93
373100	INK ROLLER MANUFACTURING SHOP .....	94

**400000 ASSOCIATE DIRECTOR (CHIEF TECHNOLOGY OFFICER)..... 95**

**400000 DEPUTY ASSOCIATE DIRECTOR (CHIEF TECHNOLOGY OFFICER)..... 96**

**400100 CENTRAL BANK LIAISON STAFF .....100**

**420000 OFFICE OF PRODUCT DEVELOPMENT .....101**

        423000 SECURITY FEATURES DEVELOPMENT DIVISION ..... 104

        424000 PROJECT MANAGEMENT DIVISION..... 105

        425000 PRODUCT DESIGN DIVISION..... 107

**430000 OFFICE OF MATERIALS TECHNOLOGY.....108**

        431000 EASTERN CURRENCY FACILITY QUALITY ASSURANCE DIVISION .....110

        432000 MATERIALS TECHNICAL CONTRACTS DIVISION .....111

        434000 TECHNICAL SERVICES DIVISION.....112

            434100 ANALYTICAL SERVICES BRANCH .....112

            434200 INK DEVELOPMENT BRANCH.....113

**460000 OFFICE OF ENGINEERING .....114**

        461000 EQUIPMENT ENGINEERING DIVISION .....116

        462000 PROCESS ENGINEERING DIVISION.....117

        463000 CONTROLS ENGINEERING DIVISION.....118

**500000 ASSOCIATE DIRECTOR (MANAGEMENT) .....119**

**520000 OFFICE OF SECURITY.....121**

        520001 EMERGENCY MANAGEMENT PROGRAM STAFF .....124

        523000 POLICE OPERATIONS DIVISION .....125

        524000 SECURITY AND INVESTIGATIONS DIVISION .....127

            524200 DESTRUCTION CERTIFICATION BRANCH .....128

            524300 PHYSICAL SECURITY BRANCH .....129

            524400 PRODUCT AND INVESTIGATION BRANCH .....131

        525000 PERSONNEL SECURITY DIVISION.....132

            525200 ADJUDICATIONS AND OPERATIONS BRANCH.....133

            525300 BACKGROUND INVESTIGATIONS BRANCH.....134

        527000 ADMINISTRATIVE SUPPORT DIVISION .....135

**540000 OFFICE OF HUMAN RESOURCES.....136**

        541000 EMPLOYEE/LABOR RELATIONS AND PERFORMANCE MANAGEMENT DIVISION (EPMD).....139

        542000 EMPLOYEE SERVICES DIVISION (ESD).....140

        543000 WORKFORCE ANALYTICS DIVISION (WAD).....142

        544000 CENTER FOR EXCELLENCE (CE).....142

        545000 POLICY AND ACCOUNTABILTIY DIVISION (PAD) .....143

        546000 ADMINISTRATIVE SERVICES DIVISION (ASD) .....144

**550000 OFFICE OF FACILITIES SUPPORT .....145**

        550000 ASSISTANT CHIEF .....148

        550100 FACILITY ASSESSMENT, MASTER PLANNING AND ENERGY MANAGEMENT STAFF.....149

        551000 FACILITIES PLANNING AND MANAGEMENT DIVISION .....150

        552000 FACILITIES ENGINEERING DIVISION .....151

        553000 FACILITIES SUPPORT SERVICES DIVISION.....152

            553010 CARPENTRY, PAINT, AND MASONRY SHOP .....152

            553020 ELECTRIC SHOP.....153

            553030 PLANT SERVICES.....153

            553040 PLUMBING AND SHEET METAL SHOP .....153

            553050 POWER PLANT .....154

554000	ASSET MANAGEMENT DIVISION .....	154
<b>560000</b>	<b>OFFICE OF ENVIRONMENT, HEALTH AND SAFETY .....</b>	<b>154</b>
560100	PROGRAM REVIEW AND ANALYSIS STAFF .....	158
561000	ENVIRONMENTAL MANAGEMENT DIVISION .....	158
562000	SAFETY AND HEALTH DIVISION .....	160
562010	SAFETY STAFF .....	161
562020	HEALTH STAFF .....	161
<b>570000</b>	<b>OFFICE OF EQUAL OPPORTUNITY AND DIVERSITY MANAGEMENT (OEODM).....</b>	<b>162</b>
570100	EMPLOYEE ASSISTANCE PROGRAM .....	165
570200	DIVERSITY AND OUTREACH PROGRAM .....	165
570300	EEO/NON-EEO ALTERNATIVE DISPUTE RESOLUTION PROGRAM .....	166
570400	EQUAL EMPLOYMENT OPPORTUNITY COUNSELING PROGRAM .....	166
<b>600000</b>	<b>ASSOCIATE DIRECTOR (QUALITY).....</b>	<b>167</b>
600000	DEPUTY ASSOCIATE DIRECTOR (QUALITY).....	168
610000	OFFICE OF QUALITY OPERATIONS .....	172
610001	QUALITY OPERATIONS SUPPORT STAFF .....	173
611000	QUALITY ASSURANCE LABORATORY - PRODUCT QUALITY DIVISION .....	174
611100	QUALITY ASSURANCE LABORATORY - PRODUCT QUALITY BRANCH - WCF .....	175
611200	QUALITY ASSURANCE LABORATORY - PRODUCT QUALITY BRANCH - DCF .....	176
612000	ANALYTICAL AND METHODS DEVELOPMENT DIVISION .....	178
613000	QUALITY ASSURANCE LABORATORY - SUPPLIER QUALITY DIVISION .....	179
614000	PRODUCTION QUALITY CONTROL DIVISION .....	181
614100	PRODUCTION QUALITY CONTROL BRANCH - WCF .....	182
614200	PRODUCTION QUALITY CONTROL BRANCH - DCF .....	183
630000	OFFICE OF QUALITY ENGINEERING AND MANAGEMENT.....	184
631000	QUALITY MANAGEMENT DIVISION.....	185
632000	QUALITY ENGINEERING DIVISION .....	186
633000	QUALITY DIVISION - WCF .....	187
<b>700000</b>	<b>ASSOCIATE DIRECTOR, CHIEF INFORMATION OFFICER/DEPUTY ASSOCIATE DIRECTOR, DEPUTY CHIEF INFORMATION OFFICER .....</b>	<b>188</b>
700100	CHIEF INFORMATION OFFICER (CIO) STAFF .....	191
740000	OFFICE OF CRITICAL INFRASTRUCTURE & IT SECURITY .....	191
741000	IT SECURITY DIVISION .....	194
742000	IT AUDIT AND COMPLIANCE DIVISION .....	195
743000	PHYSICAL SECURITY SYSTEMS DIVISION .....	195
760000	OFFICE OF ENTERPRISE SOLUTIONS .....	196
762000	APPLICATIONS PROJECT MANAGEMENT DIVISION .....	198
763000	ENTERPRISE STRATEGIC PLANNING AND MANAGEMENT DIVISION .....	199
770000	OFFICE OF IT OPERATIONS.....	200
771000	CUSTOMER SUPPORT and CONFIGURATION MANAGEMENT DIVISION .....	202
772000	IT TECHNICAL SUPPORT DIVISION .....	203
773000	WCF IT SUPPORT DIVISION .....	204
<b>800000</b>	<b>ASSOCIATE DIRECTOR (WESTERN CURRENCY FACILITY).....</b>	<b>205</b>
802000	SECURITY DIVISION .....	208

802100	PHYSICAL SECURITY BRANCH .....	210
802200	PRODUCT SECURITY BRANCH.....	211
802300	POLICE SERVICES BRANCH.....	211
802400	PERSONNEL SECURITY BRANCH .....	212
804000	HUMAN RESOURCES MANAGEMENT DIVISION .....	213
804100	EMPLOYEE AND LABOR-MANAGEMENT RELATIONS STAFF.....	215
804200	HUMAN RESOURCES OPERATIONS BRANCH .....	216
804300	WORKERS' COMPENSATION BRANCH .....	217
<b>810000</b>	<b>OFFICE OF CURRENCY MANUFACTURING.....</b>	<b>217</b>
810100	OFFSET/LARGE EXAMINING & PRINTING EQUIPMENT (LEPE) OPERATIONS BRANCH.....	220
810110	OFFSET PRINTING SECTION .....	221
810120	LARGE EXAMINING & PRINTING EQUIPMENT (LEPE) SECTION .....	222
810200	INTAGLIO PLATE PRINTING OPERATIONS BRANCH .....	222
810210	INTAGLIO PLATEMAKING, PHOTOENGRAVING, AND ENGRAVING SECTION.....	223
810220	INK & ROLLER RECOVERY SECTION .....	224
810300	MECHANICAL EXAMINATION OPERATIONS BRANCH.....	225
810310	CURRENCY CONTROL SECTION.....	226
810400	COPE OPERATIONS BRANCH .....	226
<b>810500</b>	.....	<b>228</b>
<b>810501</b>	.....	<b>228</b>
810502	FEDERAL RESERVE VAULT & PACKAGING BRANCH .....	228
810510	GENERAL STORES, SHIPPING & RECEIVING SECTION.....	229
<b>830000</b>	<b>OFFICE OF OPERATIONS SUPPORT (WCF).....</b>	<b>230</b>
830100	QUALITY ASSURANCE BRANCH .....	232
830200	FACILITIES SUPPORT BRANCH .....	233
830210	POWER PLANT .....	235
830300	ENVIRONMENT, HEALTH & SAFETY BRANCH.....	236
830400	ELECTRO-MACHINE BRANCH.....	238
<b>900000</b>	<b>ASSOCIATE DIRECTOR (CORPORATE PLANNING &amp; STRATEGIC ANALYSIS).....</b>	<b>239</b>
910000	OFFICE OF STRATEGIC MANAGEMENT .....	241
930000	OFFICE OF ORDER MANAGEMENT AND DELIVERY SYSTEMS (OMDS) .....	242
931000	PRODUCTION SCHEDULING DIVISION .....	245
932000	MASTER DATA DIVISION .....	246
933000	SALES ORDER DIVISION .....	247
934000	MATERIAL MANAGEMENT DIVISION .....	249
940000	OFFICE OF PORTFOLIO AND PROJECT MANAGEMENT.....	251

**PURPOSE.**

The Bureau of Engraving and Printing (BEP) Organization Manual delineates the responsibilities and the functional relationships of all Bureau and organizational components.

**SCOPE.**

This manual applies to all Bureau managers and organizational components.

**POLICY.**

The Department of the Treasury requires the Bureau to establish appropriate functional responsibilities for each component.

**SUPERSESSSION.**

The Bureau of Engraving and Printing Organization Manual (10-01), with all revisions since 1988 is superseded by the issuance of this manual as of October 1, 2013.

**ORGANIZATION STRUCTURE.**

The basic organization structure of Bureau components has been established and consists of the following levels.

a. Offices which are headed by Chiefs, may be organized subordinate to the Director, Deputy Director, or Associate Director levels. The composition of the office will be contingent upon the responsibility to furnish staff functions for the Director, Deputy Director, or Associate Director, as appropriate, providing policy and program formulation and development; exercising direction, coordination, and control over:

(1) One or more functional segments of the Bureau's substantive programs, or

(2) An administrative, support, or technical service directly related to the Bureau's substantive programs.

b. Staffs, which are headed by Managers, may be organized subordinate to the Director, Deputy Director, Associate Director, Office, or Division levels. The composition of these components will be contingent upon the element or an administrative support or technical activity which affects a substantive program by its relationships to or effect on processes, personnel, fiscal affairs, or special entities which require Bureau-wide coordination.

c. A Task Force, which is headed by a Manager, may be formed or disbanded by a Bureau Directive (Bulletin or Circular) as necessary for projects or programs. Groups or Teams may be established internally within a Task Force.

d. Designated Groups or Teams, which are headed by a Group Leader, Team Leader or Project Leader, may be organized as the organizational substructure to any Bureau component.

e. Divisions, which are headed by a Manager, may be organized subordinate to an Associate Director or at the Office level within an Associate Director's activity. The composition of the division will be contingent upon the responsibility for one or more major functional segments of the Bureau's substantive product or programs. The Division plans, develops, and operates a major production, production support, or processing program with a number of complex primary and related functions sufficiently large to indicate need for subdivision into branches, sections, and/or units.

f. Branches, which are headed by a Manager, Foreperson, or Head, can be organized subordinate to the Division level. The composition of the branch will be contingent upon the responsibility for subdivision necessitated by an exacting degree or specialization, planning, and control over one or more administrative, process, support, or technical function which directly affect products, processes, and special activities.

g. Sections/shops, which are headed by Officer/Supervisor or Foreperson, may be organized subordinate to office, division, or branch levels. The composition of the section will be contingent upon specialized operating functions and work flow.

h. Units, which are headed by a Supervisor or Foreperson, may be organized subordinate to section levels. The composition of the unit will be contingent upon specialized operating functions and the need to separate the work flow identity.

**ORGANIZATION CODES.**

Each Bureau component is assigned an organization code number in order to control processing or administrative actions (e.g., personnel and payroll actions). The organization code number consists of six digits which indicate intermediate levels of responsibility or supervision, as follows:

<u>DIGIT</u>	<u>LEVEL</u>
1st	Directorate or Associate
2nd	Office
3rd	Division or equivalent levels*
4th	Branch or equivalent levels"
5th	Section**
6th	Unit

\*Includes staffs, etc.

"Includes groups, teams, etc.

\*\*Includes shops

The absence of an intermediate supervisory level is indicated by a zero. Thus, for example, a Branch or equivalent level reporting directly to an Office will have a number such as 320100; a Section reporting directly to an Office will have a number such as

320010; and a Unit reporting to a Branch which, in turn, reports directly to an Office will have a number such as 320201.

### **COST CENTER CODES.**

Each Bureau component is assigned a cost center code number which corresponds to the six (6) digit organization code number. In other words, the six (6) digit organization code is also the cost center code for each Bureau component.

### **ORGANIZATION SYMBOLS.**

Internal Bureau symbols are used to identify components within the Bureau. The following are the formal organization for the BEP.

<u>COMPONENT</u>	<u>SUB-COMPONENT</u>	<u>INTERNAL BUREAU SYMBOLS</u>
Office of the Director/ Deputy Director		OD
Chief Counsel		LC
Office of External Relations		EX
	External Affairs Division, DCF	ED
	External Affairs Division, WCF	WE
	Marketing Division	MK
	Public Service Division	PU
Associate Director (Chief Financial Officer)		DA
Deputy Associate Director (DCFO)		DA
Office of Financial Management		FM
	Financial Systems and Accounting Division	FS
	Financial Performance Division	FB
	Cost Analysis and Pricing Division	FC
	Financial Services Division	FD
	Mutilated Currency Division	ML
	Production Management Division	OP
Office of Acquisition		MM
	Production Contracts Division	EP
	Services Contracts Division	CU
	Acquisition Policy Division	PA
		.....
Office of Compliance		MC
	Process Improvement & Compliance Division	CT
	Accountability Systems and Compliance Division	SF
	Internal Review Division	IR
	Destruction Standards and Compliance Division	SC
	Compliance Division	WC



Associate Director (Eastern Currency Facility) Office of Security Printing		DO CS PP CP MP IP OT
	Currency Overprinting Division Currency Inspection Division Miscellaneous Products Division Intaglio Printing Division Offset Printing Division	
Office of Engraving		EG PE PB AV
	Engraving and Prepress Division Plate Manufacturing Division Accountability/Vault Operations Division	
Office of Operations Support		OS IN PD OS
	Warehouse/Materials Distribution Division Production Support Division Operations Analysis Division	
Associate Director (Product and Technology Development)		DR
Deputy Associate Director (Product and Technology Development)		DR
Central Bank Liaison Staff		DR
Office of Product Development		DC SI PM TA
	Security Features Development Division Project Management Division Product Design Division	
Office of Materials Technology		MT MQ TC TD
	ECF Quality Assurance Division Materials Technical Contracts Division Technical Services Division	
Office of Engineering		OE EE PO CG
	Equipment Engineering Division Process Engineering Division Controls Engineering Division	
Associate Director (Management)		DM
Office of Security		SE SE SU SY EY
	Assistant Chief Police Operations Division Security and Investigation Division Personnel Security Division	
Office of Human Resources		RE LE EC BE PY
	Employee and Labor-Management Relations Div. Employment Services Division BEP Center for Excellence Performance Management Division	
Office of Facilities Support		FE FE FE
	Assistant Chief Facility Assessment, Master Planning and Energy Management Staff	

	Facilities Planning and Management Division	FP
	Facilities Engineering Division	EF
	Facilities Support Services Division	MD
Office of Environment, Health and Safety		ES
	Program Review and Analysis Staff	RA
	Environmental Management Division	EC
	Safety and Health Division	OH
Office of Equal Opportunity & Diversity Management		RC
	Employee Assistance Program	RC
	Diversity & Outreach Program	RC
	EEO/Non-EEO ADR Program	RC
	EEO Counseling Program	RC
Associate Director (Chief Information Officer)		DI
Deputy Associate Director (DCIO)		DP
Chief Information Officer (CIO) Staff		CI
Office of Critical Infrastructure and IT Security		CR
	IT Security Division	IS
	IT Audit and Compliance Division	AU
	Physical Security Systems Division	PS
Office of Enterprise Solutions		EN
	Applications Project Management Division	AM
	Enterprise Strategic Planning & Management Division	EA
Office of IT Operations		IT
	Customer Support & Configuration Management Division	HD
	IT Technical Support Division	SS
	WCF IT Support Division	SW
Associate Director (Western Currency Facility)		DW
	Security Division	WD
	Human Resources Management Division	WP
Office of Currency Manufacturing		WO
Office of Operations Support (WCF)		WM
Associate Director (Corporate Planning & Strategic Analysis)		CA
Office of Strategic Management		SM
Office of Quality		OQ
Office of Order Management and Delivery Systems		OO
	Production Scheduling	OO
	Master Data Division	OO
	Sales Order Division	OO

	Material Management Division	OO
Office of Portfolio & Project Management		MO

## DELEGATIONS OF AUTHORITY.

All authority to act within the Bureau is derived from the Director, who may alter, eliminate, or otherwise change the delegation, as necessary. Following are three types of delegations used in the Bureau:

a. Specific Delegation. A specific delegation of authority grants the incumbent of a specific position or a specific person the right to act for the Director in particular instances. For the most part, specific delegations are made to the incumbent of a specific position rather than to a specific person, except in instances when it is required by law, regulation, or appropriate administrative determination that the authority shall be exercised by a specific Bureau official.

b. Functional Delegation. A functional delegation of authority grants the manager of a specific Bureau component the right to act for the Director in carrying out the functional responsibilities assigned in the Bureau Organization Manual.

c. General Delegation. A general delegation of authority grants the incumbents of particular positions on the same supervisory level the right to act for the Director (e.g., all Office Chiefs approve overtime). Unless otherwise specified, general delegations of authority pass from the Director through the Deputy Director and the Associate Directors, to positions within Office, Division, Section, or Unit components. Lists of general delegations of authority are contained herein as follows:

### Authorities of the Director.

Authorities retained by the Director are as follows:

- (a) Approval of all performance evaluations initiated by the Associate Directors.
- (b) Approval for all Senior Executive Service (SES) bonuses and recommendations for SES Rank Awards prior to requesting Departmental approval.
- (c) Approval of all Performance Management and Recognition System bonuses (previously Merit Pay) exceeding \$5,000 prior to requesting Departmental approval.
- (d) Approval of cash awards to all other employees for suggestions and performance awards between \$5,000 and \$10,000. Also approval of all such awards exceeding \$10,000 prior to requesting Departmental approval.
- (e) Approval of personnel or position actions for positions at the General

Schedule (GS)-15 grade level and above.

- (f) Signature on correspondence addressed to or concerned with the following:
  - 1. Members of the Cabinet or their assistants, and heads of independent agencies.
  - 2. Heads of other Government or Treasury bureaus or their principal deputies.
  - 3. Members of Congress.
  - 4. All Bureau policy, controversial matters, or items which might establish a precedent for action.
  - 5. Other special correspondence which warrants the signature of the Director.
- (g) Approval of official travel for himself, the Deputy Director, the Associate Directors, Chiefs, and Managers/Assistants reporting to the Director. This includes approval of the travel voucher. Letters to accompany requests for official passports and to obtain visas to visit certain foreign countries are also included in this delegation.
- (h) Approval of all classes of air travel on common carriers (air, rail, or bus) above coach class accommodations. This approval applies to first-class as well as business class, clipper class, ambassador coach, or other similar classifications designated by individual carriers.
- (i) Approval of an employee's acceptance of a contribution, award, or payment related to training in non-Government facilities or attendance at meetings.
- (j) Waiver of an employee's financial obligation related to training in non-Government facilities.

- (k) Approval of teaching, speaking, and writing commitments connected with the business of the Department of the Treasury.
- (l) Approval of the "Recommendation for Performance Recognition" initiated by the Associate Directors.
- (m) Determination to authorize payment in excess of \$20,000 to settle any claim involving the BEP. Determination to waive in whole or in part, a claim of the BEP against an employee for an erroneous payment of pay and allowances aggregating less than \$5,000 per claim.

Approval of all Bureau reorganizations.

Approval of all directives concerning wage increases.

**Authorities of the Deputy Director.**

The Deputy Director has all of the authorities delegated by the Director, and exercises the retained authorities of the Director when serving as Acting Director. Determination to authorize payment in an amount no greater than \$20,000 to settle any claim involving the BEP. The Deputy Director may further delegate this authority to the Associate Directors.

**Authorities of the Associate Directors.**

The Associate Directors exercise complete authority in their functional areas to accomplish Bureau objectives. Subordinates authority to act can be traced directly to the Associate Director. Any authority to act which can be traced directly to the Branch, Section, or Unit also resides with the Associate Director under which the component is organizationally aligned, unless that authority is delegated by the Director to a specific person or position. Retained authorities are as follows:

- (a) Approval of travel for Offices under their supervision, to include program travel authorizations, and travel and related expenses for training.
- (b) Approval of travel voucher for Office Chiefs before submission to the Office of Financial Management for payment.
- (c) Approval of non-contract airlines when in the interest of the Government.
- (d) Approval of the use of cash to procure emergency passenger transportation services costing more than \$100.
- (e) Approval of all performance evaluations initiated by Office Chiefs or comparable level management positions.

- (g) Approval of "Recommendation for Performance Recognition," initiated by Office Chiefs or comparable level management positions.
- (h) Approval of directives concerned with matters of functional or jurisdictional control for matters which require immediate attention.
- (i) Approval of personnel or position actions for all subordinate employees within their respective organization unless delegated to the Office Chiefs or comparable level management positions.
- (j) Approval of employee requests for permission to engage in outside employment or other activities, including speaking, teaching, or writing on matters not relating to Treasury business.
- (k) Approval of all Forms 8516's, "Requisition for Purchase of Material or Services," over \$25,000.
- (l) Determination to authorize payment to settle any claim involving the BEP subject to the limitations in the delegation from the Deputy Director.

**Authorities of Office Chiefs or comparable managerial positions.**

Office Chiefs or equivalent managers may delegate the following authorities no lower than the level of Assistant Office Chief or comparable assistant managerial position.

- (a) Approval of advance sick leave of up to 240 hours and of leave without pay (LWOP), as specified in the BEP policy and Office of Human Resources advice.
- (b) Approval of Travel Voucher for employees of their respective components before submission to the Office of Financial Management for payment.
- (c) Approval for subsequent processing of BEP Form 9056-1A, "Requisition for Fixed Assets and/or Services."
- (d) Approval of administrative classification and the requirement for declassification of information necessarily restricted for "Sensitive But Unclassified" for the purpose of administration (documents or materials of a non-defense character), which may be made available only to authorized officials. (This authority does not include the records to be made available and disclosed to the public under the requirements of the Freedom of Information Act or the Privacy Act). The approval of other administrative classifications, i.e., confidential, secret, top secret and any declassification cannot be re-delegated by the Director.
- (e) Approval of overtime.

(f) Approval of Performance Evaluation Summary Ratings initiated by supervisors below the Office Chief level when an outstanding, unsatisfactory or equivalent performance evaluation rating has been recommended.

(g) Approval of all Form 8516's, "Requisitions for Purchase of Materials or Services," up to \$25,000.

**Authorities of Division Managers**

or comparable positions (including staffs that report to an Office Chief).

Division Managers or comparable positions have the same authority to act as all of their subordinates. Division Managers may delegate any of their authorities to the Assistant Manager/Superintendent (officially designated by title) except the following authorities which may not be delegated.

1. Approval of advance sick leave of up to 80 hours and of leave without pay (LWOP), as specified in the BEP policy and Office of Human Resources advice.

2. Approval of the use of local commercial transportation, and the approval of Standard Form (SF) 1164, "Claim for Reimbursement for Expenditures on Official Business."

3. Signature on BEP Form 8406, "Property Removal Permit."

4. Approval of request for keys, locks, and locksmith services within the designated work areas of their components. The requests for the purchase and installation of locking devices will be controlled by the Office of Security.

5. Approval of the unlocking of any door, lock, safe, security device, or vault in an emergency or unavoidable circumstance by an appropriate Police Force member within the designated work areas of their components.

6. Signature on reports of overages and shortages, discrepancies, request for adjustments, corrections, and mutilated paper delivery schedules of products charged to their components.

(a) The following general authorities may be delegated to supervisory personnel without limitations:

1. Initiation or approval of requests for employee training.

2. Certification of the acceptability of, or recommendation of the rejection of purchased equipment, materials, and services with certain limitations.

3. Signature on BEP Form 8540, "Report of Excess Property."

(b) The following general authorities may be delegated with certain limitations:

1. Signature on correspondence concerning functions in their jurisdiction. However, certain correspondence listed under the authorities of the Director may be signed only by the Director.

Authorization of the following services may be delegated to Heads or Forepersons of Branches:

a. Maintenance or repairs to buildings and grounds, building appurtenances, and plant machinery or equipment, when the estimated cost of the maintenance and repairs does not exceed \$50,000.

2. Initiation of Request for Personnel Action involving appointments, position changes, suspensions, removals, etc. This authority may be delegated to the next lower authority, for example, Managers, Heads of Branches, Section Supervisors or Supervisors under direct jurisdiction.

**Authorities of all supervisors.**

All Supervisors have the following general authorities:

(a) Certification of the time and attendance data for the employees assigned to them in WebTA, the BEP's Time and Attendance System.

(b) Certification on BEP Form 8813, "Daily Attendance, Lateness, and Detailed Report," and BEP Form 8433, "Overtime Report."

(c) Issuance of BEP Form 8388-1, "Employee's Pass," for their employees, but not for themselves.

(d) Issuance of BEP Form 1390, "Employee Special Permit," for their employees. Supervisors do not require a BEP Form 1390.

(e) Issuance of BEP Form 8519, "Medical Office Permit," for their employees, but not for themselves.

(f) Initiation of BEP Form 2351, "Employee Exit Clearance," for all employees.

(g) Initiation or review of performance evaluation summary ratings for subordinate personnel.



**OFFICE OF PRIMARY RESPONSIBILITY.**

**Office of Human Resources.**

**100000 DIRECTOR**

Administers, oversees and coordinates the activities carried out by BEP. Provides leadership and overall management of BEP affairs in accordance with strategic and business plans. Assumes the right to delegate authority and responsibility as necessary to achieve BEP objectives.

Implements policies, procedures, strategic goals and objectives for the organization. Gives direction and leadership toward the achievement of the organization's philosophy, mission, strategy, and its annual goals and objectives. Directs and oversees special projects related to manufacturing, technology and administrative programs.

Provides leadership and counsel to the Executive Staff addressing issues of concern relative to the mission, vision and strategic plan. Reviews risks identified by the Executive Staff and ensures the implementation of appropriate systems procedures to mitigate such risks.

Provides leadership and credibility to the efforts of developing a positive image of the BEP and its facilities among all variety of stakeholders ensuring that the quality and service delivery standards established by the BEP are recognized world-wide.

Represents the Bureau at the highest level of the Department of the Treasury, the Congress, other Federal agencies, foreign governments and private industry. Fosters and maintains a strong working relationship with customer agencies, to include, its primary customer, the Federal Reserve. Consults with and furnishes authoritative advice to Senior Treasury officials concerning BEP operations.

Reports to the Secretary of the Treasury or his/her designee on all policy matters concerning BEP activities, and is responsible to that official for the effective direction and management of the Bureau's mission.

## **100000 DEPUTY DIRECTOR**

Serves as the Director's principal coordinator and Chief Operating Officer in the daily administration of BEP business, formulating strategies, and making day-to-day decisions regarding agency operations. Assumes all responsibility for specific internal and external programs with authority to take all actions necessary for completion.

Provides internal management oversight and leadership enabling the Director to carry out the organization's mission in accordance with statutory and contractual obligations and the strategic plan. Keeps the Director informed of all developments impacting the efficiency and effectiveness of BEP operations, both technical and non-technical in nature.

Serves as the Director's principal liaison with all Associate Director's (ADs). Oversees and provides direction and guidance to AD's on program execution and administration within strategies established by the Business Plan.

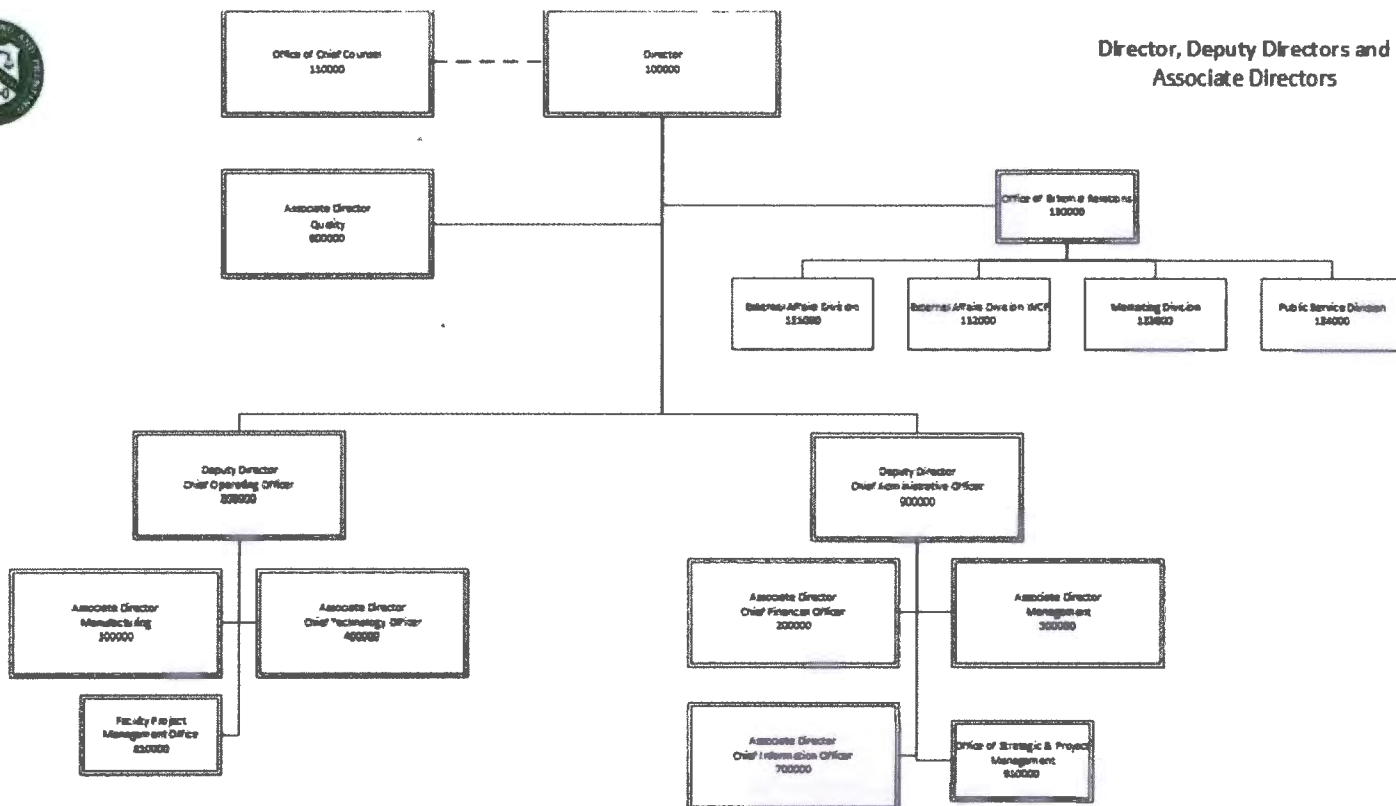
Assumes full scope of authority to act on all matters requiring action during the Director's absence.

Represents the Director in contacts with top governmental officials, the Congress, the Federal Reserve, representatives of foreign governments and private industry, contractors, and trade conferences.

Serves as BEP's Position Management Officer with delegated authority to approve manpower allocations.



Director, Deputy Directors and Associate Directors



**110000 CHIEF COUNSEL**

Interprets impact of statutes, regulations, and other legal documents on the Bureau; drafts and prepares formal comments, opinions, and recommendations on proposed legislation which concerns the Bureau.

Prepares recommendations and approves or secures appropriate approval on all proposed settlements.

Reviews regulations, contracts, Bureau circulars, and other documents for legal sufficiency.

Provides legal research and analysis in handling adverse action and Equal Employment Opportunity (EEO) cases, labor-management disputes, Freedom of Information (FOIA) and Privacy Act (PA) questions, and other situations requiring legal experience.

Represents the Bureau in hearings, appeals, and other litigation.

Accepts services of subpoena, summons, writs of attachment, or other judicial processes for BEP employees in their official capacity in any litigation.

Prepares appropriate documentation for filing of patents.

Provides legal advice and support for all phases of Bureau acquisition.

Acts as liaison on legal matters with Department of the Treasury officials, other government agencies, contractors, and the public.

Provides legal assistance to Bureau managers when necessary.

Accomplishes research, drafts language, and provides supporting documentation for legislative initiatives desired by the Bureau. Monitors and promotes processing and approvals through the Department of the Treasury, Office of Management and Budget, and to the Congress.

Acts as liaison with the Department of Justice for all matters involving Bureau litigation in the Federal courts.

Serves as the Bureau's Ethics Officials.

Serves as the Bureau's Disclosure and PA Officer as it pertains to FOIA and PA, and provides legal counsel to the Disclosure Officer in the preparation of FOIA and PA responses.

**110000 CHIEF COUNSEL (continued)**

Develops and maintains the National Archives and Records Administration (NARA) approved Bureau's Records Schedule; monitors the Bureau's creation and destruction of records, both paper and electronic, to ensure they are properly scheduled, retained, and destroyed in a timely manner; and trains Bureau personnel.

Advises on record management practices for physical and electronic records systems; and oversees the Bureau's records management activities ensuring compliance with NARA regulations, appropriate Federal codes, and Quality Management System procedures.

Administers the Forms Management Program; conducts forms analysis, design, development, and revisions, as necessary.

**130000 OFFICE OF EXTERNAL RELATIONS**

The Office of External Relations is responsible for managing the agency's Congressional Relations and Legislative initiatives. The Office assures the agency speaks with one voice and builds relationships with key members, staff, and the Department's Legislative Affairs liaisons to assure that the Bureau's positions and legislative requests are given fair consideration.

The Office manages all Congressional and time-controlled correspondence (i.e., any correspondence which has a specific due date and is tracked until completed), to include general correspondence, Bureau's correspondence manual, and public inquiries or requests regarding public information; general public relations matters; numismatic, philatelic, or historical information; and clearance of speeches, articles, or similar communications about the Bureau prior to their release outside the Bureau.

The Office approves, oversees, and provides assistance in the coordination of all programs and events scheduled in the Conferencing Arena. Reviews communications (internal and external) related to programs and events prior to distribution.

The Office develops, implements, and directs Bureau policy regarding press or media on a national and international basis and coordinates all such activities for both the District of Columbia (DCF) and Western Currency Facilities (WCF). The Office establishes Bureau policy and procedures regarding the receipt, approval, and control of all externally originated requests for interviews and filming related to production, process, and products.

The Office administers the Bureau's Sales program at the DCF, as well as the WCF, which involves the sales of Bureau products, including miscellaneous security, engraved prints, souvenir cards, and uncut currency. It also manages related support activities involving storage of and accounting for product sales.

The Office administers the internal communications system for the Bureau at the DCF and the WCF, including the Bureau News Network (BNN) and other internal and external publications.

The Office is responsible for the following functions: developing, administering, operating, and evaluating the Bureau's marketing programs, plans, policies, strategies, market research, and procedures; establishing marketing plans and promotional activities; evaluating the success of marketing programs and strategies; developing and conducting market research and surveys; and exploring and developing new markets and products.

The Office directs, plans, and schedules participation in philatelic and numismatic exhibits and shows domestically and internationally; and oversees the management of the Bureau's Visitor Center and Tour Programs at the DCF and the WCF.

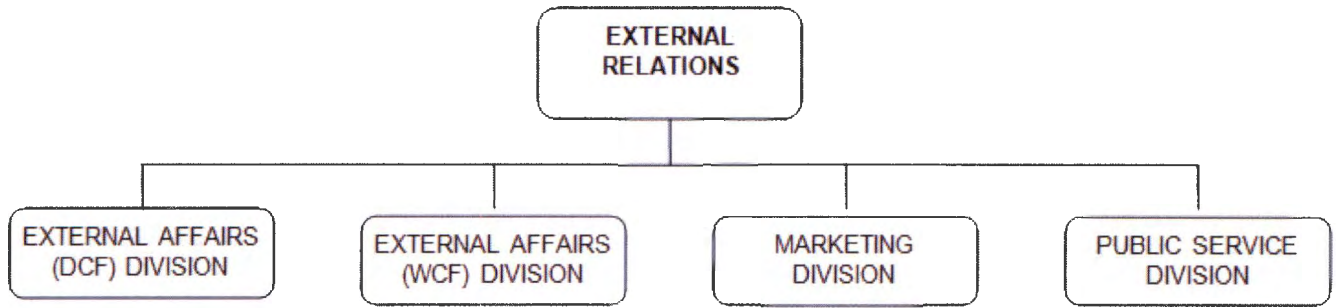
**130000 OFFICE OF EXTERNAL RELATIONS (continued)**

The Office coordinates with representatives from foreign nations and the legislative branch of government to provide information and make necessary arrangements for their visits, including tours and meetings with the Director.

The Chief, Office of External Relations, serves as liaison/advisor to the Director and may represent the Director at conferences and other public functions.

The Office coordinates, oversees, and develops special promotional events, projects, and national public information campaigns with representatives from internal and external interest groups, including national and international groups; other Federal, State, and local agencies; museums; and financial institutions at the DCF and the WCF.

The Office coordinates, directs, develops, and oversees internal and external communications between management, supervisors, employees, and internal and external entities at the WCF via the BNN, internal news flyers, responses to public and congressional inquiries, speaking engagements for civic and community organizations, public sales and the tour programs.



**131000 EXTERNAL AFFAIRS DIVISION (DCF)**

1. Coordinates and prepares responses to all Congressional, time-controlled, and general correspondence and other public inquiries for information received by the Bureau. When called upon, prepares special correspondence, official remarks, thank you letters, memos, and other written materials for the Office of the Director.
2. Provides guidance to all Bureau components regarding preparation of correspondence; develops and issues a correspondence manual containing policies for promoting uniform proper formats, as well as providing references and samples for secretaries and typists.
3. Provides and coordinates all news media activities. Prepares press releases and releases for the print, radio, and television media on the Bureau's activities, business, and products. Works with the press to provide accurate information for reports, articles, and stories. When requested, prepares speeches for Bureau executives for local, national, and international events relating to Bureau activities. Maintains a clipping file of the press the Bureau receives.
4. Coordinates filming missions and photography sessions done with the Bureau by outside parties. Films and edits special events scheduled within the Bureau. Coordinates, disseminates information, and educates the public or specific target audiences on the Bureau's business, activities, and products.
5. Writes, edits, and prepares the Bureau's monthly newsletter distributed to all employees in both Bureau locations. Manages the internal communications system and prepares other internal communication publications for all employees, including special announcements, bulletins, and annual accomplishment reports, including the BNN.
6. Develops new and disseminates existing information materials including brochures and fact sheets available on the Bureau's history, business, products, tours, and activities to members of the general public, schools, Congress, collectors, and other interested parties.
7. Manages BEP homepage on the Internet; responds to general public inquiries for information about the Bureau on the Internet.



**132000 EXTERNAL AFFAIRS DIVISION (WCF)**

1. Coordinates and prepares responses to all Congressional, time-controlled, and general correspondence and other public inquires for information received by the WCF. When called upon, prepares special correspondence, official remarks, thank you letters, memos, and other written materials for the WCF.
2. Coordinates with the Disclosure Officer in the preparation of FOIA and PA responses. Receives and answers all requests received by the WCF in a timely manner, logs and tracks all inquiries, coordinates responses with appropriate offices, maintains files, and prepares annual reports.
3. Manages the WCF's Visitor Center Gift Shop which includes conducting sales and maintaining and stocking the product display cases and product information forms. Researches new sales, product development and sales at other locations, i.e., to other government agencies.
4. Develops promotional and marketing sales techniques, such as brochures, portfolios, presentations, and audiovisuals as needed to contact the customer in each targeted market segment.
5. Prepares and oversees all facets of the Bureau's WCF Tour Program, which includes tours for the general public, VIP/Congressional tours, and floor tours. Develops and maintains all the physical, technical and aesthetic elements associated with the tour areas both inside and outside the WCF. Ensures tours are safe for Bureau visitors.
6. Provides public service to both internal and external constituents through research and reference assistance, formal educational presentations, professional contacts, and exhibits.
7. Assists with developing new information and disseminates existing information materials-including brochures and fact sheets –available on the Bureau's history, business, products, tours, and activities to members of the general public, schools, Congress, collectors, and other interested parties.
8. Provides and coordinates all news media events at the WCF. Assists with and/or prepares press releases and releases for the print, radio and television media on the WCF's activities, business, and products. Works with the press to provide accurate information.
9. Submits material for the Bureau's monthly newsletter specific to WCF activities. Coordinates the internal communications system and assists with internal communication publications for WCF employees, including special announcements, and bulletins.

**132000 EXTERNAL AFFAIRS DIVISION (WESTERN CURRENCY FACILITY)**

**(continued)**

10. Coordinates filming missions and photography sessions done with the WCF by outside parties. Films and edits special events schedule within the WCF. Coordinates, disseminates information, and educates the public or specific target audiences on the Bureau's business, activities and products.

11. Manages the WCF's BNN network. Ensures that proper, timely, and appropriate material is aired on the network.

12. Assists with news media events at the WCF. Assists with and/or prepares press releases and releases for the print, radio and television media on the WCF's activities, business, and products. Works with the press to provide accurate information.

**133000 MARKETING DIVISION**

Manages the BEP's Public Sales Program and associated marketing activities. The BEP's Public Sales Program offers for sale to the general public souvenir items such as sheets of uncut currency, engravings, intaglio prints, premium currency products, and other miscellaneous and numismatic items. Responsibilities associated with the Public Sales Program and related marketing initiatives are as follows:

1. Develops promotional and marketing materials to meet expectations of existing target markets.

2. Develops policy and implements procedures for the sales, accounting, and inventory operations of products sold to the public.

3. Manages the order fulfillment and mail order sales operations, which include the receiving, processing, and tracking of customer orders and transactions.

4. Provides system management of all hardware and software resources to ensure the integrity of customer records, inventory and accountability processes, financial reporting, and e-commerce applications.

5. Provides customer record management for public sales to ensure that customer files, sales history, and service requests are effectively managed and safeguarded.

6. Manages all aspects of sales, promotions, and exhibits at numismatic events and outreach initiatives.

7. Conducts market research activities to improve the quality of products and services offered to the public. Analyzes sales trends and historical information for

marketing and promotional activities.

8. Analyzes, evaluates, and develops new numismatic products through coordination with the Product Development Team.
9. Evaluates market segments for growth and penetration to increase the exposure of the Bureau's numismatic products.
10. Prepares the Bureau's product and show news releases. Develops and coordinates the production of promotional materials including brochures, flyers, and catalogs for the Public Sales Program.
11. Assures that appropriate authorization is obtained to expand BEP marketing abilities. Seeks legislative, departmental, Federal Reserve, and congressional authority to expand BEP marketing abilities to state, regional, and foreign governments.

**133000 MARKETING DIVISION (continued)**

Maintains and updates the BEP Store on the Bureau's website (<http://www.moneyfactory.gov/>).

Assists in the funding of marketing programs, the DCF and WCF Visitor Center and Tour Operations, and public education and outreach initiatives.

The Division also directs, plans, and coordinates the Bureau's participation at numismatic, philatelic, and corporate events and trade shows domestically and internationally.

**134000 PUBLIC SERVICE DIVISION**

1. Develops, implements, and coordinates all special projects, events, promotions, and campaigns for the Bureau. The Division coordinates, oversees, and directs special promotional events and national public information campaigns with representatives from external interest groups, including national and international groups; other Federal, State, and local agencies; museums; and financial institutions. Creates and coordinates special events, ceremonies, and meetings with private sector groups; ad hoc advisory committees; volunteer organizations; and other Federal, State, and local government agencies to develop interest in the Bureau's products and activities.
2. Implements major projects and programs developed independently, or based on suggestions or recommendations from staff, senior management, Department of the Treasury, or other constituent groups, or special issues of interest required, providing the most effective external publicity and public relations campaigns.
3. Represents the Bureau as a key member of special task forces, both within and outside the Bureau; represents the Office on special projects, public awareness

campaigns, and/or special events.

4. Prepares and oversees all facets of the Bureau's Tour Program, which includes tours for the general public, VIP/Congressional tours, and floor tours; and supervises and trains the tour guides. Develops and maintains all the physical, technical, and aesthetic elements associated with the tour areas both inside and outside the Bureau. Ensures the tour is safe for Bureau visitors.

5. Manages the historical collections of the Bureau, including the collection, organization, documentation, accountability of historic artifacts.

6. Provides public service to both internal and external constituents through research and reference assistance, formal educational presentations, professional contacts, and exhibits.

7. Creates, develops, prepares, and loans historic exhibits. Prepares and loans special displays for Treasury officials and members of Congress. Performs independent research which results in papers, summaries, articles, or other written and/or published documentation of the history of the Bureau.

8. Provides a representative who serves as an on-camera speaker on historical topics for audio-visual and media presentations.

9. Cooperates with other government and private-sector agencies and professional organizations in the promotion and advancement of history and museum-related topics.

#### **200000 ASSOCIATE DIRECTOR, CHIEF FINANCIAL OFFICER**

The Associate Director, Chief Financial Officer (CFO) is responsible for maintaining the integrity of the Bureau's revolving fund. This involves overall direction, planning, management, and integration of the Bureau's revolving fund and financial management programs and operations. The CFO also oversees the Bureau's internal control functions at all facilities. This CFO oversees the development, coordination, and implementation of financial policies and procedures; plans and directs the preparation of annual budget submissions; oversees material and service acquisition and related policy; and reviews, analyzes, evaluates, and reports agency accomplishments in financial terms.

In addition to duties related to financial management, the Associate Director, CFO directs the Bureau's internal control functions and administers Treasury policy over the destruction of unfit currency. This individual also maintains liaison with the Department of the Treasury, the Office of Management and Budget (OMB), the Government Accountability Office (GAO), the Department of the Treasury Office of the Inspector General (OIG) (on audit issues), the Congress, customer agencies, and industry and manufacturing representatives; and represents the Bureau in high-level planning and policy meetings as well as national and international conferences.

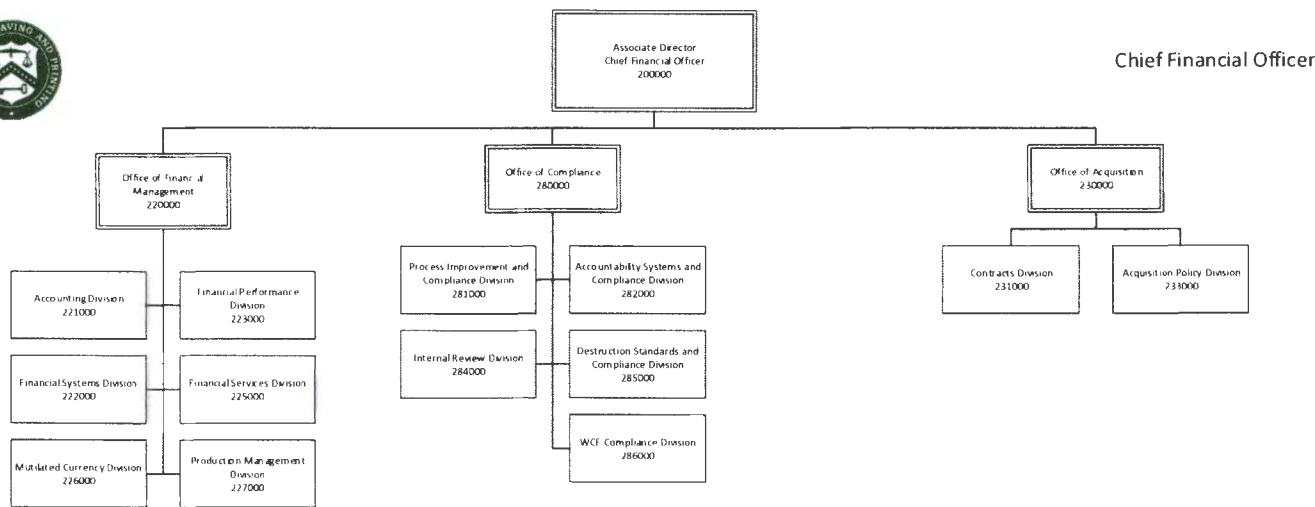
## **200000 DEPUTY ASSOCIATE DIRECTOR, CHIEF FINANCIAL OFFICER**

The Deputy Associate Director, Chief Financial Officer (DCFO) serves as full deputy to the Chief Financial Officer for all matters relating to financial management, management control and currency standards. In the absence of the Associate Director (CFO), the DCFO assumes the responsibility for the remaining areas under the control of the CFO.

The DCFO is responsible, under the direction of the CFO, for:

- Planning and directing the Bureau's financial management programs; preparing financial statements; reporting program accomplishment measurements; approving and managing the Bureau's financial management systems design and enhancement projects; and formulating and executing the Bureau's budget.
- Establishing and enforcing financial management, accounting, and internal control policies and standards and compliance guidelines and procedures for the Bureau.
- Administering Treasury policy over the destruction of unfit currency by the Federal Reserve System. Reviewing, evaluating and coordinating programs involving the cancellation, verification and destruction of unfit currency and certain other fiscal relations with the Federal Reserve Board and Banks.
- Maintaining liaison with the Department of the Treasury, the OMB, the GAO, the Congress, customer agencies, and industry and manufacturing representatives; and represents the Bureau in high-level planning and policy meetings as well as national and international conferences.
- Participating actively and leading resources management development and major executive level Bureau committees, including Executive Committees and the Capital Investment Committee.

The DCFO works under the general supervision of the CFO. The DCFO supplies direct guidance to the Offices of Compliance, Financial Management, and Acquisition.



As of 18-May-2017

**220000 OFFICE OF FINANCIAL MANAGEMENT**

The Office of Financial Management is responsible for the financial operations throughout the Bureau.

The Office administers the Bureau's internal budgetary, cost analysis and pricing and accounting systems; receives and disburses funds; operates the automated pay processing and leave management systems; develops and implements financial systems; establishes and maintains internal financial controls; manages and develops funding sources for working capital and equipment capitalization requirements; establishes prices for products and services to recover production and overhead costs from customer agencies; provides managers with functional and organizational cost information; coordinates Bureau financial and budgetary functions with the Department of the Treasury; and prepares financial statements and reports, including the CFO report and the Bureau's Strategic Plan.

The Office administers and directs the redemption of mutilated currency claims as a free service to the public. The office adjudicates mutilated currency claims and redeems the claim by initiating payment to the claimant for full face value.

The Office implements approved security procedures, in cooperation with the Office of Security, for monies, paychecks, and other documents handled by the Office and administers the Bureau-wide Travel and Relocation Programs.

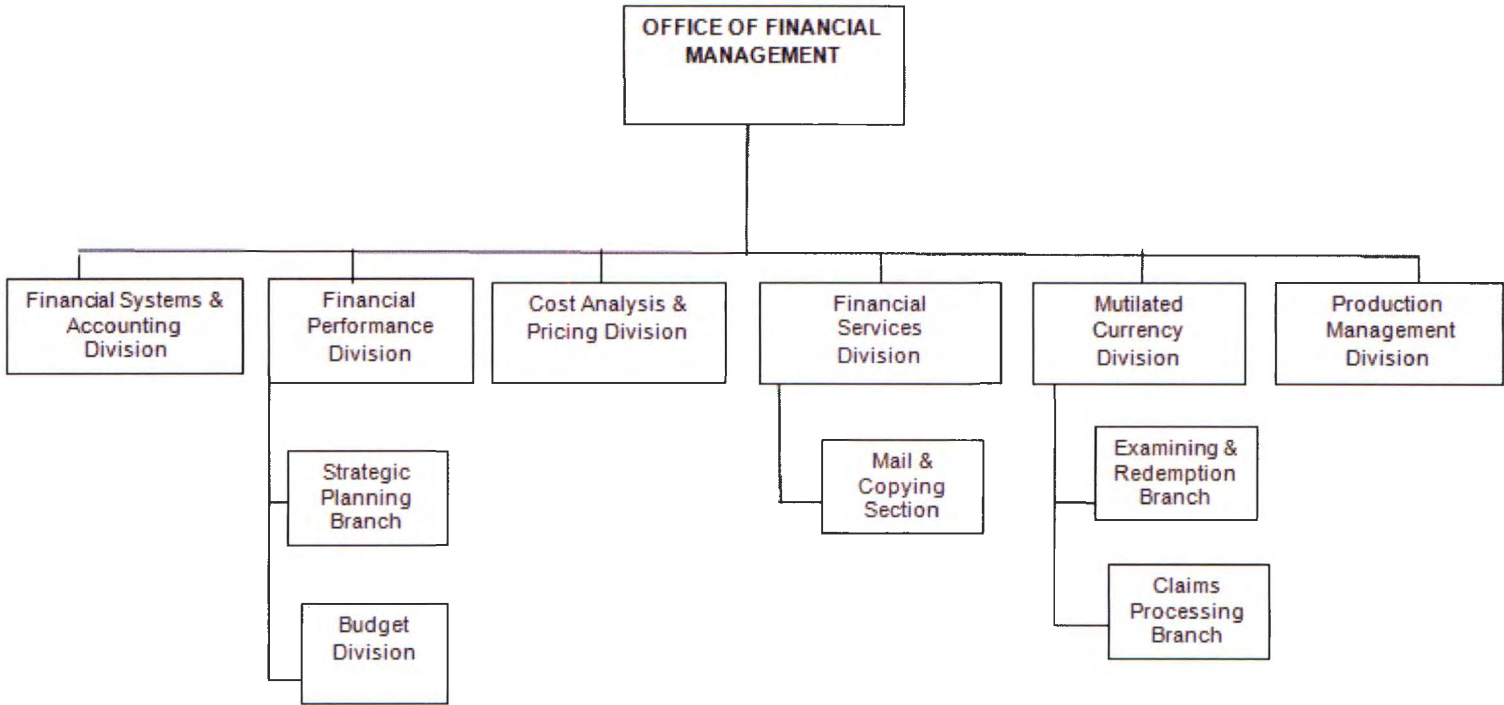
The Office coordinates competitive sourcing activities to include coordination of the commercial and inherently governmental activities annual inventory, planning for and scheduling competitions, tracking progress, training, and sharing lessons learned. The Chief oversees the President's Management Agenda initiative, Competitive Sourcing, and advises Executive Management of changes in the A-76 (Federal Activities Inventory Reform (FAIR) Act) regulations and requirements. The Chief serves as the Bureau's representative on the Treasury Department's Competitive Sourcing Council.

The Chief serves as the technical adviser to the Director and the Associate Director (CFO) on budgetary, strategic, and financial policy and related matters. The Chief participates in conferences with the OMB, the GAO, the Department of the Treasury, other agencies and foreign governments concerning the Bureau's budgetary, financial, and strategic programs. In cooperation with the Financial Management Service, Department of the Treasury, the Chief administers the imprest fund system, including third-party drafts; designates check distribution agent(s), cashier and certifying officers; approves reimbursement for travel expenses and relocation allowances; determines and issues budgetary limits for the procurement of fixed assets and other materials and services; maintains Bureau position allocation control and disseminates information on Department personnel ceilings. The Chief may be called on to coordinate an entire multi-office program, keeping the Associate Director (CFO) informed of the progress.

**220000 OFFICE OF FINANCIAL MANAGEMENT (continued)**

The Chief may represent the Associate Director (CFO) at conferences and departmental meetings.





## **221000 FINANCIAL SYSTEMS AND ACCOUNTING DIVISION**

1. Exercises oversight responsibility for the Financial Management Information Systems. Formulates and recommends the establishment of and develops new and modified systems and revised accounting policies and procedures.
2. Maintains the Bureau's general ledger and supporting financial subsystems and records; determines the appropriate accounting treatment of financial transactions; and reconciles subsidiary ledgers to their respective general ledger control accounts; prepares and renders monthly bills to recover the cost of products sold and/or services rendered by the Bureau to customer agencies; collects, records, and deposits all monies received for products sold and/or services rendered.
3. Provides policy recommendations for assuring that the Bureau's financial data are in accordance with generally accepted Federal accounting principles.
4. Ensures legal propriety of payments for procurement of supplies, materials, and equipment; examines, verifies, and certifies payment vouchers for all materials and equipment purchased or services rendered; and ensures that payment is made in accordance with the Prompt Payment Act, and/or the terms of applicable agreements and contracts.
5. Serves as the Contracting Officer's Representative (COR) for the Bureau financial statement audit and coordinates the related physical inventories of raw materials, work-in-process, and finished goods; ensures that physical counts are reconciled to the accounting records; coordinates office activities concerning external audits.
6. Ensures that vendor payments are properly matched and are made in a timely manner to maintain good vendor relations.
7. Provides complex financial analysis and makes recommendations concerning Bureau financial operations, as required by Bureau management.
8. Prepares the Bureau's monthly financial statements to inform Bureau Executives of the financial status of BEP Fund. Ensures that these financial statements present fairly the financial position of the fund, and the results of operations and changes in financial position of the fund in conformity with generally accepted Federal accounting principles.
9. Maintains work-in-process and finished goods inventories records and calculates the manufacturing cost of finished goods. Maintains income and cost records on major products sold.

**221000 FINANCIAL SYSTEMS AND ACCOUNTING DIVISION (continued)**

Performs and/or assists with reviews under the Federal Managers' Financial Integrity Act, in accordance with requirements promulgated by the OMB and the Department of the Treasury.

**223000 FINANCIAL PERFORMANCE DIVISION**

1. Implements budgetary policies and procedures prescribed by the OMB and the Department of the Treasury; administers budgetary systems; and reviews and revises procedures, as required.
2. Approves budget reports required by the OMB and the Department of the Treasury, develops financial information on proposals for the Treasury Financial Resource Management Systems.
3. Administers Bureau fund control system for obligation of apportioned funds.
4. Provides central planning for the Bureau, including developing and presenting mid- and long-term mission-related goals as well as annual plan goals.
5. Coordinates forecasts of annual expenditures for fixed assets with the Capital Investment Committee and arranges necessary funding. Reviews business case justifications based on investment policy and guidance issued by OMB, the Department of Treasury, and the BEP's Executive Capital Investment Committee. Monitors and controls fixed asset funds.
6. Serves as liaison between the Bureau and its customers on all budget and strategic planning related matters.
7. The Division Manager serves as Budget Officer for the Bureau.
8. Administers Bureau position management and FTE (full-time equivalent) employment ceiling control systems, and prepares internal and external reports.
9. Recommends policies for travel management and relocation of employees to higher level management. Implements these policies and procedures in compliance with Federal Travel Regulations and Departmental directives. Administers the Bureau-wide travel programs for both domestic and foreign travel.
10. Coordinates relocation of employees, including employee/family counseling, generates authorization documents for travel, house hunting, temporary quarters, real estate transactions, advance of funds, and shipment of household goods.

## 223100 STRATEGIC PLANNING BRANCH

1. Provides overall strategic plans for guidance to administrative, operating, and technical components; includes evaluation of Directorate plans and recommendations for modification, when necessary.
2. Coordinates the efforts of other Bureau components in order to integrate and ensure implementation of related programs as intended by the Government Performance and Results Act (GPRA).
3. Evaluates Bureau programs related to GPRA performance goals; and coordinates performance reports required by GPRA.
4. As requested, reviews and coordinates policy and program recommendations from Directorates and policy committees which require the Director's approval in order to ensure consistency with Bureau strategic goals and long-range and annual plans.

## 223200 BUDGET BRANCH

1. Plans, prepares, and justifies annual budget estimates for Bureau programs; coordinates budget document presentation to Department of the Treasury, OMB, and the Congress.
2. Prepares budget reports required by the OMB and the Department of the Treasury, develops financial information on proposals for the Treasury Financial Resource Management Systems.
3. Develops and recommends to higher level management methods of funding and participates in the forecasting of working capital requirements.
4. Prepares directives and instructional material for development of budget estimates and forecasts.
5. Analyzes Bureau staffing trends, resource utilization, and management strategies and requests to ensure the effective and efficient management of Bureau resources and systems.

## **224000 COST ANALYSIS AND PRICING DIVISION**

1. Formulates and recommends cost accounting and pricing policies and procedures.
2. Develops and recommends cost standards; regularly monitors standards against actual costs and variances, and recommends adjustments when required.
3. Provides estimated costs of Bureau products or services for inclusion within the Bureau's internal and external budgets; develops and recommends billing prices for Bureau products and services.
4. Prepares monthly and quarterly statements on the actual costs of producing currency and special security products, and compares actual costs to standard rates. Identifies variances as applicable to volume, price, efficiency, etc.
5. Validates projected savings for employee suggestions, cost reductions, and management improvements; chairs Employee Suggestion Committee.
6. Analyzes labor, material, and overhead cost variances; analyzes current and historical costs of Bureau products and services.
7. Participates with responsible Bureau components in methods and equipment studies to determine cost implications.
8. Prepares special cost and pricing studies and cost-benefit analyses; performs cost-data and special economic impact analyses; validates significant cost reduction savings.
9. Conducts special cost-pricing comparisons of Bureau products with the private sector; coordinates Bureau cost and billing matters with customer agencies; prepares supporting documentation.
10. Maintains liaison with customer agencies; provides estimated cost of producing programs to customer agencies; analyzes the effects of wage force and wage changes, projected spoilage, and other changes in program costs on product prices; justifies increases or decreases of program costs and rate changes.

## **225000 FINANCIAL SERVICES DIVISION**

1. Represents the Bureau to TIMIS (Treasury Integrated Management Information System) and the National Finance Center (NFC) on automated payroll/personnel issues as they relate to processing of pay for hours worked and leave management.
2. Ensures that automated systems policies and procedures related to pay for hours of work and leave earnings and usage are in compliance with regulations and program requirements.
3. Administers the pay processing for hours of work and leave management programs; provides data entry for hours of work, work schedules and leave; maintains pay processing and leave master records and leave balance; issues replacement salary checks and establishes internal accountability procedures; maintains certified time and leave records file. Executes files and records retention programs in accordance with Federal regulations.
4. Processes bi-weekly salary payments in accordance with Department procedures and schedules; establishes, controls and verifies pay processing and leave management operations; generates, maintains control of, and disseminates financial data to the accounting and labor distribution systems.
5. Examines for accuracy personnel documents received and other authorization documents affecting leave and hours of work; processes change/modification documents to update the master file and employee records.
6. Produces financial data for internal and external reports for accounting, cost analysis and budget; provides hours of work data and leave information, as requested, on an individual basis.
7. Administers the Bureau's mail management program; analyzes mail cost and usage to reduce the Bureau's postal costs; maintains and reports Bureau-wide actual cost data for postage; and develops and publishes the BEP Mail Manual. Manages Bureau mail, distribution, and copying activities.

## **225010 MAIL AND COPYING SECTION**

1. Receives, sorts, records, and routes incoming/outgoing mail and other documents; provides messenger services.
2. Maintains the master mail distribution lists and distributes mass distribution materials throughout the Bureau.
3. Receives and transmits funds collected via the US mail to the Office of Financial Management for deposit.

**225010 MAIL AND COPYING SECTION (continued)**

4. Furnishes Bureau copy service for official orders, directives, charts, forms, and other publications; collates and staples finished work, as required.
  
5. Orders unit copier supplies; performs routine service checks on unit copier equipment; places service calls for unit copier repairs and maintenance.



## **226000 MUTILATED CURRENCY DIVISION**

1. Develops policy and implements overall Federal government procedures over the examination, redemption, destruction and check issuance for mutilated currency.
2. Acts as the sole government organization and focal point for receipt of mutilated currency and provides the final legal determination over the amount of currency identified and redeemed.
3. Advises the Federal Reserve Banks, commercial banks and the general public on the criteria to apply in order to determine if the currency is mutilated, and thus must be sent to the Treasury for examination and redemption.

## **226100 EXAMINING AND REDEMPTION BRANCH**

1. Identifies mutilated currency received from Federal Reserve Banks, commercial banks, foreign governments, businesses, the general public, and other agencies.
2. Examines evidence of ownership and determines final status of mutilated currency.
3. Certifies the value of each claim and authorizes payment.
4. Testifies in court to explain Treasury's procedure regarding the redemption of mutilated currency.
5. Redeems and deposits confiscated currency for law enforcement agencies, such as altered notes for the Secret Service.
6. Redeems torn and mutilated currency from transit companies throughout the country.
7. Testifies in court on behalf of the government in criminal cases involving currency. Authenticates court documents relating to the lawful or legal ownership of currency, such as sworn affidavits and Treasury documents.

## **226200 CLAIMS PROCESSING BRANCH**

1. Receives and processes for payment all cases settled and authorized by the Examining and Redemption Branch.
2. Maintains all files and related documentation.
3. Responds to all tracers relative to mutilated currency cases received by the Examining and Redemption Branch.

## **227000 PRODUCTION MANAGEMENT DIVISION**

The Production Management Division (PMD), under the general direction of the Chief, Office of Financial Management, plans, directs, schedules, controls, monitors, and provides impact analyses for the production programs and functions at the BEP.

Serves as the "Customer Service Liaison" for all manufacturing related to internal and external customer requests. Receives and reviews production orders from customer agencies and negotiates with government agencies with respect to product specifications, order quantities, delivery dates, and proposed production program changes. This includes the Federal Reserve Board's (FRB's) Yearly Currency Order (YCO), Government Printing Office passport end-sheet, and Homeland Security production requirements.

Serves as the internal coordinator for authorizing and controlling the production of customer approved products at the BEP. PMD coordinates manufacturing priorities and directs the preparation of related production plans through development of master production plans and delivery schedules for currency and special security products program requirements. Communicates and coordinates this plan and any necessary changes with appropriate representatives of the FRB.

Formulates, writes, and issues "Print Orders" and "Orders for Supplies and Services" to support BEP test, development, and production activities. This includes the creation of BEN part numbers, product structures, and other information technology (IT) system requirements.

Develops and issues the BEP YCO. PMD receives yearly order from the FRB, coordinates with the pertinent BEP areas to develop production split between the two currency facilities, monthly sheets to print requirements, and FRB monthly bank deliveries. PMD produces and distributes monthly process sheets to include denomination, series, bank and serial numbers to both production facilities. PMD produces and maintains history sheets of all currency production.

PMD chairs the weekly special security product and public sales meetings. Meetings focus on production priorities, requirements, and review of potential products.

## 230000 OFFICE OF ACQUISITION

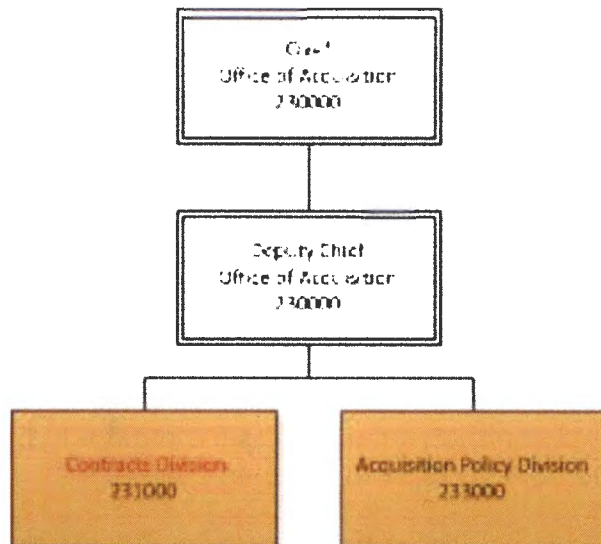
The Office of Acquisition is under the general direction of the Associate Director (Chief Financial Officer). The Office directs all Bureau acquisition activities including the award and administration of contracts for research and development, architectural and engineering services, construction, advisory and assistance services, non-personal services, stock supply items, and highly specialized securities printing and processing equipment and services.

The Office formulates acquisition and contract administration policies, objectives, and procedures concerning major Department of the Treasury procurement programs and promulgates internal policies for procurement based on Department and Government-wide goals and objectives.

The Office keeps abreast of current Federal Acquisition Regulations (FAR), Treasury regulations and directives, Office of Management and Budget (OMB) circulars, Government Accountability Office (GAO), and the General Services Board of Contract Appeal Board Decisions, etc., in order to ensure that Bureau procurement policies and practices are kept current, and the procurement library for reference purposes is maintained.

The Office directs various acquisition programs for the purchasing and contracting of specially designed materials for highly specialized, complex, and sophisticated printing and processing equipment and systems.

The Office directs and implements all Bureau inventory and acquisition activities in support of the Washington, DC Facility (DCF) and Western Currency Facility (WCF). The Office processes inventory acquisitions through BEN, which records quantities of goods and services and provides accountability between utilization and inventory. The Office verifies stock levels through inventory verification and identifies and removes surplus and obsolete items from inventory through excess property procedures. The Office develops policies and procedures regarding BEP inventory and materials management functions.



**231000 CONTRACTS DIVISION**

1. Procures all services, materials, and equipment including those under the simplified acquisition threshold, used in the production and processing of United States currency and security documents, including inks, distinctive currency paper (including threaded paper), ink ingredients (including numerous pigments, driers, varnishes, oils, and waxes); and processes indirect materials (including draw sheets, rigging boards, packaging films, and labels). Orders equipment, services and supplies from sources identified by the requesting office or from other sources as required by procurement regulations; acquires items listed on the General Services Administration (GSA) schedule of supply; uses small purchase procedures to obtain equipment and services that do not require formal contracts; and selects the most advantageous sources and obtains price quotations from vendors to promote competition.
2. Performs total procurement cycle functions, such as procurement planning; determines types of contracts; synthesizes requirements; prepares invitations for bids and requests for proposals; prepares determination and findings; conducts pre-proposal conferences; reviews bids and proposals; negotiates with offerors; coordinates pre-award surveys; obtains best and final offers; prepares determination of responsiveness, responsibility, and reasonableness of price; prepares contract award documents; awards contracts to successful offerors within limits of delegated authority; conducts debriefings with unsuccessful offerors; and prepares responses to any protests received before or after award.
3. Conducts studies on market structure (including market surveys) and vendor capability and reliability; develops new acquisition sources through analysis of information obtained; and develops new sources through analysis of manufacturing capabilities and alternative methods of production in industry.
4. Prepares and reviews contract file documentation for equipment and services contracts to ensure compliance with the Federal Acquisition Regulations, Treasury Acquisition Guidance, Federal Property Management Regulations, and the Economy Act, etc.
5. Prepares responses to Chief Counsel and Departmental reviews of BEP solicitation packages and pre-award contract documents as contained in official contract files.
6. Coordinates the review and acceptance of unsolicited proposals.
7. Reviews and processes purchase requisitions from BEP components for the DCF and WCF; and prepares and issues purchase orders for equipment services.
8. Establishes and reviews Blanket Purchase Agreements (BPAs) with local vendors for the DCF and WCF. The BPAs are listed to cover the Bureau's needs for recurring services.

**231000 CONTRACTS DIVISION (continued)**

9. Controls purchase order process to ensure that all paperwork is completed properly and that documentation for ordering and paying is complete and accurate.
10. Maintains BEP vendor files with complete information, including names and addresses for remittance purposes; and reviews and updates these in accordance with internal control requirements.
11. Conducts pre-award reviews of proposed solicitations/contracts to enhance post-award contract administration activities as required by the Bureau two-tier review process.
12. Performs post-award contract administration functions deemed necessary to ensure that the contract is performed in accordance with the terms and conditions of contract; authorizes necessary post-award modifications, including termination for convenience of the government and default within limits of delegated authority; and prepares responses to protests received after award.
13. Directs Contracting Officer's Representative (COR) certification and designation processes to assist Contracting Officer (CO) in the administration of contracts in accordance with Treasury Acquisition Guidance and established internal control procedures.
14. Ensures that equipment and materials are received, inspected, and formally accepted by the Bureau before invoices are approved for payment to Bureau contractors; maintains appropriate contract file documentation for invoices approved for payment; and works closely with the Office of Financial Management to ensure that the provisions of the Prompt Payment Act are met. Conducts pre-award reviews of proposed solicitations/contracts to enhance post award contract administration activities as required by the Bureau two-tier review process.
15. Closes out contract actions upon completion of the acquisition, including any final audit requirements; and develops and maintains appropriate documentation to evidence the close out of each Bureau contract.
16. Maintains and retains custody over all procurement files, including responsibility of the Office's controlled filing system.
17. Monitors deliveries and inventory balances and notifies affected component(s) of missed delivery dates, partial shipments or low on-hand inventory balances related to the program.
18. Coordinates and participates in acquisition planning so materials requirements are successfully met.

**231000 CONTRACTS DIVISION (continued)**

19. Enters information from purchase orders into BEN for report preparation and maintains accurate item location identification of materials, parts and property.

20. Issues Materials Requirements Plans for all production materials.

21. Prepares responses to Chief Counsel and Departmental reviews of BEP solicitation packages and pre-award contract documents as contained in official contract files.

**236000 ACQUISITION POLICY DIVISION**

The Acquisition Policy Division provides leadership through policy development and training. The Division is responsible for formulating BEP-wide acquisition policies governing acquisition activities, providing advice and technical assistance on matters related to BEP acquisition programs, and monitoring the adoption of acquisition policies established by the Department of the Treasury, Senior Procurement Executive (SPE).

1. Develops, implements, maintains, and interprets BEP-wide acquisition policy and customer assistance to ensure that acquisition activities are conducted in accordance with applicable laws, statutes and Federal Acquisition Regulations and Department of the Treasury regulations.

2. Develops guiding principles to streamline acquisitions and provide overall best value for BEP customers.

3. Establishes uniform guidance, coordination procedures and policy to assure effective acquisition of requirements for BEP customers.

4. Represents BEP on Treasury task groups regarding acquisition matters.

5. Supports the customers throughout the acquisition and assistance process by conducting an ongoing customer outreach program.

6. Analyzes and provides comments on proposed regulations.

7. Provides staff assistance for the BEP and Treasury's Small Business Program.

8. Performs Office of Acquisition internal self-assessment to assure the quality of acquisition/customer assistance actions and support documentation. Develops, publishes, and maintains Office of Acquisition handbooks for acquisition and assistance.

9. Operates a quality-based continuous improvement program, including performance measures.

10. Conducts pre-award reviews of proposed solicitations/contracts to enhance post-award contract administration activities as required by the Bureau two-tier review process.

## **280000 OFFICE OF COMPLIANCE**

The Office of Compliance (OC), under the general direction of the CFO, plans, administers, and monitors the Bureau's risk assessment reviews and process improvement programs; the audit recommendation monitoring system; the accountability systems for products and critical resources; the Bureau's internal quality and environmental audit programs; and develops and administers Treasury policy over destruction of unfit currency by the Federal Reserve System. Its primary mission is to work closely with Bureau management to promote the safeguarding of Bureau property, funds, and other assets against waste, fraud, loss, unauthorized use, or misappropriation, through the development, implementation, and maintenance of effective control systems, and to achieve effective internal quality and environmental audits, and process improvement programs.

To accomplish this mission, the OC is responsible for evaluations and monitoring conformance with management, quality, and environmental control policies and procedures of Bureau manufacturing and support operations, administrative and financial management systems, and other Bureau and Treasury organizations, programs, or activities. OC researches and makes recommendations for the acquisition of production accountability systems to ensure that critical standards for product accountability are maintained. Staff members from OC work closely with other Treasury and Bureau components to develop, specify, evaluate, select, test, and implement production accountability systems to ensure adequate operating and maintenance procedures are provided, adequate testing is performed, training is provided to all required system users, and procedures have been established to ensure a smooth transition into the Bureau's day-to-day production environment. It is the responsibility of the Office to work closely with all Bureau and Federal Reserve Banks to identify and implement effective solutions to accountability, internal control, and destruction process issues.

OC is responsible for formulating and coordinating implementation of the Bureau's risk assessment; preparing the Bureau's annual report on control-related activities; establishing priorities; directing the Bureau-wide efforts to interface with the OIG, the GAO, and other external offices on audit issues; directing and monitoring implementation of the Bureau's product inventory and accountability system; verifying the integrity of unusable security products prior to destruction; performing program efficiency reviews based upon process improvement and enhancement methodology; and planning and conducting independent reviews of Bureau components, programs, systems, and activities to assess the adequacy of internal controls, compliance with external and/or internal control requirements, and conformance with approved quality and environmental procedures. The OC prescribes policies and minimum requirements



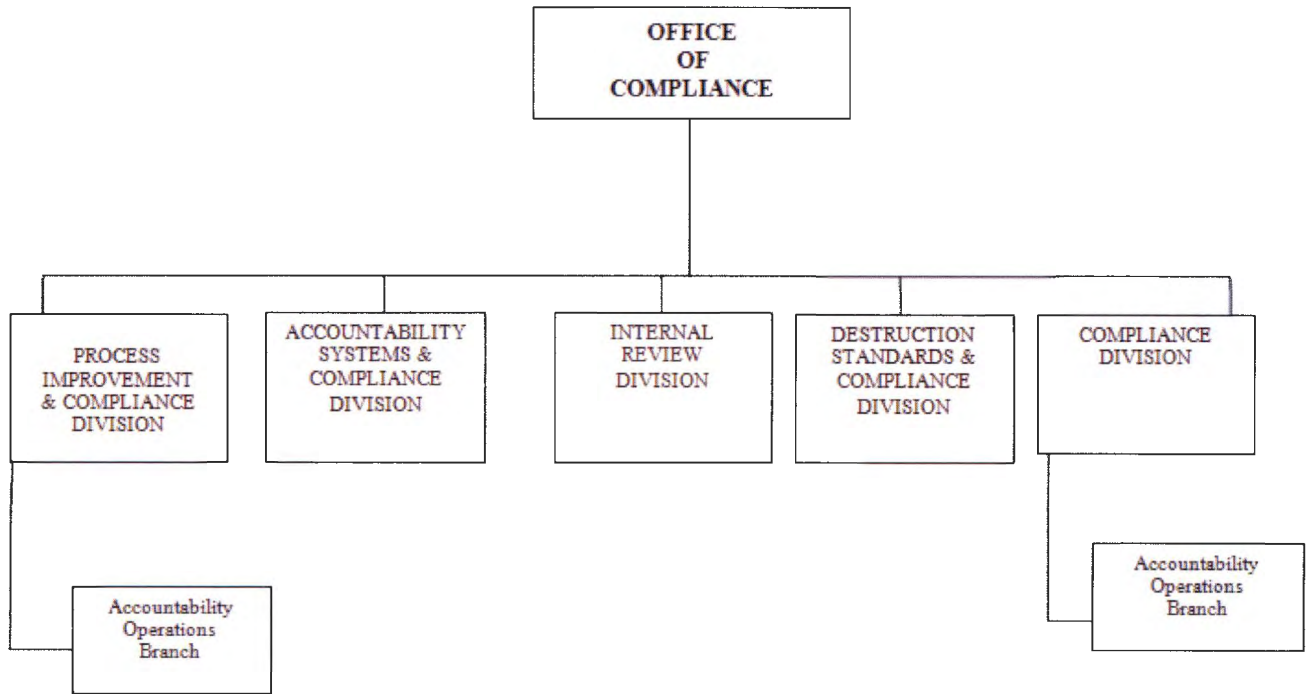
for the cancellation, verification, and destruction of unfit currency performed by the Federal Reserve Banks (FRB) and BEP.

**280000 OFFICE OF COMPLIANCE (continued)**

The OC promotes an accountability and internal control awareness program that reinforces the importance of strong internal controls and accountability systems in daily activities. OC provides guidance to ensure records are maintained to document and track the Bureau's accountability, environmental, and quality management efforts and conformance with applicable regulations and standards. OC also interfaces between Departmental, Federal Reserve, and Bureau officials on internal control matters, and is responsible for planning, coordinating, and overseeing the Bureau's automated audit recommendation and internal control monitoring information systems.

OC is also responsible for the oversight of audits and reviews on internal controls performed by independent public accounting firms or related entities. OC performs reviews to improve processes by eliminating waste, reducing costs, and improving cycle times.

Programs managed by OC are designed to conform to the requirements of the Chief Financial Officers Act of 1990; Federal Managers' Financial Integrity Act (FMFIA) of 1982; Federal Financial Management Improvement Act of 1996 (FFMIA); OMB Circular A-50, Audit Follow-up; OMB Circular A-123, Management's Responsibility for Internal Control; Sarbanes Oxley Act of 2002; and, OMB Circular A-127, Financial Management Systems. Programs are also executed in accordance with various guidelines issued by the OMB, GAO, the American National Standard/American Society for Quality Control, and applicable Departmental directives.



**281000 PROCESS IMPROVEMENT & COMPLIANCE DIVISION**

1. Oversees and participates in the testing of internal controls in accordance with the Sarbanes Oxley Act of 2002.
2. Performs process improvement efficiency and effectiveness type reviews Bureau-wide.
3. Assists Bureau officials in conducting risk/vulnerability assessments as requested Bureau-wide.
4. Performs risk assessment applicable to Bureau production processes.

**281100 ACCOUNTABILITY OPERATIONS BRANCH**

1. Verifies that Bureau securities for non-released images and items of reproduction being delivered outside the Bureau agrees with authorizing Print Order and Transfer Delivery Schedule as requested. Enters into the automated system (e.g., BEN) appropriate transactions to reflect delivery to an outside organization, and subsequent return to BEP of these items.
2. Verifies the prompt return of all loaned items or receives certification of their destruction. Provides updates to the program managers on all past due items.
3. Maintains accountability records for all securities and instruments of reproduction delivered outside the Bureau, including the Request for Assessment or authorizing memorandum signed by the Director, BEP Print Order, Order for Supplies and Services, Transfer and Delivery Schedule, and Schedule of Deliveries.
4. Oversees the process of performing cycle counts of raw materials and spare parts in support of determining inventory valuation for financial statement purposes.
5. Conducts on-site verification of good and mutilated accountable paper from various processing components.
6. Maintains accountability records of receipts, deliveries, and other related items sent outside the Bureau.

**282000 ACCOUNTABILITY SYSTEMS AND COMPLIANCE DIVISION**

1. Designs, develops, implements, and monitors the Bureau's central product accountability information system for currency, items of reproduction and all accountable items. Identifies and initiates appropriate action(s) to resolve any systematic problems or other discrepancies. After preliminary analysis, refers probable incidents of fraud, theft, etc., to senior Bureau management for appropriate action.
2. Analyzes and evaluates the integrity of Bureau manufacturing and product-related support systems to ensure operational effectiveness of controls and the integrity of Bureau products. Reports findings and recommendations for improvement to senior Bureau managers for their action.
3. Provides assistance to program managers on the transfer and return of securities from the Bureau to outside organizations, and maintains stringent accountability inventory records from vendors of these securities.
4. Coordinates with the Compliance Division in developing procedures and policies that will be utilized at both facilities to support accountability and internal control requirements.
5. Provides day-to-day assistance and guidance with automated manufacturing system (e.g., BEN) in entering data on manufactured goods into the manufacturing system.
6. Prioritizes and resolves all system (e.g., BEN) problems; maintains a database to track problem resolution and response to user requests; and provides feedback to users regarding the status of their requests.
7. Conducts monitoring of automated accounting systems (e.g., BEN) to ensure set up and data accuracy.
8. Approves access requirements for the Bureau's automated manufacturing system (e.g., BEN), to include privileges and access rights and authorizes access requests.
9. Coordinates with the Compliance Division in developing and conducting training initiatives and instructions regarding the effective use of the Bureau's automated manufacturing system (e.g., BEN) in supporting the production of US currency in relationship to existing or changed accountability and internal control policies and procedures.

**282000 ACCOUNTABILITY SYSTEMS AND COMPLIANCE DIVISION (continued)**

10. Coordinates and/or participates in the development and implementation of product accountability systems and controls for all Bureau components involved in the manufacture and/or storage of US currency and related security items. Authorizes new accountability control procedures for any new product-related area, system, process, or procedure as a result of new technology.
11. Reviews currency production records and data; analyzes product accountability discrepancy trends and other information to identify potential problem areas for review, and initiates appropriate corrective actions.
12. Reconciles the Federal Reserve Board of Governors Currency Ordering System against the Bureau's automated manufacturing system (e.g., BEN) on a daily basis to ensure accountability.
13. Supports New Currency Design and other BEP testing activities by reviewing and approving Accountability and Security Plans prepared for inclusion with Requests for Assessment; providing training, and checking on accountability during testing.
14. Conducts physical inventories of raw materials, work-in-progress, inventory, and finished goods and reconciles to the Bureau's automated manufacturing system (e.g., BEN) for accountability and financial statement purposes.
15. Provides accountability and internal control training to DC employees. In conjunction with the Compliance Division, develops and presents automated accounting systems training (i.e., BEN) for the Bureau.
16. Creates and/or designs automated reporting solutions or data extractions to provide data for production to use in error/discrepancy trending analyses.

**284000 INTERNAL REVIEW DIVISION**

1. In conjunction with the Compliance Division, develops and proposes the Bureau's annual audit plans (internal reviews (product and processes), Quality Management Systems (QMS) and Environmental Management Systems (EMS), for approval by the Chief, Office of Compliance and the CFO. Coordinates with the Compliance Division in planning, directing, monitoring, and reporting on the Bureau's internal, QMS and EMS audit programs.
2. Provides technical guidance to Executives, Chiefs, and/or managers regarding audit programs objectives and techniques. Provides liaison and audit coordination services for Bureau management with external and review organizations, such as the Underwriters Laboratories (UL), OIG and the GAO. Provides consultative and technical guidance and assistance to Bureau managers to assure an orderly audit process. Coordinates and reviews the Bureau's response to draft audit reports to promote consistency with Bureau policies and ensure effective resolution of audit recommendations.
3. Conducts reviews of the Bureau's product and processes, QMS and EMS to assess the adequacy of quality/environmental controls and conformance with quality policies, practices, and procedures. The primary purpose is to not only determine conformance, but to also assess the operational effectiveness of the policy, regulations quality and environmental system procedures.
4. Documents audit findings and prepare audit work papers to support audit summary reports which are presented to Office Chiefs and/or Executive Staff for corrective action.
5. Reviews proposed corrective action plans and independently verifies the effectiveness of corrective actions.
6. Assists the applicable offices in preparing for Management Review, QMS, and EMS meetings required by International Organization for Standardization (ISO) by furnishing documents and information related to corrective actions taken as a result of internal quality audits.
7. Assists Bureau managers in developing required Corrective Action Plans for GAO, OIG, QMS and EMS audit findings to ensure that they are responsive to the audit recommendations and that the implementation of audit recommendations is timely.
8. Provides input to the Department's Joint Audit Management Enterprise System (JAMES) on the status of audit recommendations regarding A-123, GAO and OIG audit findings. As necessary, conducts special studies with respect to internal reviews, audit findings, GAO evaluations and other related topics.

**284000 INTERNAL REVIEW DIVISION (continued)**

9. Prepares and maintains the official record of Internal Control Policy Committee meeting proceedings.

10. Plans, coordinates, and conducts unannounced on-site compliance reviews of on-line and off-line activities during all shifts at the Washington, DC Facility to ensure compliance with the Bureau's security, accountability, and internal control policies and procedures.

**285000 DESTRUCTION STANDARDS AND COMPLIANCE DIVISION**

1. Administers, evaluates, and coordinates programs involving the cancellation, verification, and destruction of unfit currency and certain fiscal relations with the Federal Reserve Board and Federal Reserve Banks (FRBs).

2. Codifies the Treasury Currency Operations Manual (TCOM) which prescribes procedures and methodology by which the FRBs are to process, cancel, verify, account for, and destroy currency unfit for recirculation, and for the disposition of mutilated currency and the retirement of old series notes. This function includes, but is not limited to the following:

- (a) Evaluating currency destruction procedures that assure the withdrawal of faded, torn, worn, and dirty currency from circulation.
- (b) Testing and approving equipment used to process and destroy unfit currency.
- (c) Assuring the accuracy of the accounting for unfit currency is destroyed.

3. Conducts compliance reviews of the currency operations at FRBs and branches performing destruction operations to verify the integrity and accuracy of the currency destruction data, and to assure that the Banks comply with TCOM requirements.

4. Conducts management and internal reviews at the request of the FRBs and the Bureau to assure operational and management efficiency.

5. Participates in the Federal Reserve committee meetings in an advisory capacity.

6. Maintains a close working relationship with the United States Secret Service to promulgate counterfeit detection policy. Issues and controls counterfeit notes used by the FRBs in counterfeit certification testing.

7. Prescribes conditions and procedures for the disposition of currency residue, including use in arts and commerce.

**286000 COMPLIANCE DIVISION**

1. Coordinates with the Accountability Systems and Compliance Division (ASCD) to design, develop and implement product accountability control systems, policies, and procedures.
2. Supports BEP testing activities by reviewing and recommending approval of Accountability Plans prepared for inclusion with Requests for Assessment.
3. Conducts physical inventories of raw materials, work-in-progress, inventory and finished goods, and reconciles to Bureau control records for accountability and financial statement purposes.
4. In conjunction with the Internal Review Division, develops and proposes the Bureau's annual audit plans (internal reviews (product and processes), QMS and EMS, for approval by the Chief, Office of Compliance and the CFO. Coordinates with the Internal Review Division in planning, directing, monitoring, and reporting on the Bureau's internal, QMS and EMS audit programs.
5. Plans, coordinates, and conducts unannounced on-site compliance reviews of on-line and off-line activities during all shifts at the Western Currency Facility to ensure compliance with the Bureau's security, accountability, and internal control policies and procedures.
6. Provides day-to-day assistance and guidance with automated manufacturing system (e.g., BEN) in entering data on manufactured goods into the manufacturing system at the Western Currency Facility (WCF).
7. In conjunction with ASCD, analyzes the impacts of proposed new production systems (i.e., Large Examining Printing Equipment (LEPE, Single Note Inspection, etc.) or applications (i.e., BEN) on currency accountability procedures and recommends appropriate implementation actions.
8. Conducts monitoring of automated accounting systems (i.e., BEN) to ensure set up and data accuracy.
9. Creates and/or designs automated reporting solutions or data extractions to provide data for production to use in error/discrepancy trending analyses.
10. Reconciles the Federal Reserve Board of Governors Currency Ordering System (COS) against the Bureau's control



records (i.e., BEN) on a daily basis to ensure accountability for WCF.

11. Supports BEP testing activities by reviewing and approving Accountability and Security Plans prepared for inclusion with Requests for Assessment; and provides training and reviews accountability during testing.

**286000 COMPLIANCE DIVISION (continued)**

12. Keeps abreast of new technology with respect to product control systems, determines feasibility of implementation at the Bureau, and recommends appropriate implementation action.

13. Coordinates and assists with onsite inventory of finished goods by Federal Reserve Board personnel.

14. Coordinates with other Divisions within OC to perform workforce analyses and review of work practices to ensure efficient and effective application of resources.

15. Provides accountability and internal control training to WCF employees. In conjunction with the ASCD, develops and presents automated accounting systems training (i.e., BEN) for the Bureau.

16. In conjunction with Internal Review Division, reviews ISO audit practices and procedures to improve audit output. Develops audit training with contractors to improve audit skills for Bureau ISO audit staff.

**286100 ACCOUNTABILITY OPERATIONS BRANCH**

1. Conducts on-site verification of good and mutilated items from various processing components.

2. Maintains accountability records for all securities and instruments of reproduction delivered outside the Bureau, including the Request for Assessment or authorizing memorandum signed by the Director, BEP Print Order, Order for Supplies and Services, Transfer and Delivery Schedule, and Schedule of Deliveries.

3. Oversees the process of performing cycle counts of raw materials and spare parts in support of determining inventory valuation for financial statement purposes.

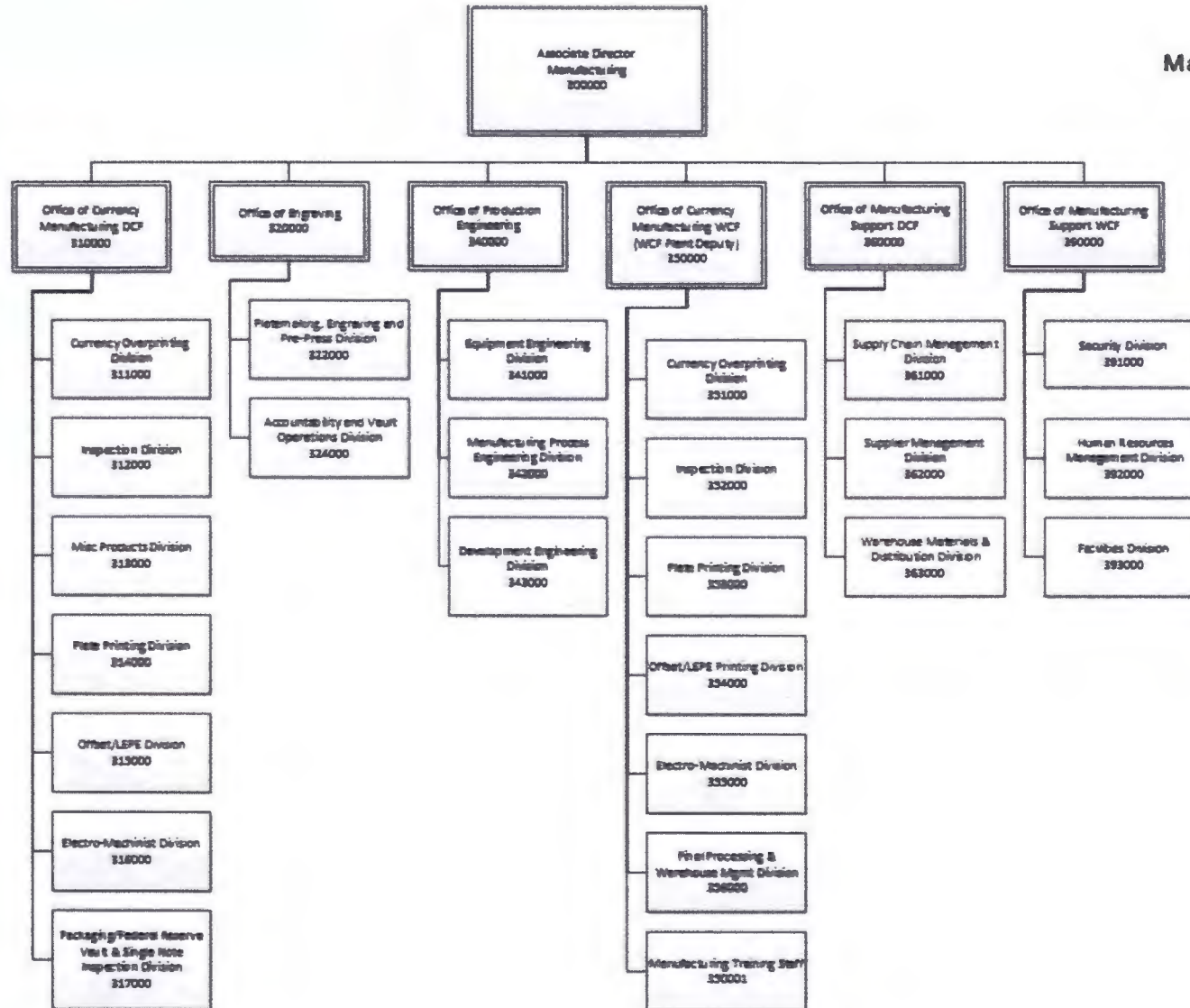
**300000 ASSOCIATE DIRECTOR, MANUFACTURING**

The Associate Director, Manufacturing, along with the other Associate Directors, participates in Bureau-wide policy recommendations and is responsible to the Director for all phases of manufacturing programs at the ECF. The Associate Director, Manufacturing, plans, develops, and implements policies relating to engraving, printing, and processing to the determination of inventories of raw materials and other stock items, warehousing, production requirements, production timetables, and delivery schedules. The Associate Director, Manufacturing manages all phases of activities relating to engraving, currency production, miscellaneous and special product production, inventory management, ink and roller manufacturing and maintenance of production equipment at the ECF.

The Associate Director, Manufacturing coordinates activities with the other Associate Directors; serves as liaison with customer agencies and with other banknote and printing companies both inside and outside the United States. The Associate Director, Manufacturing promotes good customer agency relations by maintaining high level liaison with senior officials of other agencies. As designated, the Associate Director, Manufacturing represents the Director in external policy meetings, national and international conferences, and contacts with manufacturing representatives.



Manufacturing



### **310000 OFFICE OF SECURITY PRINTING**

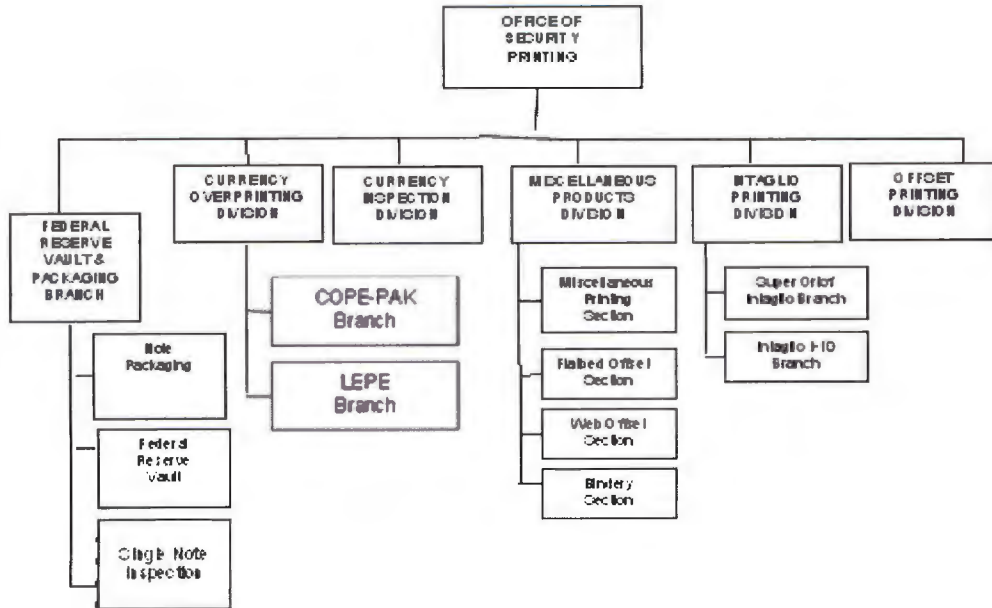
The Office of Security Printing plans Bureau currency and security products printing and processing programs and directs the use of equipment, staff and materials, including the engraved printing and processing of currency and miscellaneous security products.

The Office reviews technological developments in banknotes printing/finishing and graphic arts industry for potential application to Bureau operations; and assures required performance of staff and equipment through control, evaluation, training, and follow-up techniques.

The Office develops and implements security and accountability procedures in cooperation with the Offices of Security (OS) and Compliance (OC). These procedures are implemented and used to insure printed products and plant equipment are safeguarded and that comprehensive accountability records are maintained for all products being processed.

The Office assures control of hazardous wastes within its jurisdiction.

The Chief may represent the Director in contacts with officials of the Department of the Treasury, other Government agencies, foreign governments, private industry, and trade unions to obtain information on technological developments applicable to Bureau operations, and may recommend and implement new methods and procedures. The Chief may be called on to coordinate an entire multi-office program, keeping the Associate Director, ECF informed of progress.



### **310100 FEDERAL RESERVE VAULT AND PACKAGING BRANCH**

1. Plans and implements policies and procedures for processing and storing stocks of currency and for delivering finished notes to the Federal Reserve District Banks.
2. Recommends and institutes internal control and accountability procedures in cooperation with the OS and OC; maintains physical security and control of the products at all stages of processing; and controls materials, machinery, etc., charged to the Division.
3. Maintains accountability for the receipt, transfer and delivery of currency and related supplies, utilizing the BEP Enterprise (BEN) system, in accordance with established procedures. Delivers currency to the Federal Reserve District Banks, and maintains accountability on the Federal Reserve Board's Currency Ordering System (COS), assuring reconciliation with the BEN system.
4. Performs the administrative functions of the Division, including personnel records, time and attendance records, requisitions, etc.
5. Maintains production records; and prepares delivery schedules and reports on work-in-process, finished goods on hand, etc.

### **310110 NOTE PACKAGING**

1. Plans, directs and develops daily staffing requirements for the section based on monthly Currency Overprinting production schedules and Federal Reserve Vault requirements.
2. Receives delivery of currency bricks from Currency Overprinting vaults for processing.
3. Processes four sequentially numbered currency bricks into cash packs for delivery to the Federal Reserve Vault.
4. Monitors the input of all required data in BEN.
5. Works closely with the Supervisor of the Federal Reserve Vault to ensure all Federal Reserve requirements are met in a timely manner.
6. Ensures adherence to Banknote Processing System (BPS) 3000 rules and regulations, and internal control and accountability procedures.
7. Maintains inventory of Work in Progress, and Finished Goods in the D300M Federal Reserve Depository Vault.
8. Routinely reconciles inventory in BEN and COS.

9. Delivers finished process of Cash-Packs to the Reserve Vault for delivery to the Federal Reserve Board.
10. Maintains the inventory accountability for receipt, transfer and delivery of currency, utilizing the BEN system, in accordance with BEN procedures.

### **310120 FEDERAL RESERVE VAULT**

1. Directs, coordinates and plans the delivery of all processed Federal Reserve Board orders to specified dock times for pick up by designated armored carriers.
2. Receives delivery of cash-packs from the Note Packaging Section for staging.
3. Develops and revises, as necessary, weekly Federal Reserve Vault work plans and activity schedules based on weekly Federal Reserve requirements as relayed in COS.
4. Monitors the input of all required data in BEN.
5. Works closely with the Supervisor of the Note Packaging Section to ensure all Federal Reserve requirements are met in a timely manner.

### **310120 FEDERAL RESERVE VAULT (continued)**

Ensures adherence to BPS3000 rules and regulations, and internal control and accountability procedures.

Maintains daily contact with officials from the Federal Reserve Board to coordinate any required changes to specified currency orders.

Routinely reconciles inventory in BEN and COS.

Checks each Federal Reserve Vault every afternoon to ascertain available vault space in which to direct and store Cash Packs which will be received the next day.

Monitors all activities associated with the Federal Reserve Vault operations ensuring Bureau security, internal controls and safety requirements are met.

### **310130 SINGLE NOTE INSPECTION**

1. Directs and coordinates employees involved in the processing and inspection of currency notes on BPS2000 automated high-speed currency processing and reconciliation equipment.
2. Receives currency bundles from the Federal Reserve Vault for Single Note Inspection processing.

3. Maintains the inventory accountability for receipt, transfer and delivery of currency, utilizing spreadsheets, reports, and BEN system in accordance with BEP policies and procedures.
4. Adheres to BPS2000 Single Note Inspection Manual, internal controls and accountability procedures.
5. Works closely with Federal Reserve Vault and Note Packaging staff to ensure requirements are met in a timely manner.

### **311000 CURRENCY OVERPRINTING DIVISION**

1. Plans, coordinates, and performs the overprinting and processing of currency to meet the monthly print order requirements, and adheres to production schedules based on the Federal Reserve Board needs.
2. Provides production data input into shop-floor control in the BEN/Manufacturing Support Suite (MSS)/Manufacturing Execution Console (MEC)/Data Management Module (DMM) system.
3. Ensures adherence to BEP rules and regulations, and internal control and accountability procedures.
4. Receives delivery of examined blank engraved currency from Currency Inspection Division.
5. Maintains inventory of examined blank engraved currency and partial overprinting presses in the 2-1 vault.
6. Performs note examination on the overprinting presses, checks for intaglio and overprinting defects, and verifies serial number sequences, denominations, district bank seals, and Treasury seals.
7. Exchanges star notes for defective notes; maintains note exchange inventory and accountability at each press. Verifies count of defective notes extracted.
8. Exchanges examined blank engraved sheets for defective examined blank engraved sheets extracted by the press operator; exchanges star sheets for defective sheets extracted by the press operator; verifies, counts and maintains accountability of all examined blank engraved sheets and star sheets issued; verifies, counts, and maintains accountability of all defective examined blank engraved sheets and defective overprint sheets received.
9. Maintains the Star Stock Vault; maintains inventory and accountability of star note stock and issues star notes to the presses; retrieves the defective notes that are



extracted at each press; verifies, counts and mutilates (punches) defective notes; and transfers mutilated notes to the Securities Verification Section.

10. Records the inventory accountability, receipt, transfer and delivery of currency, utilizing the BEN system, in accordance with BEN procedures.

### **311100 COPE-PAK BRANCH**

1. Changes Treasury seals, district bank seals, and numbering blocks on Cope presses to meet the specific monthly print order requirements.
2. Delivers completed processes to the Note Packaging Section.
3. Delivers currency and other printed products to the processing components, using BEN-generated transfer schedules.

### **311200 LEPE BRANCH**

1. Changes Treasury seals, district bank seals, and numbering blocks on Large Examining Printing Equipment (LEPE) presses to meet the specific monthly print order requirements.
2. As part of LEPE equipment, processes four sequentially numbered currency bricks into cash packs for delivery to the Federal Reserve Vault.
3. Works closely with the Supervisors of the Note Packaging Division and Federal Reserve Vault to ensure all Federal Reserve requirements are met in a timely manner.
4. Works closely with the Supervisors of the Note Packaging Division and Federal Reserve Vault to deliver finished process of Cash-Packs to the Reserve Vault for delivery to the Federal Reserve Board.
5. Delivers currency and other printed products to the processing components, using BEN-generated transfer schedules.

**312000 CURRENCY INSPECTION DIVISION**

1. Plans, coordinates, and oversees the receipt, trimming, splitting, examination, assembly, and consolidation of sheets of blank engraved currency.
2. Receives sheets of printed money bands from the Offset Printing Division, cuts to finished size, and maintains adequate inventory of finished money bands for Currency Overprinting.
3. Provides production data input to shop-floor control in the BEN system.
4. Ensures adherence to BEP rules and regulations, and internal control and accountability procedures.
5. Completes "Load Examination Results" (LER), maintaining the accountability of the loads in full sheets.
6. Resolves load discrepancies.
7. Receives delivery of unexamined blank engraved currency from the Intaglio Printing Division.
8. Maintains inventory of unexamined blank engraved currency in the 2-A vault.
9. Delivers examined blank engraved currency to the Currency Overprinting Division.
10. Records the inventory accountability, receipt, transfer and delivery of currency, utilizing the BEN system, in accordance with BEN procedures.

**313000 MISCELLANEOUS PRODUCTS DIVISION**

1. Identifies resource needs for security printing activities.
2. Implements plans, policies and procedures for the printing of securities, and miscellaneous items and special products.
3. Oversees the preparation of products within the Offset and Flatbed Sections; and coordinates the printing and delivery with other Operations components.

**313010 MISCELLANEOUS PRINTING SECTION**

1. Requisitions inks, dies, plates, distinctive and non-distinctive paper and supplies for printing of various products (e.g., bonds, notes, etc.).

2. Prints bonds, notes, etc., interleaves separators between printed sheets, as required.
3. Receives partially printed securities from other printing areas, and counts accountable paper stocks before and after printing.
4. Conditions and processes paper for printing, when necessary.
5. Prints high-denomination bonds and other securities, certificates, commissions, diplomas, portraits by the intaglio process.
6. Prints, in relief or cameo, miscellaneous products such as book labels and plates, cards, certificates, commissions, letterheads and envelopes, portraits, seals, and vignettes from embossing dies or plates.
7. Prepares transfer schedules; delivers securities and miscellaneous products to other components; and delivers mutilated sheets to the OC prior to destruction.
8. Maintains accountability records; conducts daily inventories; reports on receipt, deliveries, and balances on hand, etc. Enters BEN production and inventory movement data in accordance with established procedures.

### **313020 FLATBED OFFSET SECTION**

1. Requisition inks, phosphorescent tagging material, and blank paper; receives wholly or partially printed products for phosphor tagging or additional lithographic printing.
2. Controls offset plates within the Office and orders replacement plates.
3. Prints certificates, commissions, identification car licenses, permits, etc., by lithographic processes; and periodically inspects work in progress at the presses.
4. Maintains work-in-process inventories; and coordinates printing and delivery of products with other components.
5. Establishes the initial accountability control over printings through recording of press register readings; and records subsequent press register counts for products requiring more than one pass through a press.
6. Conducts preliminary search to resolve discrepancies between press register readings and physical inventories by reviewing records for posting errors.
7. Controls registers and security locks on certain presses; and reconciles accountability.

8. Accounts for waste impressions for certain printings on non-distinctive paper; and delivers this waste for verification and destruction.
9. Assists the Office of Compliance and the Office of Security in the search and analysis of discrepancies in accountability records; and consults with production area and other employees to gather and analyze facts.
10. Maintains accountability records; conducts daily inventories; reports on receipt, deliveries, and balances on hand, etc. Enters BEN production and inventory movement data in accordance with established procedures.

### **313030 WEB OFFSET SECTION**

1. Requisitions inks and blank non-security paper; receives partially printed etc., for overprinting; and receives necessary press materials from other components.
2. Controls and verifies numbering sequence for printing; receives and analyzes all print orders coming into the Office; and prepares layouts for various jobs.
3. Overprints specific items on public debt securities; and inspects initial printing.
4. Produces star replacement sheets and imprints replacement sheets.
5. Examines sheets of printed securities and other products; removes wholly defective sheets and inserts replacement sheets, as required, and marks mutilated sheets into separate package units.
6. Counts sheets after examination; assembles perfect, partially mutilated and mutilated sheets into separate package units.
7. Produces miscellaneous printing from type forms.
8. Establishes accountability for partially printed miscellaneous product securities and similar stock received; notifies Bindery Section of discrepancies; and assembles sheets into packaged units.
9. Maintains accountability records; conducts daily inventories; reports on receipt, deliveries, and balances on hand, etc. Enters BEN production and inventory movement data in accordance with established procedures.

**313040 BINDERY SECTION**

1. Directs bookbinding and auxiliary bindery services for certificates, commissions, diplomas, identification cards and cases, licenses, public debt securities, re-entry permits, etc.
2. Verifies requisitions and fills orders from finished stocks on hand; manages packaging of products finished by other components; and prepares schedules and directs delivery of finished products to local customer agencies
3. Delivers products requiring further processes to other components. Processes miscellaneous items for the printing sections and other Bureau components.
4. Processes miscellaneous items for the printing sections and other Bureau components.
5. Maintains inventory systems and prepares related reports; and maintains accountability records for work-in-process and finished goods on hand.
6. Requisitions distinctive paper used in the printing of miscellaneous product securities; and requisitions and counts blank stock for miscellaneous products.
7. Counts and examines miscellaneous product securities and a variety of other products; and verifies count against press register count or scheduled quantity of sheets.
8. Examines sheets for defects; and separates perfect, partially mutilated and defective sheets.
9. Assembles perfect and partially mutilated sheets for delivery to cutting machines.
10. Reconciles discrepancies in counts.
11. Packages certain products finished in the Intaglio Printing Division; and prepares schedules and delivers work to local customer agencies.
12. Prepares transfer schedules; delivers work for processing to other components; and receives completed work.
13. Cancels and delivers mutilated sheets to the Office of Compliance prior to destruction.
14. Prepares reports regarding stock receipts, deliveries and work in process inventors.

**313040 BINDERY SECTION (continued)**

15. Maintains Division vaults for special security products.
16. Maintains accountability records; conducts daily inventories; reports on receipt, deliveries, and balances on hand, etc. Enters BEN production and inventory movement data in accordance with established procedures.

**314000 INTAGLIO PRINTING DIVISION**

1. Develops, recommends, and implements policies and procedures for the engraved printing of currency, passports, and other secure documents.
2. Administers use of intaglio presses for printing BEP products, and assigns personnel to presses as needed.
3. Maintains quality standards for all products printed; and gives approval of printed specimen sheets for color, layout, printing delineation, etc.
4. Maintains records to account for work-in-process inventories as part of the Bureau's overall paper control accounts.
5. Institutes internal control and accountability procedures in cooperation with the Offices of Security and Compliance; maintains physical security and control of the product at all stages of processing; and controls materials, machinery, etc., charged to the Division.
6. Assures control of hazardous wastes produced within the Division.
7. Coordinates the administrative functions of the Division, including personnel, production, time and attendance, and other records; and informs employees about procedures, rules and practices of the Bureau and the Division as they relate to the work of the components.
8. Maintains communication and rapport with other Bureau Divisions.
9. Monitors and informs employees of safety issues and compliances within the Intaglio Printing Division, and of all safety rules and regulations; and documents infractions or issues.

**314100 SUPER ORLOF INTAGLIO BRANCH**

1. Requisitions distinctive paper, inks, plates, and supplies for printing currency, passports and other secure documents.
2. Prints backs and faces of currency; and prints passports and other secure documents by the intaglio process.
3. Maintains the accountability for the receipt, transfer and delivery of printing plates, and related supplies, utilizing the BEN system in accordance with BEN procedures.
4. Delivers currency and other printed products to the processing components, using BEN-generated transfer schedules.
5. Adheres to all BEP safety, security, internal controls and accountability procedures.
6. Performs testing for the development of new intaglio processes and materials.
7. Conducts personnel training, craft and non-craft, on an as-needed basis.

**314200 INTAGLIO I-10 BRANCH**

1. Requisitions distinctive paper, inks, plates, and supplies for printing currency, passports and other secure documents.
2. Prints backs and faces of currency; and prints passports and other secure documents, by the intaglio process.
3. Maintains the accountability for the receipt, transfer and delivery of printing plates, and related supplies, utilizing the BEN system, in accordance with BEN procedures.
4. Delivers currency and other printed products to the processing components, using BEN-generated transfer schedules.
5. Adheres to all BEP safety, security, internal controls and accountability procedures.
6. Performs testing for the development of new intaglio processes and materials.
7. Conducts personnel training, craft and non-craft, on an as-needed basis.

### **315000 OFFSET PRINTING DIVISION**

1. Develops, recommends, and implements policies and procedures for the printing of Offset backgrounds of security images within the Offset Printing Division.
2. Distributes wet and/or dry offset Simultan plates, offset inks, offset blankets and other related press and offset supplies to Simultan Pressperson Teams to assist in production requirements.
3. Manages and enforces Offset production quality standards and procedures; and gives layout and color sheet approvals at startup intervals of offset product based on quality standards.
4. Maintains accountability records and inventories for production requirements relating to the Simultan offset presses and the Offset Printing Division.
5. Institutes internal control and accountability procedures in cooperation with the Offices of Security and Compliance.
6. Assures safe handling, monitors storage and labeling of hazardous waste produced and chemicals used within the Offset Printing Division individual sections; and removes labeled waste from Offset Printing Division individual sections at designated intervals.
7. Coordinates the administrative functions of the Offset Printing Division including personnel, production time, time and attendance; informs employees about Bureau policies, procedures, rules and regulations and sets an example for the Bureau and the Offset Printing Division.
8. Maintains communication and rapport with all other Bureau Divisions.
9. Monitors and informs employees of safety issues and compliances within the Offset Printing Division and of all safety rules and regulations; and documents infraction or issues.
10. Plans, coordinates, and performs the printing of the security offset background necessary to incorporate advance counterfeit deterrent features in US currency; meets or exceeds the Federal Reserve Board's and the Bureau of Engraving and Printing's high standards for quality; and adheres to production schedules based on the Federal Reserve Board needs.
11. Receives blank distinctive security paper, offset printing inks and supplies needed for section functions and offset security printing.
12. Performs wet and/or dry offset printing of security background offset images utilizing the Simultan Offset press capability of multi-color simultaneous offset printing.



### **315000 OFFSET PRINTING DIVISION (continued)**

13. Performs denominational or securities changes in the form of changing plates, distinctive security paper, offset printing inks and configurations within the Simultan Offset press computer system.
14. Produces and maintains accountability records for transfer and delivery of offset currency products utilizing the FlowSys computer system on the Simultan Offset press as well as the BEN data collection system in accordance with BEN procedures.
15. Delivers offset printed security products to Intaglio Printing Division for further product processing.
16. Ensures adherence to the Bureau of Engraving and Printing's rules and regulations, security and safety procedures, internal controls and accountability procedures.

### **320000 OFFICE OF ENGRAVING**

The Office of Engraving directs the engraving, assembly, and manufacturing of quality printing plates and surface pieces for the printing of security/financial and other security documents issued by the United States Government.

The Office is responsible for applying new technologies in support of design concepts, engraved images, engraving, plate making, and manufacture activities at the Bureau.

Major Office programs include engraving, conventional and electronic prepress, and plate making.

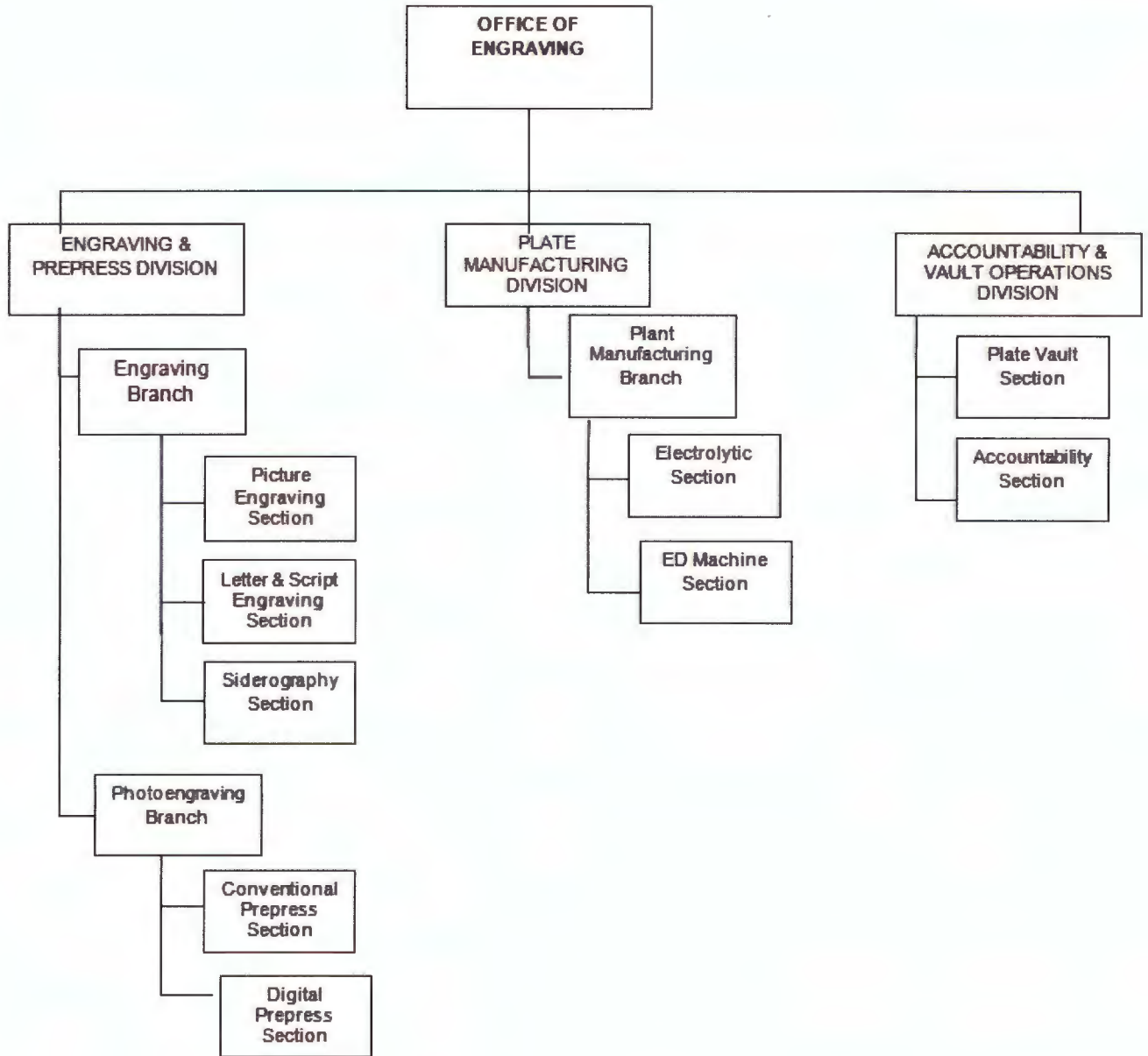
In support of its primary functions and programs, the Office directs a wide range of activities such as preparing proofs of dies and plates and accounting for these printed impressions, plates, dies, and items of reproduction; certifying plates; providing security for proofs and printing stock charged to the Office; controlling files of proofs, and archived digital design files used to prepare securities; and authorizing unfit or obsolete plate stock for destruction.

Designated Office officials may represent the Director in conferences and meetings held with international counterparts, customer agency representatives, and technical experts in the areas of security printing, engraving, plate preparation, and related technologies.

In conjunction with the Product and Technology Development Directorate, Office officials may also furnish the Associate Directors and Director with advice pertaining to the artistic value, printability, and security suitability of proposed design concepts.

In conjunction with the Product and Technology Development Directorate, Office officials may represent the Bureau in contacts with officials of Federal agencies, private plants and laboratories, and foreign countries to furnish technical advice on the layout and design of work on the artistic value and security suitability of proposed designs on the feasibility of reproduction, and the impact of design features on the quality of the product.

The Chief may represent the Director in contacts with officials of the Department of the Treasury, other Government agencies, foreign governments, private industry, and trade unions to obtain information on technological developments applicable to Bureau operations, and may recommend and implement new methods and procedures. The Chief may be called on to coordinate an entire multi-office program, keeping the Associate Director, ECF informed of progress.



### **322000 ENGRAVING & PREPRESS DIVISION**

1. Plans and directs engraving and photolithographic and electronic prepress activities.
2. Establishes and maintains production schedules to provide engraved and photolithographic items used in printing.
3. Analyzes, modifies, and maintains production processes through documentation in support of the International Organization for Standardization (ISO) 9001: 2000 standards for quality manufacturing.
4. Maintains, modifies, and improves general work practices and working areas to support the ISO 14000: 2004 management systems standard for managing the environment, health, and safety.

### **322100 ENGRAVING BRANCH**

1. Prepares exhibitions of numismatic material.
2. Creates single subject originations and original steel dies through various means; corrects defects and makes alterations in engraved areas of plates.
3. Burnishes dies and polishes steel plates.
4. Inspects and repairs dies, plates, and/or surface pieces.
5. Applies plate identification numbers to finished plates via Pantograph process.
6. Applies Bureau policies and procedures in order to protect secure documents, engraved plates, and other miscellaneous images.
7. Responds to calls from the ECF printing sections to inspect and make repairs to plates while they are mounted on the press.
8. Ensures that finished plates meets established quality standard.

### **322110 PICTURE ENGRAVING SECTION**

1. Traces freehand on sheet gelatin, with aid of a strong magnifying lens for the desired model or drawing.
2. Reproduces tone values of the model on a steel die in-line by engraving or incising lines, dots and dashes of various directions, depths, widths and spacings, to properly and artistically represent the textures needed in portraits.
3. Draws freehand with a tempered steel point, the lines, dots, dashes, etc., of the design through transparent and acid resistant wax ground.
4. Hand cuts with diamond shaped hard steel tool or graver; also makes their own tools.
5. Restores dies of previously engraved portraits, vignettes, etc., by applying methods to original engravings that have become damaged, worn or have lost some of their value.
6. Engraves for multicolor work by making separate dies for each color to be represented in the model.
7. Performs plate repairs when necessary and pantograph (manual or laser).
8. Utilizes digital files from Banknotes Designers using one system to digitally engrave through CTIP system. Assigns depths profiles and line work for banknotes and other security items, i.e., passports.
9. Inspects printing plates, altos and master plates and associate dies.
10. Picture Engraver journeymen serve a 10-year apprenticeship and also train incoming apprentices.

### **322120 LETTER & SCRIPT ENGRAVING SECTION**

1. Digitally engraves lathe work, ornamental borders, lettering and script using ONE System for CTIP, assigns depths and profiles and internal line work treatment.
2. Primarily responsible for operation of the laser pantograph system and the transition from traditional pantograph to laser pantograph.
3. Makes layout from models of work on die, such as lathe work, ornamental counters, portrait, vignette, lettering, etc.

### **322120 LETTER & SCRIPT ENGRAVING SECTION (continued)**

Draws in the reverse on a die, the lettering or script prior to actual engraving using a steel point or digital tablet pen or other technology.

Engraves all lathe work adjacent to the lettering or numerals, which produces the borders on bonds, currency, etc.

Work requires knowledge or a variety of letters, spacing and shadow designs. Incumbent operates ONE System, manual pantograph and laser pantograph efficiently. Hand cuts and/or etches with acids.

Operates ruling machine and has knowledge of acid and its corrosive action upon steel.

Performs work on transfer rolls that requires filing or scoring.

Inspects and makes ready for printing all electrolytic plates, master plates and altos including final chrome inspection.

Inspects the layout and the engraving of plate lines and register marks on all electrolytic master bassos and altos and inspect electrolytic plates for wear in the press room.

Letter and Script Engraver journeymen serve a seven-year apprenticeship and also train incoming apprentices.

### **322130 SIDEROGRAPHY SECTION**

1. Transfers designs from original engraved dies to soft steel roll by the Siderography process; and transfers designs to form multi-subject steel plates.
2. Makes assembled dies and prepares new transfer rolls.
3. Produces plastic intermediate master forms by thermal molding process.
4. Welds plastic molds to form multiple subject plates.
5. Punches dies and/or plates to level engraved surfaces.
6. Inspects, repairs, and polishes dies and/or plates.
7. Applies computer technology and procedures to process single and multi-subject intaglio master plates.

**322130 SIDEROGRAPHY SECTION (continued)**

8. Ensures that finished plates meet established quality standards.
9. Polishes and finishes blank steel and cooper, etc. for items of reproduction.
10. Responds to calls from the ECF printing sections to inspect and make repairs to intaglio plates while they are mounted on the press.

**322200 PHOTOENGRAVING BRANCH**

1. Performs conventional and electronic image retouching, image assembly and related prepress operations up to and including preflight, page layout, plate layout, step and repeat, color trapping, and proofing.
2. Makes photographic reproductions of steel and cooper dies and plates, drawings, halftones, models, and designs of securities and similar documents; and performs specialized photographic services.
3. Augments currently master dies by photo etching specific elements or features in order to assemble the composite dies.
4. Makes photographic color separations from original art copy or color transparencies to facilitate multicolor lithographic and photogravure reproduction.
5. Maintains inventory and accountability for all securities and associated electronic media.
6. Produces wet offset printing plates in support of the Bureau's miscellaneous products program.
7. Produces dry offset printing plates in support of the Bureau's currency printing program.
8. Produces Intaglio inking-in plates (Chablon plates) to support the Super Orlof Intaglio press direct and indirect inking systems.
9. Produces and delivers electronic media containing secure and non-secure images to various BEP components.

**322210 CONVENTIONAL PREPRESS SECTION**

1. Operates a wide range of professional photographic equipment (copy cameras, digital cameras, processors, printing and contact frames to produce a variety of negatives, positives, black and white prints, color prints and color transparencies).

2. Sets up equipment, mounts copy, determines appropriate techniques, computes settings for enlargements or reductions, arranges lighting and exposes film for best production.
3. Creates or reassembles material to form new or improved designs and patterns using digital methods, conventional stripping, photomechanical and hand compiling methods.

### **322210 CONVENTIONAL PREPRESS SECTION (continued)**

4. Examines all negatives and positives made on the step and repeat machine, images-setters and plate-setters; and corrects all imperfections.
5. Employs photomechanical and hand compiling techniques to assemble positive or negative films to be used in the production of currency and miscellaneous products.
6. Utilizes equipment settings and technology and/or conventional methods (step and repeat machine, vacuum frames, light sensitive coatings) hand developing and automatic plate processing equipment to produce nyloplate and offset plates for use in various production areas.
7. Prints proof impressions from deep etch plates for evaluation and certification.
8. Prepares multicolor printing models of proposed new designs for BEP-produced security items for approval by various governmental agencies.

### **322220 DIGITAL PREPRESS SECTION**

1. Applies digital techniques to generate completed prepress assignments using electronic publishing software and hardware.
2. Photographs a variety of material including dies and plates, drawings, original artwork, and models and designs of securities.
3. Inputs a variety of original copy, artwork, and archived films into a digital workflow environment. Operates various high-end color and copy dot scanners.
4. Utilizes scanner operating software and/or image editing software to ensure images are complete and ready for digital stripping.
5. Employs digital techniques for assembling, processing, imposing and outputting positive or negative plate-ready films and plates.
6. In conjunction with the Product and Technology Development Directorate, creates or reassembles materials to form new or improved designs and patterns using



digital methods, conventional stripping, photomechanical and hand compiling methods.

7. Utilizes digital technology to adjust and/or change the density/tonal values of computer graphics and digital images per job requirements and specifications.

8. Utilizes computer technology to digitally alter, manipulate, retouch, and compose images, high-resolution line work, and vector-based graphics.

9. In conjunction with the Product and Technology Development Directorate, prepares multi-color printing models of proposed new designs for BEP-produced security items for approval by various governmental agencies.

### **323000 PLATE MANUFACTURING DIVISION**

1. Ensures that finished plates and surface pieces meet established quality standards.

2. Produces or provides for the production of all engraved plates.

3. Produces and maintains stock of master and intermediate forms used in the production of the end products.

4. Establishes and maintains schedules of production and processing of end products.

5. Assigns identification numbers to and maintain inventory of and accountability for all security stock on a daily basis, to include plastic molds or forms (both defective and good) produced by the thermal molding process.

6. Delivers products to Plate Vault Section and the Production Support Division, ECF.

7. Produces intaglio inking-in plates to support I-8, I-10 and Orlof Intaglio presses.

8. Manufactures all Electronic Discharge Machine (EDM) surface pieces to include treasury seals, district seals, and numerals and other EDM manufacturing as assigned.

### **323100 PLATE MANUFACTURING BRANCH**

1. Ensures that finished plates and surface pieces meet established quality standards.

2. Produces or provides for the production of all engraved plates.

3. Produces and maintains stock of master and intermediate forms used in the production of the end products.
4. Establishes and maintains schedules of production and processing of end products.
5. Assigns identification numbers to and maintains inventory of accountability for all security stock on a daily basis, to include plastic molds or forms (both defective and good) produced by the thermal molding process.
6. Delivers products to Plate Vault Section at the ECF, and items for the WCF.
7. Produces intaglio inking-in plates to support I-8, I-10, and Orlof Intaglio presses.
8. Manufactures all EDM surface pieces to include treasury seals, district seals, and numerals and other EDM manufacturing as assigned.

#### **323110 ELECTROLYTIC SECTION**

1. Ensures that finished plates meet established quality standards.
2. Produces and/or provides for the production of electroformed plates and surface pieces used in producing security products.
3. Applies chromium coating on electroformed plates by electroplating; and removes chrome from plates needing repair; chromes miscellaneous press and machine parts.
4. Anneals and tempers steel dies, rolls, and plates; miscellaneous press and machine parts, and tool steel as required.
5. Designs and machines items/parts needed in the production of the Office of Engraving and other BEP offices.
6. Maintains quality/ISO records of all items of reproduction.
7. Assists Office of Compliance in inventories and resolves discrepancies from inventories in the Office of Engraving.
8. Responds and resolves all customer requests and press calls.
9. Grinds and finishes electroformed nickel plates blank and engraved die steel, copper dies and machine parts to quality standards.
10. Schedules destruction with security of all non-conforming and obsolete items of reproduction and maintains destruction records.

### **323120 ELECTRONIC DISCHARGE MACHINE (EDM) SECTION**

1. Ensures that surface pieces meet established quality standards.
2. Maintains inventory and accountability for all digital files, surface pieces, graphite and steel in EDM production.
3. Applies computer technology to design and fabricate blank steel blank dies for surface piece production; uses laser technology to make graphite images of Treasury and Federal Bank seals, and numeral surface pieces; and processes and fabricates final surface piece images onto the blank steel dies.
4. Maintains quality/ISO records of all EDM production, graphite and blank steel.
5. Schedules maintenance on all EDM equipment and maintain maintenance records.
6. Schedules with the Office of Security and performs destruction of all non-conforming and obsolete pieces and graphite; and maintains destruction records.
7. Applies part numbers on all EDM production pieces via laser technology.

### **324000 ACCOUNTABILITY & VAULT OPERATIONS DIVISION**

1. Manages the accountability, distribution and storage of items of reproduction.
2. Addresses concerns related to quality control and operating procedures as mandated by ISO.
3. Responds to corrective actions and recommendations following internal and external auditing.
4. Coordinates and monitors functions of Management Analysts and Plate Vault Section.
5. Monitors the implementation of newly established procedures to ensure compliance with security regulations.

### **324010 PLATE VAULT SECTION**

1. Identifies plate vault items, which could be destroyed or archived for historical purposes on a continual basis.

2. Maintains accountability control of securities with ECF Plate Vaults No. 11 and 5V2; receives and provides secure storage for plates and surface pieces used for printing securities; issues plates and other pieces or reproduction to authorized components, using BEN.
3. Receives and stores photo-negatives, photo-positives, and related items used for manufacturing printing plates.
4. Prepares plate stock manufactured for contractors or other agencies for delivery; prepares accountability and control documents and delivers the items.
5. Operates the shredder in B4M to destroy plates, with security oversight.
6. Prepares Disposition Data Report of items to be reviewed for obsolescence; cancels obsolete, worn, or defective plate stock; prepares destruction schedules and delivers pieces for destruction.
7. Maintains chronological records of certification, alteration, cancellation, and destruction of plate stock.
8. Conducts periodic physical inventories and maintains the automated inventory accountability control records for the plate vault.
9. Establishes the initial accountability control over printings through recording of press register reading; records subsequent press register counts for products requiring more than one pass through a press.
10. Conducts preliminary search to resolve discrepancies between press register readings and physical inventories by reviewing records for posting errors.
11. Controls register and security locks on certain presses; and reconciles for posting errors.
12. Prepares plate stock manufactured for contractors or other agencies for delivery; prepares accountability and control documents and delivers the items.

#### **324020 ACCOUNTABILITY SECTION**

1. Performs a variety of reviews, studies and analyses for the Office of Engraving processes and programs.
2. Performs BEN transactions related to the manufacture and transfer of items of reproduction.

3. Prepares necessary documentation for requests for the manufacture of items of reproduction, i.e., Form 9568 for die order, Form 8157 Identification Number Assignment, Form 9454, Proof Disposition Record.
4. Prepares weekly production reports for operations within Engraving Office.
5. Schedules deliveries of finished products to Plate Vault.
6. Prepares schedules for destruction of mutilated paper, proofs and plates.
7. Prepares documentation for the cancellation of outdated/obsolete items.
8. Conducts physical inventories for all items of reproduction.
9. Maintains inventory and accountability for all single subject originations and associated electronic media.
10. Maintains inventory and accountability for required electronic media, dies, rolls, plate stock, altos, master plates and surface pieces.
11. Maintains accountability records of intaglio, offset and proofs.
12. Maintains inventory and accountability for all digital media surface pieces.
13. Verifies proof impressions for designing, layout, etc., certifies these printing media.
14. Assists the Accountability Systems and Compliance Division, Office of Compliance in the search and analysis of discrepancies in accountability records; and consults with production area and other employees to gather and analyze facts.
15. Receives and stores photo-negatives, photo-positives, and related items used for manufacturing printing plates.
16. Conducts periodic physical inventories and maintains the automated inventory accountability control records for the Plate Vault.

### **370000 OFFICE OF OPERATIONS SUPPORT (ECF)**

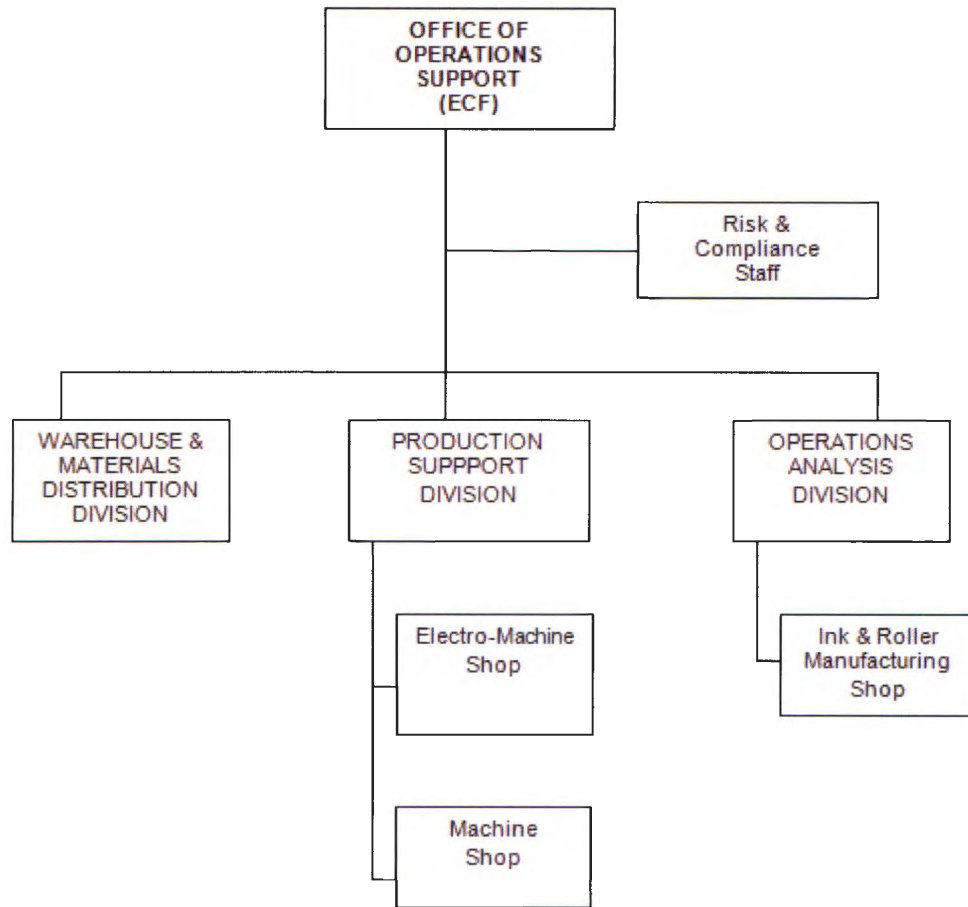
The Office of Operations Support plans ECF maintenance, inspection, safety, and processing programs in regards to use of equipment, staff, and materials.

The Office reviews technological development inspection, and maintenance of equipment for potential application to ECF operations; assures required performance of staff and equipment through control, evaluation and follow-up techniques.

The Office develops and implements security procedures in cooperation with the OS for staff and plant equipment; and maintains comprehensive accountability records for all stock being processed.

The Office assures control of hazardous wastes within its jurisdiction.

The Chief may represent the Director in contacts with officials of the Department of the Treasury, other Government agencies, foreign governments, private industry, and trade unions to obtain information on technological developments applicable to Bureau operations, and may recommend new methods and procedures. The Chief may be called on to coordinate an entire multi-office program, keeping the Associate Director, ECF informed of progress.



### **370100 RISK AND COMPLIANCE STAFF**

1. Develops, recommends, and implements key components of the integrated risk management frameworks as it relates to executing consistent, coherent and standardized approaches to ensure the ECF's methods are sound.
2. Evaluates and implements risk assessments and internal controls of the storage, inspection and maintenance of currency and security documents.
3. Develops, implements procedures, and testing techniques for the ECF. Performs complex studies and projects involving storage, inspection, and maintenance of security documents. Identifies weaknesses, recommends corrective action, and evaluates ECF operating procedures for continuous improvements in the production arena.

### **371000 WAREHOUSE AND MATERIALS DISTRIBUTION DIVISION**

1. Provides overall planning, direction, coordination and control for the storage and distribution of raw materials, repair parts, equipment, and general supplies.
2. Manages the BEP storage functions at both the District of Columbia Facility (DCF) and satellite warehouse facility; manages and maintains all the DCF's warehousing and staging systems for raw materials, production equipment, and administrative supplies; maintains a storeroom, vaults, remote issue points, and staging areas.
3. Receives and performs preliminary inspection of equipment, material, and supplies at the satellite warehouse facility, shipping and receiving section and loading docks.
4. Plans and facilitates the movement of various materials within the BEP; operates industrial trucks for transportation of production materials and equipment within the BEP; moves equipment, furniture, and various other heavy and bulky items within the BEP.
5. Coordinates and directs the receiving, movement, relocation, storage, staging, and removal of materials and property at the satellite warehouse, shipping and receiving section, and loading docks.
6. Maintains a dock delivery schedule for all in-bound deliveries and coordinates the schedule with the police force.
7. Provides industrial trucks for deliveries and returns of materials to and from production components.
8. Ships equipment, materials, and supplies; prepares the necessary administrative paperwork, including shipping instruction for the DCF and satellite warehouse facilities;



coordinates freight transportation for goods being shipped outside the BEP; and distributes administrative paperwork on completed shipments.

9. Establishes and maintains internal controls, accountability and physical security procedures and policies for inventory (direct materials, excess property, store items, etc.).

10. Processes requisitions and orders, issues forms and publications, and distributes administrative supplies to BEP's components.

11. Coordinates with production components to ensure timely filling of orders and delivery of requested items throughout the BEP.

12. Loads and unloads equipment, materials, and supplies to and from tractor-trailers and other vehicles.

13. Ensures employees are trained to obtain a valid license to operate industrial trucks and motorized material handling equipment.

14. Determines methods to reduce the cost and storage time of maintaining inventory.

15. Enters information on items to be warehoused into the computerized inventory tracking system to reflect receipts and movement; prepares reports and coordinates with appropriate inventory management specialist.

16. Records and maintain inventory accuracy in BEN.

17. Develops and maintains standard operating procedures for the Division.

18. Manages distribution of production uniforms and locker keys and performs/oversees Contracting Officer's Representative (COR) duties.

19. Develops short and long-range production forecasts for all production materials.

20. Issues Materials Requirements Plans for all production materials.

21. Serves as the Operations coordinator for the acquisition of production materials by projecting annual requirements through development of medium and long-range production forecasts for currency, and special security products and production materials.

22. Monitors and records the usage and/or loss of currency and special security products and production materials (including status of each material as related to each job or product) and run times of equipment repair analyses of emergent trends and their potential impact on currency, and special security products program requirements.

23. Improves the management of critical currency and special security products, and production-related raw materials through the use of comprehensive analysis and records.
24. Monitors deliveries and inventory balances and notifies affected component(s) of missed delivery dates, partial shipments or low on-hand inventory balances related to the program. Ensures that production-related materials are on-hand prior to initiation of production.
25. Projects annual requirements for production materials for all product lines. Assures that necessary actions are taken by other components to ensure materials are available as required.
26. Coordinates and participates in procurement planning so that materials requirements are successfully met. Submits requisitions to the Office of Acquisition to obtain needed production materials and related general supplies to requesting sections.
27. Monitors the delivery of production materials and related general supplies to requesting sections.
28. Performs analyses of operational capacity for required materials.
29. Produces cost estimates of supplies for the Office of Financial Management for yearly cost expenditures.
30. Determines cost to production as a result of overdue materials delivery. Notifies necessary components.

### **372000 PRODUCTION SUPPORT DIVISION**

1. The Production Support Division is composed of the Electro-Machine Shop and Machine Shop. The Division is responsible for maintaining all production equipment required for quality currency production, finishing wiper rollers, and cutting rollers for use in the intaglio printing presses.
2. The Division operates several relational databases that store production, quality, and maintenance information. At times, the Division also develops interfaces to production machinery for purposes of collecting operating data.
3. The Division also provides technical knowledge, expertise, and ability to assist in the design and development of prototype manufacturing and production equipment, new manufacturing techniques, equipment and systems to improve the operating and maintenance characteristics of existing equipment, and to improve quality and productivity associated with current manufacturing procedures.

4. This Division works to improve the various processes for which it has direct responsibility, and for those it supports as part of its mission.
5. Oversees maintenance of all production and associated production equipment to ensure minimum downtime and maximum efficiency.
6. Performs all maintenance functions on production and associate production equipment, including but not limited to preventive maintenance, trouble shooting, repairs, rebuilds, modifications and installations.
7. Monitors all equipment related to downtime and production efficiency and records the downtime using electronic storage methods.
8. Collaborates with the supervisor/user of production equipment to develop designs which resolve daily production equipment problems. Demonstrates the feasibility of the proposed resolution and implements the proposed changes and/or modifications.
9. Integrates experimental or prototype equipment into the production process in order to expand or enhance the production capabilities of the Bureau; makes modifications to equipment designs as needed and manufactures complete systems.
10. Analyzes processes and equipment that routinely exhibit less than acceptable productivity and/or product quality.
11. Develops concepts for changes or modifications to alleviate the causes for unacceptable productivity/quality; and implements the changes and approves the viability of the changes.
12. Uses summary reports from Computerized Maintenance Management System (CMMS) to determine necessary areas for improved preventive maintenance.
13. Manufactures spare and replacement mechanical components for Bureau production processing equipment.
14. Finishes polyvinyl chloride wiping rollers for cylinder water wipe intaglio presses.
15. Mills/cuts various patterns in inking-in rollers as needed for intaglio presses.

#### **372100 ELECTRO-MACHINE SHOP**

1. Maintains production equipment to ensure minimal breakdowns, failures, and/or malfunctions.

2. Accounts for all craft activities as they relate to the installation, maintenance, improvements, and repairs of production equipment and their associated support systems.
3. Monitors equipment use, frequency of repair, as well as any particular problems with specific equipment.
4. Schedules the necessary corrective action (corrective maintenance, replacement of parts, redesign, improved subsystems, etc.) if any is needed, to minimize unscheduled equipment downtime.
5. Provides the necessary educational and training resources to accomplish the training portion of the Electro-Machinist program and continuing education.
6. Performs electrical, electronic, and mechanical work for the design, installation, maintenance, alteration, assembly, repair, and dismantling of machinery and equipment; and for electronic, electrical, and the inspection of new mechanical equipment.
7. Installs electronic, digital, and microprocessor systems for various Bureau components.
8. Diagnoses malfunctions in electronic, digital, and microprocessor equipment; and develops repair procedures and performs repairs, as required.
9. Assists other Bureau departments in the construction, operation, and repair of prototype or experimental equipment.
10. Fabricates electrical/electronic parts for production, prototype, or experimental equipment.
11. Uses CMMS to log downtime and type of maintenance performed for all currency production/processing equipment.

### **372200 MACHINE SHOP**

1. Manufactures repair/replacement parts for the Bureau's production equipment consistent with its equipment and tool capabilities.
2. Maintains adequate inventories of specific high use items to ensure continuous production of Bureau's products.
3. Grinds paper-cuffing knives and steel-cuffing tools, sharpen and hones, as necessary.
4. Receives and defaces inking-in wiper rollers used on presses.

5. Procures and maintains sufficient machine shop equipment to perform functions necessary for the manufacture of repair/replacement parts.
6. Maintains various mechanical equipment throughout the facility.

### **373000 OPERATIONS ANALYSIS DIVISION**

1. The Operations Analysis Division reports directly to the Chief of Operations Support.
2. Provides support that enables uniform day-to-day support and operation of equipment within the currency manufacturing process.
3. Provides technical assistance to the DCF and ECF in evaluating proposed changes to the relationship between technology, processes, and human capital in currency production.
4. Troubleshoots production issues with a thorough understanding of production equipment and process.
5. Manages databases associated with production equipment and provides reports to the ECF to enable data driven decision-making relating to day-to-day production.
6. Provides technical advice to ECF regarding safety issues, training, light duty management, and on-the-job accidents.
7. Provides technical support to ECF with all inspection equipment evaluation, and Standard Operating Procedures (SOPs).
8. Manages all aspects of power trucks, with COR, ordering spare parts, documenting repairs and maintenance.
9. Provides support to ECF enabling all projects (Form 8516s business cases, JOFOC) moving through the Office of Acquisition.
10. Provides technical assistance with all aspects of press capacity and monthly printing orders. Manages the yearly currency order requirements for equipment materials.
11. Provides technical support with documenting and facilitating the most effective and efficient process of the existing manufacturing process.
12. Provides program management support for all projects assigned by the AD in support of ECF.

13. Manages the Management Development Training Program to include developing the curriculum, arranging training with other Bureau functions and outside training opportunities, and assigns work to be performed.

**373100 INK ROLLER MANUFACTURING SHOP**

1. Manufactures printing inks that meet Bureau production requirements; and maintains ink manufacturing equipment.
2. Monitors and evaluates Bureau-manufactured production inks to ensure that performance requirements are met.
3. Assists in solving ink problems encountered in production areas.
4. Develops new inks as manufacturing requirements and specifications change.
5. Develops modifications to existing ink formulas to enhance print quality and reduce ink production costs.
6. Maintains control of all materials used for ink production, including ingredients that are security products. Enters material usage into BEN daily in order to indicate the balances of all Bureau manufactured ink products in-process and finished.
7. Manufactures polyvinyl chloride (PVC) wiping rollers for cylinder (water) wipe intaglio presses.
8. Manufactures test rollers as required.
9. Assists in the development of new formulas to extend the life of rollers.
10. Finishes PVC wiper rollers for cylinder water wipe intaglio presses.
11. Mills/cuts various patterns in inking-in rollers as needed for intaglio presses.
12. Programs and operates CNC (Computer Numeric Control) mills to inking-in rollers for presses.

#### **400000 ASSOCIATE DIRECTOR (CHIEF TECHNOLOGY OFFICER)**

The Associate Director (Chief Technology Officer), in coordination with the other Associate Directors, develops Bureau-wide policy recommendations, establishes long-term policy guidelines, and operational plans for his/her assigned areas of responsibility.

The Associate Director (Chief Technology Officer) is responsible for providing product design and technical support to carry out the Bureau's unique mission. The main focus of this support is to plan for new technology and develop new products that cost effectively meets the feature, quality, and product security requirements of customer agencies. The Associate Director (Chief Technology Officer) provides leadership to component offices to implement programs of cost-beneficial capital investment, engineering, counterfeit deterrence research, security feature and new product design and development, process and product quality improvement, product and feature inspection systems, and materials technology and development.

The Associate Director (Chief Technology Officer) directs the effective operation of the Bureau's Quality Management System, including the development, implementation, and monitoring of product standards and performance specifications. The Associate Director provides leadership for the development of Bureau-wide policy, long-term policy guidelines, long-range plans for technology development for all Bureau areas, is responsible for all phases of long-term technology development and identifies and assesses innovative technologies for incorporation into strategic technology plans for future BEP and customer use.

The Associate Director (Chief Technology Officer) presents Bureau technical information and analyses to the Director and executive staff, other Departmental officials, customer agencies, regulatory agencies, Congress, and interested parties. The Associate Director provides technical support for the Federal Reserve Board on the international Central Bank Counterfeit Deterrence Group (CBCDG) for development of counterfeit deterrence technologies, and makes design and feature recommendations to the Interagency Currency Design Task Force for presentation to the Advanced Counterfeit Deterrence (ACD) Steering Committee.

**400000 ASSOCIATE DIRECTOR (CHIEF TECHNOLOGY OFFICER) (continued)**

The Associate Director (Chief Technology Officer) coordinates activities with the other Associate Directors, and serves as liaison with Government agencies and others in the counterfeit deterrence, product design and materials development, engineering, quality, and technology fields. The purpose of this liaison is to identify, obtain, and maintain state-of-the-art materials, features, and systems that will assure the quality, security, performance, reliability, and consistency of the nation's currency and other specialized security products developed and produced by the Bureau, including revenue stamps, various government-issued identification documents, and Immigration and Naturalization documents.

As designated, the Associate Director (Chief Technology Officer) represents the Director in external policy meetings, national and international conferences, and contacts with manufacturing representatives.

**400000 DEPUTY ASSOCIATE DIRECTOR (CHIEF TECHNOLOGY OFFICER)**

The Deputy Associate Director (Chief Technology Officer) is responsible to the Associate Director (Chief Technology Officer) for work as assigned for all phases of research, engineering, materials, and product and technology development, performed by the Bureau of Engraving and Printing. At the direction of the Associate Director (Chief Technology Officer), the incumbent assists in planning, developing, and implementing policies relating to: new products and the papers, inks, and other raw materials used in security production; printing, inspection equipment, and ancillary machines and devices; research on science and technology as applied to printing and printing methods and processes utilized at the Bureau; quality control of Bureau materials, equipment and products; and safety and environmental programs within the Directorate.

At the direction of the Associate Director (Chief Technology Officer) the incumbent plans and directs programs for research relating to basic materials used in the manufacture of inks, paper, solvents, and other items used directly or indirectly in Bureau manufacturing activities. Such research involves physical and chemical sciences. Research of this type is extended into the areas of the properties of products manufactured from the basic materials and used in manufacture of Bureau products to define optimum obtainable characteristics to satisfy requirements of production, durability and security.

At the direction of the Associate Director (Chief Technology Officer), the incumbent directs the development of Bureau-wide policy, recommends long-term policy guidelines, administers long-range plans for technology development for all Bureau areas, and is responsible for all phases of long-term technology development. Identifies and assesses innovative technologies for incorporation into strategic technology plans for future Bureau and customer use. Supports the advocacy for new technology development for the Bureau of Engraving and Printing and provides central



monitoring and control over long-term technology development programs and technology transfers for Bureau-wide application.

At the direction of the Associate Director (Chief Technology Officer), the incumbent directs the conduct of engineering research and development programs in the areas of optics, electronics, machinery, materials and equipment related to the field of graphic arts to extend the state-of-the-art in areas of Bureau concern.

At the direction of the Associate Director (Chief Technology Officer), the incumbent directs engineering-related functions including machine design, preparation of technical sections of procurement documents, and testing and inspection of materials and equipment for compliance with specification requirements.

The incumbent assists the Associate Director (Chief Technology Officer) in representing the Bureau on the Interagency Currency Design (ICD) Task Force and makes design and feature recommendations as well as reporting on the status of new product development.

The incumbent assists the Associate Director (Chief Technology Officer) with the responsibility for the development of new inks, including formulation of inks, preparation of procurement specifications for ingredients; inspection, quality control, and accountability of ingredients and finished products.

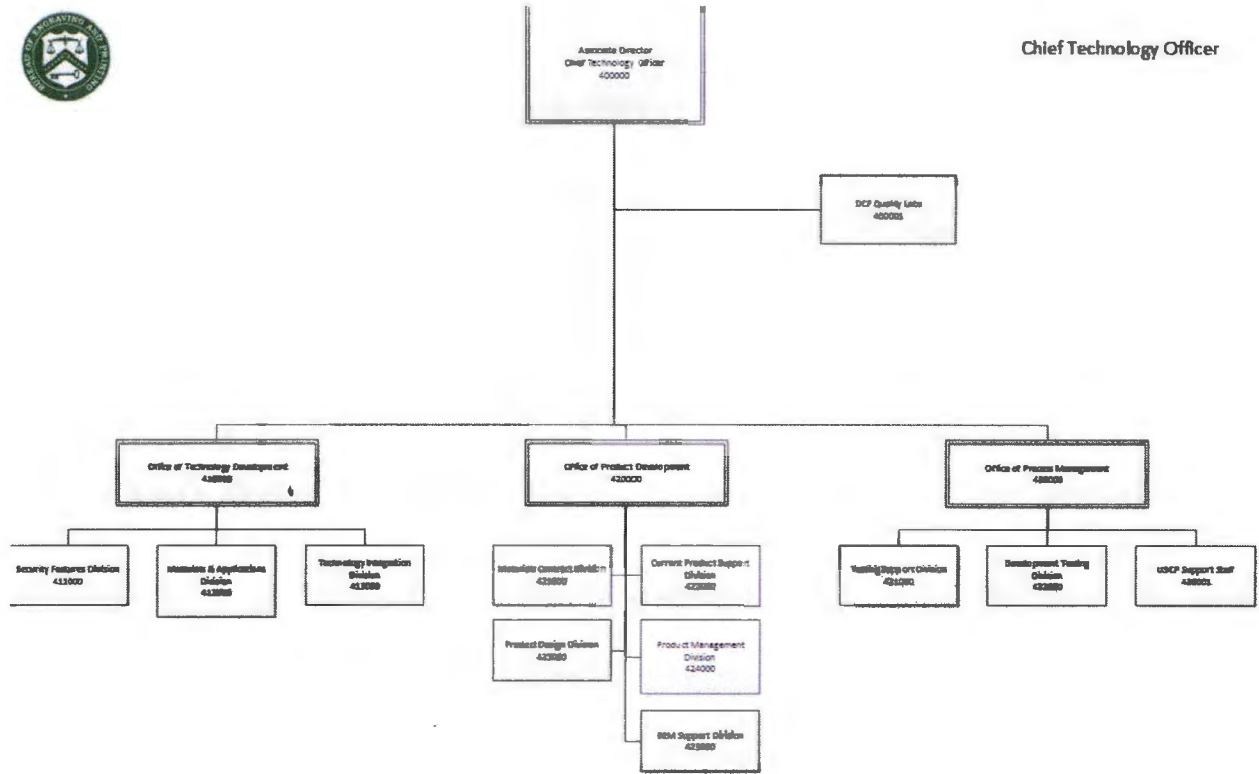
At the direction of the Associate Director (Chief Technology Officer), the incumbent manages programs for specifications and acquisition planning of all materials used in the Bureau.

At the direction of the Associate Director (Chief Technology Officer), the incumbent manages programs and day-to-day operations of security feature and product development, inspection systems and quality improvement programs, engineering, and materials technology.

At the direction of the Associate Director (Chief Technology Officer), the incumbent represents the Associate Director (Chief Technology Officer) in his/her absence in executive level Bureau committees including the Executive Committee, the Executive Resource and Personnel Policy Board, the Product and Technology Development Investment Committee (Chair), the Information Resource Management Committee, and the Internal Control Policy Committee.

The incumbent may represent the Bureau in national and international conferences and contacts with industry and manufacturing representatives. Planning and policy actions affect the present and future productive capability of facilities, materials, and equipment of the Bureau and impact upon the national interest due to the significance of the Bureau products. The incumbent is responsible to the Associate Director (Chief Technology Officer) for the effective direction and management of the diverse and

complex programs and projects under his/her control. Must effectively integrate the overall work effort, resolving the range from extremely short emergency deadlines which determine program responsiveness to long-range planning with complete projections and analyses on a multi-year horizon. Frequently must resolve conflicting design and operation criteria. Decisions of technical nature are essentially reviewed only for policy conformance and contribution to mission accomplishment.



#### **400100 CENTRAL BANK LIAISON STAFF**

1. Serves as the central repository for government knowledge of counterfeit deterrent and banknote acceptance technology.
2. Works with private and public sectors in performing short- and long-term studies in areas of research vital to the security of United States currency and to the acceptance of United States currency in banknote acceptance machines.
3. Provides technical support for the Federal Reserve Board on the international CBCDG for development of counterfeit deterrence technologies to inhibit the use of digital color copiers and computer systems in counterfeiting currencies and on the Central Bank Cash Machine Group (CBCMG).
4. Provides administrative support to the Federal Reserve Board in their participation in the CBCDG and CBCMG.
5. Provides oral and written briefings to the Executive Staff (through the Associate Director, Product and Technology Development) on all matters related to CBCDG and CBCMG initiatives.
6. Represents CBCDG Technical Working Group (TWG) in meetings with management committees and plenary meetings.
7. Monitors technical performance of CBCDG contractors during development and implementation of banknote detection technologies.
8. Serves as liaison between industry and CBCDG contractors for development of banknote detection technologies on behalf of the Federal Reserve Board.
9. Attends regional and annual meetings of the CBCDG as a representative of the BEP in support of the Federal Reserve Board. Reviews, prepares agenda and minutes of meetings, and represents the BEP in high-level discussions for the purpose of planning, directing, and completion of work in support of ongoing programs.
10. Ensures Office of Security approval of new Banknote Equipment Manufacturers (BEMs) and Currency Reader Manufacturers (CRMs), and ensures that all BEMs and CRMs have properly executed Non-Disclosure Agreements (NDA) with BEP.
11. Organizes confidential bi-lateral meetings between individual BEMs and CBCMG to develop a better understanding of the sensor technology used by the BEMs and how it is affected by banknote designs, materials, and processes in support of the Federal Reserve Board.

**400100 CENTRAL BANK LIAISON STAFF (continued)**

12. Communicates with approved BEMs with regard to a wide range of issues including: advances in detector technology, quality standards/requirements for circulating banknotes, BEP manufacturing methods, and raw material, process, and equipment changes, and technological advances in banknote manufacturing, materials, and finished note processing.
13. Maintains, manages, and operates BEP's BEM equipment lab used to evaluate BEP currency production and identify potential currency acceptance anomalies that could be caused by raw material and/or process and equipment changes.
14. Prepares reports and summarizes the results of testing and provides to BEP managers and executives, as well as to customers and stakeholders, such as the Federal Reserve Board (FRB), United States Secret Service (USSS), and Currency Technology Office (CTO), Federal Reserve Bank of Richmond.
15. Organizes test deck and note preparation plans for new designs, determines required variations in the test-notes to reflect variations and tolerance in BEP's production process, distributes test decks and notes to participating BEMs and CRMs, ensures the return of all BEP securities, and accounts for and processes unneeded test decks for destruction in accordance with BEP procedures.
16. When issuing test decks and/or currency notes to BEMs and CRMs, ensures that NDAs and proper security/accountability procedures are established and followed in conjunction with policy and guidance of the Offices of Compliance and Security.
17. Attends regional and annual meetings of the CBCMG as a representative of the BEP in support of the Federal Reserve Board. Reviews, prepares agenda and minutes of meetings, and represents the BEP in high-level discussions for the purpose of planning, directing, and completion of work in support of ongoing programs.

**420000 OFFICE OF PRODUCT DEVELOPMENT**

The mission of the Office of Product Development (OPD) is to identify, evaluate, recommend, and develop prototype features and designs for US currency and other security products that cost effectively meet the needs of customer agencies and end users; and maximizes security against all types of counterfeiting

1. Initiates and directs design strategies to define the short- and long-term technical requirements of US currency and other new products related to counterfeit deterrence and document authentication.
2. Undertakes and directs short-term studies and long-term research in areas related to the security of US currency and other secure documents; solicits, receives,

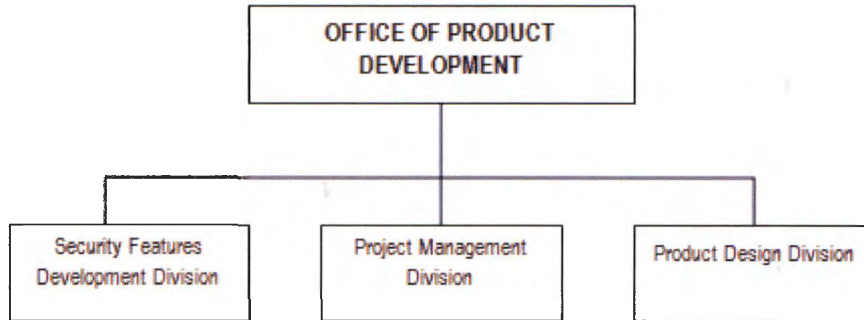
and recommends counterfeit deterrent and document authentication technologies and features for further development and testing.

3. Collaborates with officials of the Department of Treasury, Federal Reserve, and USSS to define and satisfy currency design requirements and, through the Associate Director (Product and Technology Development), and makes recommendations for presentation to the ICD Task Force.

4. Develops and approves new design concepts of various other security documents required by agencies and authorities of the US Government, as well as currency for other interested nations.

5. In conjunction with various other technical offices, the ECF and WCF, the OPD identifies and assesses current and emerging counterfeit threats and authentication needs; identifies, tests and evaluates printing and reprographic techniques; and identifies and evaluates equipment entering the market to determine their potential for counterfeiting; assesses deterrent techniques to counteract the use of emerging reprographic technologies and equipment for counterfeiting; and performs adversarial analyses on potential currency design features to assess their effectiveness in inhibiting counterfeiting.

6. Interacts with banknote equipment vendors by coordinating test deck activities, vendor conferences, handling questions from the banknote equipment vending community, and follow-up for new currency designs prior to issuance.



## **423000 SECURITY FEATURES DEVELOPMENT DIVISION**

1. Conducts research, testing, evaluation and analysis related to the identification and evaluation of prototype features that would be most effective in safeguarding US currency and other secure documents against counterfeiting activities.
2. Initiates, establishes and directs strategic plans for new currency designs and features and other secure documents to facilitate authentication and to deter counterfeiting.
3. Evaluates the feasibility of producing prototype counterfeit deterrent and other security features for possible further development by BEP.
4. Recommends new currency features, designs, and strategies for presentation to the ICD Task Force.
5. Ensures that the development of overt and covert security features, and associated substrates, raw materials, and detection devised, expected to be utilized over the next ten years in new security designs are being actively pursued.
6. Evaluates, recommends, and develops prototype counterfeit deterrent and note authentication technologies and features for further development within the Federal Reserve, BEP, and private organizations.
7. Directly, or through contracts, undertakes adversarial analyses or studies of proposed counterfeit deterrent features and also assesses the effectiveness of features implemented in, or proposed for, new designs of secure documents.
8. Prepares detailed written reports and analyses documenting testing activities and results achieved.
9. In conjunction with the Office of Engineering and the ECF and WCF, may recommend modifications to current production equipment or specify equipment for a new process.
10. Maintains knowledge of state-of-the-art developments in scientific fields, technology, and industry, which have potential application to the security of BEP products, most notably US currency.
11. Serves as a technical resource to the Associate Director (Product and Technology Development) and other BEP components during design, testing, and integration of new features into the manufacturing process.
12. As appropriate, serves as Bureau representative on other interagency, as well as, international work groups addressing currency design and counterfeit deterrence.



#### **423000 SECURITY FEATURES DEVELOPMENT DIVISION (continued)**

13. Develops and documents new product design activities, in conformance to the Bureau's International Organization for Standardization (ISO) 9001/2000 quality management system requirements.
14. May participate in internal and external quality audits; and develop and implement corrective actions in response to action requests.
15. Assures the security and accountability of all phases of development and testing by working with the Production Management Division, Offices of Compliance (OC) and Security (OS) organizations within BEP. Conducts all testing with dual controls according to security and accountability procedures.

#### **424000 PROJECT MANAGEMENT DIVISION**

1. Performs over-arching project management functions in collaboration with Bureau organizations and customer agency representatives related to all phases of new product design, development, testing and implementation.
2. Facilitates communication among stakeholders within BEP, as well as with customers, external stakeholders, and partners; assists in the identification and acquisition of resources for project activities; provides for each project team appropriate knowledge management and transfer; develops and presents project schedules, and provides a consistent communication strategy; and conducts status meetings as appropriate.
3. Manages testing activities for new products/security features and new currency features/designs at the Washington, DC and Fort Worth, Texas facilities.
4. In coordination with the Office of Engineering and Washington, DC and Fort Worth, Texas facilities, may recommend modifications to current production equipment or specify equipment for a new process.
5. Prepares detailed written reports and analyses documenting testing activities and results achieved.
6. Maintains knowledge of the state-of-the-art developments in security product technology and industry, which have potential application to the security of US currency and other documents produced or under development by BEP.
7. In conjunction with the various technical components, prepares final technical reports documenting developmental and testing activities for all new products produced.

8. As appropriate, may serve as Bureau representatives on interagency and international work groups addressing currency design, new product development, and counterfeit deterrence.
9. Collaborates with quality assurance, production, and technical staffs to ensure that quality control and inspection systems concepts and standards for critical design features are developed.
10. May be called upon to lead and/or participate on matrix technical teams.
11. Assures the security and accountability of all phases of development and testing by working with the Production Management Division, OC, and the OS organizations within the BEP. Conducts testing with dual controls according to security and accountability procedures.

**424000 PROJECT MANAGEMENT DIVISION (continued)**

12. Develops comprehensive test plans, Requests for Assessment (RFA); provides technical advice and assistance in all phases of product development; evaluates required processes to produce manufacturing capabilities; and recommends new processes or equipment, as required.
13. Conducts small-scale feasibility and developmental testing of new/modified materials, design concepts, and security features for new products using state-of-the-art offset and intaglio printing equipment to fully emulate and evaluate the application/printing feasibility of a variety of inks, substrates, and surface treatments, and incorporation of various security features.
14. Conducts large-scale production testing at the Washington, DC and Fort Worth, Texas facilities to ensure new product designs, materials or security features can be manufactured under real production conditions with the desired functional and quality attributes intended to create a robust secure document.
15. Maintains knowledge of state-of-the-art developments in security production technology and industry, which have potential application to the security of US currency and other documents produced or under development by BEP.

## 425000 PRODUCT DESIGN DIVISION

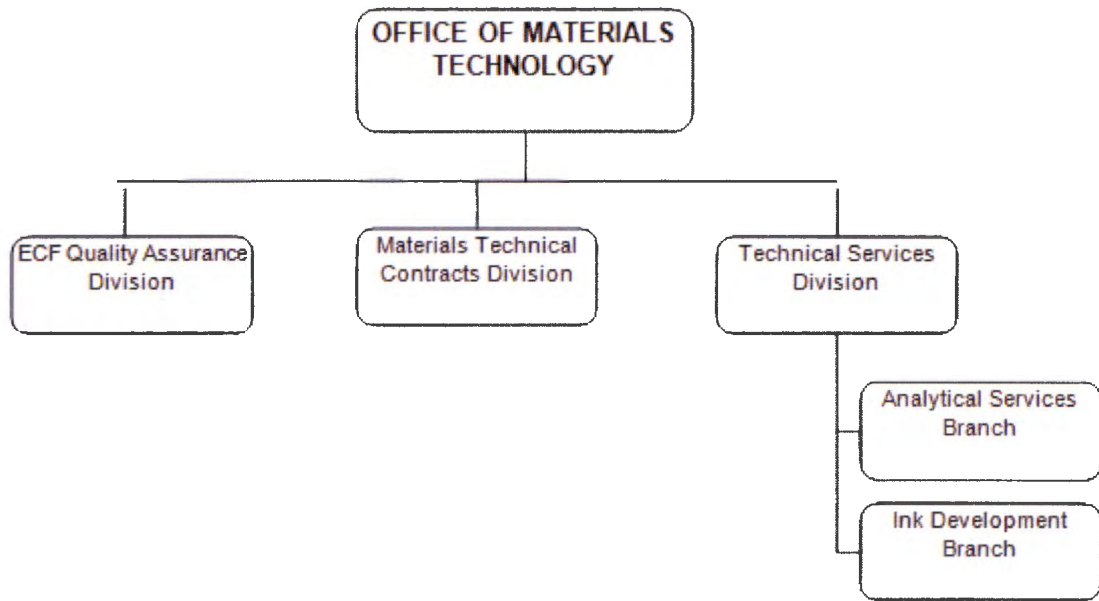
1. Creates designs for security documents that meet the customer and stakeholder requirements as well as are aesthetically attractive, accurate in detail, embody distinctive features to aid in the security measures employed to deter counterfeiting and provide meaningful access to visually impaired and blind individuals, are compatible with other designs and adaptable to the Bureau's manufacturing production equipment.
2. Prepares models of proposed designs for government agencies and other customers permitted by law and statute for visual assessment and adversarial analysis.
3. Provides and maintains knowledge of state-of-the-art developments in security production and document security technology, which have potential application to US currency and other documents produced or designed by BEP.
4. Prepares original drawings or retouches photographs of portraits and/or vignettes; experiments with and selects tints and patterns suitable for use in printing multi-color security documents and credentials.
5. Uses specialized proprietary graphics design software applications and peripheral equipment to design security documents that thwart counterfeiting and provide meaningful access.
6. Provides input and design layouts to the Engravers, Office of Engraving, of Intaglio images including portrait, vignette, scroll, border work, and security features.
7. Creates, designs, develops and deploys specialized technology solutions for anti-counterfeiting systems used in US currency and other security documents.
8. Directs, monitors, and/or conducts special studies, mathematical analyses, surveys, and testing of proposed digital technologies and systems and makes recommendations that may have far-reaching impact on product designs, features, and quality, as well as on BEP production programs.
9. Follows security and accountability procedures for all phases of design, system development, and testing by coordinating with the Production Management Division, OC, OS, and IT Security Division organizations within BEP.
10. Safeguards BEP securities in accordance with BEP policy and procedures.
11. Documents project activities and resultant technology to ensure conformance to the BEP's quality management system as well as applicable IT policies.

#### **430000 OFFICE OF MATERIALS TECHNOLOGY**

The mission of the Office of Materials Technology is to provide technical services in support of material specifications and acquisitions for major production materials, troubleshooting of production problems, development of inks and ink raw materials, and the development of related materials for manufacturing currency and miscellaneous security products. The Office is also responsible for the required inspection and testing of incoming raw materials, in-process and final product testing and providing analytical support services. The Office is likewise responsible for maintaining accountability over its securities and providing support to the BEP's ISO 9001 Quality Management Program and participating in quality audits of major production material suppliers for both the ECF and WCF.

The Office provides reports on technical issues for production materials and when appropriate, authors presentations and special documents, memoranda and letters for the Associate Directors, Deputy Director and Director, related to production materials and production problems.

The Office Chief serves as technical advisor to the Associate Director (Product and Technology Development), Deputy Director and Director on production materials and production problem matters.



**431000 EASTERN CURRENCY FACILITY QUALITY ASSURANCE DIVISION**

1. Conducts testing of incoming materials to assure the materials delivered meet the specifications and quality standards.
2. Conducts testing of in-process and out-going final products to assure the materials meet BEP specifications and quality standards.
3. Works with the Office of Quality to ensure that quality standards for BEP products comply with the Quality Management System.
4. Maintains a calibration program for all laboratory instruments and equipment.
5. Participates in Collaborative Testing Services (CTS) program to assure test procedures and equipment reliability.
6. Provides technical support for the materials acquisition program by providing laboratory testing of bid samples as part of the technical evaluation.
7. Evaluates the quality of currency by determining if the currency can be processed acceptably on the currency processing equipment used by the Federal Reserve. Routinely evaluates the durability of ink on blank engraved currency seven days after the second intaglio printing.
8. Conducts chemical tests on electrolytic baths to assure correct ion and ph balances.
9. Conducts tests to verify material compliance for volatile organic components, as well as heavy metals and other environmental requirements.
10. Works with the Ink Development Branch and the Office of Product Development to develop new security inks, and to prepare ink samples that include security features for testing and evaluation.
11. Works closely in support of testing and methods development with the Analytical Services Branch to enhance and strengthen the BEP's Quality Assurance Program.
12. Maintain accountability over securities.
13. Maintain required documentation in support to the BEP's ISO 9001 Quality Management Program.
14. May participate in internal and external quality audits; and develops and implements correction actions in response to action requests.

## **432000 MATERIALS TECHNICAL CONTRACTS DIVISION**

1. Provides technical project managers, trained in Federal Acquisition Regulations (FAR) and Bureau procurement procedures in the solicitation of major production materials and serves as Contracting Officer's Representative after contract award.
2. Maintains frequent contact with manufacturing sections to assure acceptable materials performance. Requests assistance from the respective Analytical Services Branch whenever a material causes a production problem.
3. Monitors incoming material for compliance to specifications.
4. Performs BEN transactions as required and/or appropriate.
5. Conducts technical evaluations of materials submitted by suppliers and makes recommendations relative to their suitability in the production of security products. Conducts technical discussions with vendors to convey the needs of the Bureau.
6. In conjunction with the Office of Engineering and the Office of Production Development, provides technical expertise for materials development activities.
7. Develops, maintains and modifies specifications for major production materials. Develops the technical components of the solicitation packages.
8. Serves as the liaison between the ECF and WCF and material vendors on technical matters regarding major production materials. Maintains technical files of contract materials. Advises Contracting Officer on exercising option years, contract modification, specification changes and other technical matters.
9. In conjunction with the Office of Quality, conduct quality audits of major production material suppliers for both the ECF and WCF.
10. Participates in factory inspections and Bureau acceptance tests to ensure acceptable performance and compatibility among all production materials.
11. Maintain accountability over securities.
12. Maintain required documentation in support of the BEP's ISO 9001 Quality Management Program.
13. May participate in internal and external quality audits; and develops and implements corrective action in response to action requests.

#### **434000 TECHNICAL SERVICES Division**

1. Leads in the discovery and development of new materials for the manufacturing of US currency that enhances product durability and quality, including alternate substrates, security features, etc. for use in BEP products. Maintains and develops the required expertise in the implementation of new materials for BEP use.
2. Leads in the discovery and development of new materials for the manufacturing of miscellaneous security products that enhances product security, durability and quality.
3. Provides administrative and technical support regarding the use and development of specialized or covert materials used for new currency designs and miscellaneous security products.
4. Works closely with the Office of Quality, Office of Product Development, ECF and WCF, Quality Assurance Divisions and Analytical Services Branch to ensure comprehensive and appropriate testing for new product designs and manufacturing operations.
5. Maintain accountability over securities.
6. Maintain required documentation in support to the BEP's ISO 9001 Quality Management Program.
7. May participate in internal and external quality audits; and develops and implements corrective action in response to action requests.

#### **434100 ANALYTICAL SERVICES BRANCH**

1. Responds to requests for assistance on production problems. Identifies the probable causes for production problems and initiates appropriate action to obtain resolution of the problems in the fastest possible time.
2. Develops methods and explores non-routine analytical testing strategies for the solution of production problems and problem solving.
3. Develops methods for testing of all relevant BEP materials, e.g., inks, papers, cured ink durability, and for special product development projects. In this capacity, this division works closely with the Office of Quality and the Quality Assurance Divisions for the ECF and WCF.
4. Initiates projects intended to improve material productivity, product quality, material performance, equipment performance and spoilage reduction.



**434100 ANALYTICAL SERVICES BRANCH (continued)**

5. Develops test methods for production materials that are predictive of manufacturing performance.
6. Provides technical support to both manufacturing facilities and the various support offices, on request.
7. Works with Contracting Officer Representatives (CORs) in support of materials quality and performance.
8. Maintain accountability over securities.
9. Maintain required documentation in support to the BEP's ISO 9001 Quality Management Program.
10. May participate in internal and external quality audits; and develops and implements corrective actions in response to action requests.

**434200 INK DEVELOPMENT BRANCH**

1. Develops and maintains technical capability to manufacture and recycle printing inks to support the production of US currency and other government securities. This includes the identification and acquisition of raw materials used for developing new inks.
2. Performs quality assurance testing of pristine and reconstituted inks, and prescreens waste inks identified for recycling.
3. Develops, updates, and maintains standard operating procedures for the quality assurance testing of in-house inks.
4. Provides technical support for the Materials Acquisition Program by providing laboratory testing of bid samples as part of the technical evaluation.
5. Provides administrative and technical support regarding the inventory of specialized or covert materials used for new currency designs.
6. Provides expert technical advice, guidance and recommendations to Bureau management on matters relating to in-house ink development and manufacturing, including the technical troubleshooting of ink related problems.
7. Maintain accountability over securities.

**434200 INK DEVELOPMENT BRANCH (continued)**

8. Maintain required documentation in support to the BEP's ISO 9001 Quality Management Program.
9. May participate in internal and external quality audits; and develops and implements corrective actions in response to action requests.

**460000 OFFICE OF ENGINEERING**

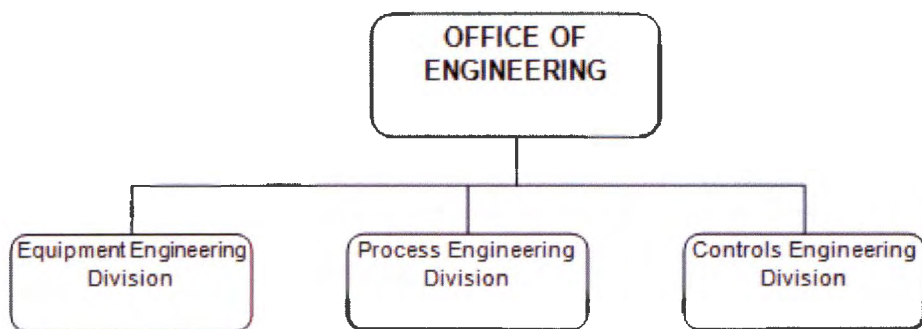
The mission of the Office of Engineering is to acquire and enhance currency production systems, processes, and equipment to meet or exceed measurable equipment and product quality specifications and standards at both ECF and WCF.

The Office of Engineering provides services to replace existing equipment or introduce new machinery by serving as the Project Manager and Contracting Officer Representative (COR). This includes writing specifications, following the design and development, construction, installation, test and evaluation, and operational deployment of the equipment. Additionally, this group monitors performance of installed equipment to establish baselines for productivity and reliability relative to specifications.

The Office of Engineering provides real time electrical, mechanical, and software controls design expertise necessary to integrate equipment into the factory environment and monitor performance. The Office may provide add-on hardware, instrumentation, and software to enhance the manufacturing process through data collection and analysis.

The Office of Engineering works in collaboration with the Federal Reserve Board, Currency Technology Office, Currency Product Office, United States Secret Service, ECF and WCF, Product Development, Engraving, Maintenance, and Quality organizations to assure Bureau products meet or exceed standards and the process is repeatable and reliable.

The Office of Engineering develops controls necessary to assure product quality is maintained to measurable quality standards.



## **461000 EQUIPMENT ENGINEERING DIVISION**

1. Interfaces with the ECF and WCF and various other technical organizations to understand production needs.
2. Interfaces with vendors to establish the availability of commercial equipment to meet these production needs.
3. Develops business cases to financially justify equipment acquisitions.
4. Develops specifications for equipment to enhance or replace existing equipment.
5. Serves as the technical liaison (COR) as the main interface between the Contracting Officer and the equipment supplier to assure the equipment supplied meets specification.
6. Leads the technical working groups in the technical recommendation of a supplier based on the responses received by the Office of Acquisition for the Statement of Need (SON).
7. Coordinates design reviews, inspections, acceptance of new equipment with other offices and reports findings to the Contracting Officer.
8. Leads technical working groups to evaluate and select the best technical response from solicited proposals.
9. Coordinates with the manufacturing and facilities group to prepare for equipment installation.
10. Leads the Factory Inspection Test (FIT), Bureau Acceptance Test (BAT), and installation and implementation teams for new equipment installation, acceptance and transition into manufacturing.
11. Monitors and verifies equipment performance to specification through the warranty period insuring performance requirements (Throughput, Mean Time Between Failures/To Repair, machine utilization, etc.) and takes the necessary steps to correct performance that does not meet specifications.
12. Develops prototype systems to improve product quality or manufacturing productivity, accountability or security of current manufacturing processes.

**461000 EQUIPMENT ENGINEERING DIVISION (continued)**

13. Leads and/or actively participates on quality action teams, new product development teams, materials development teams, etc., as required.
14. Prepares technical presentations and reports on various manufacturing issues (FITs, BATs, Quality Improvement Team initiatives, etc.)
15. Works in collaboration with the Federal Reserve Board, Currency Technology Office, Currency Product Office, United States Secret Service, ECF and WCF, Product Development, Engraving, Maintenance, and Quality organizations to assure Bureau products meet or exceed standards and the process is repeatable and reliable.

**462000 PROCESS ENGINEERING DIVISION**

1. Develops manufacturing process flows as a meaningful way to document the movement of materials, products, and data through the factory.
2. Generates and maintains "as-is" and "to-be" process flows as a method to analyze and assist the equipment engineering in justifying new equipment or modification of existing equipment.
3. Defines and documents measurable standards for currency production and identifies measurement techniques to confirm product meets these standards.
4. Defines data required for statistical monitoring and control software packages.
5. Generates process flow charts; evaluates currency system and recommends system adjustments for enhanced productivity, process control, accountability or security enhancements, etc.
6. Sets the upper and lower process limits of operation in conjunction with the pressmen and maintenance personnel.
7. Develops an understanding of the relationship between machine operational parameters and characteristics and product quality. Uses this information in troubleshooting production issues relating to product quality.
8. Supports controls engineers to identify sensor and data requirements for measurement of product quality.
9. Monitors real time machine data through the Information Technology (IT) network and discusses the results with pressman and maintenance personnel.
10. Recommends changes to machine settings based on data analysis.

11. Makes recommendations to improve product yield based on an understanding of the printing process and analysis of machine and product data collected.
12. Works collaboratively with Chief Information Officer Directorate to ensure hardware and software developed or acquired by the division is compliant with all internal and external standards, laws, and regulations.
13. Leads and/or actively participates on quality action teams, new product development teams, materials development teams, etc., as required.
14. Prepares technical presentations and reports on various manufacturing issues (FITs, BATs, Quality Improvement Team initiatives, etc.)
15. Works in collaboration with the Federal Reserve Board, Currency Technology Office, Currency Product Office, United States Secret Service, ECF and WCF, Product Development, Engraving, Maintenance, and Quality organizations to assure Bureau products meet or exceed standards and the process is repeatable and reliable.

#### **463000 CONTROLS ENGINEERING DIVISION**

1. Develop and implement new automation concepts to improve the efficiency of factory operations. This could include data collection automation, sensors to automate measurements currently done manually, or mechanical automation to transfer material between locations.
2. Financially justify projects, enlist the support of Currency Production to support funding the proposal, and manage the projects.
3. Enhance processing capability of equipment through the use of new sensor technology to measure various currency features.
4. Research new sensor technology or new applications of existing technology to provide additional capabilities in quality measurement or equipment monitoring.
5. Integrate sensors mechanically, electrically, and through software to the equipment.
6. Establish or develop the hardware and software interfaces necessary to collect data from the sensors for analysis purposes.
7. Works collaboratively with the Chief Information Officer (CIO) Directorate to ensure hardware and software developed or acquired by the division is compliant with all internal and external standards, laws, and regulations.

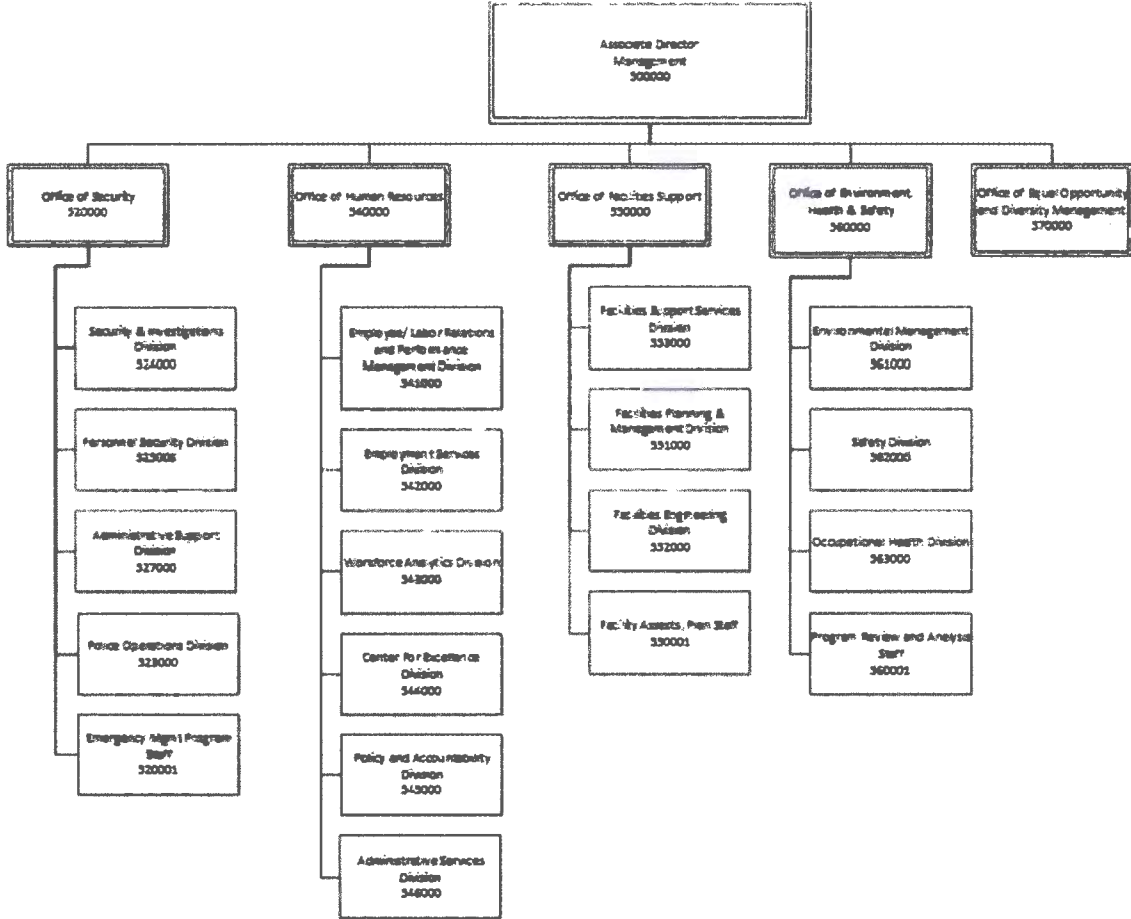
8. Leads and/or actively participates on quality action teams, new product development teams, materials development teams, etc., as required.
9. Prepares technical presentations and reports on various manufacturing issues (FITs, BATs, Quality Improvement Team initiatives, etc.).
10. Works in collaboration with the Federal Reserve Board, Currency Technology Office, Currency Product Office, United States Secret Service, ECF and WCF, Product Development, Engraving, Maintenance, and Quality organizations to assure Bureau products meet or exceed standards and the process is repeatable and reliable.

#### **500000 ASSOCIATE DIRECTOR (MANAGEMENT)**

The Associate Director (Management) is responsible to the Director for all phases of the management program for the Bureau. The Associate Director (Management) plans, develops, and implements policies and programs for human resources, security, facilities, environment, health, safety, and equal employment.

The Associate Director (Management), along with other Associate Directors, participates in developing Bureau-wide policy recommendations. This individual serves as liaison with the Assistant Secretary (Management) of the Department of the Treasury, the Office of Personnel Management, the General Services Administration, Congressional staff, and other Government agencies. As designated, the Associate Director (Management) represents the Director in external planning and policy meetings, national and international conferences, and contacts with manufacturers.

Management





**520000 OFFICE OF SECURITY**

The Office of Security, under the general direction of the Associate Director (Management), plans, administers, and monitors various security programs on a Bureau-wide basis. Its primary mission is to preserve the integrity of, and safeguard, critical Bureau resources and assets such as personnel, products, plant facilities and equipment.

1. To accomplish its mission, the Office of Security has overall responsibility for security policy, and as such, develops and implements security-oriented policies and procedures Bureau-wide. The Office prepares short-range and long-range security forecasts to project staff, material, and equipment requirements within security operations; manages Bureau police operations and facilities; manages the Bureau's Federal Drug-Free Workplace Program; manages the Bureau's National Security Information and Personnel Security programs; provides technical expertise in physical security; verifies the disposal of mutilated, obsolete, or spoiled security products; operates and maintains a controlled access system, a video surveillance system, and a comprehensive system of alarms and intrusion detection; and conducts special security-oriented surveys and reviews to assess both internal and contractor operational compliance with Bureau security policies, systems, and procedures in order to strengthen the Bureau's security posture.
2. The Office of Security conducts preliminary investigations into all suspected criminal matters to determine the facts and circumstances surrounding the incident and notifies the Office of the Inspector General and/or the United States Secret Service or other pertinent law enforcement agencies. The Office provides technical assistance to law enforcement agencies investigating crimes relating to BEP products. The Office of Security conducts entire investigations at the respective law enforcement agency's request. A report of investigation by the Office of Security is provided to that requesting agency, which may then present the investigation to the appropriate United States Attorney's Office or local prosecutor for possible prosecution.
3. The Office of Security maintains liaison with local, State, and Federal law enforcement and security agencies; the United States Attorney's Office; and the Federal Law Enforcement Training Center. The Office of Security coordinates with the Office of Chief Counsel on matters pertaining to employee misconduct that it plans to refer to a United States Attorney or the Department of Justice for potential criminal prosecution.
4. The Office conducts investigations into administrative matters at the request of the Bureau's Senior Executive Team (SET) and renders written and oral reports as to its findings through the Associate Director (Management).
5. The Office of Security conducts all background investigations on applicants and conducts suitability investigations on existing employees.

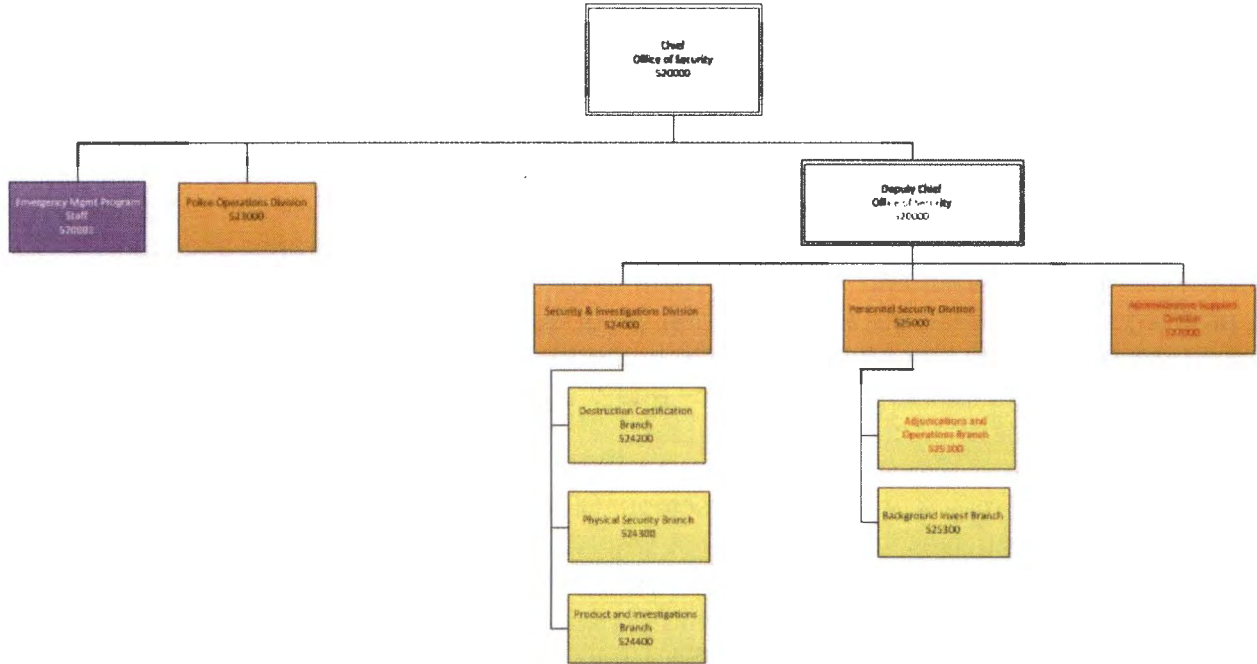
**520000 OFFICE OF SECURITY (continued)**

6. Requests for investigations are also forwarded to this Office by the Office of the Inspector General or other BEP Offices regarding alleged employee misconduct.

7. The Office of Security develops and administers security policies, procedures, methods, and techniques in support of the Bureau's security programs and also, provides interpretation and implementation of Department of the Treasury policies and programs. In addition, the Office maintains adequate internal controls as required by Federal regulations by developing systems and techniques to promote fiscal integrity, operations and administrative efficiency and program effectiveness within the Office of Security.

8. The Chief may represent the Director or SET in contact with security and emergency planning representatives from the Office of Security of the Department of the Treasury, other Federal agencies, private industry, and law enforcement agencies and serves as principal Bureau representative to the Government Emergency Preparedness Planning Program. The Chief serves as the Bureau's representative to the Treasury Terrorist Advisory Group at the Department of the Treasury. The Chief also serves as the Bureau's National Security Information Security Officer and receives and dispatches top-secret material; maintains accountability records for national security information; and conducts an annual inventory of top-secret material. The Chief may be called on to coordinate an entire multi-office project, keeping the SET informed of progress.

9. The Office administers the BEP Drug Testing Program, the Emergency Management Program, and the Employee Parking Program.



## **520001 EMERGENCY MANAGEMENT PROGRAM STAFF**

1. The Facility Emergency Coordinator reports on the operational plan's mechanisms and structures allowing BEP personnel to make decisions, mobilize resources, and prevent disruptions to BEP's ability to perform essential functions during emergency situations. Represents BEP to Emergency Management Working Group, Department of the Treasury, which oversees BEP's Business Continuity/Contingency Plan (BCCP).
2. The Facility Emergency Coordinator administers the Bureau's Emergency Management Program, the Continuity of Operations at both the Washington, DC and Fort Worth, Texas facilities.
3. The Facility Emergency Coordinator maintains a comprehensive, risked-based, multi-hazard Emergency Management Program, with responsibilities for a non-cyber Critical Infrastructure Protection (CIP) planning, and the Test, Training and Exercise (TT&E).
4. Supports policy and operational functions associated with implementing National Security Emergency Preparedness goals and objectives as identified in various federal guidelines to ensure BEP is fully prepared for natural and man-made disasters and to provide operational support to Offices to ensure continuity of essential BEP functions during contingencies.
5. Works closely with Treasury and Bureau emergency coordinators and other federal departments/agencies to establish, maintain, and evaluate program systems and Alternate Operating Facilities (AOF) to achieve National Security Emergency Preparedness goals and objectives particularly in the areas of COOP planning.
6. Monitors significant emergency situations and coordinates Bureau-wide situation reporting for the Department of the Treasury and national authorities.
7. Provides training for Incident Management Teams and direction to BEP employees regarding what to do when disaster strikes, and plans for a comprehensive Bureau-wide TT&E to evaluate emergency preparedness capabilities at both the Washington, DC and Fort Worth, Texas facilities.
8. Responsible for the condition and readiness of the Emergency Operations Center and the systems and equipment contained therein.

**523000 POLICE OPERATIONS DIVISION**

1. Formulates plans and establishes policies for the Police Operations Program.
2. Manages the Police Force for the protection of Bureau personnel, products, equipment, and facilities.
3. Maintains police liaison with counterparts at the Department; other government agencies; law enforcement agencies at the Federal, State, and local levels; and private industry.
4. Within the scope of the guidance provided by the Chief, Office of Security, plans, administers, and directs those activities deemed necessary for the preservation of the public peace; and the enforcement of all laws, directives, and administrative issues applicable to the Bureau.
5. As directed by the Chief, Office of Security administers the conduct of investigations of infractions of Bureau rules and regulations, and United States Criminal Statutes that occur on Bureau premises.
6. As prescribed by the Chief, Office of Security, formulates, plans for, and conducts surveys and inspections of Bureau premises to detect and prevent violations of security rules and regulations and to identify potential weaknesses and vulnerabilities in the Bureau's security.
7. Develops procedures for Police Force deployment during emergency situations and coordinates procedures with outside agencies as required. Develops procedures and methods for testing Police Force operational readiness and potential effectiveness under routine and emergency situations.
8. Studies, develops, and evaluates standard operating procedures, post orders, and procedures for the Police Force. Studies effectiveness of Police checkpoints and recommends changes.
9. Manages and directs all armored transport operations and support services. Evaluates requests and determines the nature of armored support services to be provided to the Bureau, Treasury agencies, and other governmental agencies.
10. Provides security expertise and guidance to Police, operating components, senior officials, contractors, and Federal, State, or local agencies or officials as required during evening and midnight shifts and all other non-regular duty hours.
11. Performs other duties as provided in police emergency and contingency procedures.

**523000 POLICE OPERATIONS DIVISION (continued)**

12. Manages the consolidated administrative duties for the Division, including maintaining time and attendance cards and office records, and coordinating the Office of Security's directives control point.
13. Maintains liaison with Office Chiefs, Division Managers, Branch Heads, shift commanders, and other Bureau offices on police administrative matters.
14. Researches any changes or revisions to the Federal and District of Columbia codes and criminal procedures, as well as Department of the Treasury, OPM, and Bureau rules and regulations pertaining to Police Officers, and informs components of changes. Coordinates with the Office of Chief Counsel, as necessary, to ensure consistent interpretations of changes in law or regulations.
15. Analyzes, develops and evaluates standard operating procedures, post orders, and procedures for the Police Force. Evaluates effectiveness of police checkpoints to determine adequacy and level of protection and recommends changes.
16. Coordinates and develops plans and procedures for the Office of Security's physical fitness program.
17. Maintains a database of all written notice of traffic and ticket infractions issued and processes them with the District of Columbia Bureau of Traffic Adjudication.
18. Manages and monitors all police communications, alarms (fire and intrusion), and closed circuit television (CCTV) cameras through the Central Police Operations Center (CPOC).
19. Coordinates and manages the Police Operations Division's recruitment effects. This includes the posting of information on the Internet, attending job fairs, and administering any necessary testing.
20. Operates the National Criminal Information Center (NCIC) and Washington Area Law Enforcement System (WALEs) systems, when needed.
21. Maintains records of all scheduling, pay-related information, incident reports, etc. for a minimum of two years.
22. Coordinates the scheduling of training courses and classes for security specialists, police officers, range instructors, and outside resources.
23. Coordinates with other training instructors in research, development, and instruction of assigned training courses. Administers tests during and at the conclusion of each course to evaluate the transfer of training objectives into specific technical skills and abilities.

**523000 POLICE OPERATIONS DIVISION (continued)**

24. Conducts long-term and short-term training programs to facilitate the Bureau's knowledge of policies and procedures in security matters. Develops training syllabuses, lesson plans, scenarios, handout materials, practical exercises, tests, mini-training sessions, and other training aids. Reviews and evaluates training products including books, manuals, audiovisual aids, and test instruments. Assesses the adequacy of products and makes recommendations for use.

25. Instructs segments of training classes to develop familiarity with a variety of presentation methods including lecture, active student participation and discussion, visual aids, and demonstrations that include students.

26. Develops specialized course materials and coordinates with Federal Law Enforcement Training Center (FLETC) officials to ensure that such course materials incorporate latest advances in security techniques, devices and methods, and addresses the special needs of the Bureau's security program.

27. Directs the Bureau's Law Enforcement Program including firearm instruction and the Bureau's Marksmanship Program. Oversees the Bureau's Firearms Maintenance Program and monitors instruction given by the Range Officers.

28. Coordinates the Office's training through the Bureau of Engraving and Printing's Center for Excellence, Federal Law Enforcement Training Center (FLETC), and other outside training vendors.

29. Develops methods and procedures for evaluating the applicability of proposed weapons, as well as personnel protective and response equipment to the Bureau's security requirement.

**524000 SECURITY AND INVESTIGATIONS DIVISION**

1. Formulates plans and establishes policies for Product Security and Securities Destruction Programs.

2. Reviews various security operations for compliance with Bureau and security objectives, policies, and procedures. Recommends more efficient and effective means for accomplishing security missions.

3. Develops and revises directives, policies and procedures, to improve the Bureau's security program at the Washington, DC Facility (DCF) and Western Currency Facility (WCF). Ensures security policies within the Division's area of responsibility are the same for the WCF, to the extent possible, as that of the DCF.

4. Performs special security-related studies and projects for, and on behalf of, the Chief, Office of Security. Recommends new and/or revised policies and procedures

based on these studies and projects.

5. Directs the activities of the Bureau's product security and securities destruction functions. Approves, directs, and manages the division's functions to ensure compliance with US laws and regulations and Bureau and Department of the Treasury policies and guidelines.
6. Directs security surveys for Bureau products. Conducts investigations in response to breaches in production of the Bureau's products.
7. Performs security courier service for securities and/or instruments of reproduction, which are not transported by normal delivery means.
8. Reviews reports, surveys, and audits received from other components or agencies and ensures that responses are made in a timely fashion; monitors recommendations and ensures receipt of a timely and satisfactory response, and ensures permanent recording in a central repository.
9. Reviews and monitors, on a continuing basis, the adequacy of contractor physical and technical security measures to ensure that they meet regulatory standards.
10. Coordinates with operational components and other entities within the Office of Security in the formulation of security policies and operational security (OPSEC) plans.
11. Conducts investigations into allegations of workers' compensation fraud and coordinates with the Office of Chief Counsel on cases involving potential criminal prosecution and/or civil prosecution under the Program Fraud Civil Remedies Act (PFCRA). Works closely with the Office of Chief Counsel to present any cases that the Bureau decides to prosecute under PFCRA.

#### **524200 DESTRUCTION CERTIFICATION BRANCH**

1. Certifies securities requiring destruction. Designates destruction sites and equipment, both governmental and non-governmental, which meet the Bureau's security and destruction standards. Specifies security and destruction standards employed to ensure the total destruction of all types of securities to include printing wastes, paper, photo film, printing plates, rolls, dies, and other production-related materials.
2. Develops policies, procedures, and standards with operational and security entities that are necessary for ensuring the certifiable destruction of spoiled, mutilated, or obsolete products, distinctive papers, photo films, printing plates, rolls, dies, and other production-related materials.
3. Establishes performance standards and conducts periodic surveys to monitor destruction sites for compliance with Bureau standards for security and destruction.



4. Analyzes and oversees securities destruction procedures and practices used in tracking securities in all stages of production until the incurred spoilage has been certified as destroyed.
5. Implements protective procedures with operating components and other security entities to ensure proper storage of paper and related photo film and metal production materials scheduled for destruction.
6. Analyzes technical data and initiates contacts with external sources to keep Bureau management informed of advances in equipment and procedures for securities destruction. Tests and evaluates new destruction equipment in conjunction with the Office of Facilities Support and other relative components.
7. Assists in the destruction of sensitive items for other government agencies.

#### **524300 PHYSICAL SECURITY BRANCH**

1. Develops, implements, updates Bureau policy pertaining to physical security standards and technical programs. Directs and manages the Bureau's technical and physical security programs, including personnel identification, access control, intrusion detection and closed circuit television, security systems computer-aided drafting (CAD) configuration management, and key control systems. Develops and implements the Bureau's technical, communications, and physical security standards.
2. Reviews and monitors, on a continuing basis, the adequacy of in-house and contractor physical and technical security measures to ensure that they meet regulatory standards. Conducts physical and technical security assessments on Bureau premises and at contractor sites processing BEP securities. Provides technical assistance to BEP-sponsored operations at contractor facilities.
3. Develops and implements Bureau non-IT based physical and technical security products. Works collaboratively with the CIO Directorate by providing requirements for and operating IT based physical and technical systems developed/acquired and maintained by the CIO Directorate.
4. Evaluates and selects suitability of various technical security equipment and services for Bureau applications.
5. Monitors security systems for proper operation. Requests new applications, and required maintenance and repair work from the CIO Directorate.
6. Controls the Bureau inventory of sensitive materials used to manufacture BEP identification (ID) badges. Ensures validity of personnel ID badge requests and implements procedures for repairs or replacement of broken badges. Photographs, processes, and laminates ID badges for essential duty passes, electronically coded

access badges, retired personnel, and other official credentials and passes for BEP.

7. Maintains liaison with representatives of the Department, Federal, State, and local law enforcement agencies, and private firms that provide services to the Bureau on all matters pertaining to physical and technical security.

8. Repairs and maintains Division equipment; provides guidance and supervises operations of new systems and equipment.

9. Conducts surveys, inspections and evaluation of physical security aspects of Bureau facilities, including contractor facilities when required.

10. Ensures a high degree of physical security protection is continuously provided for Bureau buildings and personnel.

11. Stays current on new technologies or products that may have application in improving Bureau security and determines feasibility of implementation.

12. Conducts security surveys, establishes and reviews standards for barriers, doors, and securities storage and processing areas.

13. Reviews all drawings and blue prints to ensure all construction and renovation projects within the Bureau are in compliance with established security standards. Monitors and tracks all projects until completed.

14. Monitors security systems field devices to ensure proper operation on a continuing basis.

15. Establishes and administers the Bureau's Keys, Locks, and Security Container programs and systems.

16. Coordinates the operation of the following computer-based electronic security systems: Access Control System, Video Badging System, Intrusion Detection System, Closed Circuit TV System, and Aperture (CAD) Configuration Management System.

17. Performs systems operation and sustainment, and establishes and monitors the quality of the contractor's performance.

## **524400 PRODUCT AND INVESTIGATION BRANCH**

1. Conducts internal investigations of alleged losses of Bureau securities. Investigates breaches of product security procedures within the Bureau and at contractor facilities. Investigates alleged internal acts involving damage to Bureau equipment and other internal Bureau administrative matters.
2. Provides assistance and representation in the transfer of Bureau securities out of the Bureau. Provides security escorts during transportation of Bureau security products. Provides guidance for Bureau components concerning product security issues. Serves as COR on Bureau contracts.
3. Provides research data to official investigative agencies concerning the production and shipment of Bureau products. Prepares affidavits and testimony concerning the processing and shipment of currency or other Bureau securities. Provides other assistance, as required by Federal, State, and local law enforcement agencies.
4. Conducts investigations of Federal Reserve Bank reports of overages and shortages, or defects in new currency shipments from the Bureau on a nationwide basis. Initiates contact with commercial banks, post offices, or other issuing agencies and monitors trade periodicals in an effort to recover defective Bureau products from circulation.
5. Collects, evaluates, and preserves evidence pertaining to product security and other investigations. Furnishes items of evidence, records, and expert testimony for trials or other administrative hearings.
6. Administers the security aspects of the Bureau's New Currency Design (NCD) Program and Advance Counterfeit Deterrence (ACD) Program. Serves as the Security Technical Representative for ACD-related projects within the Bureau and at contractor facilities.
7. Conducts proactive product security surveys, reviews, assessments and inspections to monitor compliance with security measures within the Bureau and at contractor facilities. Assists with the implementation of personnel security, product accountability, and/or physical security measures.
8. Assists with other Bureau security measures as directed by Chief, OS, and the SET.
9. Manages and provides oversight of the closed circuit television program that is used to survey the production areas within the Bureau.

**524400 PRODUCT AND INVESTIGATION BRANCH (continued)**

10. Reviews Requests for Assessment (RFA), Orders for Supplies and Services, Print Orders, and procurement documents to ensure proper adherence to security requirements. Provides security guidance and direction as required.
11. Assists in the planning, organization, and the conduct of the Office of the Inspector General's referral investigations. Evaluates the reliability and credibility of statements, facts, information, and testimony for the DCF.
12. Maintains investigative case files of all Office of Security Divisions, review case findings, and provides constructive input to the file management system. Reviews reports on matters of investigative interest and provide assistance to law enforcement and other investigative agencies.
13. Conducts or oversees operational security assessments through internal audits and quality control measures of the Divisions within the Office of Security to ensure that policies issued by the Chief are being properly enforced by the divisions responsible.
14. Conducts inquiries into sensitive matters of special interest to the Director, Associate Directors, or representatives from other local and government agencies when directed by the Chief, Office of Security.
15. Coordinates with the Office of Chief Counsel, when appropriate, on legal issues during the course of an investigation or inquiry.
16. Conducts criminal investigations and prepares for the prosecution of major violators of the Federal Employee's Compensation Act. Duties include, but are not limited to: conducting complex criminal investigations, surveillance of potential violators, using undercover techniques, working closely with and debriefing confidential sources, collecting, processing and evaluating evidence. The reports generated are highly detailed and technical and frequently involve sworn testimony. Additional duties involve establishing and maintaining cooperative relationships with municipal, State, and other Federal law enforcement organizations.

**525000 PERSONNEL SECURITY DIVISION**

1. In coordination with the Office of Human Resources and other components, develops and manages a program to ensure that all pre-employment requirements are met before a person becomes a Bureau employee. Ensures required forms and statements are completed fully and accurately.
2. Develops, manages, and directs the Bureau's Personnel Security Program in accordance with Executive Order 10450, the Code of Federal Regulations, and Department of the Treasury directives. Develops and implements policies and procedures for personnel background investigations.

3. Develops policies and procedures for conducting personnel background investigations to ensure that the employment or retention of an employee/contractor is consistent with the interest of national security and the efficiency of Bureau operations.
4. Conducts thorough investigations of all employee applicants/contractors to determine suitability for employment by the Bureau. Coordinates personnel security findings with Bureau officials.
5. Investigates employees whose off-premises conduct leads to arrest by law enforcement authorities. Evaluates investigative results and submits written reports of findings to the appropriate Bureau management.
6. Conducts comprehensive studies of all Bureau positions to determine the sensitivity of each position.
7. Develops methods and procedures for the conduct of full field and limited field investigations required for all sensitive positions to determine suitability for occupying sensitive positions.
8. Conducts investigations of incumbent employees to determine suitability for assignment to supervisory positions and positions requiring a high degree of public trust. Coordinates investigative results with management officials.
9. Maintains personnel suitability files pertaining to incumbent employees and contractor personnel. Ensures files are safeguarded against unauthorized access; provides for other controls on files, as necessary.
10. Conducts suitability investigations of non-Bureau employees providing services or conducting business on Bureau premises.
11. Maintains liaison with Federal, State, and local government agencies, law enforcement agencies, and private firms in personnel suitability matters and matters of mutual concern.

#### **525200 ADJUDICATIONS AND OPERATIONS BRANCH**

1. The Adjudications and Operations Branch is tasked with the responsibility for adjudicating investigations and determining whether employees, applicants, or contractors should be cleared and granted access into the Bureau.
2. The adjudicators are responsible for reviewing completed investigations of all magnitudes and ensuring optimum security standards are met. Branch adjudicators coordinate with the Office of Personnel Management (OPM) regarding adjudication standards and personally conduct complex and sensitive adjudication cases and high-profile investigations and studies. After reviewing completed reports, the adjudicators

recommend actions to the Supervisor and Manager to improve and facilitate the adjudication process. They provide authoritative information and assistance to senior Bureau management on personnel security policies, with particular reference to adjudication matters.

3. The Adjudications and Operations Branch is responsible for establishing, collecting, filing, and creating documentation for all on-boarding and departing personnel (applicants, contractors, and incumbents). The Operations Branch is also responsible for initiating, reviewing, scoping case papers to ensure all forms are filled out correctly, and releasing e-QIP applications for applicants, contractors, and employees. They provide services for and to the investigative staff, such as credit reports, national crime information center checks, fingerprints, and bankruptcy records.

### **525300 BACKGROUND INVESTIGATIONS BRANCH**

1. The Background Investigations Branch is a branch within the Personnel Security Division (PSD). The Background Investigations Branch is responsible for conducting investigations required of the Division for PSD to successfully carry out its mission. The Investigations Branch is responsible for conducting various types of investigations and inquiries involving Bureau applicants, employees and contractors.

2. The main duty of the Investigations Team is to provide investigative support to the Division in determining the suitability of applicants, employees and contractors for access to Bureau facilities and/or products. The Investigations Branch is tasked with conducting Enhanced Subject Interviews, Issue Interviews, and Source Interviews. Investigators are required to obtain and review court records, police records, military records, and records from other various information sources. Most interviews must be conducted in person.

3. During the course of conducting background investigations, investigators must brief each case file and reduce pertinent information to an abbreviated written form. Briefing case points out discrepancies or periods of activity unaccounted for. Investigators are also required to zone each case. Zoning is organizing all the work to take advantage of the geographic proximity of items from different cases by working on all those items when in that geographic location.

**527000 ADMINISTRATIVE SUPPORT DIVISION**

1. Reviews and analyzes all programs and their functions in the Office of Security and presents recommendations on changes to the programs.
2. Formulates, develops, and implements long- and short-range plans for the accomplishment of organizational goals and objectives.
3. Monitors manpower, budgetary constraints, and overall Bureau policy.
4. Provides oversight to maintain adequate internal controls as required by Federal regulations by developing systems and techniques to promote fiscal integrity, operations and administrative efficiency, and program effectiveness.
5. Assigns special studies and projects to analysts, who form the basis for policy initiatives or modifications; oversees the implementation of new and revised operational and administrative methods including changes to personnel, organizational structure, staffing strength, and status.
6. Directs and gives oversight to the coordination of the Office's financial activities and the development of the fiscal year budget.
7. Serves as the Chief's consultant with line supervisors on program functions rendering interpretations of regulations and procedures.
8. Coordinates and implements the Office of Security's portion of the annual Year-End Shutdown (YES) Program.
9. Coordinates the Office of Security's personnel and staffing issues with the Office of Human Resources; ensures that position descriptions within the Office are current.
10. Reviews safety and environmental violations in the Management Directorate.
11. Reviews all accident/incident reports and recommends follow-up actions to the appropriate supervisors.
12. Administers the Employee Parking Program and Shields and Credentials Program.
13. The Drug-Free Federal Workplace (DFFWP) reports directly to the Manager of the Administrative Program Staff Unit, Office of Security. The DFFWP administers BEP's Drug Testing Program and coordinates with the Department of Health and Human Services.
14. Manages the BEP DFFWP for deterrence and detection of illegal drug use in the Washington, DC Facility (DCF). Provides guidance for the program in the DCF.

**527000 ADMINISTRATIVE SUPPORT DIVISION (continued)**

15. Ensures that managers and supervisors are aware of their roles and responsibilities for implementing the BEP DFFWP.
16. Develops and initiates policies and procedures to inform management and employees of the consequences of non-compliance with DFFWP

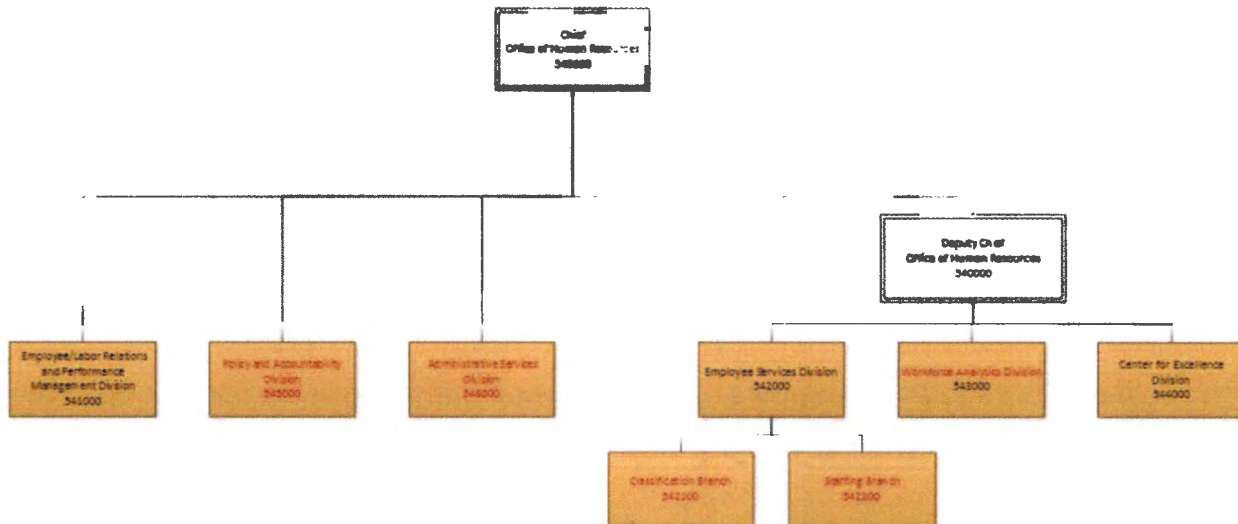
**540000 OFFICE OF HUMAN RESOURCES**

The Office of Human Resources (OHR) is responsible for administering and providing Bureau-wide Human Resource policy and employee training and development activities. The OHR provides operational support to the Washington, DC Facility (DCF) in the fields of employee and labor relations, staffing, classification, benefits, payroll services (i.e., payroll taxes, direct deposit and garnishments), awards and recognition, and workers' compensation.

1. OHR administers a full range of services provided by the automated payroll/personnel system, including serving as co-coordinator with the Office of Financial Management (OFM) for HR Connect; implementing related compliance policies and procedures; and processing payroll/personnel transactions. OHR develops human resources programs and related activities to ensure compliance with applicable laws and regulations, and recommends corrective actions as appropriate.
2. The Chief, OHR, represents the Director and Associate Director (Management) in dealing with other Office Chiefs, officials of commercial enterprises, unions, employee groups, and individual employees on human resources management matters. The Chief makes recommendations on the proper course of action or proposed equitable solutions. The Chief acts as official spokesperson for the Bureau before the Department of the Treasury and Office of Personnel Management on personnel and human resources issues, and serves as the technical expert for the Bureau in hearings and on grievance decisions. The Chief researches complex human resources management issues and confers with human resources officials in other government agencies regarding mutual problems. The Chief coordinates Bureau-wide programs that affect human resources.
3. The Chief serves as the Bureau source of expertise in strategic human capital initiatives through discussion, formulation, and implementation of mission strategies and goals. Develops and monitors performance measures for OHR. Reviews and comments on legislative changes and policies received from the Department of the Treasury. The Chief analyzes and evaluates workforce plans, employment trends, budget development and implementation, complex-wide studies and human capital management assessment tools and programs. Develops and implements recruiting strategies that align strategic missions with highly qualified talent at all levels of the organization.



4. The Human Resources Information Specialist monitors the development, implementation, and support of HR-Connect. Provides assistance in the daily flow of all HR-Connect related information including data entry, retrieval, standard and ad hoc report generation for the OHR. Provides liaison between BEP Human Resource functions, Department of the Treasury and Office of HRConnect Program, and when required, by the US Department of Agriculture.



**541000 EMPLOYEE/LABOR RELATIONS AND PERFORMANCE MANAGEMENT DIVISION (EPMD)**

1. Formulates and administers the Performance Management and Award policy for the Bureau. Ensures that the Personnel Manual is accurate, comprehensive, and current. Monitors proposed changes in Office of Personnel Management (OPM) and Treasury policies, and assesses the impact of those changes on Bureau personnel programs. Provides advisory services to customers regarding Bureau policy for Performance Management and Awards.
2. Assesses key Performance Management or Award processes for potential automation; reviews available technology; and coordinates the implementation of new systems.
3. Administers the employee suggestion and recognition awards programs.
4. Negotiates collective bargaining agreements with recognized unions and serves as the chief negotiator on negotiation teams representing Bureau management.
5. The DCF EPMD is responsible for labor relations policy and the approval of all agreements between the Bureau and labor unions. All settlements and agreements with labor unions are submitted to the Manager, EPMD, for review and approval including those originated at the Western Currency Facility (WCF).
6. Assists management in complying with the requirements of collective bargaining agreements between the Bureau and labor organizations, with particular emphasis on such areas as disciplinary and adverse actions, hours of work, leave, and grievance and arbitration procedures. Advises and represents management in the processing and disposition of grievances, including the review of all documents and the approval of all responses. Advises management on, and approves all responses to other collective bargaining disputes with labor unions.
7. Provides general labor and employee relations policy guidance to the WCF Employee and Labor Management Relations (ELMR) Staff. The Manager, Human Resources Management Division (WCF) will provide the day-to-day supervision of the WCF Employee and Labor Management Relations Staff.
8. Conducts labor-management and related personnel research, analysis, and compilation of problem cases, published case files (from both the private and federal sectors), decisions, and related pending legislation. Makes recommendations or proposals to the Bureau's senior management for significant changes on complex issues and initiates program changes accordingly.
9. Implements policies, rules and regulations dealing with leave, employee conduct, discipline, appeals, grievances, and quasi-legal programs, which impact the employee-employer relationship for all positions.

**541000 EMPLOYEE/LABOR RELATIONS AND PERFORMANCE MANAGEMENT DIVISION (EPMD) (continued)**

10. Counsels management on disciplinary actions, adverse actions, resolution of performance/attendance problems, and other related matters, which may cross human resources program or functional lines.
11. Advises employees of their rights, procedures, time limits, and resources for assistance available to them in defense of adverse actions or disciplinary situations. Exercises extreme care in assuring that all employee's rights and related provisions are fully protected at all times.
12. Administers all aspects of the Leave Program to include the Voluntary Leave Transfer Program, the Family and Medical Leave Act, and Administrative Leave.
13. Administers and manages the unemployment compensation program including implementing Federal, Treasury, and Labor policies, providing necessary information to involved officials, and participating in court proceedings involving unemployment compensation cases.

**542000 EMPLOYEE SERVICES DIVISION (ESD)**

1. Implements and administers policies and procedures for recruitment, placement, and position classification for all Bureau positions.
2. Identifies and develops relationships with recruitment sources.
3. Reviews and makes qualification determinations, confirms or withdraws employment offers, and prepares comments and/or recommendations to Bureau officials as part of the selection process. Collaborates in the development of special qualifications requirements not covered by published guidelines.
4. Recruits for and staffs positions with special emphasis program applicants, i.e., handicapped, veterans, part-time employees, and student employees.
5. Administers special recruitment programs pertaining to the Senior Executive, Student Employment (Student Temporary Employment and the Student Career Program), Outstanding Scholar, and Superior Academic Achievement Programs.
6. Administers reduction-in-force programs.
7. Ensures that duties assigned are accurately described, correctly classified, and maintained in compliance with applicable laws, regulations, standards, and requirements. Provides advisory assistance in developing position descriptions and performance standards. Participates in the review process for classification appeals.

8. Effects appointments, changes to lower grade, promotions, transfers, realignments, separations, and all other personnel actions in the DCF.
9. Inputs and validates position/personnel payroll actions. Reviews and approves final SF-50 actions.
10. Monitors labor-management agreements, evaluating contractual provisions affecting staffing and position classification programs. Exchanges information with other agencies that have similar position categories and union affiliations to ensure consistency in applying wage and classification standards and guidelines.
11. Confers, as necessary, with the Personnel Security Division, Office of Security, on pre-employment matters, and with the BEP Health Unit on pre-employment medical matters.
12. Conducts final classification appeals within the Bureau.
13. Conducts studies in the areas of wage administration. Develops pay systems, and establishes wage bulletins and pay tables for the Bureau's prevailing rate employees.
14. Administers and manages the Voluntary Early Retirement Authority (VERA) and the Voluntary Separation Incentive Program (VSIP) for the Bureau. Prepares all requests for voluntary early retirement authority and submits to the Office of Personnel Management for approval.
15. Administers Federal programs such as the Federal Employees and Civil Service Retirement Systems, the Thrift Savings Plan, and Health and Life Insurance Programs. Provides counseling and processes all forms as it relates to life and health benefits, retirement, and death cases. Monitors the open season for Federal employees benefits. Determines eligibility or ineligibility of employees, explaining to employees their rights and obligations, and applying regulations and policies in specialized cases involving enrollment, claims, changes, etc. Provides general information on health and life insurance benefits, and retirement.
16. Controls and maintains Electronic Official Personnel Folders (eOPFs) and payroll records and documentation. Collects and maintains all forms relating to payroll deductions, allotments, life and health insurance, federal and state tax, direct deposit, Thrift Savings Plan (TSP), and union dues, etc.
17. Provides general information on health and life insurance benefits, retirement, and court-ordered indebtedness.
18. Processes employment verifications.

**543000 WORKFORCE ANALYTICS DIVISION (WAD)**

1. Studies employee turnover trends in conjunction with production forecasts to improve personnel utilization.
2. Develops and prepares staffing and cost comparisons and formulates strategies.
3. Advises management of classification and position management implications.
4. Assesses key human resource processes for potential automation; reviews available technology; and coordinates the implementation of new systems.
5. Initiates progressive human resources solutions for the Bureau that simplifies systems, increases the use of information technology, delegates and holds line managers accountable for human resource processes, and improves focus on results. Uses human resources practices at other organizations as benchmarks to allow for innovative changes in the Bureau.
6. Manages and provides assistance to the Office Chief in the research, development and implementation of human capital initiatives.
7. Analyzes and manages organization structures and ensures functions and responsibilities are properly assigned; recommends improvements and conducts studies of organizational effectiveness; and develops and maintains the Bureau's Organization Manual.

**544000 CENTER FOR EXCELLENCE (CE)**

1. Provides policy, operational support, and strategic design to the Bureau in the fields of training and career development.
2. Formulates and implements policies and programs designed to develop the capabilities and competencies of BEP's workforce to enable BEP to efficiently carry out its operational responsibilities.
3. Develops, implements, monitors, and evaluates policies and programs designed to enhance training, managerial and supervisory competencies and skills, career and organizational development, and job progression of BEP's employees.
4. Plans, designs, delivers, and evaluates a broad program of learning opportunities, including individually self-paced computer-based programs within the Bureau and outside the Bureau classroom training, and university and industry-based training development programs.
5. Administers training programs in accordance with legislation, Office of Personnel

Management (OPM) guidelines, Departmental directives, and Bureau policies.

6. Provides advice on the development of career paths, the identification of job competencies, the development of individual learning plans, and preparation of annual organizational training plans.
7. Provides organizational development advisory services that include team building, and integrated approaches to productivity improvement that address management practices, employee competencies, and work processes.
8. Provides assistance to OHR staff in building competencies as human resources professionals.
9. Develops job aids, assists in creating Individual Development Plans (IDPs), etc., strengthening the knowledge base of the staff.
10. Provides technical assistance to OHR staff in resolving human resource issues.
11. Advises the Director and other senior officials on training, career development, and organizational development issues.

#### **545000 POLICY AND ACCOUNTABILITY DIVISION (PAD)**

1. Develop and implement agency specific policies and procedures for records management activities; maintain a centralized records management tracking system.
2. Monitor legislative and regulatory requirements in order to identify required changes in OHR policies and procedures.
3. Coordinate the development, implementation, evaluation and maintenance of a framework of human resources management policies to achieve human capital goals.
4. Perform research using appropriate resources to identify relevant, legal authority to develop and update internal and external policies and assess the impact of BEP and OPM major human capital initiatives.
5. Create presentations for managers and employees on assigned OHR policies and issues.
6. Respond to OHR policy related inquiries and provide timely and relevant advice to internal and external stakeholders.
7. Prepares written guidance for managers and employees on assigned OHR policies, procedures, and guidelines.
8. Develop and implement OHR accountability/internal review programs /projects.

9. Support the development, execution and coordination of initiatives that support BEP strategic management.
10. Assess OHR strengths and weaknesses and provide leadership to OHR in exploring alternatives and determining what improvements can be made.
11. Formulates human resources policy for the Bureau. Ensures that the Personnel Manual is accurate, comprehensive, and current. Monitors proposed changes in OPM and Treasury policies, and assesses the impact of those changes on Bureau personnel programs.
12. Develop policy issuances, procedures and guidance for use throughout the BEP in a variety of human resources functional areas. Coordinates policy and program development through the Human Resources Officer, other senior officials, labor unions, the Director and other appropriate parties.
13. Leads and conducts studies of program effectiveness and takes appropriate action to recommend remedies for deficiencies and improve programs.
14. Responsible for developing and maintaining effective internal control measures.

**546000 ADMINISTRATIVE SERVICES DIVISION (ASD)**

1. Responsible for planning and executing a comprehensive range of administrative services that support OHR Divisions and BEP to effectively accomplish BEP's mission and to operate within the requirements set forth by the Department of the Treasury.
2. Develop, implement, monitor, and evaluate OHR activities related to administrative services such as the annual Budget, Government Credit Card, Garnishments, Contractor in processing, Records Management, FOIA/Congressional Tracking, New Employee Orientation, Contracts and Indebtedness.
3. Develop, implement and manage policy, procedures, plans, and strategies that pertain directly to administrative services programs: Employee Assistance Program (EAP), Work-Life Programs (Bring Our Children to Work Day, Telework, and Alternative Work Schedule), Public Transportation Incentive (PTI), and others.
4. Coordinate with OFM and OHR to assist with the annual OHR budget preparation process and monitor OHR expenses to ensure compliance with established budget.
5. Coordinate and schedule various agendas and meetings. Assist in scheduling appointments, meetings, conferences and all meeting preparations and reservations required for OHR supported meetings and events.
6. Develop, implement and monitor an internal tracking system for various Human



Resources reports, budget, garnishments, monthly new employee notifications, contracts, and indebtedness.

7. Responsible for planning, establishing, and coordinating support services programs within the broad administrative framework of BEP.

## **550000 OFFICE OF FACILITIES SUPPORT**

The Office of Facilities Support plans and coordinates activities involving facilities design and construction, operations and maintenance, and support services. Strategic facilities planning and budgeting is performed to ensure adequate physical resources are provided to Bureau operating units. The Office coordinates activities in harmony with nearby structures and manages the space planning and allocations for the District of Columbia Facility (DCF).

The Office also plans, develops, recommends, and implements policies and procedures for Bureau building services, building custodial activities, snow removal, pest control, and Bureau elevator operations. It coordinates and directs the disposal of refuse, waste, and recyclable materials and directs custodial services in Bureau buildings and adjacent grounds.

The Office develops overall Bureau policy concerning space utilization for the DCF.

The Office has responsibility for fleet management including the motor pool.

The Office evaluates and analyzes all new production equipment acquisitions to determine their impact on facility systems and on the strategic goals of the Bureau. The Office collaborates with production equipment users/operators, engineers, mechanics and Office Chiefs to assure facilities systems are capable of accommodating future production programs and plans.

The Office establishes the overall Bureau policy and program direction for energy management, water conservation, and recycling programs. The WCF shall have the on-site day-to-day operational responsibility for its energy and recycling programs. All reports to external agencies in regard to energy and recycling are reviewed and approved by the Chief, Office of Facilities Support, prior to their transmittal.

The Chief, Office of Facilities Support, is designated as the Bureau's Real Property Manager and represents the Bureau at the Department of the Treasury's Real Property Asset Management Board.

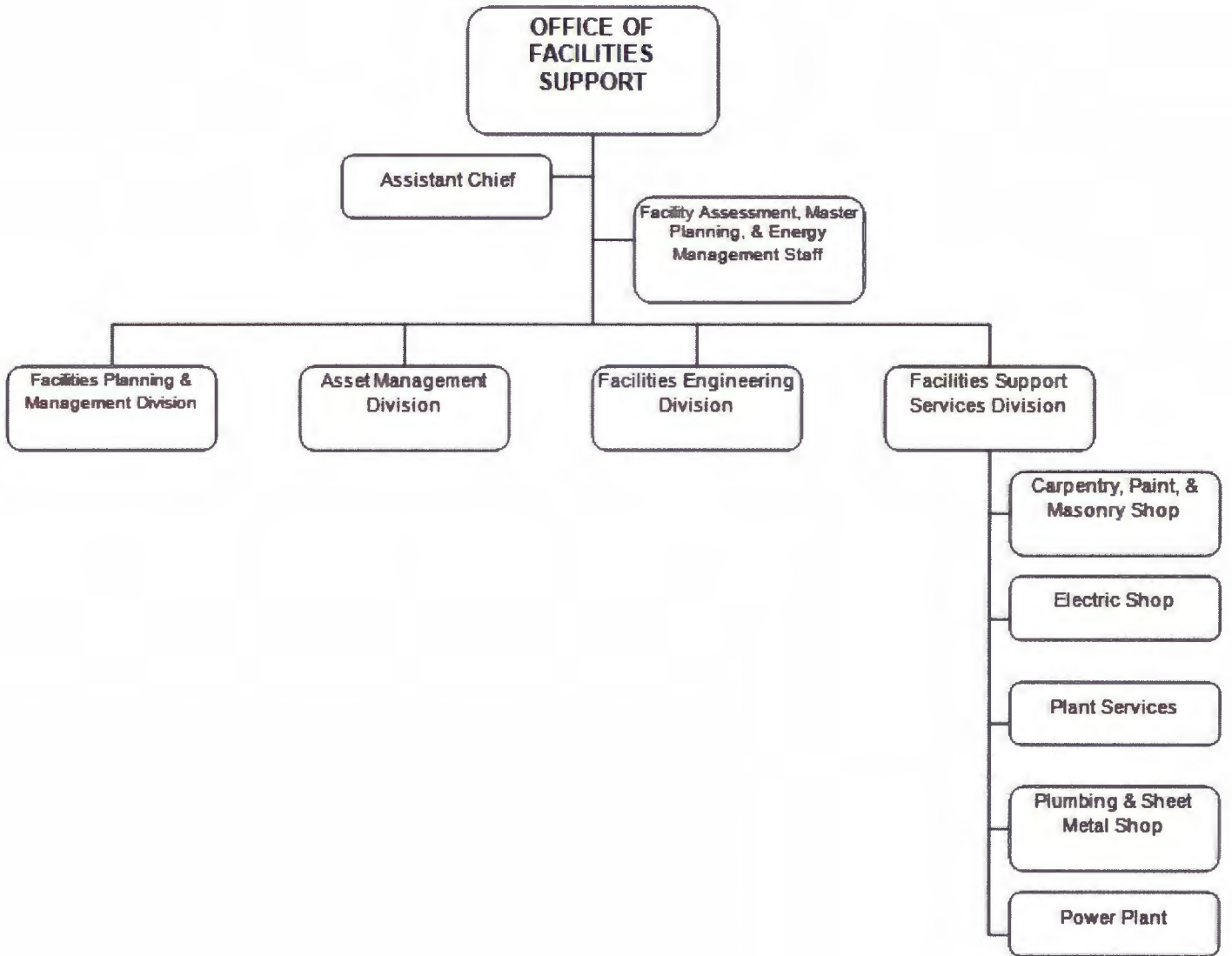
In this capacity, the Office of Facilities Support has overarching responsibility for all real property management functions at both facilities including real property management policies and program management.

The Chief serves as the Bureau's representative on the Treasury Department's Asset Management Council.

The Chief, Office of Facilities Support, serves as the key consultant and advisor to the Associate Director (Management) and serves as representative to the Department of the Treasury and other Federal and non-federal agencies on all energy matters pertaining to both the Eastern Currency and Western Currency facilities. The Chief has full responsibility for the management and the administration of comprehensive energy programs which support the unique and extensive manufacturing programs at the Bureau.

The Chief, Office of Facilities Support ensures that a comprehensive employee awareness program on energy conservation is in place and active.

Supports the Office of Engineering and the Office of Currency Production in the design, installation, maintenance, and repair of production equipment and systems, and environmental systems and control devices.



## **550000 ASSISTANT CHIEF**

The Assistant Chief, Office of Facilities Support, serves as a primary assistant to the Office Chief and is primarily responsible for all aspects of activities for the Office. These include but are not limited to:

Represents the Chief, Office of Facilities Support, and the Associate Director (Management) on technical phases of project activities.

Reviews and evaluates current conditions with respect to the organization's goals to determine needs and focus of improvements. Initiates programs for system improvements.

Oversees all aspect activities in the facility operation. Key focus areas include but are not limited to project scheduling, estimating, inspection, negotiating, contract administration/law, building systems, building and life safety codes, power distribution, industrial/manufacturing facilities, and customer satisfaction.

Applies new methods to continually improve the quality and efficiency of services provided.

Represents the Chief, Office of Facilities Support, during negotiations, discussions, and meetings relating to contract activities.

Works closely with Bureau internal customers and has full responsibility for special projects' design and implementation program. Is the technical expert on facility design and construction issues and makes decisions and recommendations. Coordinates with Office of Engineering to assure facilities and equipment projects/programs are closely coordinated ensuring high quality work and timely completion. Keeps the Chief informed regarding the technical aspects and progress of special projects and programs.

Provides assistance with administrative matters including personnel issues, budget and strategic planning.

Directly supervises administrative staff, including special project coordinators/managers.

**550100 FACILITY ASSESSMENT, MASTER PLANNING AND ENERGY  
MANAGEMENT STAFF**

1. Develops and executes the DCF's Facility Master Plan.
2. Assesses all facilities and equipment projects throughout the DCF to assure the projects support the long-range master plan.
3. Provides support on master planning, feasibility studies, design, and construction coordination.
4. Advises, in strategic planning decisions, on DCF capital assets by evaluating alternatives and providing recommendations.
5. Plans short- and long-range replacement of utility systems.
6. Prepares the annual energy report for submission to the Department.
7. Oversees the planning, implementation, management, and monitoring of policies, projects, activities, and contracts in the areas of energy management and conservation.
8. Takes appropriate measures to reduce the use and cost of various forms of energy.
9. Researches and makes recommendations to the Chief on energy saving components for state-of-the-art high technology securities manufacturing equipment and systems.
10. Researches and makes recommendations for purchases of direct and indirect materials, which comply with the minimum recovered materials content standards, set forth by law and Treasury directives.
11. Monitors the management and the administration of the comprehensive energy programs which support the unique and extensive manufacturing programs of the Bureau.
12. Reviews specifications for new construction, equipment, and technology appropriately addressing energy program objectives.

## **551000 FACILITIES PLANNING AND MANAGEMENT DIVISION**

1. Carries out executive policy by managing property in close coordination with strategic planning and operation components.
2. Provides customer liaison services to internal and external Bureau customers regarding Office of Facilities Support programs and projects. Acts as the focal point for all products and services available from the office.
3. Develops, implements, and analyzes metrics and associated performance indicators in order to gauge the effectiveness of existing business processes within the Office of Facilities Support.
4. Manages the space-planning program for the District of Columbia Facility.
5. Conducts feasibility studies and evaluates design alternatives to improve the work environment and control costs.
6. Plans and coordinates relocations related to major capital asset implementations.
7. Provides consultation on technical matters relating to facilities issues.
8. Performs analyses of current facilities programs to determine methodology for improvement.
9. Initiates and implements procedures for improving facilities maintenance functions.
10. Coordinates project work with the Office of Engineering and acts as a contact point for work requested by other Bureau components. Reviews construction and maintenance needs for the Bureau.
11. Assesses workload and makes determinations regarding contracting for construction and maintenance efforts or completing them in-house based on needs and staffing levels.
12. Analyzes facilities-related processes and equipment that routinely exhibit less than acceptable productivity, quality, and/or workmanship and recommends appropriate corrective action.
13. Develops plans for changes or modifications to alleviate the causes for unacceptable productivity/quality.

**551000 FACILITIES PLANNING AND MANAGEMENT DIVISION (continued)**

14. Identifies the need for special studies, analyses, and projects relative to implementing technical concepts for equipment and/or facilities related systems.
15. Reviews and assesses the feasibility of acquiring and/or implementing new equipment, processes and systems; prepares cost estimates for their implementation; and, in conjunction with the Office of Financial Management, assists other Bureau components in conducting economic cost/benefit and life-cycle cost analyses for proposed new capital acquisitions.
16. Coordinates with the Office of Environment, Health, and Safety in obtaining permits required by local, state, and federal government agencies.

**552000 FACILITIES ENGINEERING DIVISION**

1. Plans and coordinates activities involving facilities design and construction management, operations and maintenance, and support services. Performs strategic facilities planning and budgeting to ensure that adequate physical resources are provided. Coordinates activities in harmony with nearby structures.
2. Prepares or reviews preliminary and detailed plans, designs, and specifications for the construction, installation, repair, maintenance, outfitting, and alteration of production facilities, administrative space, and building equipment while conforming to the principles of value engineering to minimize costs.
3. Participates with the Office of Acquisition in the negotiation of contracts for installations, repairs, maintenance, and space renovation, and makes recommendations as to acceptance terms and conditions included in such contracts regarding dates of delivery, plans, specifications, and characteristics of the items.
4. Provides personnel to function as Contracting Officer's Representative (COR) for Architect/Engineer contracts, construction contracts, and studies.
5. Monitors contract performance insofar as inspections, tests, and technical judgment are necessary or desirable to assure compliance, and assists in contract expediting as required.
6. Prepares proposed technical approaches to facility requirements in response to operational needs as requested by Bureau components.
7. Provides engineering oversight of all utilities-related plants, systems, and components.
8. Develops requirement specifications for alteration of building structures and utility systems. Ensures specifications comply with Federal regulations and executive orders relating to energy and water conservation, pollution prevention, and recycling.

9. Inspects and accepts contractor services for new facilities and equipment, and reports findings to Contracting Officer.
10. Monitors, tracks, and controls construction and equipment installation project schedules; ensures that costs incurred remain within approved funding levels. Plans and schedules construction and maintenance projects, including estimating engineering, maintenance, and other resources necessary to complete projects.
11. Within terms and conditions of contract, provides technical assistance and guidance to contractor personnel to ensure successful completion of the projects for construction and equipment installation.

#### **553000 FACILITIES SUPPORT SERVICES DIVISION**

1. Performs preventive maintenance, emergency/service work, installation, and maintenance and repair functions on facilities, environmental control systems, building systems, production machinery and furniture. This includes repairs, alterations, construction, fabrication and equipment installation. Oversees carpentry, paint, masonry, electric, plant services, and plumbing and sheet metal operations.
2. Provides personnel to function as Contracting Officer's Representative (COR) for a variety of facilities contracts specifically, the custodial services for Bureau administrative areas, grounds (landscaping, snow removal) and waste disposal.
3. Assists the Office of Environment, Health, and Safety to ensure compliance with the Bureau's recycling program by assisting in the collection, separation, and staging of recyclable materials for shipment to recycling contractors.
4. Oversees the management and operation of the Bureau's utility plants and systems. The systems include heat, ventilation and air conditioning, process air, vacuum and trim collection, electrical distribution, and water wipe manufacturing. Operates and maintains the related auxiliary equipment associated with each system.
5. Monitors incoming utility commodities purchased through public and private entities.
6. Supports the operation and maintenance of the environmental control systems and the Volatile Organic Compound (VOC) recovery systems.
7. Ensures compliance with applicable executive orders, Treasury directives, all federal, state, and local recycling laws and the requirements of the Solid Waste Disposal Act, Public Law and Statute, as amended by the Resource Conservation and Recovery Act (RCRA).

#### **553010 CARPENTRY, PAINT, AND MASONRY SHOP**

1. Performs woodworking functions for construction, maintenance, alteration, and repair of



buildings, furniture, and equipment.

2. Paints building, machinery, furniture, and equipment.
3. Performs masonry functions, including bricklaying, concrete work, plastering, tile setting, and pipe covering.

#### **553020 ELECTRIC SHOP**

1. Installs, maintains, and adjusts lighting, power protective devices, security equipment, emergency lighting, exit lights, signal systems and battery systems.
2. Performs electrical work for construction, maintenance, alteration, repair, and installation of production machinery or equipment; and inspects electrical equipment.
3. Diagnoses malfunctions in electrical equipment; develops necessary repair procedures; and performs repairs as required on facilities and production machinery.
4. Assists BEP components in the construction, operation, and repair of prototype or experimental equipment.
5. Operates, maintains, updates, programs, tests, and repairs the Fire Management System (FMS).
6. Supports the installation and maintenance of security devices including cameras.

#### **553030 PLANT SERVICES**

1. Functions as COR for a variety of facilities contracts, specifically, the custodial services for Bureau administrative areas, grounds (landscaping, snow removal) and waste disposal landfill fees, and reports findings to Contracting Officer.
2. Cleans printing presses, equipment, and machinery used by ink making, engraving, construction, and maintenance components, as required.
3. Collects, distributes, and arranges for cleaning of printer rags.
4. Compacts non-security paper into bales and disposes of non-toxic solid waste.

#### **553040 PLUMBING AND SHEET METAL SHOP**

1. Installs, constructs, alters, and repairs plumbing and heating equipment, water, steam, and fire lines; and inspects such equipment and components.
2. Performs plumbing work of installation, maintenance, repair of machinery and

equipment.

3. Constructs, installs, and repairs sheet metal components on machinery, equipment, furniture, and buildings.
4. Designs and builds prototype systems to improve production characteristics of existing equipment.
5. Installs and repairs roofs, gutters, and drains.
6. Installs, maintains, repairs, and dismantles structural steelwork and metal building fixtures.

#### **553050 POWER PLANT**

1. Operates the substation for transforming electric current; operates control and related equipment for utility service; operates water wipe manufacturing equipment; operates fire protection system components, including fire pumps, sprinkler systems, riser and feed mains; and monitors utilities.
2. Operates and maintains process air, vacuum and trim collection systems.
3. Operates and maintains all heat, ventilation, and air conditioning systems including central chilled water plants and systems.
4. Operates and maintains building level pneumatic and computerized control systems.
5. Supports the operation and maintenance of the environmental control systems and the Volatile Organic Compound (VOC) recovery systems.

#### **554000 ASSET MANAGEMENT DIVISION**

1. Plans, develops, and implements policies and procedures pursuant to established regulations for the Bureau's fleet management, including the motor pool.
2. Administers the Bureau's Excess Property Program. Reviews excess property activities and ensures regulatory compliance. Serves as advisor to Executive Management.
3. Serves as the Bureau's Fleet Program Officer and representative to the Treasury Department's Property and Fleet Manager's Council and Transportation Council.

#### **560000 OFFICE OF ENVIRONMENT, HEALTH AND SAFETY**

The mission of the Office of Environment, Health and Safety (EHS) is to continually reduce adverse EHS impacts to workers, the community, and environment. Plans, develops, implements, and manages the environmental, health, safety and fire protection programs mandated by the Occupational Safety and Health Act (OSHA), the Environmental Protection Agency (EPA), the Texas Natural Resources Conservation Commission (TNRCC), Treasury Directive 71-05, Departmental Safety and Health Programs, and other recognized consensus standards.

The Office's responsibilities include ISO 14001 registry, VPP (Voluntary Protection Programs) designation, environmental program management, assessment, and compliance; safety and occupational health programs; injury and illness management, and fire protection planning and compliance.

The Office shall establish the overall Bureau policy and planning compliance program direction for these programs in accordance with applicable Federal, State, and local requirements and regulations as they specifically apply to the Eastern and Western Currency Facilities. The Western Currency Facility (WCF) shall have the on-site, day-to-day operational responsibility for applying established EHS policy to its environment, safety, and occupational health programs. Reports to external agencies are to be reviewed and approved by the Office Chief, EHS, as appropriate.

The Office establishes and maintains policy documents that set internal standards relative to the EHS aspects and impacts that pertain to all BEP operations. The Office works closely with all directorates and sub organizations in maintaining a safe and healthful work environment. The Office maintains a program review and analysis staff to assure that programs managed by the Office meet regulatory requirements.

The EHS researches and makes recommendations for the procurement of environmental systems to ensure that critical Federal, State, and local regulations are met. Performance-oriented environmental, safety, and occupational health requirements are maintained through the establishment of management systems. Technical staff members work closely with staff members from other Bureau components to identify improvement needs, develop, specify, evaluate, select, implement, and test management systems to address identified needs. These systems ensure that: a) adequate training is given; b) operating and maintenance procedures are provided; and c) effectiveness is verified.

The EHS promotes a safety and occupational health program that provides Bureau employees safe workplaces that are free from uncontrolled hazards. The Office manages safety programs that include lockout/tagout, confined space, powered industrial trucks, accident/incident investigations, medical surveillance, hazard communication, personal protective equipment, noise control, and others.

**560000 OFFICE OF ENVIRONMENT, HEALTH AND SAFETY (continued)**

The EHS assures records are maintained for environmental compliance and safety programs to track the Bureau's efforts and compliance with State, local and Federal regulations and permit requirements.

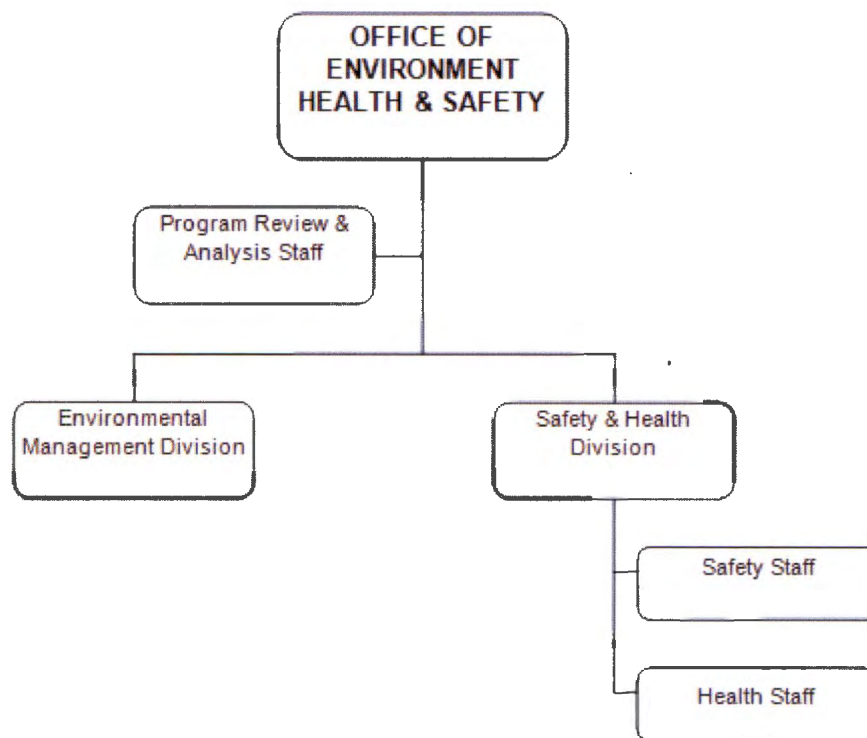
EHS works closely with all Bureau components to identify and implement effective solutions to environmental, safety, and occupational health issues.

The Chief, EHS, or other professional staff members may represent the Bureau at various technical conferences, meetings, or discussions with other government agencies, advanced technology manufacturers or academia worldwide relative to safety and environmental problems, research and development, or cooperative planning efforts.

The Chief, EHS, serves as the Bureau's Designated Agency Safety and Health Officer (DASHO), the Bureau Environmental Quality Officer (BEQO), and serves as the permanent management member at the Joint Labor Management Occupational Safety and Health and Environment Committee. He/she acts as an advocate for new technology in the environmental systems area, coordinating efforts with appropriate components. The Office also maintains a state-of-the-art file on environmental systems development for possible application within the Bureau.

The Chief, EHS, directs the Program Review and Analysis Staff to assure that office programs and Bureau operations meet regulatory requirements.

The Chief, EHS, reports to the Associate Director (Management) and coordinates office activities with appropriate officials in the District of Columbia Facility, and reports progress to the Capital Investment Committee, the Bureau Executive Staff, and/or the AD (Management).



## **560100 PROGRAM REVIEW AND ANALYSIS STAFF**

1. Reviews and analyzes environmental, safety, and occupational health programs within the Bureau to assure compliance with established OSHA, EPA, NFPA and any other applicable regulatory standards and guidelines. Other standards include state and local regulations, Treasury Directives, and Executive Orders. Staff coordinates these efforts with Environmental, Health and Safety (EHS) program managers.
2. Identifies any root causes of non-conformance or non-compliance with regulations, guidelines, and policies. Develops reports on findings and recommends corrective actions to address any deficiencies found.
3. Establishes baselines and performance measures for the EHS programs.
4. Manages the EHS review program to ensure that all BEP procurements, purchases, modifications, construction projects, and chemicals purchased meet or exceed regulatory and policy requirements. Staff will provide coordination to these technical reviews and maintain files in the various EHS specialty areas to support the EHS review program.
5. Provides technical reviews, as applicable, in the various EHS specialty areas to support the EHS review program.
6. Performs other projects as needed to support the EHS programs.
7. Provides support to attaining and/or maintaining the ISO 14000 and Voluntary Protection Program (VPP) certifications.
8. Manages the EHS online training program.

## **561000 ENVIRONMENTAL MANAGEMENT DIVISION**

1. Manages the ISO 14000 Registry Program.
2. Coordinates with the Office of Facilities Support and other Bureau components, other government agencies, and contractors to assess environmental requirements and assist in developing specifications for new equipment and technology.
3. Acts as an advocate for new technology in the environmental systems area, coordinating efforts with appropriate components.
4. Conducts specialized research on developments, processes, equipment and/or systems (with emphasis on application of environmental systems in the security printing field) that may aid the Bureau in either reducing waste or complying with environmental requirements. Makes recommendations and reports results. Works with the Office of Materials Technology and the Office of Facilities Support to

maintain historic and state-of-the-art technical and product data on environmental systems.

5. Develops, implements, manages, and monitors the Bureau's day-to-day environmental compliance program to assure compliance with Federal, State, and local environmental statutes and regulations. Manages and serves as COR on environmental services contracts, including the wastewater pretreatment plant operation and hazardous waste disposal.
6. Samples air, wastewater, and hazardous wastes to be analyzed in compliance with Federal, State and local environmental statutes and regulations.
7. Evaluates completed projects and systems to determine compliance with specifications and environmental regulations.
8. Ensures that proper training is implemented to enable the Bureau to carry out day-to-day compliance verification activities (under the Bureau's day-to-day environmental program) on environmental projects.
9. Determines whether there is a need for review and/or approval prior to installation of environmental systems (for example, legal review, Fine Arts Commission and National Capital Planning Commission approval), and coordinates actions to facilitate approval.
10. Assures that newly implemented environmental systems are operating as specified. Coordinates efforts to implement effective day-to-day inspection functions.
11. Reports analytical findings and, if necessary, makes recommendations for corrective actions to affected Bureau components.
12. Keeps abreast of current and pending relevant Federal, State, and local environmental statutes and regulations.
13. Prepares and submits required assessments, applications, and reports to Federal, State, and local environmental agencies or other Bureau components.
14. Maintains a database of all Bureau environmental data on existing programs, permit requirements, etc.
15. Acts as Bureau liaison with Federal, State, and local environmental authorities.
16. Disseminates information on relevant existing and pending environmental statutory and/or regulatory changes to appropriate Bureau components to enable the Bureau to maintain compliance with environmental laws and regulations.

17. Alerts the Chief, OEHS to the failure (or trend toward failure) of day-to-day efforts to comply with environmental requirements or projected changes in environmental requirements.
18. Recommends and justifies the need for studies pertaining to the replacement, update and/or addition of environmental systems at Bureau facilities.
19. Reviews such studies to assess the effectiveness of proposed corrective actions in meeting and sustaining existing or projected compliance requirements from a day-to-day operational perspective.
20. Develops, implements, and monitors the Bureau's Spill Prevention and Control Program.
21. Manages the Bureau's Community Right-to-Know Program.
22. Reviews specifications of materials purchased by the Bureau to ensure compliance with environmental regulations.

#### **562000 SAFETY AND HEALTH DIVISION**

1. Manages and administers the DCF's overall safety, industrial hygiene, safety engineering, and fire protection programs.
2. Conducts safety and occupational health program audits and facilities/equipment safety inspections of operational and support functions to reduce accidents and injuries, and facilitates compliance with applicable safety, occupational health and fire protection rules, regulations, and standards.
3. Reviews and analyzes injury and property loss data and formulates safety and/or health strategies for reducing losses and makes recommendations to management.
4. Reviews and approves plans and specifications for new equipment and modifications to old equipment, as well as new and existing building structures to ensure that safety, occupational health, safety engineering, and fire protection factors are incorporated.
5. Manages the DCF's comprehensive safety, occupational health, and fire protection training contract to ensure levels of training are provided for the Bureau's workforce in compliance with federal regulations.
6. Develops safety and health education programs, training packages, and informational bulletins for employees and management to promote worker safety, including on-line EHS training.
7. Serves as the DCF's advocate and advisor on all occupational safety and health



issues to ensure that the DCF provides a safe and healthy work place for its employees.

8. Manages injury and illness prevention.

#### **562010 SAFETY STAFF**

1. Provides program management for OSHA-required safety and industrial hygiene programs.
2. Provides off-shift safety coverage and Fire Management System coverage through contractual agreements.
3. Develops and manages BEP's workplace inspection program, hazardous reporting and abatements program.
4. Develops and maintains a computerized comprehensive medical and injury/illness tracking system to compile data required by Federal regulations, to identify and analyze trends, faulty equipment, and operating procedures, and generate reports informing management of loss trends, causes, and recommended remediation.
5. Prepares and distributes comprehensive safety reports to Bureau managers for use in providing a safer workplace for employees.
6. Provides new employee orientation training on safety and occupational health issues.
7. Provides training in all safety programs, such as industrial trucks, lockout/tagout, confined space, machine guarding, electrical safety, and fall protection, etc.
8. Manages and oversees the safety Eye Glasses and Shoe Mobil Programs.

#### **562020 HEALTH STAFF**

1. Conducts periodic surveys to recognize and identify occupation and environmental stresses that may endanger life and health, accelerate the aging process, or cause significant discomfort. Evaluates the magnitude of work-related hazards and stresses and develops corrective measures in order to control health hazards by either reducing or eliminating the hazards or stresses. Maintains an exposure database and communicates survey results to employees, supervisors, and managers to reduce illness and injury, and meet OSHA record keeping requirements.
2. Manages the overall asbestos identification, abatement, and air monitoring programs for the DCF, in accordance with OSHA and EPA requirements. Reviews renovation project specifications, drawings and designs, and coordinates abatement projects in support of these renovations. Maintains floor plans with asbestos locations and quantities for each building.

3. Periodically monitors engineering controls, such as ventilation, to determine effectiveness in reducing or eliminating occupational stresses. Maintains a database of ventilation performance. Recommends design changes to improve healthful working conditions.
4. Develops and manages the DCF's Hazard Communication (HAZCOM) Program including development of the written policy, in accordance with OSHA and EPA requirements. Responsible for providing all affected DCF personnel with HAZCOM awareness and training, and plans the training schedule for areas throughout the Bureau. Reviews specifications for materials purchased by the Bureau to ensure compliance with Hazard Communication regulations.
5. Develops and manages the DCF's Medical Surveillance Program, including development of the written policy, in accordance with OSHA requirements, and coordinates with the Bureau's Medical Officer to identify and monitor employee health hazards through the use of specialized medical examinations and biological indicators.
6. Develops and manages the DCF's Personal Protective Equipment (PPE) Program, including development of the written policy, in accordance with OSHA and EPA requirements. Has overall responsibility for the program, which consists of three components: safety footwear, safety glasses and face shields, and head and hand protection. In conjunction with the Office of Acquisition, ensures that adequate PPE supplies are available for employee use.
7. Develops and manages the DCF's lead-based paint identification and abatement design program, including development of the written policy, in accordance with OSHA and EPA requirements. Coordinates the removal of lead-based paint with the Environmental Management Division. Provides all affected employees with lead-based paint awareness, background information on lead in the DCF, hazard recognition, and the adverse effects of lead.
8. Manages health and fitness services and oversees health, wellness activities, and the District of Columbia Facility's Bloodmobile Program with the Washington Area Red Cross.

**570000 OFFICE OF EQUAL OPPORTUNITY AND DIVERSITY MANAGEMENT  
(OEODM)**

The Office of Equal Opportunity and Diversity Management (OEODM) is responsible for the following programs: Employee Assistance Program, Diversity and Outreach Program, EEO/Non-EEO Alternative Dispute Resolution Program, and the EEO Counseling Program.

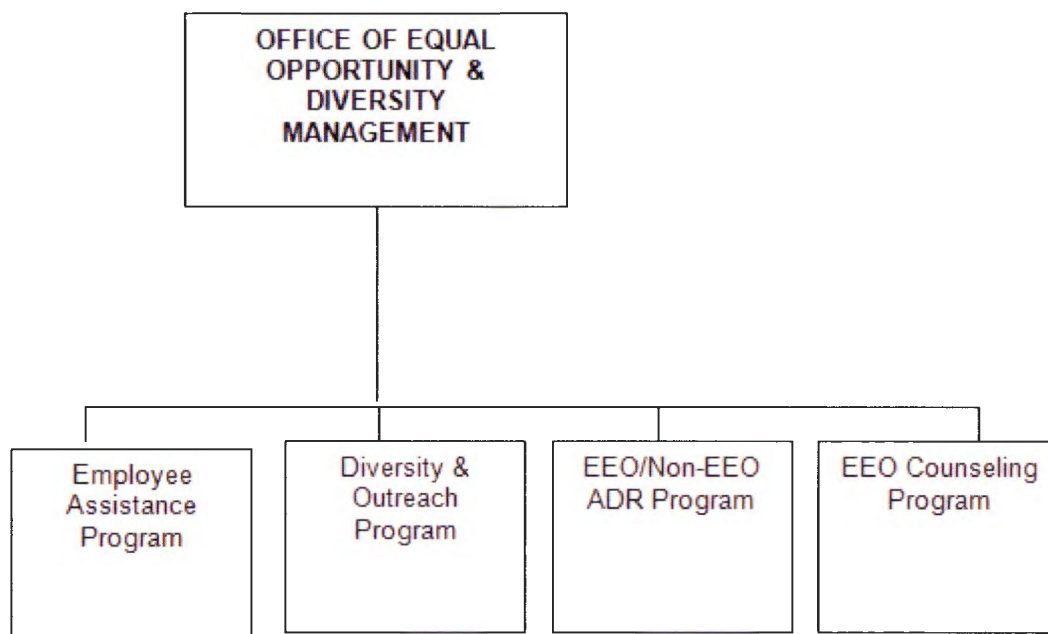
The OEODM establishes policies and procedures for the various programs. It is responsible for and administers the operations of the Bureau's Affirmative Action Plan and the activities and functions of the programs.

The OEODM ensures that policies are adhered to in the development of all other Bureau-wide policies related to recruitment, employment, promotion, training, and conflict prevention, resolution and management. It establishes and maintains working relationships with all levels of personnel, and management officials in order to effectuate policy implementation.

The Chief as the technical advisor to the Director and Bureau management on EEO/Non-EEO ADR, affirmative action, diversity and outreach, employee assistance, EEO Counseling, and other related matters.

The Chief serves as the Bureau's OEODM Officer and may represent the Bureau at conferences and departmental meetings.

The OEODM serves as the administrator of the Treasury Shared Neutrals (TSN) Program.



### **570100 EMPLOYEE ASSISTANCE PROGRAM**

1. Establishes and maintains a comprehensive Employee Assistance Program (EAP) and referral services for employees.
2. Provides policy recommendations for conduct of comprehensive counseling program (alcoholism, drug dependency, and personal and life issues).
3. Administers the EAP in accordance with Public Laws 91-66 and 92-255 (as amended by Public Law 93-282), Federal Personnel Manual (FPM) Chapters 792, Supplement 792, FPM Letter 792-8 and TPMM 792, Subchapter 2, dated November 6, 1979, Treasury Employees Alcohol and Drug Abuse Program.

### **570200 DIVERSITY AND OUTREACH PROGRAM**

1. Responsible for assisting the organization in meeting the goal of establishing a diversified workforce at all levels, in all organizations.
2. Responsible for developing and implementing tracking procedures, which would assist the Bureau in identifying and resolving actual perceived barriers of which adversely affect employees.
3. Responsible for conducting trend analysis on the work force, awards, promotion, training, separation, and disciplinary actions to ensure that they are administered in a nondiscriminatory manner.
4. Responsible for compiling the data and writing annual reports that are submitted to the White House, Equal Employment Opportunity Commission, and Office of Personnel Management.
5. Leads or coordinates the annual special observances programs; perform as a liaison between the Office of Human Resources recruiters, professional national organizations, colleges and universities, which can assist in the Bureau's recruitment efforts and activities; and conduct local outreach to communities and local schools with emphasis on sharing information knowledge about the Bureau and technology.

**570300 EEO/NON-EEO ALTERNATIVE DISPUTE RESOLUTION PROGRAM**

1. In 1990, the Administrative Dispute Resolution Act (ADRA) required each Federal agency to adopt a policy on ADR use. In 1996, ADRA was reenacted as the Administrative Dispute Resolution Act of 1996. In 2000, the Equal Employment Opportunity Commission (EEOC) required all Federal agencies to establish or make available an ADR program during the pre-complaint and formal complaint stages of the EEO process. This regulation requires agencies to make reasonable efforts to voluntarily settle EEO discrimination complaints as early as possible throughout the administrative process.

2. Agencies complainants have realized that utilizing the ADR during the EEO process has many advantages. ADR offers the parties the opportunity for an early informal resolution or disputes from an unknown third party, such as an administrative judge, the parties have the opportunity to write their own agreement in manner which satisfies both their needs. Not only does ADR provide a Win-Win resolution for the parties, but it also usually cost less and uses fewer resources than traditional administrative or adjudicative processes. As a result, the complainant's working relationship can improve rather than deteriorate due to ongoing legal battles, and the overall employee morale can be enhanced when the agency is viewed as open-minded and cooperative in seeking to resolve EEO disputes.

3. Although agency EEO ADR programs are designed to address disputes arising under statutes enforced by the EEOC, the Commission found that many work place disputes brought to the process often include Non-EEO issues. By offering a Non-EEO ADR process, the BEP employees will have an informal process that would allow them to have Non-EEO issues that would normally have gone into the EEO process. Nothing said or done during attempts to resolve the complaint through Non-EEO can be made the subject of an EEO complaint. Likewise, an agency decision not to engage in ADR, or not to make ADR available for a particular case, or an agency failure to provide a neutral cannot be the subject of an EEO complaint.

4. If the resolution of the matter is unsuccessful in ADR, NON-EEO issues and issues not brought to the attention of the Counselor cannot be included in the formal complaint unless the issue is like or related to issues raised during the EEO counseling.

**570400 EQUAL EMPLOYMENT OPPORTUNITY COUNSELING PROGRAM**

The Counselor plays a vital role in ensuring prompt and efficient processing of the EEO complaint. EEO Counselor must ensure that the complainant understands his/her rights and responsibilities in the EEO process, including the option to elect ADR. The EEO Counselor must perform several tasks in all cases, regardless of whether the individual ultimately elects the ADR option, including:

1. Advises the aggrieved person about the EEO complaint process under 29 CFR, Part 1614. The EEO Counselor should explain the agency ADR program, indicating

either that the program is available to the aggrieved individual or that the EEO Counselor will advise the individual whether the program will be made available. The EEO Counselor further should explain that if the ADR program is available, the aggrieved individual will have to exercise an election option and decide whether to seek pre-complainant resolution through the ADR process or through the traditional EEO counseling process. In this regard, the EEO Counselor should inform the aggrieved individual about the differences between the two processes.

2. Determine the claim(s) and basis(es) raised by the potential complaint.
3. Conduct an inquiry during the initial interview with the aggrieved person for the purposes of determining jurisdictional questions. This include determining whether there may be issues relating to the timeliness of the individual's EEO Counselor contact and obtaining information relating to the issue. It also includes obtaining enough information concerning the claim(s) and basis(es) so as to enable the agency to properly identify the legal claim raised if the individual files a complaint at the conclusion of the EEO counseling process.
4. Seek a resolution of the dispute at the lowest possible level, unless the aggrieved person elects to participate in the agency's ADR program where the agency agrees to offer ADR in a particular case. If the dispute is resolved in counseling, the EEO Counselor must document the resolution.
5. Advise the aggrieved person of his/her right to file a formal discrimination complaint if attempts to resolve the dispute through EEO counseling or ADR fail to resolve the dispute.
6. Prepare a report sufficient to document that the EEO Counselor undertook the required counseling actions and to resolve any jurisdictional questions that arise.

#### **600000 ASSOCIATE DIRECTOR (QUALITY)**

1. The Associate Director (Quality), in coordination with the other Associate Directors, develops Bureau-wide policy recommendations, establishes long-term policy guidelines, and operational plans for his/her assigned areas of responsibility.
2. The Associate Director (Quality) is responsible for the design, development and successful implementation of the Quality Management Strategy. The Associate Director (Quality) provides oversight and leadership for the Bureau's quality management and has accountability for the end-to-end quality system including such elements as Change Control, Complaints, Corrective and Preventative Actions (CAPAs), and Management Controls. The Associate Director (Quality) provides leadership to component offices to implement programs of cost-beneficial capital investment, quality engineering, and product quality improvement.
3. The Associate Director (Quality) directs the effective operation of the Bureau's

Quality Management System (QMS), including the development, implementation, and monitoring of product standards and performance specifications. The Associate Director (Quality) provides leadership for the development of Bureau-wide policy, long-term policy guidelines, and long-range plans for quality systems development for all Bureau components and is responsible for all phases of long-term quality system development and identifies and assesses innovative quality systems for incorporation into BEP strategic plans for future BEP and customer use.

4. The Associate Director (Quality) presents Bureau quality information and analyses to the Director and Executive Staff, other Departmental officials, customer agencies, regulatory agencies, Congress, and interested parties.

5. The Associate Director (Quality) coordinates activities with the other Associate Directors, and serves as liaison with Government agencies and others in the quality engineering and quality fields. The purpose of this liaison is to identify, obtain, and maintain a robust and sustainable, customer-focused, quality system and produce results of the high quality expected by the Federal Reserve Board.

6. As designated, the Associate Director (Quality) represents the Director in external policy meetings, national and international conferences, and contacts with manufacturing representatives.

#### **600000 DEPUTY ASSOCIATE DIRECTOR (QUALITY)**

1. The Deputy Associate Director (Quality) ensures the activities of the Quality Directorate are aligned with, and support the Director's/Deputy Director's and Associate Director's (Quality) vision and strategic goals, organizational core values, and annual action items, as well as, performance measures. The incumbent thus performs various program management and supervisory duties on behalf of the Directorate.

2. Responsible to the Associate Director (Quality) for work as assigned. Develops and documents the Bureau's Quality System Vision clearly identifying the expected characteristics of the end state system along with time frame of execution.

3. Develops and documents objectives which, when accomplished, will result in attaining the Bureau's Quality System Vision.

4. Leads BEP's product quality assurance and improvement programs, and assures the Quality Management System is maintained and continuously improved in accordance with ISO-9001 standards.

5. Leads Bureau Quality Assurance teams and initiatives resulting from audit reviews, management reviews, quality meetings, customer feedback, supplier performance reviews, and organization-wide programs to continuously improve processes, procedures, practices, and programs to transform the organization from a



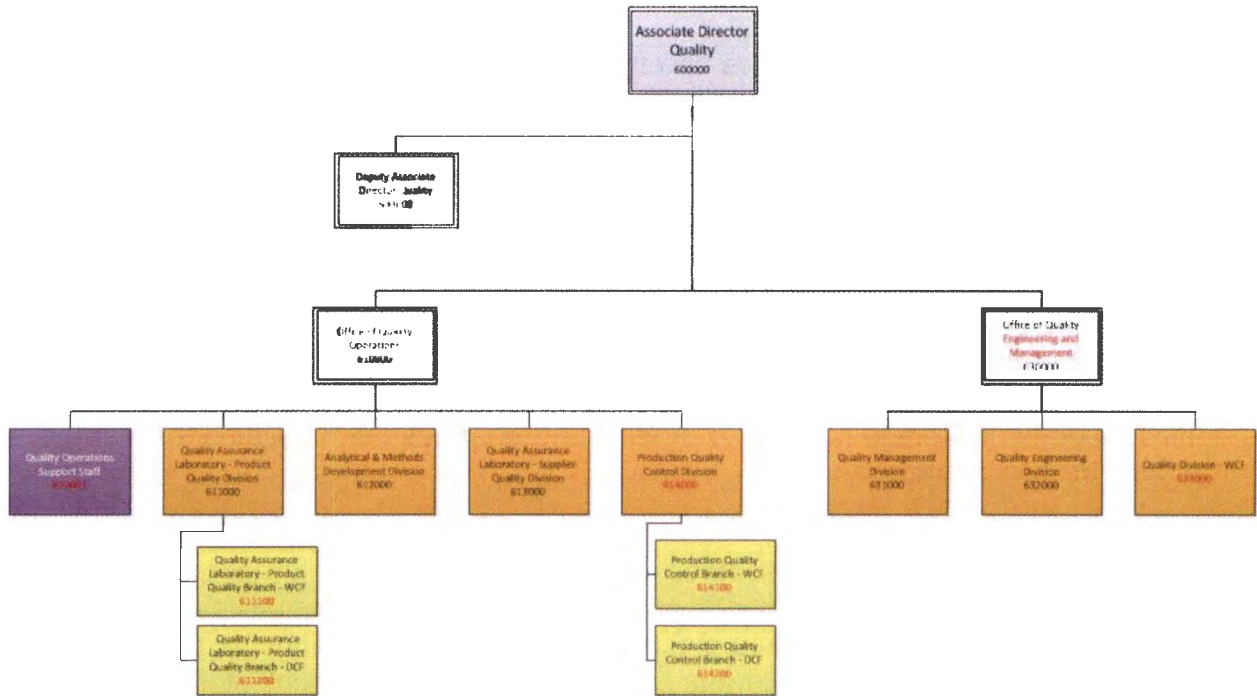
quality inspection focus to quality assurance driven.

6. Directs preparations for and facilitates the conduct of Quality Management System Review (QMSR) meetings providing a snapshot of the Quality Management System performance to executive management including information which supports cross-functional review, decision making, proactive management of Quality Management System, and assesses the effectiveness of the Quality Management System.
7. Directs and ensures effective operation of the Monthly Quality Meeting at which detailed analyses and reviews of the effectiveness of Quality Management System, Customer and Executive feedback, Process-based Reviews, Product Conformity, and new quality initiatives and/or proposals are presented.
8. Establishes data-based quality targets for manufacturing. Management reporting of performance to the target is included in the Monthly Quality Meeting and the Quality Management System Review.
9. Directs and ensures effective operation of the CAPA Council providing a systematic approach to management of quality issues and addresses items identified in production, product development, support functions and external (customer complaints) areas including accountability for facilitating effectiveness and sustainability of corrective actions.
10. Ensures processes needed for the Quality Management System are established, implemented, and maintained.
11. Ensures product quality standards are established, approved, understood, implemented, and adhered to by all directorates/plants.
12. Monitors compliance with Bureau quality standards and evaluates performance against the quality standards by analyzing production quality information and customer feedback related to product quality; conducts analyses to identify negative or positive trends that may be developing. Prepares and presents management briefings regarding results, conclusions, and recommendations.
13. Evaluates final product quality verification testing results and provide final "release authority" for finished currency; applies continuous improvement process methodology to identify root cause(s) for product on hold and coordinates implementation of preventative actions and process changes.
14. Prepares reports and summarizes the results of testing for BEP managers and executives.
15. Develops and provides training on continuous improvement as needed such as ISO-9001, Process-based Auditing, Root Cause Analysis, Failure Mode effects

Analysis, etc.

16. Uses subordinate supervisors or comparable personnel to direct, coordinate or oversee the work and exercises significant responsibilities in dealing with officials of other units or organizations, or in advising management officials of higher rank. Assures reasonable equity of performance standards and rating techniques developed by subordinates; directs a program or major program segment with significant resources and makes decisions on work problems presented by subordinate supervisors or similar personnel. Evaluates subordinate supervisors or leaders, serves as the reviewing official on evaluations of nonsupervisory employees rated by subordinate supervisors and makes or approves selections for subordinate nonsupervisory positions. Finds and implements ways to eliminate or reduce significant bottlenecks and barriers to production, promotes team building, or improves business practices.

17. The incumbent may represent the Bureau in national and international conferences and contacts with industry and manufacturing representatives. Planning and policy actions affect the present and future productive capability of facilities, materials, and equipment of the Bureau and impact upon the national interest due to the significance of the Bureau products. The incumbent is responsible to the Associate Director (Quality) for the effective direction and management of the diverse and complex programs and projects under his/her control. Must effectively integrate the overall work effort, resolving the range from extremely short emergency deadlines which determine program responsiveness to long-range planning with complete projections and analyses.



**610000 OFFICE OF QUALITY OPERATIONS**

1. The Office of Quality Operations is the focal point of validating the Bureau of Engraving and Printing's (BEP) manufacturing operations are robust and sustainable, customer-focused, and produce products of the high quality expected by the FRB. The Office Chief, Office of Quality Operations, reports to the Deputy Associate Director (Quality) in setting quality strategic plans, establishing quality performance goals and measurements, promoting quality awareness and monitoring product quality.
2. Through the Deputy Associate Director (Quality), the Chief advises the BEP executive team on product quality issues.
3. The primary functions of the Office of Quality Operations are promoting customer satisfaction by improving the overall quality assurance and control of BEP manufactured products; leading or actively participating on quality action teams to resolve production-related issues; and leading quality assurance and control activities to collect data validating that customer requirements are being met.
4. The Office is responsible for quality assurance policies and procedures; evaluating adequacy of quality assurance standards; planning, testing and inspection of Work in Process (WIP) to ensure finished product quality meets customer requirements; and collecting and compiling statistical quality data.
5. The Office analyzes data to identify areas of improvement in the quality system, and develops and issues statistically based reports defining results of product and process evaluation activities. The Office determines quality related training requirements and provides training as needed.
6. Uses subordinate supervisors or comparable personnel to direct, coordinate or oversee the work and exercises significant responsibilities in dealing with officials of other units or organizations, or in advising management officials of higher rank. Assures reasonable equity of performance standards and rating techniques developed by subordinates; directs a program or major program segment with significant resources and makes decisions on work problems presented by subordinate supervisors or similar personnel. Evaluates subordinate supervisors or leaders, serves as the reviewing official on evaluations of nonsupervisory employees rated by subordinate supervisors and makes or approves selections for subordinate nonsupervisory positions. Finds and implements ways to eliminate or reduce significant bottlenecks and barriers to production, promote team building, or improve business practices.
7. Monitors compliance with Bureau quality standards and evaluates performance against the quality standards by analyzing production quality information and customer feedback related to product quality; conducts analyses to identify negative or positive trends that may be developing. Prepares and presents management briefings regarding results, conclusions, and recommendations.

## 610001 QUALITY OPERATIONS SUPPORT STAFF

1. Maintains a calibration and preventative maintenance program for all laboratory instruments and equipment across the various manufacturing facilities' quality assurance laboratories.
2. Provides instrumentation, equipment, materials and supports CORs across the various manufacturing quality assurance laboratories to support laboratory operations.
3. Serves as Program Manager and COR for the Laboratory Information Management System (LIMS).
4. Monitors and adjudicates alignment of testing protocols across the various manufacturing facilities' quality assurance laboratories.
5. Implements the principles of 5S and Lean 6 Sigma in the work place.
6. Monitors trends and provides analysis of Collaborative Testing Services results, Round Robin testing with BEP primary vendors and intra-laboratory round robin testing.
7. Leads special gage R&R evaluations and analyzes results.
8. Communicates with the Office of Quality Engineering and Management and ensures that Corrective and Preventive Actions (CAPAs) are entered when non-conforming results occur in tested materials or products. Work on CAPAs or Preventive Actions when assigned.
9. Conducts research within the graphic arts profession for state-of-the-art improvements in process/instrumentation.
10. Maintains an inventory and accountability for all test work. Institutes internal control and accountability procedures in cooperation with the Offices of Security and Compliance; ensures compliance with BEP policies and procedures; and maintains physical security and control of the product at all stages of processing; controls materials, machinery, etc. charged to the Staff.
11. Accounts for all products and once product is 100% reconciled by section, transfers products to the Verification/Authentication Process for the product to be processed under the joint verification and destruction procedures.
12. Participates in internal and external quality audits; and develops and implements correction actions in response to action requests.

**610001 QUALITY OPERATIONS SUPPORT STAFF (continued)**

13. May be required to serve as a Material Review Board member or on various other working groups.
14. Maintains required documentation in support to the BEP's ISO 9001 Quality Management Program.

**611000 QUALITY ASSURANCE LABORATORY - PRODUCT QUALITY DIVISION**

1. Provides supervision to the Product Quality Assurance Branch – DCF and the Product Quality Assurance Branch – WCF to test in-process and finished currency. Develops and implements a currency quality control program.
2. The DCF and WCF Branches evaluate the quality of currency by determining if the currency can be processed acceptably on the currency processing equipment used by the Federal Reserve. Routinely evaluates the durability of ink on blank engraved currency after face intaglio printing.
3. Maintains alignment of testing protocols across the various manufacturing facilities' quality assurance laboratories.
4. Provides direction to maintain required documentation in support to the BEP's ISO 9001 Quality Management System. Supports implementation and usage of the Laboratory Information Management System (LIMS).
5. Implements the principles of 5S and Lean 6 Sigma in the work place.
6. Serves as Program Manager and COR for the Banknote Processing Systems used for testing final product, including the associated sensors. Participates in new system/sensor developmental activities with the Offices of Quality, Engineering, Manufacturing, Product and Technology Development; along with the Federal Reserve Board and the Currency Technology Office. Serves as liaison with external stakeholders and internal BEP components on new system and sensor implementation initiatives.
7. The DCF and WCF Branches provide technical support for the materials acquisition program by providing laboratory testing of bid samples as part of the technical evaluation. Evaluates new and/or improved production materials.
8. The DCF and WCF Branches provide technical support to manufacturing, product and technology development by providing laboratory inspection and testing services.
9. Ensures that the branches communicate with the Office of Quality Engineering and Management and ensures that Corrective and Preventive Actions (CAPAs) are

entered when non-conforming results occur in tested materials or products.  
Coordinates work on CAPAs or Preventive Actions when assigned.

10. Works closely in support of testing and methods development with the Analytical and Methods Development and the Materials Application Divisions to enhance and strengthen the BEP's Quality Assurance Program.

**611000 QUALITY ASSURANCE LABORATORY - PRODUCT QUALITY DIVISION  
(continued)**

11. Provides oversight to accountability of securities and compliance to security and accountability policies and procedures of the DCF and WCF Branches.

12. Participates in internal and external quality audits; and develops and implements correction actions in response to action requests.

13. May be required to serve as a COR, Material Review Board member or on various other working groups.

**611100 QUALITY ASSURANCE LABORATORY - PRODUCT QUALITY BRANCH -  
WCF**

1. Conducts inspection and testing of in-process and out-going final products to assure the materials meet BEP specifications and quality standards.

2. Evaluates the quality of currency by determining if the currency can be processed acceptably on the currency processing equipment used by the Federal Reserve. Routinely evaluates the durability of ink on blank engraved currency after face intaglio printing.

3. Maintains required documentation in support to the BEP's ISO 9001 Quality Management System. Supports implementation and usage of the Laboratory Information Management System (LIMS).

4. Ensures all laboratory instruments and equipment are functioning and calibrated before use.

5. Supports the principles of 5S and Lean 6 Sigma in the work place.

6. Provides technical support for the materials acquisition program by providing laboratory testing of bid samples as part of the technical evaluation. Evaluates new and/or improved production materials.

7. Provides technical support to manufacturing, product and technology development by providing laboratory inspection and testing services.
8. Maintains alignment of testing protocols across the various manufacturing facilities' quality assurance laboratories.
9. Communicates with the Office of Quality Engineering and Management and ensures that Corrective and Preventive Actions (CAPAs) are entered when non-conforming results occur in tested materials or products. Work on CAPAs or Preventive Actions when assigned.
10. Works closely in support of testing and methods development with the Analytical and Methods Development and the Materials Application Divisions to enhance and strengthen the BEP's Quality Assurance Program.
11. Maintains an inventory and accountability for all test work. Institutes internal control and accountability procedures in cooperation with the Offices of Security and Compliance; ensures compliance with BEP policies and procedures; and maintains physical security and control of the product at all stages of processing; controls materials, machinery, etc. charged to the Branch.
12. Accounts for all products and once product is 100% reconciled by section, transfers products to the Verification/Authentication Process for the product to be processed under the joint verification and destruction procedures.
13. Participates in internal and external quality audits; and develops and implements correction actions in response to action requests.
14. May be required to serve as a COR, Material Review Board member or on various other working groups.

**611200 QUALITY ASSURANCE LABORATORY - PRODUCT QUALITY BRANCH –  
DCF**

1. Conducts inspection and testing of in-process and out-going final product to assure the materials meet BEP specifications and quality standards.
2. Evaluates the quality of currency by determining if the currency can be processed acceptably on the currency processing equipment used by the Federal Reserve. Routinely evaluates the durability of ink on blank engraved currency after face intaglio printing.
3. Maintains required documentation in support of the BEP's ISO 9001 Quality Management Program. Supports implementation and usage of the Laboratory Information Management System (LIMS).



4. Ensures all laboratory instruments and equipment are functioning and calibrated before use.
5. Supports the principles of 5S and Lean 6 Sigma in the work place.
6. Provides technical support for the materials acquisition program by providing laboratory testing of bid samples as part of the technical evaluation. Evaluates new and/or improved production materials.
7. Provides technical support to manufacturing, product and technology development by providing laboratory inspection and testing services.
8. Maintains alignment of testing protocols across the various manufacturing facilities' quality assurance laboratories.
9. Communicates with the Office of Quality Engineering and Management and ensures that Corrective and Preventive Actions (CAPAs) are entered when non-conforming results occur in tested materials or products. Works on CAPAs or Preventive Actions when assigned.
10. Works closely in support of testing and methods development with the Analytical and Methods Development and the Materials Application Divisions to enhance and strengthen the BEP's Quality Assurance Program.
11. Maintains an inventory and accountability for all test work. Institutes internal control and accountability procedures in cooperation with the Offices of Security and Compliance; ensures compliance with BEP policies and procedures; and maintains physical security and control of the product at all stages of processing; controls materials, machinery, etc. charged to the Branch.
12. Accounts for all products and once product is 100% reconciled by section, transfers products to the Verification/Authentication Process for the product to be processed under the joint verification and destruction procedures.
13. Participates in internal and external quality audits; and develops and implements correction actions in response to action requests.
14. May be required to serve as a COR, Material Review Board member or on various other working groups.

**612000 ANALYTICAL AND METHODS DEVELOPMENT Division**

1. Provides on-going analytical testing services to various BEP components.
2. Conducts chemical and/or elemental tests on electrolytic baths to assure correct ion and pH balances.
3. Conducts tests to verify material compliance for volatile organic components, as well as heavy metals and other environmental requirements.
4. Maintains required documentation in support of the BEP's ISO 9001 Quality Management Program. Supports implementation and usage of the Laboratory Information Management System (LIMS).
5. Ensures all laboratory instruments and equipment are functioning and calibrated before use.
6. Implements the principles of 5S and Lean 6 Sigma in the work place.
7. Maintains alignment of testing protocols across the various manufacturing facilities' quality assurance laboratories.
8. Recommends and develops test methods; substantiates and recommends process and material improvements through process capability studies, design of experiment, laboratory research, and in-process observations. Researches and develops improved test methods which might result in continuous product improvements and customer satisfaction.
9. Develops methods for testing of all relevant BEP materials, e.g., inks, papers, cured ink durability, and for special product and technology development projects. In this capacity, this division works closely with the Offices of Quality, Quality Operations, and Product and Technology Development.
10. Responds to requests for assistance on production problems. Identifies the probable causes for production problems and initiates appropriate action to obtain resolution of the problems in the fastest possible time.
11. Initiates projects intended to improve material productivity, product quality, material performance, equipment performance and spoilage reduction.
12. Works with the Office of Quality Engineering and Management to ensure that quality standards for BEP products comply with the Quality Management System.
13. Develops and implements production standards such as target values and tolerances.

**612000 ANALYTICAL AND METHODS DEVELOPMENT DIVISION (continued)**

14. Works closely with other BEP components to ensure comprehensive and appropriate testing for new product designs and manufacturing operations.
15. Communicates with the Office of Quality Engineering and Management and ensures that Corrective and Preventive Actions (CAPAs) are entered when non-conforming results occur in tested materials or products. Works on CAPAs or Preventive Actions when assigned.
16. Conducts research within the graphic arts profession for state-of-the-art improvements in process/instrumentation.
17. Maintains an inventory and accountability for all test work. Institutes internal control and accountability procedures in cooperation with the Offices of Security and Compliance; ensures compliance with BEP policies and procedures; and maintains physical security and control of the product at all stages of processing; controls materials, machinery, etc. charged to the Branch.
18. Accounts for all products and once product is 100% reconciled by section, transfers products to the Verification/Authentication Process for the product to be processed under the joint verification and destruction procedures.
19. Participates in internal and external quality audits; and develops and implements correction actions in response to action requests.
20. May be required to serve as a COR, Material Review Board member or on various other working groups.
21. Maintains required documentation in support to the BEP's ISO 9001 Quality Management System.

**613000 QUALITY ASSURANCE LABORATORY - SUPPLIER QUALITY DIVISION**

1. Assures that incoming raw materials and supplies meet contractual specifications. Using the expertise of professional scientific personnel, performs laboratory analyses on papers, inks, and other materials.
2. Provides technical support for the materials acquisition program by providing laboratory testing of bid samples as part of the technical evaluation.
3. Ensures all laboratory instruments and equipment are functioning and calibrated before use.
4. Implements the principles of 5S and Lean 6 Sigma in the work place.

5. Participates in Collaborative Testing Services (CTS) program to assure test procedures and equipment reliability.
6. Conducts Round Robin testing with BEP primary vendors to corroborate results of instrumental readings.
7. Works with CORs in support of materials quality and performance.
8. Communicates with the Office of Quality Engineering and Management and ensures that Corrective and Preventive Actions (CAPAs) are entered when non-conforming results occur in tested materials or products and work on CAPAs or Preventive Actions when assigned.
9. Works closely in support of testing and methods development with the Analytical and Methods Development and Materials Application Divisions to enhance and strengthen the BEP's Quality Assurance Program.
10. Maintains an inventory and accountability for all test work. Institutes internal control and accountability procedures in cooperation with the Offices of Security and Compliance; ensures compliance with BEP policies and procedures; maintains physical security and control of the product at all stages of processing; and controls materials, machinery, etc. charged to the Branch.
11. Accounts for all products and once product is 100% reconciled by section, transfers products to the Verification/Authentication Process for the product to be processed under the joint verification and destruction procedures.
12. Participates in internal and external quality audits; and develops and implements correction actions in response to action requests.

**613000 QUALITY ASSURANCE LABORATORY - SUPPLIER QUALITY DIVISION  
(continued)**

13. May be required to serve as a COR, Material Review Board member or on various other working groups.
14. Maintains required documentation in support to the BEP's ISO 9001 Quality Management Program. Supports implementation and usage of the Laboratory Information Management System (LIMS).

**614000 PRODUCTION QUALITY CONTROL DIVISION**

1. Performs in-process product evaluation against approved standards and acceptance criteria. Reports results in a timely manner and assures real time reaction to problems, including identification and segregation of potentially non-conforming material.
2. Performs final product evaluation and assigns disposition based on compliance to approved standards and acceptance criteria. Reports results in a timely manner and assures identification and segregation of potentially non- conforming material.
3. Assures all gauges and test equipment used for the monitoring of products and processes are adequate for the intended use and are properly maintained and in calibration.
4. Develops and issues statistically based reports defining results of product and process evaluation activities.
5. Verifies compliance within manufacturing operations to validated processes and procedures. Reports non-compliances in a timely manner and assures proper resolution, including identification and segregation of potentially non-conforming material.
6. Assures day to day manufacturing site compliance with requirements of the BEP Quality Management System. Identifies and reports to management significant failures to comply.
7. Escalates and documents significant issues potentially impacting the BEP's ability to meet previously agreed upon production targets. Actively contributes to timely resolution of issues and reporting to BEP's customers.
8. Uses predefined statistical tools to identify potentially non-conforming materials.
9. Identifies and eliminates quality issues that affect the BEP's ability to meet customer expectations.
10. Assures accurate, complete, and timely documentation is accomplished detailing results of all Quality Control activities
11. Assists as required in the performance of compliance audits designed to identify issues within the manufacturing and quality operations.
12. Based upon results of defined product and process checks, assigns quality status to manufactured products. Evaluates and submits updates for the BEP's product specifications to assure that customer expectations are met.

**614100 PRODUCTION QUALITY CONTROL BRANCH - WCF**

1. Performs as part of a team and leads teams for in-process product evaluation against approved standards and acceptance criteria. Reports results in a timely manner and assures real time reaction to problems, including identification and segregation of potentially non-conforming material.
2. Performs final product evaluation and assigns disposition based on compliance to approved standards and acceptance criteria. Reports results in a timely manner and assures identification and segregation of potentially non-conforming material.
3. Assures all gauges and test equipment used for the monitoring of products and processes are adequate for the intended use and are properly maintained and in calibration.
4. Develops and issues statistically based reports defining results of product and process evaluation activities.
5. Verifies compliance within manufacturing operations to validated processes and procedures. Reports non-compliances in a timely manner and assures proper resolution, including identification and segregation of potentially non-conforming material.
6. Assures day to day manufacturing site compliance with requirements of the BEP Quality Management System. Identifies and reports to management significant failures to comply.
7. Escalates and documents significant issues potentially impacting the BEP's ability to meet previously agreed upon production targets. Actively contributes to timely resolution of issues and reporting to BEP's customers.
8. Uses predefined statistical tools to identify potentially non-conforming materials.
9. Identifies and eliminates quality issues that affect the BEP's ability to meet customer expectations.
10. Assures accurate, complete, and timely documentation is accomplished detailing results of all Quality Control activities and other duties as assigned.

**614200 PRODUCTION QUALITY CONTROL BRANCH - DCF**

1. Performs as part of a team and leads teams for in-process product evaluation against approved standards and acceptance criteria. Reports results in a timely manner and assures real time reaction to problems, including identification and segregation of potentially non-conforming material.
2. Performs final product evaluation and assigns disposition based on compliance to approved standards and acceptance criteria. Reports results in a timely manner and assures identification and segregation of potentially non- conforming material.
3. Assures all gauges and test equipment used for the monitoring of products and processes are adequate for the intended use and are properly maintained and in calibration.
4. Develops and issues statistically based reports defining results of product and process evaluation activities.
5. Verifies compliance within manufacturing operations to validated processes and procedures. Reports non-compliances in a timely manner and assures proper resolution, including identification and segregation of potentially non-conforming material.
6. Assures day to day manufacturing site compliance with requirements of the BEP Quality Management System. Identifies and reports to management significant failures to comply.
7. Escalates and documents significant issues potentially impacting the BEP's ability to meet previously agreed upon production targets. Actively contributes to timely resolution of issues and reporting to BEP's customers.
8. Uses predefined statistical tools to identify potentially non-conforming materials.
9. Identifies and eliminates quality issues that affect the BEP's ability to meet customer expectations.
10. Assures accurate, complete, and timely documentation is accomplished detailing results of all Quality Control activities and other duties as assigned.

**630000 OFFICE OF QUALITY ENGINEERING AND MANAGEMENT**

1. The Office of Quality Engineering and Management is the focal point of upholding the BEP's vision and strategy as the world leader in security print quality. The Office Chief, Office of Quality Engineering and Management, reports to the Deputy Associate Director (Quality) in setting quality strategic plans, establishing quality performance goals and measurements, promoting quality awareness and monitoring the effectiveness of the Quality Program at both facilities.
2. The Office Chief serves as the BEP's quality management representative, providing liaison activities with the ISO registrar.
3. Through the Deputy Associate Director (Quality), the Chief advises the BEP executive team on product quality and customer satisfaction issues.
4. The Office of Quality Engineering and Management is the primary customer point-of-contact on all quality-related matters with external customers such as the Federal Reserve Board, various miscellaneous security products customers, and the United States Secret Service.
5. The primary functions of the Office of Quality Engineering and Management are promoting customer satisfaction by effectively managing the BEP's Quality Assurance journey, spearheading monthly organization-wide quality reviews, preparing for recurring Quality Management System Reviews (QMRS) of overall quality including identifying key matters requiring executive decision, maintaining an ISO-compliant Quality Management System (QMS), improving the overall quality performance of the BEP, leading or actively participating on quality action teams to resolve production-related issues, and leading quality audits of critical raw materials suppliers as well as internal quality audits.
6. Uses subordinate supervisors or comparable personnel to direct, coordinate or oversee the work, and exercises significant responsibilities in dealing with officials of other units or organizations, or in advising management officials of higher rank. Assures reasonable equity of performance standards and rating techniques developed by subordinates and directs a program or major program segment with significant resources and makes decisions on work problems presented by subordinate supervisors or similar personnel. Evaluates subordinate supervisors or leaders, serves as the reviewing official on evaluations of nonsupervisory employees rated by subordinate supervisors and makes or approves selections for subordinate nonsupervisory positions. Finds and implements ways to eliminate or reduce significant bottlenecks and barriers to production, promotes team building, or improves business practices.



## 631000 QUALITY MANAGEMENT DIVISION

1. Develops, implements, and monitors the effectiveness of the BEP's Quality Management System (QMS) that complies with the ANSI/ISO/ASQ-Q9001-2008 requirements.
2. Works directly with internal components on continually improving the QMS effectiveness to meet customers' requirements.
3. Leads the BEP's continuous improvement effort relative to authoring and revising the substance and accuracy of QMS documents, when requested.
4. Establishes, implements, and maintains processes needed for an effective QMS.
5. Reports on the performance of the QMS. Recommends and aids in the implementation of any need for improvement.
6. Provides input to the Quality Management System Review (QMSR) team promoting continuous improvement decisions necessary to maintain an effective QMS.
7. Promotes awareness of customer requirements throughout the organization.
8. Develops the BEP Quality Policy and Quality Manual to meet the latest version of ISO certification requirements.
9. Leads the BEP's external supplier audit program to ensure all BEP raw material suppliers maintain an effective program that meets BEP specification requirements.
10. Leads the BEP internal quality audit program to ensure BEP operations are compliant with the Quality Policy and Quality Manual to produce quality products for external customers.
11. Chairs the Materials Review Board (MRB) to determine disposition of non-conforming materials and initiate corrective actions, as appropriate.
12. Leads and/or actively participates on quality action teams, new product development teams, materials development teams, etc., as required.
13. Administers the CAPA system for the BEP by monitoring the effectiveness and responsiveness of issue resolution.
14. Facilitates problem solving and analysis via cross-functional teams utilizing the BEP CAPA system to document problem resolution. Performs analyses to resolve emerging quality problems in production and monitors trends for continuous improvement.

## **632000 QUALITY ENGINEERING DIVISION**

1. Provides technical guidance and assistance to Bureau components' efforts to continually improve their quality performance.
2. Conducts problem solving and analysis utilizing the BEP CAPA system to document problem resolution. Facilitates cross-functional teams to address CAPAs.
3. Performs analyses to resolve emerging quality problems in production.
4. Improves quality performance evaluation criteria, evaluates the effectiveness of quality improvement initiatives and projects, and reports the results.
5. Reviews, evaluates, and determines suitability of final currency processes for release to the Federal Reserve Vault.
6. Develops and issues currency quality standards to BEP currency production components to assure compliance to customer requirements.
7. Leads and/or actively participates on quality action teams, new product development teams, and materials development team's initiatives, etc.
8. Establishes quality performance evaluation criteria, evaluating the effectiveness of quality improvement initiatives and projects, and reporting the results.
9. Provides quality engineering technical assistance to other BEP components in the form of leading and actively participating in quality improvement/ troubleshooting teams, providing reviews and advice to ensure new equipment and manufacturing processing systems perform in a manner that results in quality products at the lowest cost.
10. Provides the BEP's response to public inquiries related to BEP production quality through the Office of External Relations and other affected offices.
11. Assists in developing and/or reviewing Factory Inspection Test and Acceptance Test Plans in major procurement activities that are critical to the quality of BEP operations.
12. Participates in continuous quality improvement programs with critical raw materials suppliers.
13. Benchmarks with the international security printer community on issues related to quality management and improvement practices.

**632000 QUALITY ENGINEERING DIVISION (continued)**

14. Monitors and evaluates BEP performance to Quality Standards by analyzing product quality and customer feedback. Conducts analysis to identify trends and provides input into the Monthly Quality Meeting and Quality Management System Review (QMSR).
15. Prepares detailed written reports and analyses documenting testing activities and results achieved.
16. In conjunction with the Office of Production Engineering, may recommend modifications to current production equipment or specify equipment for a new process.
17. Maintains knowledge of state-of-the-art developments in scientific fields, technology, and industry, which have potential application to the security of BEP products, most notably US currency.

**633000 QUALITY DIVISION - WCF**

1. Develops, implements, and monitors the effectiveness of the BEP's Quality Management System (QMS) for the site that complies with the ANSI/ISO/ASQ-Q9001-2015 requirements.
2. Works directly with internal components on continually improving the QMS effectiveness to meet customers' requirements.
3. Leads the BEP's continuous improvement effort relative to authoring and revising the substance and accuracy of QMS documents, when requested.
4. Establishes, implements, and maintains processes needed for an effective QMS.
5. Reports on the performance of the QMS. Recommends and aids in the implementation of any need for improvement.
6. Provides input to the Quality Management System Review (QMSR) team promoting continuous improvement decisions necessary to maintain an effective QMS.
7. Promotes awareness of customer requirements throughout the organization.
8. Leads and/or actively participates on quality action teams, new product development teams, materials development teams, etc., as required.
9. Facilitates problem solving and analysis via cross-functional teams utilizing the BEP CAPA system to document problem resolution. Performs analyses to resolve emerging quality problems in production and monitors trends for continuous improvement.

10. Provides technical guidance and assistance to Bureau components' efforts to continually improve their quality performance.
11. Improves quality performance evaluation criteria, evaluates the effectiveness of quality improvement initiatives and projects, and reports the results.
12. Leads and/or actively participates on quality action teams, new product development teams, and materials development team's initiatives, etc.
13. Participates as a key team member in the BEP's continuous improvement efforts to support Lean Six Sigma- based goals.
14. Participates as assigned in selected external supplier audits to ensure all BEP raw material suppliers maintain an effective program that meets BEP specification requirements.
15. Participates as assigned in selected internal quality audits to ensure BEP operations are compliant with the Quality Policy and Quality Manual to produce quality products for external customers.

**700000 ASSOCIATE DIRECTOR, CHIEF INFORMATION OFFICER/  
/DEPUTY ASSOCIATE DIRECTOR, DEPUTY CHIEF INFORMATION OFFICER**

The Associate Director, Chief Information Officer (CIO), is responsible for carrying out the requirements of the Clinger-Cohen Act of 1996 and subsequent revisions; the Federal Information Security Management Act of 2002; Section 508 of the Rehabilitation Act (29 United States Code (USC 794D), as amended; the Electronic Freedom of Information Act (E-FOIA); and the Government Paperwork Elimination Act (GPEA). The Associate Director, CIO is responsible for monitoring agency compliance with all policies, procedures, and guidance contained in OMB Circular A-130, "Management of Federal Information Resources."

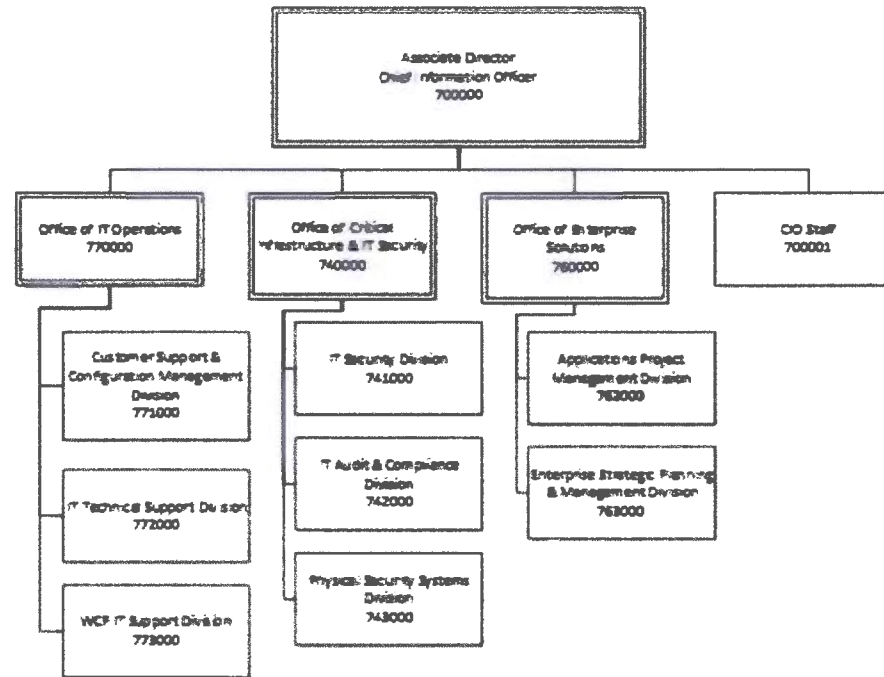
Under the direction of the CIO, the Directorate sets information technology (IT) governance policy, administers the IT Capital Investment program, collaborates in developing BEP Enterprise Architecture and the Information Resources Management Strategic Plan, oversees the IT Security administration and certification and accreditation of IT assets, and administers and manages IT Infrastructure and Applications.

The Associate Director, CIO represents the Director in external policy meetings, national and international conferences, and contacts with manufacturing representatives.

The AD, CIO serves as chair of the BEP IT Capital Management Subcommittee as prescribed by BEP's "Capital Project Review, Approval and Oversight Policy and Procedures."

The Deputy Associate Director, DCIO supports the Associate Director, CIO and represents him/her at related Departmental CIO forums and acts in his/her absence, as directed.

Chief Information Officer



## **700100 CHIEF INFORMATION OFFICER (CIO) STAFF**

The Chief Information Officer Staff is responsible for the development and oversight of the Bureau's IT capital and operational budgets and the preparation of OMB Circular A-11 exhibits for the same; the acquisition of all budgeted IT hardware, software, and systems; IT Capital Investment administration.

Coordinates and prepares the Bureau's IT and CIO capital and operational budgets ensuring these budgets support BEP's and IRM (Information Resource Management) strategic goals.

Tracks and monitors the Bureau's IT capital and operational budgets to ensure that all internal and financial controls are maintained.

Tracks and monitors all CIO Directorate credit card purchases to ensure they are monitored and consistent with both BEP and Directorate policies and procedures.

Executes and/or monitors all IT and CIO Directorate acquisitions to ensure they are conducted in accordance with all applicable statutes and regulations.

Tracks and monitors all IT and CIO Directorate acquisitions from requisition approval to contract closeout, posting and monitoring all invoices received against purchase order amounts.

Administers the Bureau's Directives Management Program; establishes policy regarding preparation, approval, and issuance of Bureau directives (Bulletins, Circulars, Manuals).

## **740000 OFFICE OF CRITICAL INFRASTRUCTURE & IT SECURITY**

The Office of Critical Infrastructure and IT Security develops BEP IT security policies consistent with all applicable laws and regulations, and monitors and evaluates BEP compliance with the same to include OMB Circular A-130, "Management of Federal Information Resources," Appendix III, "Security of Federal Automated Information Resources;" the Federal Information Security Management Act (FISMA); the Computer Security Act of 1987; the Privacy Act; and Presidential Decision Directive 63 (Critical Infrastructure Protection). The Office develops IT security procedures to ensure information transmitted, stored and/or processed is reviewed for sensitivity, criticality, and for Privacy Act or other information sensitivity issues. Specific policies and procedures address data and telecommunications encryption, public key infrastructure (PKI), and network, software applications, database, internet, and e-mail security.

The Office ensures provisions for confidentiality, integrity, and availability of all information transmitted, stored and/or processed are in compliance with security guidelines, procedures and standards, and consistent with the protection of all Government sensitive but unclassified (SBU) information, the Privacy Act, the Freedom of Information Act (FOIA), and all other applicable statutes and regulations.

The Office performs and/or oversees periodic program security reviews required under OMB Circular A-130, Appendix III; FISMA, and other laws and regulations. The Office also develops and coordinates the Bureau's IT security awareness program to include both general awareness and role-based training.

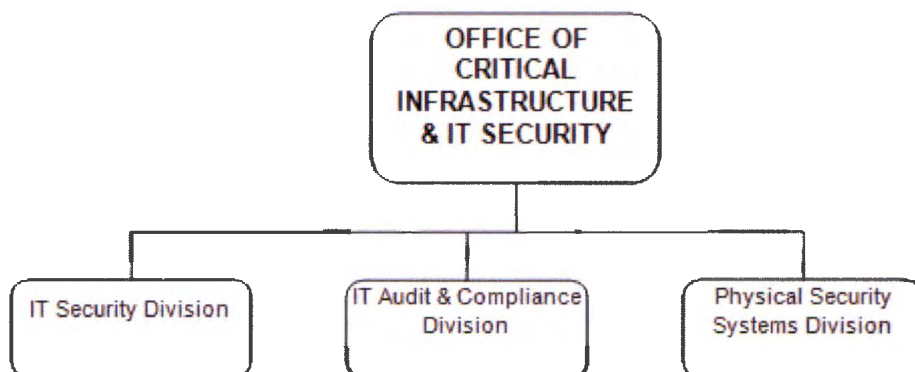
The Office oversees certification of BEP systems and applications, and coordinates the accreditation of these systems through the Designated Accrediting Authority (DAA). To this end, the Office ensures that risk/vulnerability assessments of Bureau systems, applications, networks, telecommunications, and related hardware/firmware implementations are performed, as required. The Office additionally reviews Bureau interconnections with other systems, and ensures that required risk assessments are conducted and Interconnection Security Agreements are prepared and approved for every such connection.

The Office coordinates the Bureau's Computer Security Incident Response Capability (CSIRC) and provides liaison with the Treasury CSIRC; and coordinates internal and external audits, reviews and studies of Associate Director (CIO) operations and all Bureau information policies, systems, and processes.

The Office provides Bureau representation at Departmental or other agency forums relative to Critical Infrastructure Protection, cyber security, PKI/encryption, Personal Identity Verification and similar initiatives. The Office oversees the implementation of Government-wide cyber security initiatives within the Bureau, and monitors the preparation, testing and evaluation of Continuity of Operations Plans (COOP), disaster recovery plans, and contingency plans for IT systems, applications, and embedded IT systems.

The Office provides security representation to BEP IT configuration/change, enterprise architecture, and capital investment working or review committees. The Chief serves as Co-Chair to the IT Architecture and Security Subcommittee. The Office reviews all business cases for IT and IT-embedded capital projects, and reviews all hardware/software configuration changes or proposals to ensure that risks are identified, mitigation strategies are selected, and changes are compliant with BEP's security architecture and standards.





## 741000 IT SECURITY DIVISION

1. Manages the operational aspects of the Bureau's IT security program, including the administration or oversight of all IT security technologies (e.g., virus prevention, identity authentication, encryption, biometrics, PKI certificates, intrusion detection, etc.) and the review of all IT system, device and software security configurations.
2. Provides IT security program oversight to ensure compliance with IT security policy and procedures. Tests and evaluates the effectiveness of security, policies, procedures, and controls.
3. Develops procedures for and implements encryption methods in Bureau systems, including Virtual Private Networks (VPN's), digital signature, public key infrastructure (PKI), and others. Coordinates and oversees the deployment of the Bureau's Public Key Infrastructure (PKI). Implements BEP procedures for obtaining a PKI certificate and ensures employee compliance with the same.
4. Develops and conducts general awareness and role-based IT security awareness training, incorporating an IT security training module in both new employee orientation and supervisory training classes.
5. Performs risk and vulnerability assessments for IT systems and applications, and approves mitigation strategies for addressing risks.
6. Tests security controls for IT and IT-embedded systems and develops corrective action plans to address identified weaknesses.
7. Performs regulatory and directed functions associated with Information System Security Officer (ISSO) and Network Security Officer (NSO) positions.
8. Performs studies, develops security plans, approves mitigation strategies, and ensures the implementation of adequate management controls for BEP IT and IT-embedded systems.
9. Represents the Bureau on Departmental and other Federal working groups related to Certification and Accreditation, System Security, PKI, Critical Infrastructure Protection, cyber security, identity verification and similar issues.
10. Reviews all BEP IT and IT-embedded capital projects to ensure they are consistent with BEP's security architecture, configuration, and policies.
11. Reviews all hardware/software configuration changes or proposals to ensure they are compliant with BEP's security architecture, configuration, and policies.

## **742000 IT AUDIT AND COMPLIANCE DIVISION**

1. Establishes audit standards for IT systems and applications to ensure compliance with NIST, FISMA, Sarbanes-Oxley, FISCAM, and other requirements and regulations and to ensure sufficient controls are in place.
2. Conducts audits and reviews of IT and IT-embedded systems and develops corrective action plans to address identified vulnerabilities, threats, and risks.
3. Performs reviews of C&A (Certification and Accreditation) documentation and certifies to the appropriate Designated Accrediting Authority (DAA) that systems should be or should not be accredited and “approved to operate.”
4. Coordinates with the Office of Compliance in providing information and access for audits or external reviews of Bureau IT systems, processes, and procedures.
5. Prepares reports and analyses as required by OMB, Treasury, GAO, OIG or other external sources relating to audit items or compliance activities, including FISMA.
6. Develops and recommends Bureau IT security policy.
7. Coordinates with external organizations and represents the Bureau as required regarding PIV, PKI, or other technical policy issues.
8. Represents the Bureau on Departmental or other working groups pertaining to security policy, audits, management controls, and program evaluation.

## **743000 PHYSICAL SECURITY SYSTEMS DIVISION**

1. Develops, tests and implements Bureau physical and technical security systems in coordination with the Office of Security.
2. Evaluates the suitability of and recommends various technical and security equipment for specific Bureau applications.
3. Repairs and maintains Bureau security systems, including the Access Control and Alarm Monitoring System (ACAMS), Video Badging System (VBS), Intrusion Detection System, Closed Circuit TV System (CCTV), Digital Video Recording System (DVRS), and Aperture (CAD) Configuration Management System (CMS).
4. Conducts surveys, inspections and evaluations of District of Columbia Facility security systems, including system development and test systems, and monitors contractor quality and performance as appropriate.
5. Coordinates with the Office of Security to develop performance standards for physical security systems and monitors system performance to ensure compliance with

these standards.

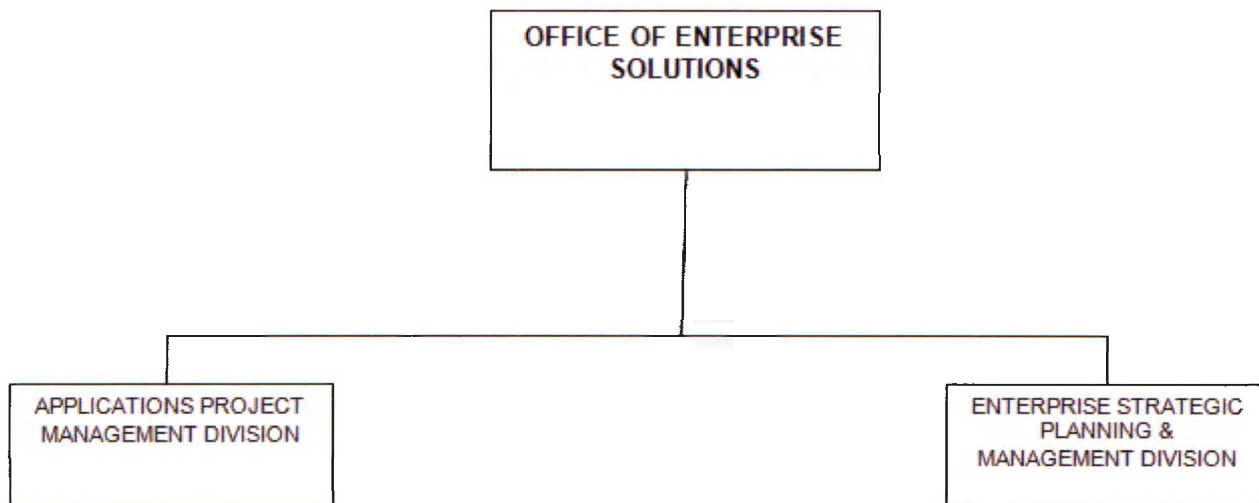
6. Performs research, plans, designs, develops specifications, and monitors installation of new security systems and current system upgrades.

## **760000 OFFICE OF ENTERPRISE SOLUTIONS**

The Office of Enterprise Solutions, under the general direction of the Associate Director (Chief Information Officer), carries out applicable requirements of laws, regulations and policies pursuant to the Clinger-Cohen Act of 1996 and subsequent revisions; the Federal Information Security Management Act of 2002; Section 508 of the Rehabilitation Act (29 USC 794D), as amended; the Electronic Freedom of Information Act (E-FOIA); and the Government Paperwork Reduction Act (GPRA). The Office oversees activities, managing resources, required to design, build, deploy and maintain information technology solutions. This Office is responsible for IT solutions integrating the Bureau of Engraving and Printing business process areas (e.g., Public Education, Public Sales, Administration, Health Education & Safety, Security, Accountability, Finance, Manufacturing, and Procurement) and technology resources.

The Office is responsible for managing IT projects using best practices for project management. The Office serves as a resource center for all projects related to IT services, prioritizing requests, coordinating functions and allocating resources among projects. The Office establishes policies and practices necessary to integrate application requirements with established laws and regulations, security requirements, and established or planned infrastructure.

The Office of Enterprise Solutions manages the Bureau enterprise architecture and configuration management programs thus ensuring the Bureau's decisions (especially those related to IT investments) conform to the Federal Enterprise Architecture and best practices in configuration management. The Chief, Office of Enterprise Solutions serves as Vice-Chair of the BPE Capital Investment Review Subcommittee and as Co-Chair to the IT Architecture and Security Subcommittee.



## **762000 APPLICATIONS PROJECT MANAGEMENT DIVISION**

The Application Project Management Division, under the general direction of the Office of Enterprise Solutions, develops, deploys, and maintains information management solutions achieving the Bureau's business goals in an efficient and cost effective manner. It performs integration support for key BEP business process areas and technical resources. These process areas include Public Education, Public Sales, Administration, Health Education & Safety, Security, Accountability, Finance, Manufacturing, and Procurement. Specifically, the Division:

1. Manages IT projects using commercial or proprietary technology in collaboration with system owners applying project management best practices in conformance with applicable requirements, processes and standards.
2. Works closely with system owners of the Bureau's enterprise systems to address all user-community needs.
3. Prioritizes requests for information services, coordinates functions, and allocates resources among projects.
4. Oversees systems development activities by contract and government staff.
5. Configures and administers the Bureau's IT test lab. Tests and evaluates the configuration and interoperability of all BEP IT.
6. Administers Bureau public website, MoneyFactory, with an emphasis on the technical implementation, security, and accessibility of the website.
7. Provides Section 508 coordination to assist in ensuring conformance with requirements of this section of the Disability Act.

## **763000 ENTERPRISE STRATEGIC PLANNING AND MANAGEMENT DIVISION**

The Enterprise Strategic Planning and Management (ESPM) Division, under the general director of the Office of Enterprise Solutions, provides strategic planning and program management to improve IT governance. This is primarily accomplished by fostering communication, championing the re-use or repurposing of technologies to solve business problems, ensuring standardized methods and procedures are used in reaching solutions to business needs, and by managing the IT Change Control Board (CCB) program. Specifically, the Division:

1. Develops and maintains BEP's enterprise architecture.
2. Works closely with Offices and system owners to ensure the processes for configuration management (CM), System Development Life Cycle (SDLC), and request for IT services (RIS) are optimized. Establishes and maintains CM baselines and manages the CCB program.
3. Works closely with Offices and system owners to ensure the IT processes in technology standards, access control, contingency planning, audit and accountability, testing, flaw remediation, and information monitoring are coordinated and optimized.
4. Promotes shared infrastructure and applications to reduce cost and improve information flows.
5. Works closely with all Offices to assist in developing standards, and establishing and maintaining information technology governance guidelines.
6. Configures and administers the Bureau's IT configuration management and enterprise architecture tools.
7. Establishes the division as the point of contact for strategic planning and management activities.
8. Assures all changes are identified, controlled, monitored, and documented.
9. Assists Project Managers and customers on project schedules, resources, and issue resolution.
10. Monitor and stay current with technology changes, legal, and operational changes that affect work processes.

## **770000 OFFICE OF IT OPERATIONS**

The Office of IT Operations, under the general direction of the Associate Director (Chief Information Officer), is responsible for managing the Bureau's IT hardware assets, and telecommunications systems.

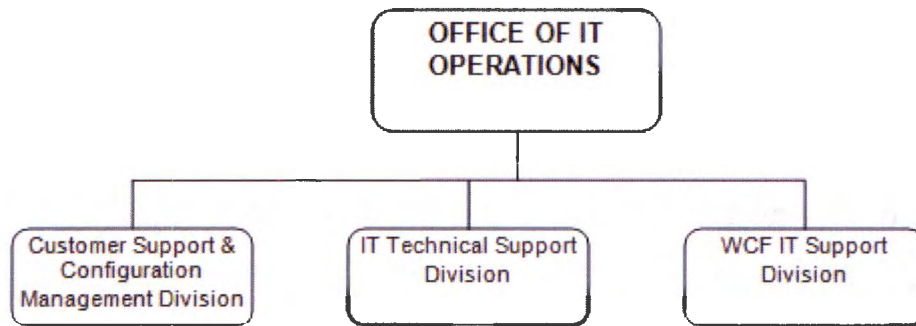
The Office of IT Operations manages IT services and technology.

Reviews and assesses the Bureau's IT technical infrastructure, including the network, associated network devices, storage systems, and network management systems and monitoring tools, for efficiency and effectiveness.

Reviews and evaluates the efficiency, effectiveness, interoperability and scalability of new IT infrastructure applications for potential implementation within the BEP, and makes recommendations to this end to the CIO.

Administers the Bureau's Copier Management program to ensure Bureau printing and copying services meet the guidelines of the Joint Committee on Printing, Treasury directives, and other Federal regulations and the acquisition of Bureau copiers meet business needs.





**771000 CUSTOMER SUPPORT and CONFIGURATION MANAGEMENT DIVISION**

The Customer Support and Configuration Management Division serves as principal point of contact to resolve technical questions about the Bureau's information technology for the District of Columbia Facility customer community. The Division administers issuance, accountability, maintenance, and disposal of IT assets for the District of Columbia Facility customers. Specifically, the Division:

1. Serves as a single point of contact for the user community.
2. Tracks issues, analyzing trends and patterns affecting IT operations.
3. Performs customer outreach determining IT operational effectiveness.
4. Administers hardware and software distribution ensuring conformance with standards and policies.
5. Coordinates disaster recovery planning and testing.
6. Collaborates with BEP's Center for Excellence in the development of IT-related training materials and course curricula.
7. Coordinates IT assets (e.g., client computers, PDAs, pagers, cell phones, telephones, printers, copiers, software) used by customers and maintains records needed to manage IT asset distribution.
8. Tracks and monitors all BEP software assets to provide internal and financial controls over the same, and to ensure all annual software maintenance licenses are renewed as required.
9. Coordinates equipment maintenance and repair.
10. Coordinates service activation and resolves issues with service providers.
11. Administers the Bureau's Copier Management Program.

## **772000 IT TECHNICAL SUPPORT DIVISION**

The IT Technical Support Division administers core IT infrastructure for the Bureau implementing standards, maintaining secure, reliable operations and assuring data integrity. Specifically, the Division:

1. Manages BEP servers and core peripherals.
2. Manages LAN (local area network), WAN (wide area network), and telecommunication infrastructure.
3. Establishes standards for personal computers and peripherals.
4. Administers database management systems.
5. Administers electronic messaging.
6. Executes the patch management program.
7. Operates the data center.
8. Performs activities necessary for business continuance.
9. Resolves escalated technical issues.
10. Plans, manages, and implements new IT infrastructure applications within the BEP.

## **773000 WCF IT SUPPORT DIVISION**

The WCF IT Support Division administers core IT infrastructure for the Western Currency Facility (WCF), implementing standards, maintaining secure, reliable operations, and providing business continuance infrastructure. Specifically, the Division:

1. Serves as a single point of contact for the WCF user community.
2. Manages local servers and LAN/WAN infrastructure.
3. Administers WCF PBX telecommunications.
4. Executes WCF patch management program.
5. Assumes control of IT operations in response to emergencies.
6. Performs activities necessary to support WCF business continuance.
7. Tracks issues, analyzing trends and patterns affecting IT operations.
8. Performs customer outreach determining IT operational effectiveness.
9. Administers deployment of hardware and software ensuring conformance with standards and policies.
10. Coordinates disaster recovery planning and testing in WCF.
11. Manages IT assets (e.g., client computers, PDAs, pagers, cell phones, telephones, printers, copiers, software) used by customers and maintains records needed to manage IT asset distribution.
12. Tracks and monitors all BEP software assets to provide internal and financial controls over the same, and to ensure all annual software maintenance licenses are renewed as required.
13. Coordinates equipment maintenance and repair.
14. Coordinates service activation and resolves issues with service providers.
15. Administers the Western Currency Facility's copier management program.

**800000 ASSOCIATE DIRECTOR (WESTERN CURRENCY FACILITY)**

The Associate Director, Western Currency Facility (WCF), along with the other Associate Directors, participates in Bureau-wide policy recommendations and is responsible to the Director for all phases of the manufacturing program of the Western Currency Facility. The Associate Director (WCF) in cooperation with the Associate Director, Eastern Currency Facility (ECF) plans, develops, and implements policies relating to the engraving, printing, and processing of currency in order to meet annual printing requirements. The Associate Director (WCF) and the Associate Director (ECF) are responsible for determining necessary inventories of raw materials and other stock items, warehousing, product requirements, production timetables, and delivery schedules. The Associate Director (WCF) coordinates activities with the other Associate Directors, and serves as liaison with customer agencies and other banknote and printing companies both inside and outside the United States. The Associate Director (WCF) promotes good customer/agency relations by maintaining high level liaison with senior officials of other agencies and outside companies. As designated, the Associate Director (WCF) represents the Director in external policy meetings, national and international conferences, and contacts with manufacturing representatives. The Associate Director (WCF) maintains all official contact with local Dallas/Fort Worth officials.

The Associate Director (WCF) is responsible for all phases of currency manufacturing, maintenance, quality assurance, security, facility operations, and administrative support activities at the WCF. The Associate Director (WCF) bears ultimate responsibility for the financial performance of the WCF (profit and loss). The Associate Director (WCF) directs the activities of personnel and utilization of resources to perform the full range of production, production support, and administrative support activities for facility operation and currency manufacturing. The Associate Director (WCF) is responsible for adhering to the Bureau's policies relating to Alternate Dispute Resolution (ADR), Equal Employment Opportunity (EEO), safety, occupational health, environment, energy and recycling, security, personnel management, financial management, external relations, and other administrative requirements. Through management staff, the Associate Director (WCF) ensures that staff functions and programs are coordinated with the respective offices at the District of Columbia Facility (DCF).

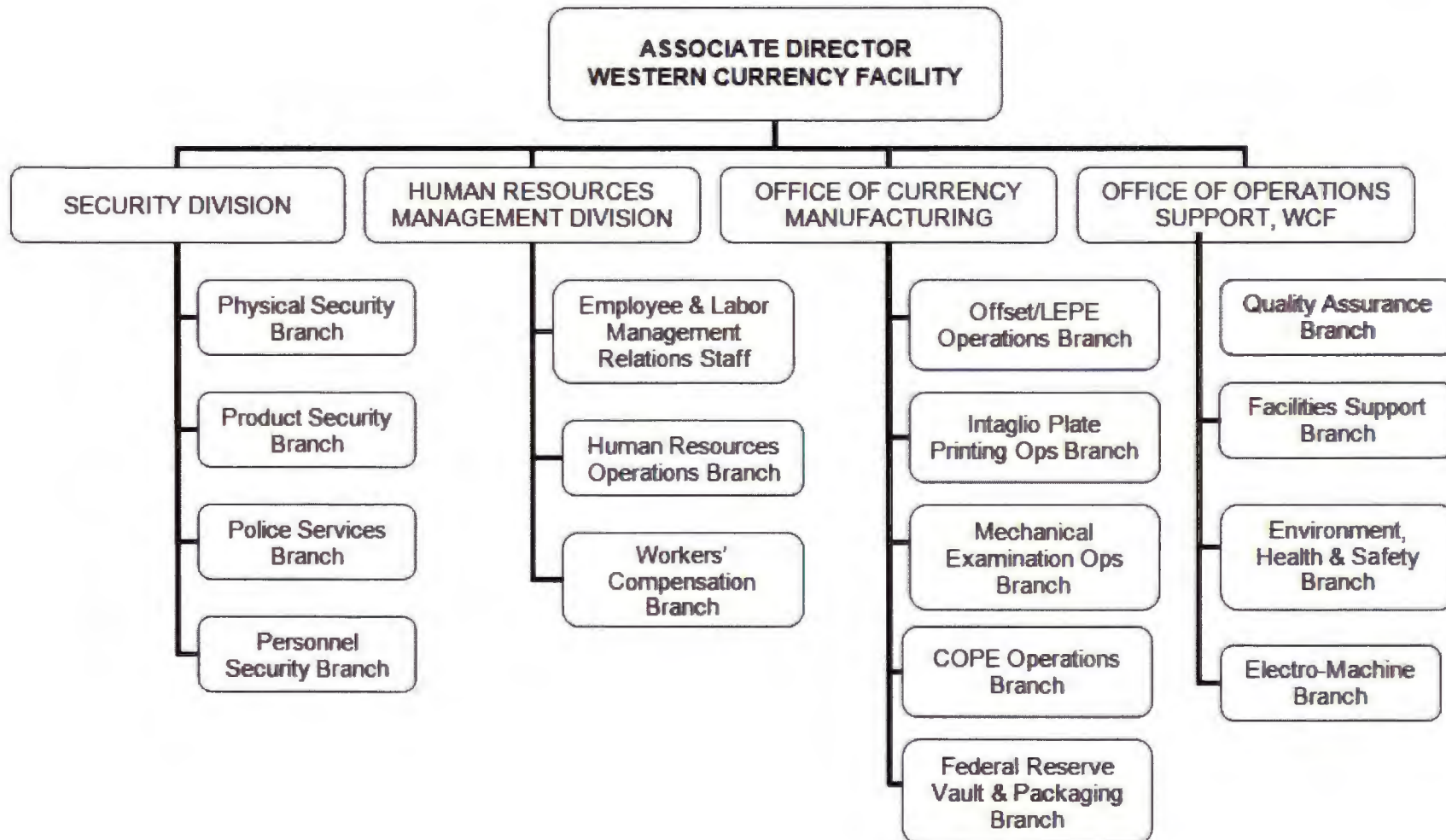
The Associate Director (WCF) ensures compliance with security policies and procedures and is responsible for the overall day-to-day security operations to include 24 hours/7 days a week protection of the plant; safeguarding of currency; and ensuring the safety and suitability of employees, contractors, and visitors.

**800000 ASSOCIATE DIRECTOR (WESTERN CURRENCY FACILITY) (continued)**

The Associate Director (WCF) ensures the effectiveness of the: (1) maintenance support programs including the repair, maintenance, and outfitting of machinery; (2) electronic equipment; (3) environmental capture, control, and treatment devices; and (4) utilization of utilities. The Associate Director (WCF) ensures the implementation of quality assurance programs at the WCF which includes the examination of materials, processes, and products.

The Associate Director (WCF) ensures a comprehensive and effective Human Resources Management program including employee and labor-management relations, staffing/recruitment, benefits, retirement, payroll and personnel processing, and workers' compensation.

The Associate Director (WCF) coordinates accountability, internal control, and all types of reviews (e.g., International Organization of Standardization (ISO), efficiency, compliance, Lean Six Sigma, risk assessment, Office of the Inspector General (IG)) activities with the WCF Compliance Division, which reports directly to the Office of Compliance at the DCF. The Associate Director (WCF) also coordinates external affairs activities with the External Affairs Division (WCF) which reports directly to the Office of External Relations at the DCF.



**802000 SECURITY DIVISION**

1. Responsible for the implementation and enforcement of Office of Security policies and directives.
2. Responsible for the WCF day-to-day security operations.
3. Provides 24-hour protection of the WCF.
4. Safeguards currency and other securities in all stages of production and storage.
5. Ensures the protection and safety of employees, contractors, and visitors.
6. Ensures the suitability of employees and contractors for access to the WCF.
7. Administers the WCF Drug-Free Federal Workplace Program.
8. Administers the Emergency Preparedness Program for the WCF.





## 802100 PHYSICAL SECURITY BRANCH

1. Operates and controls the WCF access control program to include the issuance and validity of identification badges.
2. Establishes procedures and monitors packages, materials, and property removal programs.
3. Establishes, implements, and monitors the WCF key and lock program, inclusive of contracts for Federal Reserve Vault doors and time lock maintenance.
4. Develops and revises procedures and methods to enhance WCF physical security programs. Keeps abreast of new technologies and products for application in improving security.
5. Develops, manages, maintains, monitors, and coordinates all integrated security system operations including database, hardware, software, and preventive maintenance. Serves as Contracting Officer's Representative (COR) over security maintenance contract.
6. In conjunction with the Treasury's Office of the Inspector General and the Office of Compliance, conducts investigations and inquiries. Provides investigative assistance to agencies which may assume jurisdiction. Conducts other investigations, as assigned, involving BEP security product discrepancies, security policy violations, personnel suitability, criminal activity, issues affecting production, or situations that have a potential for workplace violence.
7. Conducts both off-site and on-site security surveys, inspections, and reviews.
8. Coordinates the WCF Emergency Preparedness Program (Continuity of Operations(COOP)) in conjunction with the program staff at the DC Facility; reports on the effectiveness of the Bureau's operational plan's mechanisms and structures which facilitate BEP personnel to make decisions, mobilize resources, and prevent disruptions to BEP's ability to perform critical functions during emergency situations. Represents the WCF within the Dallas/Fort Worth area at local work groups and meetings pertaining to emergency preparedness. Evaluates program effectiveness and recommends changes in technical and administrative procedures.
9. Coordinates the WCF Drug-Free Federal Workplace Program for deterrence and detection of illegal drug use. Administers the following drug testing programs: Applicant, Random, Reasonable Suspicion, Injury, Illness, Unsafe or Unhealthy Practices, Follow-up, and Voluntary. Ensures that managers and supervisors are aware of their roles and responsibilities for the WCF testing program.
10. Administers security system monitoring of the WCF production area and retrieval of recorded information to support requests for review from management.

## **802200 PRODUCT SECURITY BRANCH**

1. Oversees the WCF securities destruction program including certification of destruction of mutilated products and instruments of reproduction in accordance with established procedures.
2. Performs courier service for security items not transportable through normal means. When applicable, coordinates with the US Secret Service and other law enforcement agencies relating to travel routes and schedules.
3. In conjunction with the Treasury's Office of the Inspector General and other agencies, conducts investigations and inquiries including identification, evaluation, collection, and preservation of evidence. Provides investigative assistance to agencies which may assume jurisdiction.
4. Conducts investigations concerning losses or compromises in the protection of Bureau products or other security items under the control of contractors at the WCF or other plant/research facilities.
5. Serves as a member of the WCF Compliance Team and evaluates security procedures and recommends action to ensure compliance with mutually approved security agreements and Bureau policies and procedures. Issues corrective action when warranted.
6. Coordinates and conducts investigations of reported currency shipment overages or shortages and production defects received from Federal Reserve Banks and their member financial institutions.
7. Conducts reviews, inquiries, and investigations on discrepant load reports.
8. Administers security oversight of the Advanced Counterfeit Deterrence Program as it pertains to the WCF.
9. Handles inquiries and provides assistance to law enforcement and other investigative agencies concerning processing, shipping, disposition, and related issues pertaining to WCF products. Prepares affidavits and/or testifies for public and governmental agencies concerning securities production and shipment data.

## **802300 POLICE SERVICES BRANCH**

1. Provides 24-hour protection of the WCF.
2. Performs foot and vehicular patrols and provides immediate response in emergency situations.

3. Protects WCF products off-premises while under WCF control including operating the WCF armored vehicle and providing protection during transport.
4. From the Command Center, monitors activity throughout the site by using the closed-circuit television (CCTV) system, access control, alarm assessment, graphic map displays, video imaging systems, and surveillance equipment.
5. Issues security violations and parking citations. Conducts preliminary investigations of alleged violations of Federal and State laws occurring on WCF property.
6. Controls access and movement of personnel and property within WCF entrances and at all police posts utilizing badge readers, metal detectors, cameras, and other security devices.
7. Controls access and movement of visitors within the WCF Tour and Visitors Center, including the Transfer Center utilizing metal detectors, cameras, and other security devices.
8. Develops, instructs, and coordinates all Security Division courses of a technical nature including law enforcement, firearms, and emergency situations training.
9. Establishes and maintains liaison with the Department of Homeland Security's Federal Law Enforcement Training Center (FLETC); coordinates law enforcement training at FLETC for WCF security personnel; and, coordinates special training for security personnel with other Federal, State, and local law enforcement agencies.
10. Establishes and coordinates the WCF Firearms Maintenance Program; provides instructions on use, maintenance, and inspection of all WCF firearms; and ensures that WCF security personnel meet annual firearms qualifications and familiarization requirements.

#### **802400 PERSONNEL SECURITY BRANCH**

1. Conducts required background investigations of WCF applicants and contractors or schedules background investigations with the Office of Personnel Management (OPM). Conducts (or schedules with OPM) upgrade background investigations required for employees moving into positions designated at a higher risk level and required five (5)-year update background investigations on employees and contractors in positions designated High Risk or Critical Sensitive.
2. Adjudicates results of background investigations to determine suitability for employment in Low, Moderate, High Risk, or Critical Sensitive positions.
3. In conjunction with the Treasury's Office of the Inspector General, conducts investigations and inquiries. Conducts special investigations of employees as

requested and/or in conjunction with Federal, State, or local law enforcement agencies; evaluates investigative results; and submits reports of findings to appropriate management officials.

4. In conjunction with management, conducts comprehensive studies of all Bureau positions at the WCF to determine the sensitivity levels. Initiates changes to position sensitivity risk levels and notifies appropriate offices.

5. Maintains and safeguards personnel security files of WCF applicants, employees, and contractors.

6. Establishes and maintains contacts with Federal, State, and local government agencies and private firms regarding personnel security matters.

#### **804000 HUMAN RESOURCES MANAGEMENT DIVISION**

1. Represents the Associate Director (WCF) in dealing with WCF managers and supervisors; officials of commercial enterprises; employee groups, and individual employees on human resources management matters. Represents the Associate Director (WCF) in human resources management matters affecting the WCF before OPM and the Office of Human Resources at the DC Facility.

2. Administers the provisions of the labor-management agreements and amendments in such areas as leave, disciplinary and adverse actions, and informal and formal grievance procedures. Provides advice and assistance to management on labor-management issues.

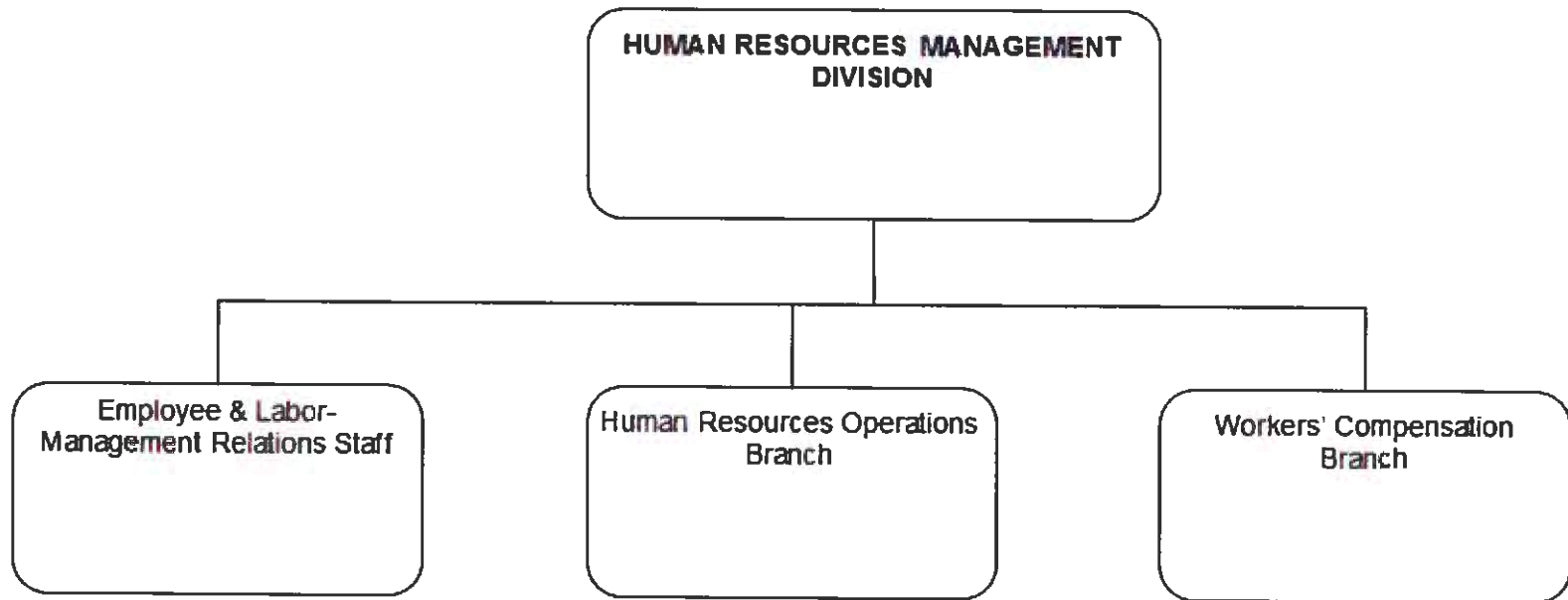
3. Counsels management on disciplinary actions, adverse actions, resolution of performance/attendance problems, and other related matters which may cross human resources program or functional lines. Advises employees of their rights, procedures, time limits, and resources for assistance available to them in defense of adverse actions or disciplinary situations.

4. Manages the classification program for the WCF, including implementing Bureau-wide, Treasury, and OPM classification policies, procedures, and guidelines. Classifies all General Schedule (GS) and prevailing rate positions up to and including GS-15 or equivalent level positions. Conducts post-audit reviews of WCF positions. Provides advice and assistance to WCF managers and supervisors on the classification of their positions. Participates in the review process of WCF classification appeals.

5. Manages work force retention, reduction and internal placement programs for the WCF.

6. Manages the staffing and recruitment program for the WCF.

7. Manages the workers' compensation program for the WCF.



## **804100 EMPLOYEE AND LABOR-MANAGEMENT RELATIONS STAFF**

1. The Employee and Labor-Management Relations Staff (ELMR), WCF administers the provisions of labor-management agreements and amendments in such areas as leave, non-work related medical issues, performance management, disciplinary and adverse actions, and informal and formal grievance procedures. ELMRD Staff receives general labor relations policy guidance from the Employee and Labor-Management Relations Division, Office of Human Resources.
2. Represents the Bureau in interacting and communicating with unions representing BEP employees. Represents the Bureau or assists Chief Counsel in representation before the Merit Systems Protection Board, the Federal Labor Relations Authority, or other parties.
3. Assists management in complying with the requirements of collective bargaining agreements between the Bureau and labor organizations, with particular emphasis on such areas as contract administration, contract interpretation, disciplinary and adverse actions, performance management, hours of work, leave, and grievance and arbitration procedures. Advises and represents management in all aspects of the grievance procedure including the review of all documents. Advises management on the settlement of individual grievances. Approves or advises management on all responses, grievances or other collective bargaining disputes with labor unions.
4. Conducts labor-management and case law research, analysis, and compilation of problem cases, published case files (from both the private and federal sectors), decisions, and related pending legislation.
5. Implements policies, rules and regulations concerning performance management, leave, non-work related medical issues, employee conduct, discipline, appeals, grievances, and quasi-legal programs which impact the employee-employer relations for all positions.
6. Counsels management on disciplinary actions, adverse actions, performance management, resolution of performance/attendance problems, and other related matters which may cross human resources program or functional lines.
7. Advises employees of their rights, procedures, time limits, and resources for assistance available to them in defense of adverse actions, disciplinary situations and performance management issues. Exercises extreme care in assuring that all employees' rights and related provisions are fully protected at all times.
8. Administers all aspects of the Attendance and Leave Program to include Family Friendly Workplace, the Family and Medical Leave Act, Telework, and Leave Share Programs.

## **804200 HUMAN RESOURCES OPERATIONS BRANCH**

The following functions are delivered by a shared service provider (SSP). The Human Resources Operations Branch provides liaison services between the SSP and the WCF managers and employees, and serves as an information point of contact for the SSP staff.

1. Provides the full-range of recruitment services for General Schedule and prevailing rate positions ensuring that the applicable Request for Personnel Action (SF-52) is in compliance with all established clearance procedures prior to recruitment. Recruits for positions using all available resources including special emphasis program applicants, i.e., disabled, veterans, part-time employees, etc. Reviews employment applications and determines qualifications.
2. Effects a variety of personnel actions including appointments, realignments, promotions, resignations, leave without pay (LWOP), and other personnel actions at the WCF. Inputs and validates positions/personnel actions. Reviews and approves final personnel actions (SF-50).
3. Confirms or withdraws offers of employment.
4. Advises employees on retirement, health benefits, life insurance benefits, the Thrift Savings Plan, and other benefits. Reviews and processes requests for benefits or changes in benefits.
5. Controls and maintains Official Personnel Folders (OPFs) and payroll documents and records, including direct deposits, union dues, child support, garnishments, federal tax withholdings, etc.
6. Confers with the Personnel Security Branch, Security Division on pre-employment suitability matters and with the Health Unit on pre-employment medical matters.
7. Coordinates with the Office of Financial Management at the DCF on travel for transfer, reassignment, or appointment of employees.
8. Coordinates the bi-weekly submission of the certified time and attendance automated records. Assists managers, supervisors, and employees with the use and operation of the system. Reviews time records for adherence to system requirements and compliance with applicable rules and regulations in the approval of specific types of leave, etc.



## **804300 WORKERS' COMPENSATION BRANCH**

1. Oversees the workers' compensation program and maintains liaison with the Department of Labor, Office of Workers' Compensation, to ensure that the Federal Employee's Compensation Act (FECA) is implemented properly at the WCF.
2. Administers the return-to-duty, light- and limited-duty programs incorporating these tools as methods to reduce costs.
3. Provides advice and assistance to WCF management regarding the WCF program. Coordinates issues with the Offices of Human Resources and Environment, Health and Safety at the DCF and the Safety Staff at the WCF.
4. Analyzes quarterly, semi-annual and annual reports received from the Department of Labor regarding injuries and associated charge back costs for the WCF.

## **810000 OFFICE OF CURRENCY MANUFACTURING**

The Office of Currency Manufacturing plans the WCF currency printing and processing programs and directs the use of equipment, staff, materials, and other applicable resources.

The Office develops and implements security procedures in cooperation with the Security Division for printed products and plant equipment. The Office maintains comprehensive accountability records for all stock being processed.

The Office assures control of hazardous wastes within its jurisdiction.

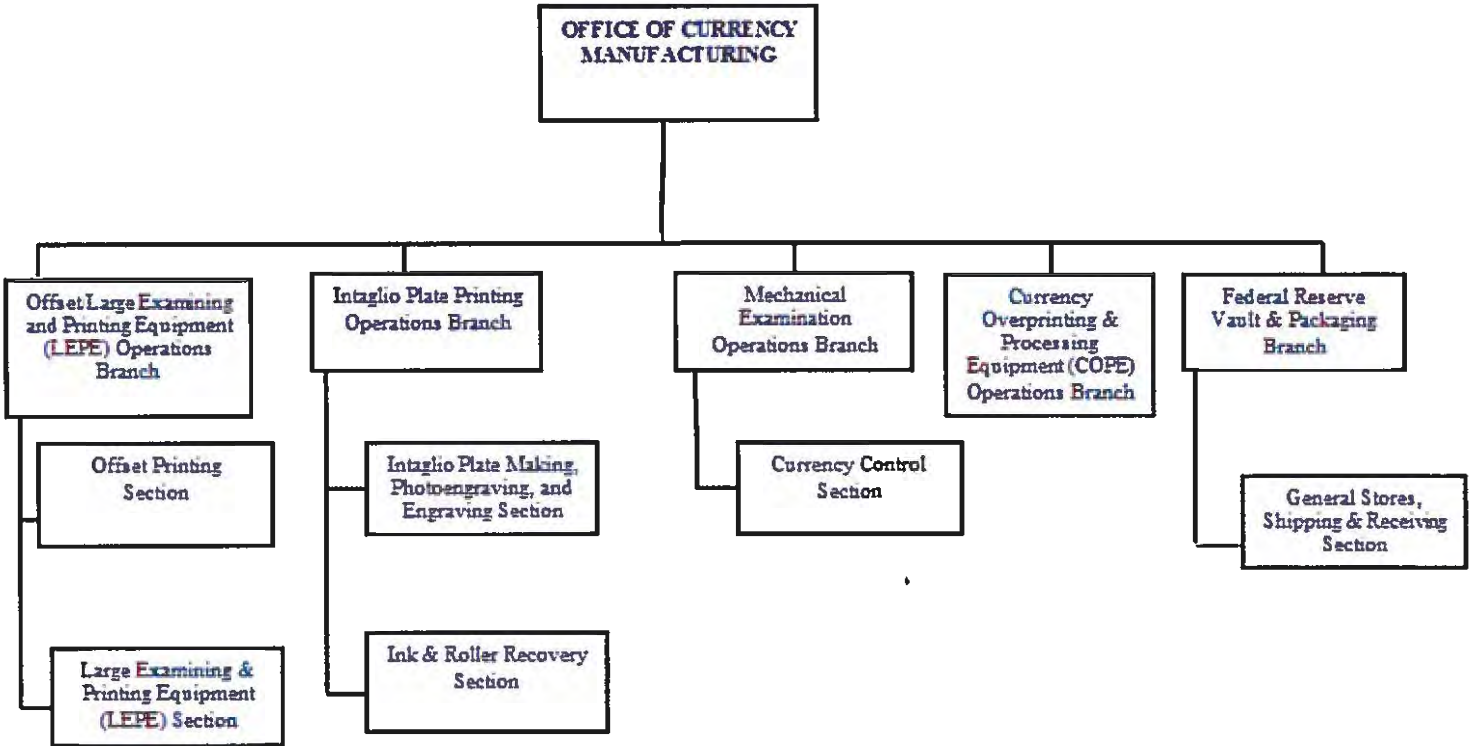
The Chief may represent the Associate Director (WCF) in contacts with officials of the Department of the Treasury, other Government agencies, foreign governments, private industry, and trade unions to obtain information on technological developments applicable to Bureau operations. The Chief is responsible for reviewing new technology and recommending the testing and implementation of new equipment, methods, processes, and procedures.

Specifically, the Office:

1. Directs all currency manufacturing activities at the WCF.
2. Oversees and directs the use of equipment, staff, and materials in the printing, processing, and finishing of US currency.
3. Oversees the transfer of finished currency to the Federal Reserve System.
4. Provides for the manufacture of engraved, machined and electrolytic products to support the currency production processes at the Offset, Intaglio and COPE-PAK

presses.

5. Monitors quality and spoilage to ensure all aspects of the operation are optimized.



**810100 OFFSET/LARGE EXAMINING & PRINTING EQUIPMENT (LEPE)  
OPERATIONS BRANCH**

1. Plans and coordinates the printing of security offset background necessary to incorporate advanced counterfeit deterrent features in US currency; meets or exceeds the Federal Reserve Board's and the Bureau's high standards for quality; and adheres to the schedules set forth by the Office of Currency Manufacturing.
2. Plans and coordinates the offset printing, overprinting, examination, cutting and packaging of securities utilizing LEPE; meets or exceeds the Federal Reserve Board's and the Bureau's high standards for quality; and adheres to the schedules set forth by the Office of Currency Manufacturing.
3. Develops, recommends, and implements policies and procedures for the printing of currency utilizing LEPE and Offset presses.
4. Administers use of LEPE and Offset presses for printing BEP products and assigns personnel to presses as needed.
5. Maintains quality standards for all products printed.
6. Maintains records to account for work-in-process inventories as part of the Bureau's overall paper control accounts.
7. Assures control of hazardous wastes products within the Branch.
8. Institutes internal control and accountability procedures in cooperation with the Security Division and WCF Compliance Division; maintains physical security and control of the product at all stages of processing; ensures compliance with Bureau policies and procedures; and controls materials, machinery, etc., charged to the Offset/Large Examining & Printing Equipment Operations Branch.
9. Coordinates with the Office of Operations Support (WCF) and the Quality Assurance Branch (WCF) on analyses and investigations to detect and determine causes of defective work and to identify spoilage trends.
10. Coordinates the administrative functions, which include personnel production reporting, time and attendance, and other records; informs employees about policies, procedures, rules, and practices of the WCF as they relate to the work of the components.
11. Coordinates the administrative functions, which include personnel production reporting, time and attendance, and other records; informs employees about policies, procedures, rules, and practices of the WCF as they relate to the work of the components.

**810100 OFFSET/LARGE EXAMINING & PRINTING EQUIPMENT (LEPE)  
OPERATIONS BRANCH (continued)**

12. Maintains communication and rapport with other Bureau components.
13. Monitors and informs employees of safety issues and compliances with the Offset/LEPE Branch, and of all safety rules and regulations, and documents infractions or issues.

**810110 OFFSET PRINTING SECTION**

1. Receives blank distinctive security paper, offset printing inks and supplies needed for offset security printing.
2. Performs wet/dry offset printing of security background utilizing Simultan press capability of multi-color simultaneous offset printing.
3. Performs denominational changes in the form of changing plates, distinctive security paper, offset printing inks, and configurations within the Simultan press computer system.
4. Produces and maintains accountability records for transfer and delivery of offset currency products utilizing the Flowsys computer system on the Simultan press and the BEN data collection system in accordance with BEN procedures.
5. Delivers offset printed security products to Intaglio Plate Printing Branch for further product processing.
6. Maintains physical security and control of the product at all stages of processing; ensures compliance with Bureau policies and procedures; and controls materials, machinery, etc., charged to the Offset/ Large Examining & Printing Equipment Operations Branch.
7. Coordinates with the Office of Operations Support (WCF) and the Quality Assurance Branch (WCF) on analyses and investigations to detect and determine causes of defective work and to identify spoilage trends.
8. Accounts for all products and once product is 100% reconciled by section, transfers substandard products to the Verification/ Authentication Process for the substandard product to be processed under the joint verification and destruction procedures.

## **810120 LARGE EXAMINING & PRINTING EQUIPMENT (LEPE) SECTION**

1. Receives intaglio printed security paper, printing links and supplies needed for offset printing, overprinting, examination, cutting and packaging of currency.
2. Performs letterpress seal and numbering printing on currency utilizing the LEPE press.
3. Performs denominational changes in the form of changing seals, distinctive security paper, printing inks, and configurations within the LEPE press computer system.
4. Monitors the Optical Camera Recognition displays at various positions on LEPE to ensure the correct product sequence, correct note cutting, and correct serial number and label sequence.
5. Produces and maintains accountability records for transfer and delivery of currency products utilizing the Flowsys computer system on the LEPE press and the BEN Maximo data collection system.
6. Maintains physical security and control of the product at all stages of processing; ensures compliance with Bureau policies and procedures; and controls materials, machinery, etc., charged to the LEPE Section.
7. Coordinates with the Office of Operations Support (WCF) and the Quality Assurance Branch (WCF) on analyses and investigations to detect and determine causes of defective work and to identify spoilage trends.
8. Accounts for all products and once product is 100% reconciled by section, transfers substandard products to the Verification/ Authentication Process for the substandard product to be processed under the joint verification and destruction procedures.
9. Accounts for all products and once product is 100% reconciled by section, transfers substandard products to the Verification/ Authentication Process for the substandard product to be processed under the joint verification and destruction procedures.

## **810200 INTAGLIO PLATE PRINTING OPERATIONS BRANCH**

1. Prints the back and face of currency using the line engraved intaglio process on high-speed, sheet-fed rotary presses.
2. Recommends and implements procedures for the engraved printing of currency.
3. Schedules work for intaglio printing equipment and assigns personnel.

4. Ensures compliance with quality standards for all products printed.
5. Maintains accountability for the receipt, transfer, and delivery of accountable security items and related supplies utilizing the BEN in accordance with established procedures.
6. Institutes internal control and accountability procedures in cooperation with the Security Division and WCF Compliance Division; maintains physical security and control of the product at all stages of processing; ensures compliance with Bureau policies and procedures; and controls materials, machinery, etc. charged to the Intaglio Plate Printing Branch.
7. Assures control and appropriate disposition of hazardous and non-hazardous wastes produced and used within the Intaglio Plate Printing Branch.
8. Coordinates the administrative functions, which include personnel, production reporting, time and attendance, and other records; informs employees about policies, procedures, rules, and practices of the WCF as they relate to the work of the components.
9. Coordinates with the Office of Operations Support (WCF) and the Quality Assurance Branch (WCF) on analyses and investigations to detect and determine causes of defective work and to identify spoilage trends.
10. Maintains work-in-process inventory of blank engraved stock; coordinates deliveries between the Intaglio Plate Printing Operations Branch and Mechanical Examination Operations Branch.
11. Accounts for all products and once product is 100% reconciled by section, transfers substandard products to the Verification/Authentication Process for the substandard product to be processed under the joint verification and destruction process.

**810210 INTAGLIO PLATEMAKING, PHOTOENGRAVING, AND ENGRAVING SECTION**

1. Produces quality printing plates.
2. Provides for the manufacture of engraved, photopolymer, machined and electrolytic products to support the currency production processes at the intaglio and COPE presses.
3. Inspects master plates and altos and makes repairs necessary for production of high quality plates.

4. Responds to calls from the Intaglio Plate Printing Branch to make repairs to plates while they are mounted on the presses.
5. Decides whether a plate or surface piece is repairable or has to be canceled.
6. Makes periodic inspections of surface pieces on press and advises COPE pressmen of condition.
7. Inspects and repairs surface pieces.
8. Checks layout of master plates for accuracy and engraves center lines for dropping image.
9. Repairs imperfections and damage to masters, altos, working plates, and seals (non-EDM).
10. Produces electroformed or steel engraved plates used in currency manufacturing; examines plates and repairs any defects discovered.
11. Applies chromium coating on electroformed nickel and engraved steel plates by electroplating; removes chrome from plates needing repairs; re-chromes after repairs are made.
12. Maintains inventory and accountability for all plate stock, altos and master plates, and surface pieces.
13. Ensures that finished plates and surface pieces meet established quality standards.
14. Manufactures master plates and surface pieces required for currency production at the WCF.
15. Utilizes a laser image setter to create negative flats used in the production of photopolymer dry offset printing plates.
16. Institutes internal control and accountability procedures in cooperation with the Security Division and WCF Compliance Division; maintains physical security and control of the product at all stages of processing; ensures compliance with Bureau policies and procedures; controls materials, machinery, etc. charged to the section.

#### **810220 INK & ROLLER RECOVERY SECTION**

1. Manufactures and/or reconstitutes ink, assuring that sufficient supplies are available to meet ink production requirements. Inspects and tests materials used in the ink manufacturing process.



2. Maintains a storage system that ensures that the oldest supplies are used first. Moves ink ingredients from storage areas to the weighing and mixing area.
3. Maintains a quality control program and laboratory to ensure that manufactured ink meets specifications, will provide the target production rates, and minimize press maintenance. Ensures compliance with Bureau policies and procedures. Assigns batch number and tickets to ink containers for quality assurance of currency.
4. Maintains accurate inventories and accountability of inks and ink ingredients using the BEN.
5. Coordinates the production of ink with the waste treatment process to maximize effectiveness and minimize costs in both areas.
6. Receives blank, worn, and damaged cores for wiper and inking-in roller covering.
7. Mixes a variety of formulas for the covering of wipers and inking-in rollers.
8. Using a high-speed lathe, cuts wipers and rollers to size for use on the intaglio presses.
9. Polishes wiper rollers to a high gloss for use on the press.
10. Inspects wiper cores and covering materials to assure that the bearings and coatings are within tolerance(s).

### **810300 MECHANICAL EXAMINATION OPERATIONS BRANCH**

1. Receives loads of Unexamined Blank Engraved (UBE) currency from the Intaglio Plate Printing Operations Branch. Using a mechanical process for the \$1 Currency Program and an Upgraded Offline Currency Inspection System (UOCIS), the loads are examined for quantity and quality; trims, splits, and consolidates COPE loads.
2. Recommends and implements policies and procedures for examining and storing stocks of currency.
3. Accounts for and transfers substandard product to the Securities Verification Section (SVS) for disposition.
4. Maintains accountability for the receipt, transfer, and delivery of accountable security items and related supplies utilizing the BEN system in accordance with established procedures.
5. Coordinates with the Office of Operations Support (WCF), the Quality Assurance Branch (WCF), Intaglio Plate Printing Operations Branch, and Offset Operations Branch on analyses and investigations to detect and determine causes of defective work and to

identify spoilage trends.

6. Coordinates the administrative functions, which include personnel, production reporting, time and attendance and other records; informs employees about policies, procedures, rules, and practices of the WCF as they relate to the work of the components.
7. Maintains production records, prepares delivery schedules, and reports on work-in-process, finished goods on hand, etc.
8. Maintains work-in-process inventory and coordinates regular deliveries between the Mechanical Examination Operations Branch, COPE Operations Branch, Federal Reserve Vault and Packaging Branch.
9. Institutes internal control and accountability procedures in cooperation with the Security Division and WCF Compliance Division; maintains physical security and control of the product at all stages of processing; ensures compliance with Bureau policies and procedures; and controls materials, machinery, etc., charged to the Mechanical Examination Operations Branch.
10. Accounts for all products and once product is 100% reconciled by section, transfers substandard products to the Verification/Authentication Process for the substandard product to be processed under the joint verification and destruction procedures.

#### **810310 CURRENCY CONTROL SECTION**

1. Coordinates with the Intaglio Plate Printing Operations Branch, the receipt of Unexamined Blank Engraved (UBE) currency.
2. Responsible for maintaining accountability for the receipt, transfer, and delivery of accountable security items and related supplies utilizing the BEN system in accordance with established procedures.
3. Resolves problems detected in the accountability of any one of the processes surrounding the currency manufacturing process.

#### **810400 COPE OPERATIONS BRANCH**

1. Prepares COPE presses for overprinting Federal Reserve notes; prints and verifies proof sheets.
2. Overprints Treasury seals, serial numbers, bank district seals, and bank numbers; ensures that currency sheets are collated, properly cut, banded, and placed in sequence.

**810400 COPE OPERATIONS BRANCH (continued)**

3. Inspects sheets or notes for imperfect printings; exchanges defective currency sheets or notes for star replacement sheets or notes; and replaces defective blank engraved stock received in currency loads. Responsible for assuring denominational integrity from process to process.
4. Counts notes for verification; verifies serial numbers on overprinting currency; wraps bricks of finished notes; and delivers the bricks to the Federal Reserve Vault and Packaging Branch.
5. Stores and issues blank engraved and star replacement stock during the overprinting process.
6. Maintains currency production and accountability records and reports regarding all aspects of the operations, with particular attention to product security and physical control.
7. Requisitions inks, blank engraved paper, and other supplies for overprinting operations; develops schedules for preventive maintenance and repairs to COPE equipment.
8. Institutes internal control and accountability procedures in cooperation with the Security Division and WCF Compliance Division; ensures compliance with Bureau policies and procedures; and maintains physical security and control of the product at all stages of processing; controls materials, machinery, etc. charged to the COPE Operations Branch.
9. Maintains accountability for the receipt, transfer, and delivery of accountable security items and related supplies utilizing the BEN system in accordance with established procedures.
10. Accounts for and transfers substandard product to SVS for disposition.
11. Coordinates the administrative functions, which include personnel, production reporting, time and attendance and other records; informs employees about policies, procedures, rules, and practices of the WCF as they relate to the work of the components.
12. Accounts for all products and once product is 100% reconciled by section, transfers substandard products to the Verification/Authentication Process for the substandard product to be processed under the joint verification and destruction procedures.

**810500**

**810501**

**810502 FEDERAL RESERVE VAULT & PACKAGING BRANCH**

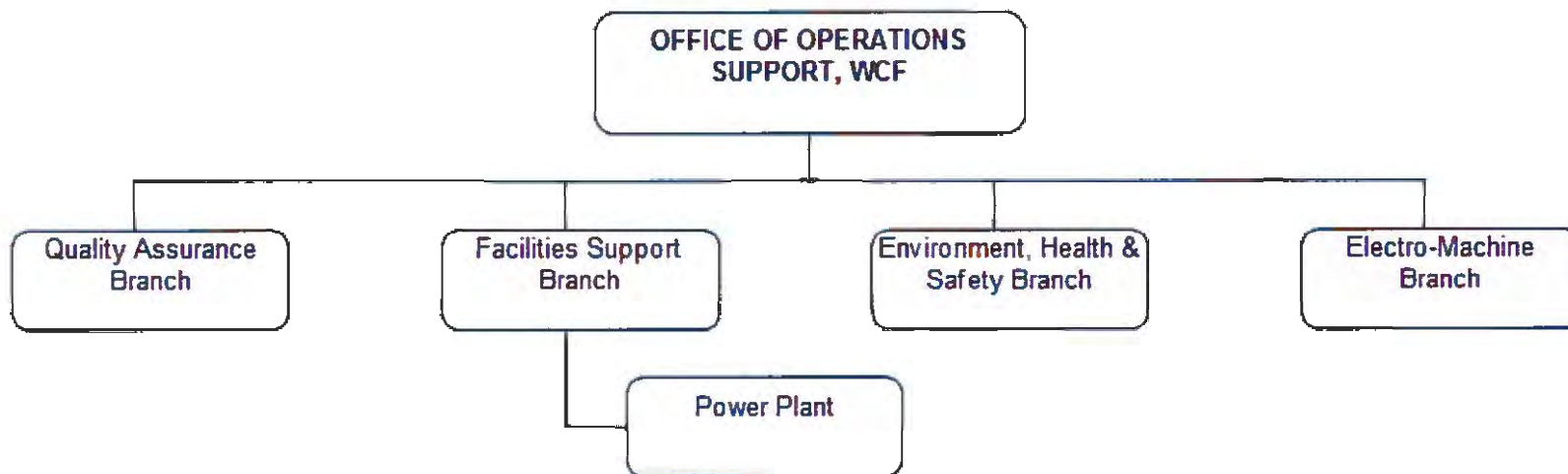
1. Receives, verifies, and stores finished currency from the COPE Operations Branch.
2. Maintains accountability for the receipt, transfer, and delivery of accountable security items and related supplies utilizing the BEN and Currency Ordering System (COS). Reconciles COS balances with BEN on a daily basis. Prepares related reports and schedules.
3. Operates cash-pak machines by assembling four (4) bricks of currency in sequence, passing and scanning the top brick under a bar code sensor, feeding them into the cash-pak machine which shrink-wraps four (4) bricks together, automatically applies the cash-pak label identifying the denomination, serial number, and bank, and loads the cash-pak on a pallet using an automated robotic palletizer.
4. Operates skid overwrapping and banding equipment to seal skids of product for shipment; stages product for shipment; prepares shipping documents; and, transfers shipments to armored carrier personnel for final destination to various Federal Reserve Banks.
5. Exercises rigorous security oversight and physical control over product throughout the cash-pak process.
6. Coordinates all activities related to shipments with the Security Division and/or the WCF Compliance Division.
7. Coordinates the administrative functions, which include personnel, production reporting, time and attendance, and other records; informs employees about policies, procedures, rules, and practices of the WCF as they relate to the work of the component.
8. Institutes internal control and accountability procedures in cooperation with the Security Division and WCF Compliance Division; maintains physical security and control of the product at all stages of processing; ensures compliance with Bureau policies and procedures; and controls materials, machinery, etc. charged to the Federal Reserve Vault & Packaging Branch.

**810510 GENERAL STORES, SHIPPING & RECEIVING SECTION**

1. Receives equipment, materials, and supplies to support the operation of the WCF.
2. Oversees the operation of the general supply areas. Establishes and periodically reviews stock levels, reorder points, and requisition objectives for production materials and general supplies. Controls the issuance of raw materials, repair parts, and general supplies.
3. Maintains physical accountability of stock items; furnishes suitable storage areas; and reviews data in the BEN to ensure that physical inventory balances are in agreement with the BEN.
4. Monitors the supply budget expenditures; reviews projected programs and projects to determine and advise on supply requirements.
5. Receives equipment, materials, and supplies verifying that the items are of the proper type and quantity; inspects for apparent damages; routes the goods to stores and/or other locations; and prepares related reports.
6. Operates industrial trucks to load and unload materials and supplies to/from tractor-trailers and other vehicles.
7. Oversees the operations of the loading docks.
8. Enters receipts into BEN.
9. Reviews stock items for new and/or better sources.
10. Ensures compliance with Bureau policies and procedures.

**830000 OFFICE OF OPERATIONS SUPPORT (WCF)**

1. Responsible for the WCF quality assurance, environmental, safety, occupational health, energy, and recycling programs. Ensures compliance with all policies and directives issued by the responsible offices at the DC Facility.
2. Ensures the effective operation and maintenance of the building complex, building systems, and production support systems through either contract or BEP personnel; oversees, directly or indirectly, all construction and service contracting at the WCF; provides CORs to carry out these functions.
3. Develops long-range planning projects, capital investment projects, and budgetary planning for the WCF.
4. Adheres to environmental compliance, monitoring, and reporting for the WCF; obtains any required environmental permits.
5. Administers the environmental compliance, safety, and health programs.
6. Distributes mail and publications/directives as requested.
7. Administers the facility's space utilization and allocation program, and makes space assignments with the approval of the Associate Director (WCF).
8. Supports the currency manufacturing program through the maintenance of production equipment and electronic inspection systems. Participates in the development, construction, operation, and repair of prototype or experimental equipment.
9. Manages quality assurance oversight functions. In cooperation with the Center for Quality Improvement, the Office implements quality standards at the WCF for all materials, processes, and products and recommends corrective action for any nonconforming aspects of production.
10. The Chief, Office of Operations Support (WCF), serves as the principal coordinator of Information Technology (IT) requirements at the WCF, setting goals, establishing priorities, and resolving conflicts which may arise among IT projects competing for resources. The Chief, Office of Operations Support (WCF), promotes the use of IT at the WCF working closely with the WCF IT Support Division which is responsible for performing IT projects.



## **830100 QUALITY ASSURANCE BRANCH**

1. Assures that incoming raw materials and supplies meet contractual specifications. Using the expertise of professional chemists, performs laboratory analyses on papers, inks, and other raw materials.
2. Recommends and develops test methods; substantiates and recommends process and material improvements through process capability studies, design of experiment, laboratory research, and in-process observations. Researches and develops improved test methods which might result in continuous product improvements and customer satisfaction.
3. Provides on-going product testing for quality and in-use durability.
4. Conducts research within the graphic arts profession for state-of-the-art improvements in process/instrumentation.
5. Evaluates new and/or improved production materials for product quality.
6. Participates in Bureau Acceptance Test (BAT) for new currency production equipment.
7. Serves as COR and Material Review Board representative for the WCF.
8. Serves as WCF representative during vendor quality audits.
9. Develops and implements production standards such as target values and tolerances.
10. Develops and implements a currency quality control program. Operates the BPS 3000 as part of the WCF overall Quality Assurance plan.
11. Maintains an inventory and accountability for all test work. Institutes internal control and accountability procedures in cooperation with the Security Division and WCF Compliance Division; ensures compliance with Bureau policies and procedures; and maintains physical security and control of the product at all stages of processing; controls materials, machinery, etc. charged to the Quality Assurance Branch.
12. Accounts for all products and once product is 100% reconciled by section, transfers substandard products to the Verification/Authentication Process for the substandard product to be processed under the joint verification and destruction procedures.



**830200 FACILITIES SUPPORT BRANCH**

1. Develops statements of work and cost estimates for operation and maintenance contracts, service contracts and construction contracts at the WCF. Develops statements of work and cost estimates for special projects pertaining to operation and maintenance contracts. Submits business cases, statements of work, cost estimates, drawings and specifications to the Office of Acquisition to solicit bids from contractors.
2. Serves as COR and monitors the performance of assigned contracts.
3. Develops and coordinates with the Contracting Officer for modifications to WCF contracts.
4. Takes appropriate measures to control and dispose of waste generated by the plant to comply with Federal, State and local regulations.
5. Acts as COR for the waste treatment plant assuring the efficient operation of the plant.
6. Oversees, directly and/or indirectly, all the construction contracting at the WCF.
7. Develops or oversees the development of all specifications for construction projects, major equipment installations, building repairs, modifications, and additions at the WCF. Reviews engineering designs and calculations prepared in-house or by contract design engineers. Maintains all WCF site and facility engineering drawings.
8. Coordinates all engineering and construction projects whether done in-house, by contractors, or with the assistance of personnel from the DC Facility.
9. Implements capital investment program activities at the WCF.
10. Maintains as-built drawings of the plant depicting the current configurations of utilities and architectural features. Coordinates all modifications and/or changes in the plant, and assures these changes are reflected on the current WCF as-built drawings.
11. Acts as focal point in coordinating WCF user needs and requirements with engineers and designers or construction projects and studies for the WCF.
12. Maintains WCF technical engineering data for building systems and support equipment systems.
13. Oversees space utilization and allocation at the WCF.

**830200 FACILITIES SUPPORT BRANCH (continued)**

14. Assists in current and long-range master planning and budget functions for facilities and major items support equipment. Prepares advanced major acquisition plans for WCF capital investments.
15. Coordinates and manages WCF furnishings inventory. Coordinates the procurement and installation of furnishings, or administers contracts to ensure they appropriately meet space and utility requirements.
16. Manages inventory of all materials and supplies to support the production of currency at the WCF. Follows up with Office of Acquisition to ensure timely delivery of order materials and supplies.
17. Maintains Fixed Asset database.
18. Manages the surplus and excess property program in accordance with General Services Administration (GSA), Treasury, and BEP regulations, policies, and procedures.
19. Coordinates with GSA on disposal of machinery and equipment.
20. Responsible for mail services and forms distribution. Furnishes copying and related services at the WCF. Receives publications from Washington and distributes as appropriate to WCF personnel.
21. Administers records storage and retention activities and the reports management program in compliance with the appropriate rules, regulations, policies, and procedures.

**830210 POWER PLANT**

1. Provides utility service systems, heating, ventilation and air conditioning systems, steam boilers, water softeners, thermal oxidizers, etc., needed to support currency production.
2. Monitors, tracks, and helps administer building services, custodial activities, snow removal, waste treatment plant operations, and grounds maintenance contracts; ensures that services meet contract specifications.
3. Serves as COR to monitor, track, and administer contracts for plant equipment maintenance and repair, building maintenance repairs, carpentry, painting, and masonry repairs.
4. Coordinates stock levels, reorder points, and requisition objectives for construction materials and building equipment spare parts; provides data to be entered into BEN. Monitors the supply budget expenditures for construction materials and equipment spare parts.
5. Monitors and maintains the fire management system either directly or indirectly by contract.
6. Provides technical assistance in monitoring and reducing the utility and energy consumption of the plant.

### **830300 ENVIRONMENT, HEALTH & SAFETY BRANCH**

1. Monitors air, waste water, and atmospheric emissions to ensure compliance with Federal, State, and local statutes, regulations, and executive orders.
2. Takes appropriate measures to control and dispose of waste generated by the plant to comply with Federal, State, and local rules and regulations.
3. Identifies, analyzes, and evaluates requirements and pollution sources which generate solid, gaseous, and liquid waste; maintains a current inventory of pollution sources; develops and implements methods to ensure adequate pollution abatement and control for systems and sources; and prepares necessary permit applications for appropriate Federal and/or State regulatory agencies.
4. Reviews plans, specifications, and regulations to ensure compliance with health standards, waste and storm water, environmental protection permit requirements, and general pollution abatement principles and practices, interprets and implements applicable State and Federal regulations on all aspects of air emissions and hazardous waste management; coordinates with regulatory agencies, as required.
5. Conducts program audits and inspections to ensure compliance with applicable safety, occupational health, and fire protection rules, regulations, and standards. Maintains a database of deficiencies discovered during routine, scheduled and unscheduled inspections. Tracks corrective actions and methods of correction.
6. Prepares, implements, and maintains plans and programs to prevent, abate, and control deterioration and pollution of the environment (air, water, and land).
7. Coordinates reviews and inspections by environmental organizations; participates in internal Environmental Compliance Assessment and Management Program (ESCOMP) evaluations by inspecting areas of responsibility and participates in the review of proposed corrective actions.
8. Collects and maintains compliance information and data; prepares and files permits and other required documents; and tests and evaluates systems for compliance with Federal, State, and local laws and regulations.
9. Reviews specifications for new machinery, buildings and equipment and plans for modifying existing equipment or buildings and structures to ascertain compliance with applicable safety, fire, health, and environmental standards.
10. Maintains a database of all WCF Material Safety Data Sheets (MSDS) for hazardous materials used at the WCF. Conducts reviews of new or proposed materials to determine if each product can be used safely throughout the entire production cycle and whether MSDSs comply with the Occupational Safety and Health Administration (OSHA) Hazard Communication Standard.

**830300 ENVIRONMENT, HEALTH & SAFETY BRANCH (Continued)**

11. Develops, implements, and maintains a contingency plan for the WCF to ensure workers' safety and protection of Bureau assets. Plans, conducts, and promotes activities such as emergency evacuation planning, training, and drills which support the safety, fire, and health programs at the WCF.

12. Reviews and coordinates the activities of the WCF Joint Labor Management Occupational Safety, Health, and Environment Committee (JOSHEC).

13. Manages the US Public Health Service Memorandum of Agreement to provide occupational health screenings, preventive medical services, emergency treatment for injuries and illnesses, the Wellness Center, and other health, safety, and industrial hygiene services; coordinates with the Contracting Officer as required.

16. Prepares and issues hot work permits for renovation and/or construction projects performed by in-house personnel and contractors.

17. Conducts facility-wide industrial hygiene surveys to identify and evaluate occupational stressors. Eliminates or mitigates identified stressors through the implementation of engineering controls, administrative controls, and appropriate personal protective equipment where engineering and administrative controls are not feasible.

**830400 ELECTRO-MACHINE BRANCH**

1. Performs electrical, electronic, and mechanical work for the installation, maintenance, alteration, assembly, repair and dismantling of production machinery and equipment; inspects new electronic, electrical, and mechanical production equipment.
2. Repairs and/or rebuilds electrical, electronic, and mechanical counting equipment.
3. Fabricates production equipment spare parts and prototype equipment using various machine shop equipment.
4. Analyzes malfunctions in electrical, electronic, and mechanical equipment; develops necessary repair procedures; performs repairs as required.
5. Assists other WCF components in the construction, operation, and repair of prototype or experimental equipment.
6. Fabricates, installs, and tests electrical, electronic and mechanical parts for production, prototype, or experimental equipment.
7. Machines inking-in rollers for use on the I-10 presses, providing the appropriate patterns for each denomination.
8. Provides support for the Plate Makers in maintenance and repair of machine shop equipment.
9. Develops statements of work and cost estimates for modification of currency manufacturing and currency processing equipment contracts at the WCF. Develops statements of work and cost estimates for special projects. Submits business cases, statements of work, cost estimates, drawings and specifications to the Office of Acquisition to solicit bids from contractors.

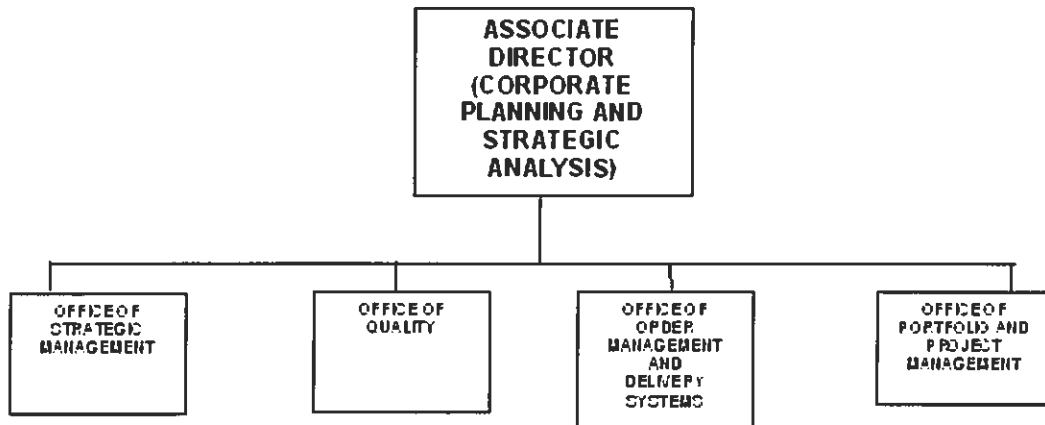
**900000 ASSOCIATE DIRECTOR (CORPORATE PLANNING & STRATEGIC ANALYSIS)**

The Associate Director, Corporate Planning and Strategic Analysis (CPSA) is responsible for guiding development and execution of overall strategic goals, strategic objectives, strategies (actions), and key success measures to continuously improve enterprise-wide performance.

The Associate Director, CPSA leads the Bureau quality assurance journey through the Office of Quality.

The Associate Director is responsible for starting-up functions of currency order management and delivery, and portfolio and project management. He/she guides institutionalization of integrated order management and delivery systems organization-wide including demand, material, production scheduling and inventory, and inventory and order management processes, protocols, techniques, and services.

Through the Office of Portfolio and Project Management, the Associate Director, CPSA supports and maintains the Bureau's Project Portfolio; fosters and strengthens Project Management (PM) discipline, competence and professionalism; keeps the Senior Executive Team and Project Management community informed of Portfolio and Project status; serves as the Bureau's authority on PM methods and practices; and supports Project delivery in a performance-focused environment.





**910000 OFFICE OF STRATEGIC MANAGEMENT**

The Office of Strategic Management:

1. Plans and manages day-to-day change management efforts involving multiple strategic processes.
2. Provides facilitation, training, integration and logistical support of BEP's change management efforts.
3. Facilitates the senior leadership team in developing, executing and managing the Bureau's strategic process including the strategic plan, work plans, and major deliverables.
4. Provides business process improvement consulting and training.
5. Facilitates the development of organizational key performance indicators (KPIs) and maintains the KPI reporting and tracking system.

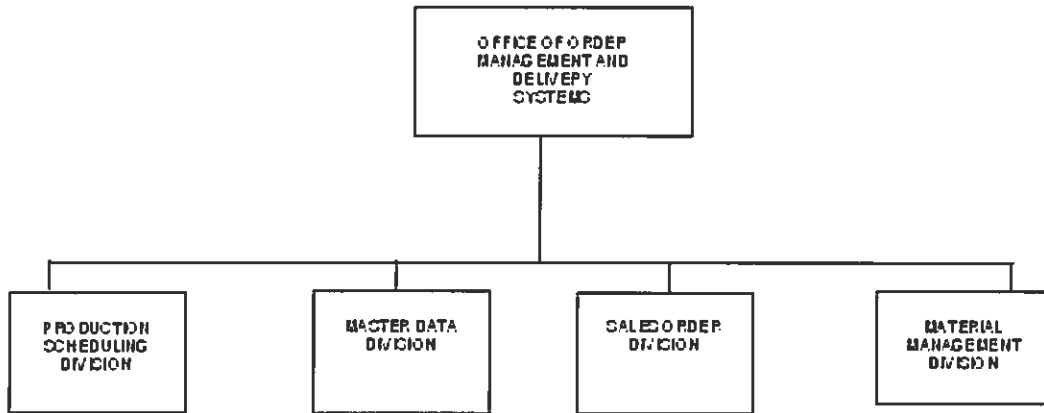
## **930000 OFFICE OF ORDER MANAGEMENT AND DELIVERY SYSTEMS (OMDS)**

### **The Office of Order Management and Delivery Systems:**

1. Leads start-up and institutionalization of integrated order management and delivery systems organization-wide including demand, material, production scheduling and inventory, and inventory and order management processes, protocols, techniques, and services.
2. Monitors reports and report feeds into advanced supply chain systems for optimization and accuracy of data. Provides technical advice on organizational patterns, systems, procedures, and planning of work, including quality and cost controls, applicable to manufacturing processes inherent with order management and delivery systems.
3. Serves as the central point of communication with Federal Reserve Board representatives on yearly order requirements and production, order changes, production status, and scheduling information.
4. Integrates and coordinates all advanced supply chain planning and execution ensuring the organization efficiently and effectively uses Oracle's Advanced Supply Chain Planning (ASCP) module and additional applications for scheduling and production in accordance with manufacturing and industrial engineering best practices. Oversees management of parameters and settings for ASCP module, and integrated applications, to optimize production, safety stock, and material processes. Monitors the on-time and completion performance of suppliers.
5. Creates, institutionalizes, and monitors Key Performance Indicators based on best industrial engineering and manufacturing industry best practices in performance management.
6. Develops the organization's master yearly production plan and schedule in collaboration with the Eastern and Western Currency Facilities. Makes changes based on order or sales demand. Develops demand plans and scenarios that result in effective capacity and inventory plans for two manufacturing plants.
7. Develops and deploys techniques to improve forecasts, scenario plans, trend analysis, and supply chain execution. Integrates and drives organization-wide equipment and labor capacity planning. Leads and/or facilitates continuous improvement activities including advanced supply chain planning, value stream mapping, and kaizen (continuous improvement) events.

**930000 OFFICE OF ORDER MANAGEMENT AND DELIVERY SYSTEMS  
(continued)**

8. Develops monthly status reports for senior management. Maintains program and administrative reference materials, project files, relevant background documents and makes available policies, procedures, and written instructions. Prepares, generates, monitors, and validates the conduct of recurring Order Management and Delivery Systems reviews.



## **931000 PRODUCTION SCHEDULING DIVISION**

1. Develops plans for the integration and use of industrial production facilities in collaboration with Eastern and Western Currency Facilities. Provides technical information, assistance, and advice concerning facilities, machinery, methods, materials, and standards for currency production, and analyzes, plans, and evaluates industrial plants capacity and potential for production of currency in collaboration with Western and Eastern Currency Facilities.
2. Contributes to the start-up and institutionalization of centralized production planning, scheduling, and execution, as well as change management, using an advanced information technology application.
3. Ensures that all production specific inputs, including resource definitions, resource availability, yield rates, run rates, and all other production data required to perform accurate scenario planning simulations and production planning are represented in the applied software tools.
4. Contributes to assembling Annual Demand Plan Inputs, and assembles and updates Production Demand Requirements and Test Demand Requirements.
5. Reviews annual demand projections and enters proposed production split recommendations into the Demand Management Tool based on plant capabilities and production history.
6. Infuses plant manufacturing capabilities and constraints in the planning systems. Reviews schedule outputs, manages schedule exceptions, and releases work orders to be available to the production sections.
7. Determines if production will be constrained in future periods, load levels production plan, and identifies potential corrective actions such as overtime and adding equipment.
8. Provides inputs to the initial Annual Demand Plan for production facilities. Collaborates, contributes to, or initiates and completes scenario planning options. Evaluates planning engine scenario outputs and collaborates in the selection of a favorable scenario to become the Annual Demand Plan. When changes to the Annual Demand Plan are needed, collaborates, contributes to, or initiates and completes scenario planning options to accommodate the change. Evaluates planning engine scenario outputs and collaborates in the selection of a favorable scenario to become the modified Annual Demand Plan.
9. Configures capacity planning (machine and person resource definitions) and finite scheduling application to ensure integration with Oracle's Advanced Supply Chain Planning module.

## **932000 MASTER DATA DIVISION**

1. Manages the start-up of centralized master data.
2. Ensures completeness of master data required to generate accurate Advanced Supply Chain Planning engine outputs. Assembles master data review packages and executes master data review with requestors.
3. Formalizes a New Item Introduction Process by identifying what master data elements are required for each type of system item and ensures that the formalized New Item Introduction Process provides a mechanism for the required master data to be clearly specified by either the requestor or the appropriate functional Office.
4. Manages the Entry and Maintenance of Product Related Data.
5. Assembles master data review packages and executes master data review with requestors.
6. Reviews master data (customer record, item set-up, items on price list) for Federal Reserve Monthly Currency sales orders, Public Sales orders, Special Products sales orders, Test Work sales orders, and Star Note sales orders.
7. Manages the setup and maintenance of system items including the assignment of item attributes, item categories, and catalog values required for effective planning, manufacturing, purchasing, and sales order processing including set-up, entry and maintenance of item master data, Bill of Materials, cost data, and price listings for customer sales orders.
8. Manages the Entry and Maintenance of Production Related Data (setup and maintenance of system entities required for manufacturing execution and production capacity analysis).
9. Manages the maintenance of production (e.g., Press, Craft Shop, Engraving, Offset and Plate Printing) definitions including the entry and maintenance of Machine and Person Resource definitions.

**933000 SALES ORDER DIVISION**

1. Manages start-up and institutionalization of sales order entry, sales order changes, and sales order scheduling for all sales order types for five demand streams: Federal Reserve Currency, Public Sales Products, Special Products Goods, Currency Testing Work, and Star Notes.
2. Leads Federal Reserve Currency sales order entry, change management, and scheduling. Monitors whether or not sales orders consume corresponding projected demand and oversees forecast adjustment. Enters/changes Federal Reserve monthly Currency sales orders, reviews current Yearly Currency Order Plan to determine monthly production requirement by Federal Reserve Bank; selects Federal Reserve Bank Customer, order type, warehouse, and Currency item. Enters ordered item quantities. Validates additional line details ensuring all line attributes are correct. Splits order lines so one process is listed per line, and saves the order. Updates quantities or cancels sales orders as applicable when changes are made by the Federal Reserve to the Federal Reserve Sales Order.
3. Leads sales order entry into the supply chain planning module for products to be offered for sale to the public, change management, and scheduling. Monitors whether or not sales orders consume corresponding projected demand and oversees forecast adjustment when indicated to avoid creation of duplicate demand in the planning system. Receives notification of a sales order for products to be offered for sales to the public. Enters ordered items and order type, quantity, and scheduled ship date into the supply chain planning module. Communicates changes to existing public sales order, and cancels or updates ordered quantities per the change.
4. Leads Special Product sales order entry, change management, and scheduling. Monitors whether or not sales orders consume corresponding projected demand and oversees forecast adjustment when indicated to avoid creation of duplicate demand in the planning system. Receives notification of a Special Products sales order. Selects the external customer, order type, quantity, and scheduled ship date attaching special instructions for external print orders. Cancels or updates ordered quantities when notified of order change.
5. Performs Test Work sales order entry, change management, and scheduling. Monitors whether or not sales orders consume corresponding projected demand and oversees forecast adjustment when indicated to avoid creation of duplicate demand in the planning system.
6. Receives notification of a Test Work Sales Order. Selects the internal Test Work Customer and order type for Test Work. Enters ordered item(s), quantities, and scheduled due date, and cancels or updates ordered quantities when notified of order change.

**933000 SALES ORDER DIVISION (continued)**

7. Leads Star Notes sales order entry, change management, and scheduling. Monitors whether or not sales orders consume corresponding projected demand and oversees forecast adjustment when indicated to avoid creation of duplicate demand in the planning system. Determines the Star Note requirements based on historic production yield factors by facility for a given currency denomination/series and the scheduled Annual Demand Plan production for the currency item. Selects the Federal Reserve Bank Customer, order type, warehouse, currency item, and quantity. Validates Additional Line Details ensuring all line attributes are correct. Splits order lines so one process is listed per line, and saves the order. Updates quantities or cancels sales orders as applicable when changes are made.

8. Monitors open sales orders, such as: sales orders open for the monthly/yearly totals, percentage of sales orders completed for the entire year and for the current month, trend analysis of sales orders completed over time, and percentage of on-time sales orders.



**934000 MATERIAL MANAGEMENT DIVISION**

1. Manages the start-up and institutionalization of centralized materials management for automated currency order management, delivery, and advanced supply chain planning system including: establishing requisitioning of paper and ink on Annual Demand Plan through a planning model; establishing minimum/maximum and acquisition rules as the material requirements engine for production support material; and initiating and ensuring completion of key personnel training in material management process best practices.
2. Monitors and manages the material requirements (e.g., paper, ink) generated by the Annual Demand Plan. Accesses the BEP Enterprise (BEN) and analyzes material requirements based on existing demand from the Demand Plan and Production Schedule. Identifies any material that will create a challenge for the vendor(s) to deliver on-time. Publishes material requirements to Vendor Portal, and obtains feedback from Vendor, and identifies material concerns.
3. Reviews recommendation from the BEN Manufacturing Support Suite (MSS) functionality of material required based on the Annual Demand Plan and Production Schedule, and makes adjustments, if needed, and releases recommendations to generate purchasing requisitions.
4. Manages changes in material requirements as demand changes throughout the execution year. Reviews and analyzes all system generation. Determines whether an exception is a supplier change or a floor change. If no change to existing requisition or purchase order is involved, generates a requisition. If a change to the production schedule is required, and obtains modified material requirements after the Demand Plan is changed.
5. Manages, monitors, and maintains all required buy item lead times. Analyzes existing lead times against actual lead times. Determines if any lead time attributes in the system need to be adjusted. Updates required lead time elements within BEN MSS. For changes to "Make Item" lead times, communicates suggested changes to operations management.
6. Monitors the Minimum-Maximum virtual workbench daily, and analyzes and identifies items that have hit minimum quantity threshold. Selects the item that will be requisitioned and generates the requisition to keep storeroom stocked to support production needs, and adjusts minimum-maximum quantities.
7. Analyzes Safety Stock levels from monthly Safety Stock Report. Determines settings that need to be manually adjusted (over-ride) or allows system to generate them based on demand and demand history.

**934000 MATERIAL MANAGEMENT DIVISION (continued)**

8. Manages the Expedite process. Identifies that a material requires expedited receiving in order to get the material to the shop floor as soon as possible once it arrives at the dock, and selects expedite flag on requisition.
9. Identifies Ink Lots that are about to expire. If expiring ink is on the production floor, notifies Section Supervisor to transfer ink to stockroom, and, if there will be a request to extend shelf life, submits request to Materials Technology Division.
10. Provides input to the Annual Demand Plan and subsequent plan revisions regarding significant supplier constraints. Reviews simulation scenario outputs to identify material supply exceptions indicating that a given scenario is not feasible from a materials perspective and requires modification. Ensures all material specific inputs including supplier configuration, contract agreements, purchased item lead times, receipt routing, and all other material required data required to perform accurate scenario planning simulations and production planning are represented in the applied software tools. Provides input on material availability constraints that would prevent effective production scheduling for demand inputs and reviews simulation output to identify material supply issues, and recommends plan adjustments to mitigate material supply issues.
11. Serves as the resident advocate for good project management practices across the organization; and selects project management tools for organization-wide use.
12. Serves as the official source of project templates and other project aids.
13. Supports project delivery in a performance-focused environment.

## **940000 OFFICE OF PORTFOLIO AND PROJECT MANAGEMENT**

The Office of Portfolio and Project Management (OPPM):

1. Supports and maintains the BEP Project Portfolio.
2. Develops and maintains Portfolio Management methodology and standards addressing ideation/categorization, evaluation, selection/prioritization, authorization, and benefit realization.
3. Serves as the resident advocate for good Portfolio Management practices.
4. Selects Portfolio Management tools and templates for organization-wide use.
5. Serves as the official source of Portfolio Management templates and other aids.
6. Fosters and strengthens Project Management discipline, competence and professionalism among BEP staff.
7. Mentors OPPM project teams and project teams in other Directorates/Facilities by request in project: integration management; scope, time, cost, issues, and communication management; and risk assessments.
8. Serves as quality advocate by ensuring consistency of milestones, issues, and project status information reported by project teams in the OPPM and other Directorates/Facilities and assist in conducting regular assessments of actual value and outcomes versus planned value and outcomes.
9. Assists project teams in other Directorates/Facilities, when requested, in all phases of their projects from project definition to rollout.
10. Creates and maintains a Project Management Community of Practice composed of Project Managers from all Directorates/Facilities. Works with this team as a means of building and sharing PM expertise. Collaborates with other PPM offices in the Department of the Treasury to improve overall project management practices, and share best practices and lessons learned.
11. Recognizes and rewards excellence in project management throughout the project portfolio.
12. Serves as a neutral party in resolving issues brought forward to the OPPM by Project Managers.
13. Implements and supports use of a standardized project management methodology across all projects.

**940000 OFFICE OF PORTFOLIO AND PROJECT MANAGEMENT (continued)**

14. Tracks portfolio and project progress across the Bureau. Identifies, manages, and/or supports ameliorating project risks and issues.
15. Participates in performance reviews of Project Managers when they report to OPPM on a dotted line basis, when applicable.
16. Trains Project Managers in the full range of project management topics. Makes training available to all levels of BEP management so that supervisors, middle managers, and executives each understand their role in making projects a success. Training may occur in multiple formats including formal project management classroom training, informal mentoring, partnering on projects, project management certification courses provided by third party vendors, seminars, and workshops.
17. Keeps BEP's Senior Executive Team and Project Management community informed.
18. Provides monthly briefings to the Senior Executive Team. Maintains the executive dashboard of portfolio and project status. Coordinates/facilitates the quarterly prioritizing of projects by the Senior Executive Team.
19. Develops, maintains, and publishes a "Lessons Learned" database.
20. Serves as the centralized repository of process knowledge, project performance metrics, templates, and past project documentation.
21. Develops and maintains the OPPM web page disseminating information about BEP's project portfolio across the organization.
22. Serves as BEP's Authority on project methods and practices.
23. Develops and sets project management methodology and standards addressing: project charter; project governance; scope, time, cost, quality (technical performance), issue, and communication management; execution approach; and risk management, among others.
24. Serves as the resident advocate for good project management practices across the organization; and selects project management tools for organization-wide use.
25. Serves as the official source of project templates and other project aids.
26. Supports project delivery in a performance-focused environment.

**940000 OFFICE OF PORTFOLIO AND PROJECT MANAGEMENT (continued)**

27. For projects sponsored by an Associate Director other than Corporate Planning and Strategic Analysis and managed by a Project Manager assigned by that Associate Director:

- Upon request, the OPPM will provide guidance to the Project Manager, but under normal circumstances would not provide direct PM services.
- Project Managers will use BEP's standardized project management methodology including but not limited to developing a project plan, maintaining the integrated project timeline, and tracking staff and project management assignments and reviews.
- Project Managers are accountable for successful project delivery. Delivery will be objectively measured as defined by BEP's standardized project management methodology.
- Project Managers will identify and manage project risks and issues.
- Project Managers interface directly with the Sponsor.

28. For projects managed by the Portfolio and Project Management Office:

- OPPM provides project management services.
- OPPM will use BEP's project management methodology including but not limited to developing a project plan, maintaining the integrated project timeline, tracking staff and project management assignments and reviews on selected projects, and coordinating governance review meetings.
- OPPM is accountable for successful project delivery. Delivery will be objectively measured as defined by BEP's standardized project management methodology.
- OPPM will identify and manage project risks and issues.
- OPPM interfaces directly with the Project Sponsor.



**CIRCULAR**

DATE June 29, 2015

**AUTHORIZATION OF ALL PRODUCTION ACTIVITIES**

REVIEW DATE: June 29, 2020

**1.0 PURPOSE AND SCOPE**

This circular establishes the Bureau of Engraving and Printing's (Bureau/BEP) policy concerning the levels of authorization required for establishing work orders authorizing work to be performed for producing printed materials in the BEP.

**2.0 POLICY**

Work Authorizations, Print Orders and Orders for Supplies and Services shall be prepared and issued prior to the commencement of work by BEP components. It is the policy of the BEP, regarding the procurement of non-security printed items, that such items be procured from Departmental sources whenever possible. This process should be coordinated through the Production Management Division (PMD), Office of Financial Management (OFM), Room 309A. If the printing or processing of non-security items cannot be procured from Departmental sources, requests should be forwarded to OFM to ensure proper authorization. BEP resources (equipment and personnel) shall be utilized only for production of security products or related items.

**3.0 RESPONSIBILITY**

The OFM is responsible for ensuring proper authorization for all work orders. The BEP components listed in the work order are responsible for the proper execution of the order.

**4.0 SUPERSESSION**

This circular supersedes Circular No. 10-02.1, "Authorization of All Production Activities," dated March 24, 1988 and Circular No. 10-02.4, "Procedures for Authorization of Work Orders Relative to Printed Products," dated November 15, 1995.

**5.0 TYPES OF AUTHORIZATION FOR WORK ORDERS****5.1 WORK AUTHORIZATION**

5.1.1 **PURPOSE.** The Work Authorization (BEP Form 8096) authorizes the Office of Engraving to create models, dies, film, proofs, rolls, plates, cylinders and sleeves to be used in the production of BEP products.

**5.2 PRINT ORDER – CURRENCY**

5.2.1 **PURPOSE.** The Print Order – Currency (BEP Form 9133-3) authorizes the PMD to print and process items to be used either in support of production programs or for product development. The Yearly Currency Order specifies quantities of notes, by denomination and bank combination, to be delivered to the Federal Reserve Vault each month (Transaction "YCOPPSCH"). This

**CIRCULAR**

DATE June 29, 2015

document is used as the driver for the monthly delivery schedule – Federal Reserve Notes (YCOPROMDS), estimated daily production and delivery requirements (YCOPREDP) and monthly overprinting requirements by process sheet and process (YCOPRMOR).

**5.2.2 AUTHORIZATION.**

*5.2.2.1 In the case of work to be done of a security nature for product development, authorization is required from the Director, BEP, via an approved Request for Assessment (BEP Form 8584) which must include a Security and Accountability Plan.*

*5.2.2.2 The annual letter from the Federal Reserve System notifies the BEP of the yearly currency order.*

*5.2.2.3 In the case of materials used in the support of production program, a memorandum from the requesting Office Chief must be approved by the Manager, Production Management Division.*

*5.2.2.4 Substantive changes to the original order shall be approved by the initial final approval signatory and submitted in writing to the Chief, OFM.*

**5.3 PRINT ORDER – MISCELLANEOUS PRODUCTS**

**5.3.1 PURPOSE.** The Print Order – Miscellaneous Products (BEP Form 9133-5) authorizes the Office of Currency Manufacturing (WCF) or the Office of Securities Printing (ECF) to print and process items other than currency for sale or use by both internal and external customers.

**5.3.2 AUTHORIZATION.**

**5.3.2.1** For internal customers, authorization from the Director, BEP, is required for the printing and processing of non-security items that cannot be procured from Departmental sources.

**5.3.2.2** After Director approval (if required), a memorandum from the requesting Office Chief must be forwarded to the Chief, OFM.

**5.3.2.3** In the case of items for external customers, various agencies utilize either printing requisitions or letters as authorization.

**5.3.2.4** Substantive changes to the original order shall be approved by the initial final approval signatory and submitted in writing to the Chief, OFM.

**5.4 ORDER FOR SUPPLIES OR SERVICES.**

**5.4.1 PURPOSE.** The Order for Supplies or Services (BEP Form 8098) authorizes BEP manufacturing and support components to perform work other than printing of BEP products in support of the production programs. Some examples are: the destruction of obsolete items, plates and sleeves used in the production of out-of-series currency, unusable (worn) currency plates, requests from external customers for negatives or dies, etc.

**5.4.2 AUTHORIZATION.**



**CIRCULAR**

DATE June 29, 2015

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- 5.4.2.1 *In the case of materials used in the support of production programs, a memorandum from the requesting Office Chief must be approved by the Chief, OFM. The Chief, OFM, shall approve the destruction of all obsolete items.*
- 5.4.2.2 *The Director, BEP, shall approve all work orders, which require the removal of security items; e.g., image carriers, printed materials, and currency and blank pre-phosphored paper from the BEP premises. In the case of work to be done of a security nature for product development, authorization is required from the Director, BEP, via an approved Request for Assessment (BEP Form 8584) which must include a Security and Accountability Plan.*
- 5.4.2.3 *All requests from Project Managers must be submitted via a Request for Assessment (BEP Form 8584), which must include a Security and Accountability Plan, and approved by all Associate Directors and the Director.*
- 5.4.2.4 *Requests may be prepared on a memorandum by the Project Manager and routed through his/her Associate Director for approval by the Director.*
- 5.4.2.5 *Substantive changes to the original order shall be approved by the initial final approval signatory and submitted in writing to the Chief, OFM.*

**5.5 NOTICE OF CHANGE**

- 5.5.1 **PURPOSE.** The Notice of Change (BEP Form 2149) informs BEP manufacturing and support components of changes to the original Print Order or Order for Supplies or Services made necessary by a change in requirements from the customer or by an error in the creation of the original order.

**5.6 JOB CHANGE REQUEST**

- 5.6.1 **PURPOSE.** The Job Change Request (BEP Form 8050) notifies BEP manufacturing components of the requirements to perform press job changes, a description of the change, where to make the change and the duration of the change.
- 5.6.2 **AUTHORIZATION.** Manager, Production Management Division.

**5.7 MANUFACTURING ORDERS**

- 5.7.1 **PURPOSE.** Authorizes the manufacturing components to print, process and deliver the customer-desired quantity (BEN).
- 5.7.2 **AUTHORIZATION.** Printing authorizations and letters from external customers, approved Request for Assessment or approved memoranda from internal customers.

**CIRCULAR**

DATE June 29, 2015

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**6.0 OFFICE OF PRIMARY RESPONSIBILITY**

Office of Financial Management.

<annual update>

Leonard R. Olijar  
Director



**CIRCULAR**

DATE: November 27, 2017

**BEP LEAN SIX SIGMA POLICY**

REVIEW DATE: November 27, 2022

**1.0 PURPOSE**

This circular establishes policies, responsibilities and deployment methodologies to implement and sustain Lean Six Sigma (LSS) throughout the Bureau of Engraving and Printing (BEP). It also defines the necessary infrastructure and reporting mechanisms to both build and maintain a viable and effective program.

**2.0 SCOPE**

The provisions of this policy apply to all BEP components, Offices and individuals at both the Eastern and Western Currency Facilities.

**3.0 BACKGROUND**

LSS is a proven problem-solving methodology which has been used within the private sector and Government for many years. It has achieved significant success, substantially improving bottom-line performance to provide greatly enhanced returns to shareholders and the US taxpayer, alike. The principles of LSS are founded in the work performed by some of our greatest industrial pioneers, namely Henry Ford and Dr. Edward Deming. Their principles were evolved by Toyota in the 1950s, and Motorola and General Electric in the 1980s, to become the powerful and highly universal methodology that it is today.

LSS can be used to improve virtually any organizational process (manufacturing, administration, Information Technology (IT), etc.) focusing on the identification and elimination of waste, variation and defects. This focus, combined with potent analytical and root cause analysis techniques, achieves rapid and substantial improvements in Quality, Cost, Schedule and Customer Satisfaction.

**4.0 POLICY**

It is the policy of the Bureau to deploy LSS principles and tools throughout the organization establishing the methodology as one of the primary mechanisms by which strategic imperatives are realized and operational excellence achieved. Deployment and subsequent indoctrination will be accomplished through the development of capable LSS resources within Offices, that are self-sustaining and continually improving the Bureau's business performance through the execution of strategically-aligned projects with measurable results. In its mature form, the Bureau's internal LSS capability will enable cultural change, and significantly reduce the need for contract support associated with business process re-engineering, process improvement, organizational alignment and quality improvements.

**5.0 REFERENCES**

- 5.1 <http://www.performance.gov/>
- 5.2 US Department of the Treasury – Strategic Plan 2014 – 2017 – Goal 5



# CIRCULAR

DATE: November 27, 2017

- 5.3 Bureau of Engraving and Printing – Strategic Plan 2014 – 2017
- 5.4 International Organization for Standardization (ISO) 9001:2015 – Clause 8.5.1 Continual Improvement
- 5.5 Environmental Management System (EMS) ISO 14001:2015 – General Requirements 4.1

## 6.0 GOALS AND OBJECTIVES

The Bureau's policy pertaining to LSS will be executed, realized and measured through the goals and objectives depicted in Figure 6.1-1. Each goal and objective will be implemented over a three (3) to five (5) year deployment plan which will result in the creation of a mature, organic and complete LSS capability within the Bureau. The capability will represent a key component of the Bureau's overall business transformation strategy. The goals and objectives are fully defined and managed within the Office of Compliance.

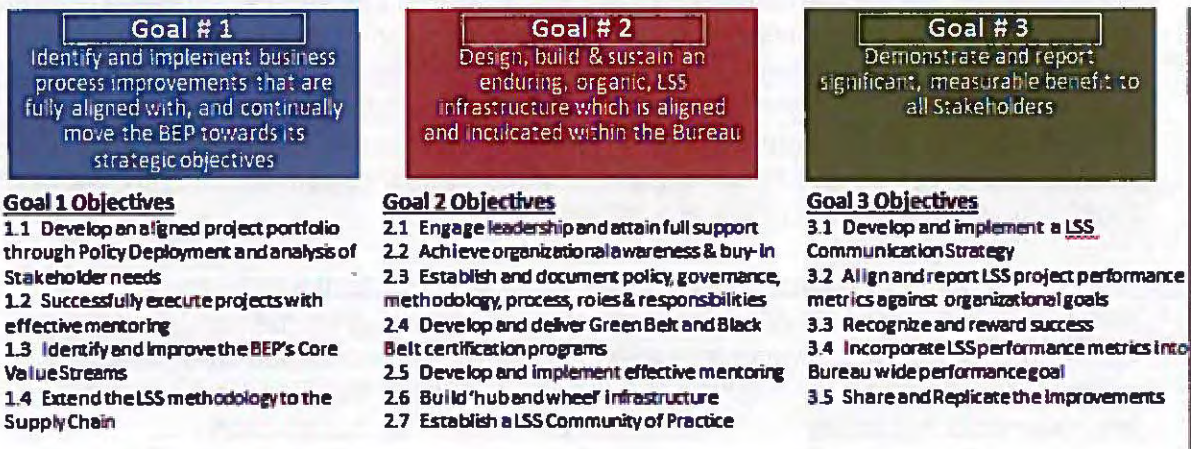


Figure 6.1-1 – BEP's Lean Six Sigma Deployment Goals & Objectives

## 7.0 LSS INFRASTRUCTURE

The Bureau will establish the organizational infrastructure defined in Figure 7.0-1 to grow and sustain the LSS program. The infrastructure is built on four foundational components comprised of:

- Executive Leadership
- The Office of Compliance
- The operational Offices and Divisions at both the Eastern and Western Currency Facilities and
- The Bureau's LSS Steering Committee.

**7.1 Executive Leadership** owns the vision for the LSS program ensuring it is fully supported with necessary resources and endorsed by all Offices within the Bureau. It also serves to remove barriers and obstacles which could otherwise



CIRCULAR

DATE: November 27, 2017

delay or prevent the implementation of necessary change. Executive Leadership will hold individual Offices accountable for developing an effective LSS capability, as well as Project Sponsors/Process Owners for implementing and sustaining agreed upon process improvements. Executive responsibilities pertaining to the LSS program are fully expounded in section 8.0.

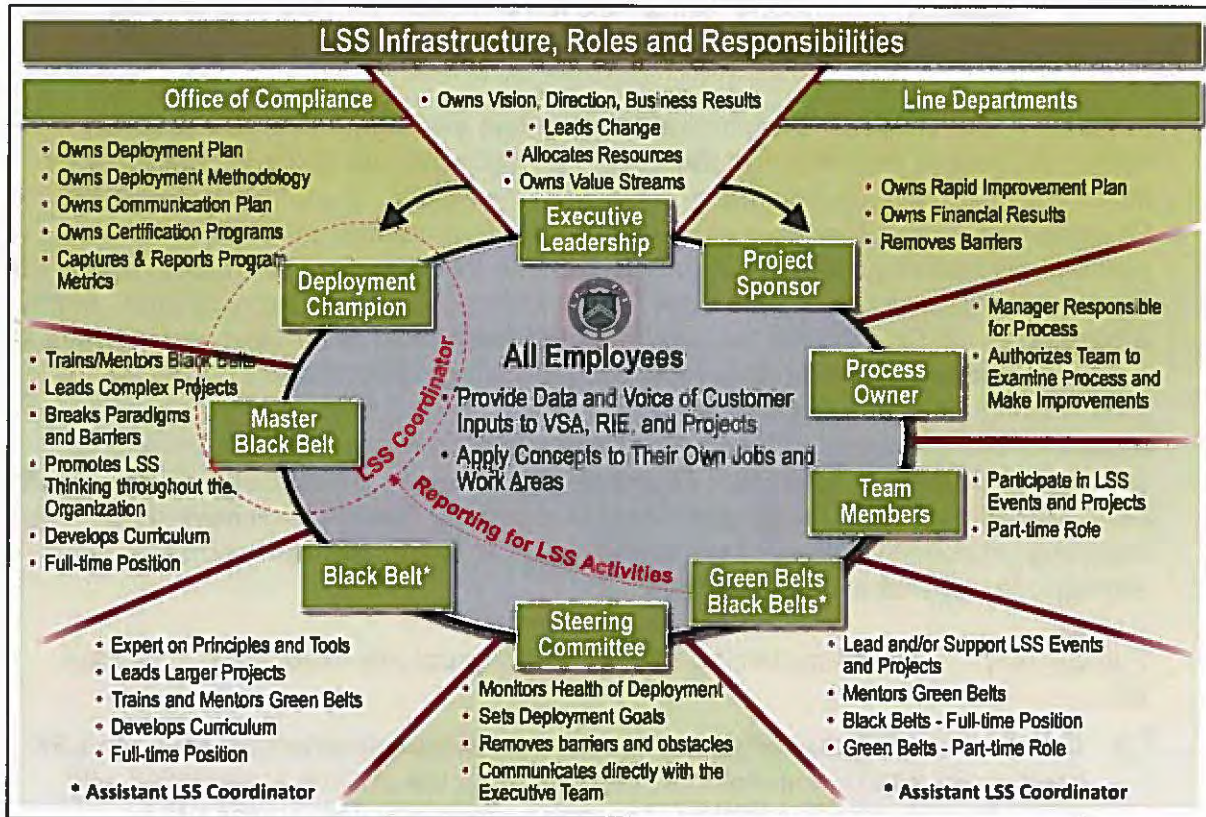


Figure 7.0-1 – BEP’s Lean Six Sigma Infrastructure, Roles and Responsibilities

**7.2 The Office of Compliance (OC) is responsible for managing and deploying the program to fully realize the strategic intent of LSS within the Bureau. To this end, it will:**

- provide the necessary resources to develop, manage and execute LSS training and certification programs;

# CIRCULAR

DATE: November 27, 2017

- create the LSS project portfolio ensuring it is fully aligned to the Bureau's strategic imperatives;
- lead complex, strategic-level projects identified by the Executives;
- manage and mentor Green Belts and Black Belts to project success; create Bureau-wide awareness of the LSS program and the resulting benefits; and
- establish and lead a LSS Community-of-Practice within the Bureau.

In addition, the Office of Compliance will maintain oversight of all LSS activities within the Bureau ensuring that the necessary rigor and discipline is applied to all initiatives to achieve meaningful and measurable results. In conjunction with the Portfolio and Project Management Office (PPMO), it will also manage the project portfolio, allocating projects on a priority basis to available Belt resources, to ensure the overall program remains on a track to fully meet Executive expectations. In this regard, the LSS Coordinator, or delegated representative will review and approve all project charters prior to submission to the Executives; review and approve all toll-gate briefs prior to delivery to Executive sponsors; and ensure performance measures are sufficiently defined for current state processes and achievable for future state performance levels. To enable this process, Green Belt and Black Belt resources at both the Eastern and Western Currency Facilities will have dotted line reporting responsibility to the LSS Coordinator, or delegated representative when engaged in any and all LSS activities.

Full OC responsibilities pertaining to the LSS program are expounded in section 8.0.

- 7.3 Operational Offices** within the Bureau will provide sponsorship for each LSS project executed within their domain, ensuring the project is supported with capable resources to enable successful completion. Resources will be comprised of Team Members selected to provide subject matter expertise (SME) input to the improvement activities; Green Belts who will become certified in the LSS methodology and lead interoffice-level projects; and Black Belts, also certified in the LSS methodology, who will lead more complex projects and act in a training capacity to enable knowledge transfer. Team Members, Green Belts and Black Belts will be selected from all personnel grades within the operational offices, including craft, administration, technical and management.

Full Operational Office responsibilities pertaining to the LSS program are expounded in section 8.0.

- 7.4 The LSS Steering Committee** will monitor the LSS deployment; assess overall benefit and return-on-investment (ROI); guide the development of LSS resources; evaluate the overall health of the program; and address any barriers, risks and concerns hindering deployment progress. The Steering Committee will meet on a semi-annual basis, or as needed, to develop a plan

# CIRCULAR

DATE: November 27, 2017

of action as required, and to ensure the program remains on track to meet the needs of all Stakeholders.

## 8.0 ROLES AND RESPONSIBILITIES

Successful deployment of an organizational-wide LSS program and the resulting cultural change requires buy-in and support from all levels of the Bureau. All employees have key roles and responsibilities to perform, to successfully deploy and institutionalize the LSS methodology and drive enduring change. Figure 7.0-1 outlines the key roles associated with the Bureau's LSS program.

### 8.1 Executive Leadership

The Executive Leadership Team will:

- 8.1.1 Openly support and drive the LSS methodology as a primary mechanism by which the Bureau will improve its business practices, change its culture and achieve operational excellence.
- 8.1.2 Identify strategic level projects which can be executed using the LSS methodology.
- 8.1.3 Hold individual Offices and Divisions accountable for building an effective LSS capability that will be used to execute, implement and sustain gains LSS projects within their sphere of influence.
- 8.1.4 Ensure individual Offices and Divisions implement cascading goals (when projects have been identified) to motivate appropriate personnel to drive and institutionalize the LSS methodology, attain Green Belt/Black Belt certification, and successfully execute LSS projects.
- 8.1.5 Support the Policy Deployment process to build and sustain the LSS Project Portfolio.
- 8.1.6 Maintain awareness of successful LSS projects and seek to replicate the improvements throughout the Bureau. Replication will hasten the adoption of LSS within the Bureau and increase the velocity of achieving meaningful and measurable change.
- 8.1.7 Establish a Lean Six Sigma Steering Committee.

### 8.2 Project Sponsors – Office Chiefs and Division Managers

Project Sponsors – Office Chiefs and Division Managers will:

- 8.2.1 Openly support the need to execute LSS projects within their respective Office and Divisions.
- 8.2.2 Encourage the selection of their best personnel to participate in the LSS program and achieve certification, in order to drive meaningful change within their respective Office/Division.
- 8.2.3 Include LSS training, LSS project goals and improved business performance in personnel performance plans across their Office/Division as projects are identified.



# CIRCULAR

DATE: November 27, 2017

- 8.2.4 Provide the necessary resources (people and time) to support and successfully execute LSS projects.
- 8.2.5 Empower project teams to seek and implement change to improve process/business performance.
- 8.2.6 Actively identify LSS project opportunities and areas for improvement within their respective Office and Divisions.
- 8.2.7 Ensure projects are supported by other Offices and Divisions where necessary.
- 8.2.8 Actively engage the project Teams and offer advice and guidance to drive LSS projects to a successful outcome.
- 8.2.9 Approve implementation of proposed improvements after successful completion of the Analyze phase of the Define, Measure, Analyze, Improve and Control (DMAIC) project cycle.
- 8.2.10 Communicate, drive and manage change within their sphere of influence.

### 8.3 Process Owners:

Process Owners will:

- 8.3.1 Commit to active involvement and full support of improvement initiatives being executed in their area of responsibility, supporting team meetings and activities as needed to ensure project success.
- 8.3.2 Empower the LSS project Team to make improvements and implement the necessary change in their area of responsibility.
- 8.3.3 Communicate, drive and manage change within their area of responsibility.
- 8.3.4 Lead toll-gate reviews and the final project out brief.
- 8.3.5 Work closely with LSS Green/Black Belts to develop project charters, placing particular emphasis on project scope and current state/future state performance metrics.
- 8.3.6 Ensure the project is supported with the necessary personnel and subject matter expertise to include removing barriers and mitigating any risks.
- 8.3.7 Support the LSS Green Belt/Black Belt to ensure the improvement project is completed in a timely manner.
- 8.3.8 **Own the project results**, ensuring that process improvements are fully implemented and future state performance measures are achieved and sustained.
- 8.3.9 Accept the Control Plan at project conclusion and commit to sustaining the improved process and changes.

### 8.4 Green Belts:

Green Belts will:

# CIRCULAR

DATE: November 27, 2017

- 8.4.1 Act as a part-time leader of a DMAIC Project, or as a Team Member of a larger, more complex Black Belt project.
- 8.4.2 Apply fundamental Lean Six Sigma skills and techniques to identify improvement opportunities and improve processes within their domain of operation.
- 8.4.3 Play a critical role in the indoctrination of LSS within the Bureau by teaching the LSS Awareness Class, 5S and Value Stream Mapping (VSM) training modules within their own Office/Division.
- 8.4.4 Ensure future state performance metrics and benefits are based on robust analysis and data.
- 8.4.5 Lead the creation of project briefs provided to Sponsors and Process Owners during the life-cycle of the project.
- 8.4.6 Support the BEP LSS Community of Practice.
- 8.4.7 Dedicate sufficient time to complete a LSS project in a timely manner – (3 to 6 months for a Green Belt project).
- 8.4.8 Commit to maintaining their LSS certification by completing one (1) Project, OR one (1) Rapid Improvement Event OR one (1) significant LSS training assignment each year.
- 8.4.9 Report to the LSS Coordinator when undertaking LSS activities within the Bureau.

## 8.5 Black Belts:

In addition to Green Belt responsibilities, Black Belts will:

- 8.5.1 Act as a part-time leader of a complex DMAIC Project, or a team member of a larger, strategic level Master Black Belt project.
- 8.5.2 Assist with the teaching and delivery of the BEP Green Belt certification class.
- 8.5.3 Mentor Green Belts undertaking certification projects to ensure a complete understanding of the LSS methodology and tools.
- 8.5.4 Prepare future state performance metrics for Sponsor validation.
- 8.5.5 Capture results, lessons learned, and future improvement opportunities from all LSS activities engaged.
- 8.5.6 Dedicate sufficient time to complete a LSS project in a timely manner – (6 to 9 months for a Black Belt project).
- 8.5.7 Commit to maintaining their LSS certification by completing one (1) Project, AND one (1) significant LSS training assignment each year.
- 8.5.8 Report to the LSS Coordinator, or delegated representative, when undertaking LSS activities within the Bureau.

**CIRCULAR**

DATE: November 27, 2017

**8.6 Team Members:**

Team Members will:

- 8.6.1 Participate in LSS improvement initiatives to provide the 'inside-eyes' perspective, Voice-of-the-Customer and subject matter expertise.
- 8.6.2 Dedicate sufficient time to support the project team and complete Green Belt and Black Belts projects within allocated timescales.
- 8.6.3 Continually seek ways to improve their processes using the LSS methodology and tools.

**8.7 Office of Human Resources – Center for Excellence:**

The Office of Human Resources – Center for Excellence will:

- 8.7.1 Include LSS Awareness Training in the standard onboarding process for all new employees.
- 8.7.2 Support the training and deployment of LSS through the timely provision of classroom and TLMS training resources.

**8.8 LSS Coordinator/Assistant LSS Coordinator:**

The LSS Coordinator/Assistant Coordinator will:

- 8.8.1 Lead the BEP LSS Deployment to institutionalize LSS thinking, ensuring that the methodology moves the Bureau continually towards its strategic imperatives.
- 8.8.2 Create a fully proficient LSS resource which is capable of applying the LSS methodology with rigor and discipline to progressively move the BEP towards operational excellence.
- 8.8.3 Develop, maintain and execute training curricula for all defined LSS roles.
- 8.8.4 Develop, maintain and execute Green Belt and Black Belt certification programs based on the American Society for Quality (ASQ) body-of-knowledge.
- 8.8.5 Advise/Assist organizational Executives, Project Sponsors and Process Owners with LSS deployment strategy, planning, and execution.
- 8.8.6 Lead complex, cross-functional, and cross-organizational projects and full-scale deployments.
- 8.8.7 Provide a formal, structured mentoring program for Black Belts, Green Belts and Project Sponsors.
- 8.8.8 Mentor, engage, and guide Green Belts and Black Belts undertaking certification projects to ensure a complete understanding of the LSS methodology and tools as well as to ensure consistency and alignment.
- 8.8.9 Lead the Policy Deployment initiative to build and align the LSS project portfolio to the Bureau's strategic goals.
- 8.8.10 Ensure future state performance metrics and benefits are based on robust analysis and data for Sponsor validation.

# CIRCULAR

DATE: November 27, 2017

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- 8.8.11 Maintain and lead the BEP LSS Community of Practice.
- 8.8.12 Implement an effective communication strategy within the Bureau pertaining to LSS activities and to lead LSS replication efforts.
- 8.8.13 Collate and report LSS benefits to Executive Leadership to create an ROI culture. The results will be reported on a semi-annual basis
- 8.8.14 Manage the Bureau's LSS deployment and individual improvement projects in accordance with PPMO best practice.
- 8.8.15 Report barriers to the LSS deployment to the BEP Executive and Steering Committee for resolution.
- 8.8.16 Ensure all Bureau LSS efforts are aligned to Department of the Treasury Policy and Guidance as well as the Bureau's quality improvement initiative.

## 9.0 OFFICE OF PRIMARY RESPONSIBILITY

Office of Compliance

<electronically approved>  
Leonard R. Olijar  
Director

**CIRCULAR**

DATE: November 27, 2017

**Exhibit A  
Definition of Terms**

- **5S:** Traditional LSS approach to organizing and standardizing working practices to create a highly effective work environment. 5S is comprised of 5 steps:
  - Sort (organize)
  - Straighten (eliminate variations)
  - Shine (clean)
  - Standardize (perform work using standard, repeatable methods)
  - Sustain (consciously continue to work the previous four items)
- **Black Belt:** Black Belts are responsible for leading complex LSS projects and mentoring Green Belts through local, tactical level projects. They are knowledgeable and skilled in the use of process improvement tools and methodologies; are proficient in facilitation and change management; and have the ability to guide subject matter experts to improve the operational effectiveness of the Bureau.
- **Communication Plan:** The process used to keep all personnel at every level informed of the status of the LSS program and the results and benefits achieved. It is an essential foundational component of a successful program and uses a wide range of communication techniques including BEP TV, BEP Communicator, Bulletins and Out-Briefs.
- **Community of Practice (CoP):** A group that shares a common functional responsibility and similar activities, although located in different locations and Offices. CoPs provide an opportunity for sharing LSS information, best practices, and accomplishments.
- **Customer:** Personnel and/or organizations for which a product or service is provided. The external customer is the end user of the Bureau's product or service. Internal customers are those who take the results of some internal process step (e.g., a report, product, or other work output) as an input for their work.
- **DMAIC:** A data driven strategy for improving processes as an integral part of the LSS initiative. DMAIC is an acronym for Define, Measure, Analyze, Improve and Control.
- **Green Belt:** Green Belts are responsible for leading local, tactical LSS projects. They are knowledgeable and skilled in the use of basic process improvement tools and methodologies and are proficient facilitators.
- **LSS Maturity:** The degree of sustained process improvement capability throughout the Bureau. Typically measured by project activity and the bottom line, strategically aligned benefits provided to the Bureau.
- **Project Charter:** A document that summarizes the rationale, objective, and scope of a LSS project. The Charter effectively empowers the Team to execute the project and implement the necessary changes to achieve the improved levels of business performance.
- **Return on Investment (ROI):** The ratio between the savings or cost avoidance (the return) that will result from the cost of completing the project and implementing the recommended changes (the investment). In the Bureau, ROI can also refer to the return produced by LSS projects in improved process performance, reduced cycle time, improved quality and enhanced Customer satisfaction.

# CIRCULAR

DATE: November 27, 2017

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- **Root Cause Analysis (RCA):** A commonly used LSS tool used to identify the fundamental factor(s) causing process nonconformance or variation. LSS seeks to identify and eliminate root causes to provide enduring solutions to process deficiencies.
- **Stakeholder:** A person internal or external to an organization who has a stake in the outcomes of a process or activity.
- **Standard Work:** An agreed set of work procedures that effectively combine people, materiel, and machines to maintain quality, efficiency, safety, and throughput. Work is described precisely in terms of cycle time, work in process, sequence, time, layout, and the inventory needed to conduct the activity.
- **Steering Committee:** The LSS Steering committee is comprised of senior leaders and stakeholders within the Bureau responsible for deploying and managing the LSS program. It convenes on a regular basis to ensure the program is on track to achieve its stated objectives, and obstacles and barriers preventing its successful deployment are addressed at the highest level.
- **Subject Matter Expert (SME):** A recognized expert in a given functional area or subject.
- **Toll Gate:** Formal status review held at the end of each of the five DMAIC phases. The purpose of the tollgate review is to evaluate progress on the project; ensure the project is receiving adequate management guidance, resources, and support; and decide if the project should continue, be placed in hibernation, or shut down.
- **Value Stream:** A term used to encompass all the planning, execution, activities, and services in an enterprise-wide or organization-wide process to create value for the customer.
- **Voice of the Customer:** The expressed requirements and expectations of Customers relative to products and services, as documented and disseminated to the members of the providing organization. A foundational principal of LSS is that customer requirements should drive all LSS activity.



**CIRCULAR**

DATE March 16, 2015

**GUIDELINES FOR THE USE OF THE BUREAU OF ENGRAVING AND PRINTING  
REPRESENTATION FUND**

REVIEW DATE: March 16, 2020

**1.0 PURPOSE**

This circular addresses the Bureau of Engraving and Printing's (Bureau/BEP) policy and procedures relative to the use of representation funds. In order to insure accountability and responsibility, it is incumbent on the Bureau to tightly control and monitor expenditures of these funds.

**2.0 POLICY**

Representation funds shall be used solely to facilitate official reception and representation activities that further the interests of the Bureau, the Department of the Treasury, and the United States of America (USA/US). These activities are intended to facilitate cooperation and collaboration with the Bureau's global counterparts and domestic partners in the securities printing, banking and related industries.

**3.0 SCOPE**

The Director and the Deputy Director (or their designees) have authority to use representation funds for expenses, subject to enacted limits incurred in facilitating official reception and representation activities. This generally consists of official agency events characterized by a mixed ceremonial, social and/or business purpose, including luncheons, dinners, receptions, and similar events, used to build beneficial international and domestic relationships which relate to BEP's mission and are hosted by a high level BEP official. Representation funds may not be used to provide food or refreshments at intra-government work sessions or routine business meetings.

**4.0 BACKGROUND**

The Bureau meets regularly with its counterparts in the securities printing and banking industries around the world to share information and collaborate on issues related to currency production, counterfeit deterrence, and industry trends. Collaboration with other global security printers as well as experts in the field of counterfeit deterrent features provides opportunities to the Bureau to investigate features as well as technologies that may be suitable for inclusion into US paper currency designs. By using representation funds, the Bureau has a means to extend business courtesies to its official guests during collaborative meetings and forums.

**5.0 RESPONSIBILITIES**

The Office of Financial Management (OFM) shall establish detailed procedures for use of the representation fund. The Director or Deputy Director (or their designee) may request payment or reimbursement from representation funds of expenses incurred in connection with a function attended by foreign dignitaries and/or officials of organizations with interests related to security printing, securities design or manufacture, banking, or counterfeit deterrence, when the principal purpose of the function relates to BEP's programs or activities. The Chief Financial Officer (CFO)



DATE March 16, 2015

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shall review requests and, if appropriate, approve the request. OFM shall review approved requests for accuracy and completeness, and perform all necessary procedures to facilitate payment or reimbursement transaction.

**6.0 OFFICE OF PRIMARY RESPONSIBILITY**

Office of Financial Management

**<SIGNED>**  
Larry R. Felix  
Director



**CIRCULAR**

DATE September 26, 2017

**RECEIPT, HANDLING, AND TRANSPORT OF MUTILATED CURRENCY  
RECEIVED THROUGH BUREAU OF ENGRAVING AND PRINTING MAIL**

REVIEW DATE: September 26, 2022

**1.0 PURPOSE**

This circular establishes policy and procedures for the receipt, handling, and transport of mutilated currency claims that are misdirected and/or received via mail at the Bureau of Engraving and Printing (Bureau/BEP).

**2.0 POLICY**

It is the policy of the Bureau to provide the highest level of protection for all mutilated currency received from the Federal Reserve Banks, commercial banks, foreign governments, businesses, the general public, and other agencies.

**3.0 SCOPE**

These procedures apply to all employees at the Washington, DC and Fort Worth, TX facilities and the Landover, MD warehouse.

**4.0 SUPERSESION**

This circular supersedes Circular No. 35-00.11, "Receipt, Handling, and Transport of Mutilated Currency Received Through Bureau of Engraving and Printing Mail," dated August 25, 2010.

**5.0 BACKGROUND**

The Office of Financial Management (OFM), Mutilated Currency Division (MCD), is responsible for the redemption of lawfully held paper currency of the United States that has been mutilated. MCD has specific procedures for the handling of such mail received from individuals, businesses, and/or financial institutions; however, on occasion, such mail may be misdirected and sent to Offices other than MCD.

**6.0 PROCEDURES**

- 6.1 Immediately upon opening mail or a package that contains mutilated currency, the employee shall report it to his/her supervisor or Office Chief.
- 6.2 The supervisor or Office Chief (or designated representative) shall immediately notify the Manager, MCD, Claims Processing Branch, Examining and Redemption Branch or the Chief, OFM. OFM has the primary responsibility to retrieve the subject mail/package from the Office that initially received the mail/package. Under no circumstances should currency be forwarded to MCD through the Bureau internal mail.
- 6.3 The employee and supervisor or Office Chief shall together:

# CIRCULAR

DATE September 26, 2017

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- 6.3.1 Inspect the package for signs of tampering. If the package indicates signs of tampering, immediately contact the Office of Security, Product and Physical Security Division;
- 6.3.2 Verify the contents of the package;
- 6.3.3 Seal (tape or staple) the package;
- 6.3.4 Write a brief description of the contents on the package, indicating whether currency or other valuables (jewelry, foreign currency, coins, or other personal effects) and/or non-currency items (letters, form letters, or other documents) are enclosed or on a separate piece of paper and affix it to the package;
- 6.3.5 Sign and date the package; and
- 6.3.6 Coordinate with MCD and arrange for pickup and transfer of the securities by MCD. If the Manager, MCD or the Chief, OFM are not available, the Office Chief shall send an e-mail notification to @OFM MANAGERS whereupon OFM management shall arrange for pick-up by OFM personnel within 30 minutes of receipt of the email notification.

**NOTE: The envelope or package shall remain under dual control immediately and up to delivery to the Office of Financial Management or the Office of Security.**

## 7.0 OFFICE OF PRIMARY RESPONSIBILITY

Office of Financial Management

<electronically approved>  
Leonard R. Olijar  
Director



**CIRCULAR**

DATE January 28, 2015

**POLICY FOR BEP COURTESY FLOOR TOURS IN PRODUCTION AREAS**

REVIEW DATE: January 28, 2020

**1.0 PURPOSE AND SCOPE**

This circular establishes the policy on Bureau of Engraving and Printing (BEP) courtesy floor tours through production areas and the Office of Engraving, and is applicable only to the Washington, District of Columbia (DC) Facility.

**2.0 POLICY**

To minimize disruption to operations, BEP reserves floor tours for certain dignitaries.

**3.0 SUPERSESSION**

This circular supersedes Circular No. 40-00.11, "Policy for BEP Courtesy Floor Tours in Production Areas," dated January 21, 2003.

**4.0 PROCEDURES**

The following procedures must be adhered to so disruption to production will be kept to a minimum.

- 4.1. Courtesy floor tours are given to members of Congress, Treasury officials at the Deputy Assistant Secretary level and above, and any other high-ranking government or administration official.
- 4.2. Courtesy floor tours may be given to others at the discretion of the Director or the Chief, Office of External Relations.
- 4.3. Groups touring the production floor are usually limited to no more than 10, but will allow up to 25 with the advanced approval of the Chief, Office of External Relations. A group larger than 10 will only be scheduled with the availability of two floor tour leaders.
- 4.4. Periodically, the Tour Office will notify the Offices of Security, Engraving, and Security Printing of scheduled floor tours. The notification shall include the date of the tour and the number of visitors.
- 4.5. When Members of Congress and other top officials arrive for a floor tour, they are to be personally greeted, whenever possible, by the BEP Director, Deputy Director or in their absence, the Chief, Office of External Relations.
- 4.6. Floor tours are scheduled between the hours of 8:00 a.m. and 2:00 p.m., Monday through Friday. During peak tour season (April through August), floor tours may be scheduled until 4:00 p.m.
- 4.7. Children under the age of eight are strongly discouraged from being on the production floor for tours where heavy equipment and rolling machinery are located. The Director must approve all exceptions.
- 4.8. Requests for floor tours, either by telephone or in writing, must be sent to the Chief, Office of External Relations. All floor tours must be approved by the Chief, Office of

**CIRCULAR**

DATE January 28, 2015

External Relations. If approved, it will be scheduled through the Public Service Division's Tour Office. If the request does not meet the policy guidelines, it will be denied and other tour options recommended.

- 4.9. Visitors on floor tours shall be led through each area in one direction and shall not return to an area previously viewed. A group may return to an area if production was down with approval from a Supervisor. A safe distance must be maintained from machinery and other potential hazards.
- 4.10. Visitors are not permitted to take photographs or film on floor tours.
- 4.11. The floor tour leader, in coordination with the production employee, may demonstrate the effectiveness of the currency inspection system with a sample. Following a demonstration, the production employee assumes responsibility for the sample.
- 4.12. Floor tour leaders shall be familiar with the primary and secondary emergency exit routes of the tour areas.

**5.0 ENVIRONMENT, HEALTH, AND SAFETY (EHS) PRECAUTIONS**

All floor visitors should be informed of basic EHS precautions, as follows:

- 5.1. The manufacturing of currency can pose certain inherent risks. Production areas are noisy, with fast-moving equipment, and heavy loads of supplies. Employees wear different types of personal protective equipment (PPE), at different times, and visitors should take similar precautions while in production areas.
- 5.2. All visitors must remain with the tour group at all times and are not to approach or touch equipment and materials unless escorted by a Bureau employee, or floor tour leader. All members of the tour group are to follow any instructions by the section foreman, designated floor tour leader, or Bureau representative.
- 5.3. PPE is not required for entry into production areas by visitors and tour leaders. However, closed-toe shoes are required for access to the production floor. Floor tour leaders should offer and recommend hearing protection to visitors for personal comfort reasons and because susceptibility to noise can vary among individuals.
- 5.4. The curiosity of children may naturally be piqued by the nature of mass production and volume of in-process currency. Individuals accompanying children must closely supervise them. Tour leaders should also pay close attention to children and their proximity to potential hazards. Children must be supervised carefully and never be allowed to leave the immediate tour group, even momentarily. It is highly recommended that small children be held by the hand at all times while on the tour. Parents or guardians must never allow a child to touch any equipment.

# CIRCULAR

DATE January 28, 2015

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- 5.5 In case of emergency, such as a fire alarm, the tour group shall remain together; the floor tour leader accompanying the group will remain with the group. The group will exit the building with the employees of the section and account for all group members at the congregation point (the Tidal Basin side of 15<sup>th</sup> Street). Dignitaries with special security considerations may vary from this emergency exiting requirement on a case-by-case basis.

## 6.0 OFFICE OF PRIMARY RESPONSIBILITY

Public Service Division, Office of External Relations.

<electronically approved>

Larry Felix  
Director





**CIRCULAR**

DATE December 20, 2016

**SOCIAL MEDIA POLICY**

REVIEW DATE: December 20, 2021

**1.0 PURPOSE**

This circular establishes the policies and procedures for managing the Bureau of Engraving and Printing's (BEP) official social media provided by third-party websites that (1) do not use web measurement and customization technologies on behalf of the BEP and (2) do not share Personally Identifiable Information (PII), or any information that could be used to determine an individual's online activity derived from such uses, with the BEP.

**2.0 SCOPE**

These policies and procedures apply to employees and contractors in the Office of External Relations (OEX) acting in an official capacity as Social Media Administrators (SMAs) when using official BEP social media to conduct official business. These policies and procedures do not apply to personal social media use. However, BEP employees and contractors must ensure that their personal social media activities comply with applicable laws, regulations, and Treasury policies.

**3.0 POLICY**

Social media is another communication tool that can be used to share information about the BEP and its products. OEX is the office responsible for managing BEP's official social media. The SMAs in OEX will use social media to communicate and engage with the public regarding non-sensitive information, announce BEP products offered for sale to the public, inform interested constituents on the status of facilities operations, and provide updates on major public events. This tool will also help dispel misinformation and provide a better understanding of BEP's mission-related activities. OEX encourages the responsible use of BEP's official social media consistent with BEP's social media policy, and any current laws, policies, and guidance that govern information and information technology. All of BEP's components shall coordinate with the SMA Manager the release of official communications covered by Circular No. 40-00.4, "External Relations Policy," in a BEP official social media.

**4.0 DEFINITIONS****4.1 Personally Identifiable Information (PII) –**

Any information about an individual maintained by an agency that can be used to distinguish, trace or reveal an individual's identity, including but not limited to the individual's name, Social Security number, or biometric records. Such information may be recognized as PII when disclosed in isolation or when combined with other personal or identifying information, which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc.

**CIRCULAR**DATE December 20, 2016

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**4.2 Privacy Impact Assessment (PIA)**

An analysis of how information is handled: (i) to ensure handling conforms to applicable legal, regulatory, and policy requirements regarding privacy; (ii) to determine the risks and effects of collecting, maintaining and disseminating information in identifiable form in an electronic information system; and (iii) to examine and evaluate protections and alternative processes for handling information to mitigate potential privacy risks.

**4.3 Federal Records**

All recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States government or because of the informational value of data in them. This definition does not include duplicate copies of records preserved only for convenience or stocks of publications.

**4.4 Social Media**

Any online tool or application or web-based technology that goes beyond simply providing information, instead allowing collaboration, dialogue, interaction, and create, organize, edit, comment on, combine, and share content. Examples of social media include: blogs; microblogs; wikis; photo and video sharing; podcasts; virtual worlds; social networking; social news and bookmarking; web conferencing and webcasting.

**4.5 Third Party Website**

For purposes of this circular, any website that is not owned, operated or co-sponsored by BEP including a contractor or other non-federal entity. Refers to sites as a whole; BEP accounts on such sites are still third party, even though BEP controls the content of those accounts.

**4.6 Web Measurement and Customization Technologies**

These technologies are used to remember a user's online interactions with a website or online application in order to conduct measurement and analysis of usage or to customize the user's experience. For further guidance, refer to Office of Management and Budget (OMB) M-10-22, Guidance for Online Use of Web Measurement and Customization Technologies (June 25, 2010) and Treasury Directive 81-08, Certification Process for the Use of Web Measurement and Customization Technologies on Treasury Websites, dated April 29, 2015.

**4.7 Make PII Available**

The term "make PII available" includes any agency action that causes PII to become available or accessible to the agency, whether or not the agency solicits or collects it. In general, an individual can make PII available to an agency when he or she provides, submits, communicates, links, posts, or associates PII while using the

**CIRCULAR**

DATE December 20, 2016

website or application. "Associate" can include activities commonly referred to as "friending," "following," "liking," joining a "group," becoming a "fan," and comparable functions.

**4.8 System of Records Notice**

Statement providing public notice of the existence of a group of records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifier assigned to the individual. The Privacy Act requires each agency to publish notice of its systems of records in the Federal Register before the agencies begins collecting information.

**5.0 REFERENCES**

- 5.1 The Hatch Act, 5 United State Code (USC). §§ 7321-7326.
- 5.2 The Anti-Deficiency Act, 31 USC § 1341 et seq. and 31 U.S.C. § 1511 et seq.
- 5.3 The Federal Tort Claims Act, 28 USC §§ 1346(b), 1402(b), 2401(b), 2671-2680.
- 5.4 Federal Records Act, 44 USC § 2108 and 44 USC Chapter 31, Records Management by Federal Agencies.
- 5.5 Section 508 of the Rehabilitation Act of 1973, 29 USC § 798.
- 5.6 Privacy Act of 1974, 5 USC § 552a.
- 5.7 Paperwork Reduction Act of 1995, 44 USC §§ 3501-3521.
- 5.8 Standards of Ethical Conduct for Employees of the Executive Branch, 5 Code of Federal Regulations (CFR) Part 2635.
- 5.9 Political Activities of Federal Employees, 5 CFR Part 734.
- 5.10 OMB M-13-10, Antideficiency Act Implications of Certain Online Terms of Service Agreements, April 4, 2013.
- 5.11 Office of Government Ethics, Standard of Conduct as Applied to Personal Social Media Use, LA-15-3, April 9, 2015.
- 5.12 Office of Special Counsel, Frequently Asked Questions Regarding the Hatch Act and Social Media, April 4, 2012.
- 5.13 OMB M-10-23, Guidance for Agency Use of Third-Party Websites and Applications, June 25, 2010.
- 5.14 OMB Memorandum for the Chief Information Officers, Model Privacy Impact Assessment for Agency Use of Third-Party Websites and Applications, December 29, 2011.
- 5.16 OMB Memorandum for the Heads of Executive Departments and Agencies, and Independent Regulatory Agencies, Social Media, Web-Based Interactive Technologies, and the Paperwork Reduction Act, April 7, 2010.
- 5.17 OMB Memorandum M-03-22, OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002, September 26, 2003.

**CIRCULAR**

DATE December 20, 2016

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- 5.18 NARA Bulletin 2014-02, Guidance on Managing Social Media Records,  
5.19 October 25, 2013.  
5.20 President Barack Obama, Memorandum on Transparency and Open  
Government, January 21, 2009.

**6.0 RESPONSIBILITIES****6.1 Opening a BEP Social Media Account.**

- 6.1.1 The Chief of the OEX is responsible for general oversight of BEP's official social media and for designating the SMA Manager and SMAs.
- 6.1.2 The SMA Manager must ensure that BEP's third-party social media accounts (1) do not use web measurement and customization technologies on behalf of the BEP and (2) do not share Personally Identifiable Information (PII), or any information that could be used to determine an individual's online activity derived from such uses, with the BEP.
- 6.1.3 The SMA Manager must forward a copy of the Terms of Service (TOS) of all social media accounts to the Office of the Chief Counsel for review: (1) prior to opening a BEP social media account and (2) when the TOS have changed at any point since the opening of the social media account. Under no circumstances can OEX agree to a TOS that is incompatible with any federal law, regulation, or practice. For example, a federal employee with contracting authority (e.g., a contracting officer) violates the Antideficiency Act, 31 USC § 1341 when she/he opens an agency account for a social media application that is governed by a TOS that includes an open-ended indemnification clause. For additional information, refer to OMB M-13-10, *Antideficiency Act Implications of Certain Online Terms of Service Agreements*, (April 4, 2013).
- 6.1.4 The SMA Manager must create a unique username and password for each social media account that only the OEX Chief, SMA Manager, and SMAs will know. OEX will use the same BEP official email account to open any new social media account, if needed. Under no circumstances can an SMA share the password or any sensitive information related to the social media account without the authorization of the SMA Manager.
- 6.1.5 The Management Directorate controls access to and maintains BEP's computer equipment, IT systems, and internet access. The Management Directorate may monitor and access the BEP's social media email account per BEP's IT policies and security requirements. They are also responsible for providing immediate assistance to the SMA Manager in response to any BEP social media cyber-attack. In the event of a cybersecurity threat, the SMA Manager will release pre-approved messages alerting BEP communities that an incident is occurring and that steps are underway in order to recover. The SMA Manager must quickly and effectively respond to stakeholders and audiences as soon as possible using social media in order to maintain trust in digital services. Initial responses to the public approved by the Chief of the OEX should occur within minutes of recovering control of the accounts.

**CIRCULAR**

DATE December 20, 2016

6.1.6 After the BEP social media account is opened, the SMA Manager must inform the social media point of contact at the Department of the Treasury to register BEP's social media account with the General Services Administration (GSA) government-wide social media registry.

6.1.7 SMAs shall only access BEP's social media through a BEP-issued computer, tablet, or mobile device.

6.2 Standard Content in BEP's Social Media and the Approval Process.

6.2.1 All BEP social media profile pages must contain the BEP seal or emblem to distinguish it as an official government site and to the extent possible, the terms of service and disclaimer language provided in Section 6.2.5.

6.2.2 The SMA Manager may deactivate the comments/reply capability on the social media. However, if deactivation is not an option due to existing functionality, then the SMA Manager must follow the procedures set forth in Section 6.3.

6.2.3 BEP must use an External Links Disclaimer when linking to a third party site from bep.gov. If SMAs post a link that leads to a third-party website or any other location that is not part of a BEP domain, they should provide, if possible, an alert to the user, such as a statement adjacent to the link or a "pop-up," explaining that users are being directed to a third party website that may have different privacy policies from those of BEP's official website.

6.2.4 SMAs are only authorized to become a "friend" of, "follow", or "like" (or analogous/comparable function) official social media of federal government agencies such as the Department of the Treasury, the Board of Governors of the Federal Reserve System, the United States Secret Service, and the United States Mint. SMAs are prohibited from becoming a "friend" of, "liking," or "following" political parties, partisan political campaigns, partisan political groups, and/or businesses or organizations with commercial products or services that would imply an endorsement by the BEP.

6.2.5 OEX must include the following privacy disclaimer or similar language on BEP's webpage (i.e., social media section) as well as any BEP official social media account:

"Your activity on third-party social media websites is governed by the security and privacy policies of the third-party websites. The BEP encourages you to review the privacy policies of the third-party websites before using them in order for you to understand how the information you make available on those sites will be used. You also may choose to adjust your account's privacy setting on such third-party websites according to your preferences. The BEP does not control, modify, or endorse comments or opinions provided by visitors to this third-party website. The BEP uses third-party social media to provide a better understanding of BEP's mission-related activities. The BEP does not collect, maintain, or disseminate information made available by you in the third-party social media website. If

**CIRCULAR**

DATE December 20, 2016

you wish to review our Privacy Policies, please visit our website at [bep.gov](http://bep.gov) for more information about BEP."

BEP's Privacy Officer shall approve any changes to the above privacy disclaimer language.

**RESPONSIBILITIES (CONTINUED)**

6.3 OEX shall use the following disclaimer or similar language for responding to the user's content not related to historical events, BEP products offered at BEP stores, and/or services such as tours and facilities operations.

"The BEP uses this third-party social media to provide a better understanding of BEP's mission-related activities. The BEP does not collect, maintain, or disseminate information made available by you in this third-party social media. To that end, we do not pre-moderate users' comments on our social media. However, the BEP can remove multiple successive off-topic posts by a single user, repetitive posts copied and pasted by multiple users, spam, or chain mail. This means that users' comments are automatically published, but they may be removed by a BEP official if the comment:

- a. Contains obscene, indecent, or profane language;
- b. Contains threats, defamatory statements, or personal attacks;
- c. Encourages illegal activity;
- d. Contains hate speech or material that ridicules others on the basis of race, color, sex, sexual orientation, gender identity, national origin, ethnicity, veteran status, age, religion, or disability;
- e. Contains sensitive or personally identifiable information;
- f. Solicits political donations or is directed at the success or failure of a political party, candidate for partisan political, or partisan political group; and/or
- g. Promotes or endorses specific commercial services or products.

Note that the views expressed on this social media, the appearance of external links posted by users, and following, liking, sharing, or reposting content does not constitute official endorsement of the BEP or the U.S. government. The BEP is not liable for any loss or damage resulting from any comments posted on this page. This forum may not be used for the submission of any claim, demand, complaint, legal and/or administrative notice or process, or for the exhaustion of any legal and/or administrative remedy."

6.4 Prohibited Social Media Content. SMAs are prohibited from posting the following information in BEP's social media:

6.4.1 Personal opinions or views on any issues;

**CIRCULAR**

DATE December 20, 2016

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- 6.4.2 Endorsements, either direct or by implication, of commercial products or services;
  - 6.4.3 Partisan political activity (i.e., activity directed at the success or failure of a political party, candidate for partisan political office, or partisan political group);
  - 6.4.4 Information related to any pending or current administrative proceeding, civil action/litigation, or criminal proceeding in which the agency or federal government is a party unless ordered to do so by a competent tribunal;
  - 6.4.5 Classified Information;
  - 6.4.6 Sensitive but Unclassified Information such as law enforcement information and personnel or medical files, including PII related to BEP employees and contractors;
  - 6.4.7 Pending policy and/or practice decisions including any discussions, advice, recommendations, and opinions, which are part of a decision-making process of the agency;
  - 6.4.8 Internal personnel rules and practices of the agency; and
  - 6.4.9 Trade secrets and commercial or financial information.

Violation of this policy may result in disciplinary action up to and including removal.

- 6.5 Maintain Standards of Ethical Conduct Online. When working in an official capacity, SMAs are required to follow the Standards of Ethical Conduct for Employees of the Executive Branch (5 CFR Part 2635), the conflict of interest statutes (18 USC §§ 202-209), and the Hatch Act (5 USC §§ 7321-7326). Set forth below are some general ethics-related areas of concern that SMAs need to follow when using social media:
  - 6.5.1 SMAs cannot express their personal views on issues when speaking for or representing the agency or a particular department, office, or unit while using social media.
  - 6.5.2 SMAs cannot endorse, either directly or by implication, commercial products or services, or policies or activities of an individual or external organization or entity. SMAs also must not include any text or image content that implicitly or explicitly conveys an endorsement of any non-federal organization or commercial product.
  - 6.5.3 SMAs cannot engage in prohibited political activity as defined in the Hatch Act and 5 CFR Part 734.
  - 6.5.4 SMAs cannot engage in lobbying or propaganda, such as aggrandizing a federal government agency or influencing legislation.
  - 6.5.5 SMAs cannot engage in fundraising activities, except when permitted under the Combined Federal Campaign (CFC).
  - 6.5.6 SMAs cannot disseminate unofficial statements or information regarding official programs or activities, or personal interpretations of official agency policy or practices.



**CIRCULAR**

DATE December 20, 2016

- 6.5.7 SMAs should not comment or edit social media anonymously. Because SMAs are working in an official capacity, they may make reference to their positions and titles when posting in an official capacity.
- 6.5.8 SMAs should state facts, not personal opinions, because aggrandizing the BEP, or its programs or operations – instead of focusing on facts – could be construed as propaganda or lobbying.
- 6.5.9 For further guidance, refer to the Office of Government Ethics, *Standard of Conduct as Applied to Personal Social Media Use* (LA-15-3, April 9, 2015) and Office of Special Counsel, *Frequently Asked Questions Regarding the Hatch Act and Social Media* (April 4, 2012).

**RESPONSIBILITIES (CONTINUED)**

- 6.6 Ensure Accessibility Under Section 508, Privacy, and Security. The BEP's content in social media must be accessible as required by Section 508 of the Rehabilitation Act of 1973, as amended. Visit [www.digitalgov.gov](http://www.digitalgov.gov) to learn how to make content Section 508 compliant.
- 6.6.1 SMAs must make BEP content accessible regardless of its location on BEP's website or in the third party social media in accordance with the BEP's Accessible Electronic and Information Technology Policy, unless it would impose an undue burden on the BEP.
- 6.6.2 SMAs must offer an alternative location such as BEP's website where the same information available in the social media can be found. Users must have the option to access the information without being tracked by the third party that is hosting BEP's social media.
- 6.6.3 For questions related to Section 508 accessibility, please contact the Office of Critical Infrastructure and IT Security.
- 6.7 Paperwork Reduction Act (PRA). The Paperwork Reduction Act of 1995, 44 USC § 3501 et. Seq., applies to the collection of information regardless of form or format. It follows that the PRA applies to the collection of information using social media and web-based interactive technologies. Regardless of whether a particular activity is a collection of information under the PRA, the BEP has an obligation to manage information resources to improve the integrity, quality and utility of information to all users within and outside the agency. When sponsoring an information collection online, or in any other form or format, the BEP must comply with the PRA's requirement to maximize the utility of information collected, maintained, used, shared, and disseminated while minimizing the burden imposed on the public.

The PRA does not expressly define "information." The Office of Management and Budget's regulations implementing the PRA define "information" as "any statement or estimate of fact or opinion, regardless of form or format, whether in numerical, graphic, or narrative form, and whether oral or maintained on paper, electronic or other media." In defining "information," OMB's regulations specifically exclude several types of activities, three of which are especially relevant to agency uses of

**CIRCULAR**

DATE December 20, 2016

social media and web-based interactive technologies to promote the goals of open government:

- **General Solicitations.** 5 CFR § 1320.3(h)(4) excludes “facts or opinions submitted in response to general solicitations of comments from the public, published in the Federal Register or other publications, regardless of the form or format thereof, provided that no person is required to supply specific information pertaining to the commenter, other than that necessary for self-identification, as a condition of the agency’s full consideration of the comment.”
- **Public Meetings.** 5 CFR § 1320.3(h)(8) excludes certain “facts or opinions obtained or solicited at or in connection with public hearings or meetings.”
- **Like Items.** 5 CFR § 1320.3(h)(10) reserves general authority for OMB to identify other “like items” that are not “information.”

For further guidance, refer to OMB Memorandum for the Heads of Executive Departments and Agencies, and Independent Regulatory Agencies, *Social Media, Web-Based Interactive Technologies, and the Paperwork Reduction Act* (April 7, 2010).

- 6.8 **Protect Privacy.** The laws, regulations, and policies that govern the privacy of individuals still apply when using social media. SMAs shall abide by the well-established Fair Information Practice Principles (FIPPs) – Transparency, Individual Participation, Purpose Specification, Data Minimization, Use Limitation, Data Quality and Integrity, Security, and Accountability and Auditing – rooted in the tenant of the Privacy Act of 1974, 5 USC § 552a as the basis for protecting PII (see Definitions) made available to the BEP in social media.

Always remember:

- 6.8.1 To include a Privacy Policy in BEP’s website regarding the use of third-party websites and social media applications, including:

- The specific purpose of BEP’s use of the third-party websites or social media applications;
- How the BEP will use PII that becomes available through the use of the third-party websites or social media applications;
- Who at the BEP will have access to PII;
- With whom PII will be shared outside the BEP;
- Whether and how the BEP will maintain PII, and for how long;

**CIRCULAR**

DATE December 20, 2016

- How the BEP will secure PII that it uses or maintains; and
- What other privacy risks exist and how the BEP will mitigate those risks.

When feasible, provide links to the relevant privacy policies of the third-party websites and social media applications being used.

**RESPONSIBILITIES (CONTINUED)**

6.8.2 To the extent feasible, include a Privacy Notice regarding the collection, maintenance, use, and dissemination of PII in BEP's website and social media. The Privacy Notice should:

- Explain that the website or social media application is not a government website or social media application, that it is controlled or operated by a third party, and that the BEP's Privacy Policy does not apply to the third party;
- Indicate whether and how the BEP will maintain, use, or share PII that becomes available through the use of the third-party website or social media application;
- Explain that by using the website or social media application to communicate with the BEP, individuals may be providing nongovernment third parties access to PII;
- Direct individuals to the BEP's official website; and
- Direct individuals to the BEP's Privacy Policy as described above.

OEX will provide an alternative method to the public to view the agency's Privacy Notice and to contact the BEP regarding information or questions that may contain PII through a secure agency email address, mailing address, or telephone number located at BEP's website. SMAs shall take all practical steps to ensure that the Privacy Notice is conspicuous, salient, clearly labeled, written in plain language, and prominently displayed at all locations where the public might make PII available to the agency. SMAs can use the guidance provided in Section 6.8.2 as an example of what to include in a Privacy Notice.

6.8.3 Do not collect, search, monitor, or browse social media for or by PII of public user profiles. In addition, do not use, collect, maintain, or disseminate information made available (see Definitions) by a user in the third-party social media. OEX will not create a system of records (see Definitions) for social media. Violation of this policy may result in disciplinary action up to and including removal.

6.8.4 Do not proactively "friend", "follow", or "like" (or analogous/comparable function) public users with the exception of other federal agencies' social media channels. Becoming a "friend" of, "liking," or "following" BEP's social media

**CIRCULAR**

DATE December 20, 2016

accounts does not qualify as an express affirmative consent (opting-in). Violation of this policy may result in disciplinary action up to and including removal.

- 6.8.5 If an individual shares PII in any BEP social media in which deactivation of the comments/reply capability is not an option, the SMA will reply directly to the individual requesting her/him not to share PII when interacting online with the BEP.
- 6.8.6 If OEX intends to use a third-party website that makes PII available to the BEP, a Privacy Impact Assessment (PIA) is required. OMB requires agencies to perform a PIA before using third-party sites and applications whenever PII will be made available to the agency. The PIA shall be available in BEP's website. For further guidance, refer to OMB M-10-23, *Guidance for Agency Use of Third-Party Websites and Applications* (June 25, 2010) and OMB Memorandum for the Chief Information Officers, *Model Privacy Impact Assessment for Agency Use of Third-Party Websites and Applications* (December 29, 2011).

**RESPONSIBILITIES (CONTINUED)**

- 6.9 Records Management. The laws, regulations, and policies that govern federal records management still apply when (1) developing social media policies, procedures, initiatives, practices, and content; (2) using social media; and (3) completing administrative tasks associated with the use of social media.
- 6.9.1 The BEP currently does not have an authorized records retention schedule establishing a records retention period for social media records. All records associated with BEP's social media account must be retained permanently, until the National Archives and Records Administration (NARA) has authorized a records retention schedule. Once an authorized records retention schedule is in place, OEX must retain all social media records in accordance with that schedule.
- 6.9.2 OEX is responsible for owning, managing, and retaining the federal records associated with the social media program.
- 6.9.3 The SMA is responsible for identifying, capturing, and managing all social media records created by the BEP.
- 6.9.4 The complete federal record must be retained in order to ensure reliability and authenticity. A complete federal record includes the content, context, and structure along with associated metadata (e.g., author, date of creation, date of post, etc.). Federal records associated with the social media program may include, but are not limited to the following:
- Records pertaining to the development of the social media program, including drafts and final versions of policies, procedures, and practices; and opening and/or closing of social media accounts;
  - Records pertaining to development of social media content, including drafts and final versions of content; and correspondence

**CIRCULAR**

DATE December 20, 2016

and communication between OEX and BEP program office providing content;

- Emails sent and received by the BEP social media email account;
- Agreements, correspondence, and communications between BEP social media accounts and third-party social media sites; and
- Actual content posted by SMAs on third-party social media sites.

6.9.5 In the event that a social media site does not allow for deactivation of third-party comments/reply capability, and it is determined that the SMA must delete/remove a third-party user's comment, post, or reply under Section 6.3 of this circular, the SMA must draft a memo to the file providing the justification(s) for the deletion/removal. The SMA should not include PII in the description.

6.9.6 The BEP Records Officer (RO), in consultation with OEX and the Management Directorate, determines the most appropriate method to capture and maintain records.

6.9.7 Any change in social media records identification, capture, management, and/or retention policy must be discussed with the RO before they take place.

6.9.8 Social media content is subject to disclosure to third parties under applicable laws, such as the Freedom of Information Act (FOIA), and in litigation or administrative proceedings.

6.9.9 See 36 CFR Part 1236 for general guidance on electronic records management, and NARA Bulletin 2014-02, *Guidance on Managing Social Media Records* (October 25, 2013) for NARA's guidance on managing social media records.

6.10 Respect Intellectual Property Rights. Trademarks and Copyrighted Works cannot be used, distributed, transmitted, copied, or displayed by SMAs without written permission of the owner.

**7.0 PENALTIES FOR NONCOMPLIANCE**

OEX employees found to be in noncompliance with this circular and BEP employees and contractors managing any social media on behalf of the BEP without OEX's authorization may be subject to disciplinary actions up to and including removal.

**8.0 OFFICE OF PRIMARY RESPONSIBILITY**

Office of External Relations

<electronically approved>

Leonard R. Olijar

Director



**CIRCULAR**

DATE December 21, 2016

**ANNUAL TRANSFER OF NUMISMATIC ITEMS AND RELATED MATERIALS  
TO THE SMITHSONIAN INSTITUTION**

REVIEW DATE: December 21, 2021

**1.0 PURPOSE**

This circular establishes policy for transferring numismatic items and related materials annually to the Smithsonian Institution's National Numismatic Collection (NNC).

**2.0 SCOPE**

This circular applies to the Bureau of Engraving and Printing (BEP)-manufactured currency, commemorative numismatic products, and other items described in Section 7.0.

**3.0 BACKGROUND**

The NNC is one of the largest numismatic collections in the world and the largest in North America. Located at the National Museum of American History (NMAH), the NNC includes more than 1.6 million objects. BEP has transferred items to the Smithsonian collection on an ad-hoc basis since the 1920s.

**4.0 POLICY**

Each fiscal year, the BEP will systematically transfer numismatic items and related materials to the NNC in accordance with the terms of this circular.

**5.0 REFERENCES**

- 5.1. Section 50 of Title 20, United States Code (USC), "Reception and Arrangement of Specimens and Objects of Art."
- 5.2. Section 5144 of Title 31, USC, "Providing Impressions of Portraits and Vignettes."
- 5.3. Treasury Order 135-01, "Delegation of Authority to the Director, Bureau of Engraving and Printing, to Transfer Dies, Rolls, Plates, and Seals."

**6.0 RESPONSIBILITIES**

- 6.1 The Chief, Office of External Relations (OEX), will determine which products or other materials should be transferred to the NNC. The OEX Chief will also keep an inventory transfer list and all records of the transfer in accordance with applicable records retention schedules. A permanent record of the items transferred to the NNC will be maintained through a document that is jointly signed by a BEP representative and a Smithsonian Institution representative.
- 6.2 The Marketing Division and Historical Resource Center will assemble the items for transfer, including any brochures or other collateral materials.
- 6.3 The Marketing Division will coordinate the accountability for the transfer of products and other materials with the Chief Financial Officer (CFO) Directorate and will execute a write-off for transfer. The OEX Chief or the Chief's designee will also create a letter to the Smithsonian detailing the inventory of the transfer for the Director or the Director's designee to sign.

**CIRCULAR**

DATE December 21, 2016

**7.0 NUMISMATIC MATERIALS TO BE TRANSFERRED**

BEP's annual transfer of numismatic items and related materials to the Smithsonian's NNC should include the following products offered through the BEP's Public Sales Program: (1) one set of the annual Intaglio Print Collection; (2) a sample of each portrait and vignette offered for sale to the public; (3) one uncut currency sheet (smallest sheet size) of each Series and denomination; (4) one set of each commemorative numismatic product manufactured by the BEP; and (5) a sample specimen of any new Series currency note. The BEP also may transfer to the NNC any other item authorized and approved by the BEP Director (e.g., currency reader devices, special collectibles, etc.).

**8.0 CRITICAL REQUIREMENTS**

- 8.1 Materials will be transferred by the BEP to the Smithsonian on a yearly basis, accompanied by a letter from the BEP Director (or the Director's designee) to the NMAH Director documenting the date of the transfer and a list of all materials approved for transfer.
- 8.2 All transfer materials will be inventoried and accounted for at the BEP, and properly controlled until transferred.
- 8.3 The Marketing Division and Historical Resource Center will retain copies of all signed transfer documents described in Section 6.1 as permanent records of the BEP.

**9.0 OFFICE OF PRIMARY RESPONSIBILITY**

Office of External Relations

**<electronically approved>**  
Teresa Dean  
Chief





**CIRCULAR**

DATE July 27, 2017

**EXHIBITION PROGRAM**

REVIEW DATE: July 27, 2022

**1.0 PURPOSE**

This circular establishes the policies and procedures for managing the Bureau of Engraving and Printing's (BEP) Exhibition Program (Program).

**2.0 POLICY**

The Office of External Relations (OEX) is responsible for administering BEP's Exhibition Program. The Program includes, but is not limited to, participation in numismatic events, corporate sales conventions, as well as conferences and meetings for the blind and visually impaired as part of BEP's Meaningful Access Program. The goal of the Program is to educate the public with BEP's role in developing and producing our Nation's currency notes and communicate to the public matters relating to BEP's mission, services, programs, and history.

**3.0 SCOPE**

This circular applies to the Exhibition Coordinator, as well as those employees assigned to attend an exhibition as a BEP representative. BEP employees must comply with all applicable laws, regulations, and Treasury/BEP policies.

**4.0 SUPERSESSION**

This circular supersedes Circular 40-00.8, "Exhibit and Souvenir Card Program," dated September 18, 1989.

**5.0 DEFINITIONS**

- 5.1 Exhibition – A display or booth at a tradeshow, conference, or numismatic event that features information about BEP products, services, and programs.
- 5.2 Exhibition Coordinator – An OEX employee responsible for an exhibition event under the direction of the OEX Chief and/or Manager.
- 5.3 Public Sales Products – Products such as intaglio prints, uncut currency sheets, premium currency products, engravings, and currency readers (i.e., presidential portraits, vignettes, and souvenir cards).
- 5.4 BEP Representative – A BEP employee or contractor designated to attend an exhibition under the direction of the Exhibition Coordinator.

**CIRCULAR**DATE July 27, 2017

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**6.0 REFERENCES**

- 6.1 Circular No. 40-00.4, "External Relations Policy"
- 6.2 Circular No. 40-00.7, "Public Sales Program – Processing Sales"
- 6.3 Circular No. 50-00.3, "Gifts to Employees from Outside Sources"
- 6.4 Circular No. 67-35.5, "Bureau of Engraving and Printing Employee Responsibilities and Conduct"
- 6.5 Circular No. 70-03.11, "Security Items Delivered Outside the Bureau"
- 6.6 Manual No. 71-00, "BEP Security Manual"

**7.0 AUTHORITIES AND RESPONSIBILITIES****7.1 Exhibition Authorization.**

Requests for exhibitions must be approved by the OEX Chief and the BEP Director.

**7.2 Exhibition Coordinator Responsibilities.**

- 7.2.1 The OEX Chief and/or Manager are/is responsible for general oversight of the Exhibition Program and for designating one or more OEX employees to serve as an Exhibition Coordinator.

The Exhibition Coordinator is responsible for:

- 7.2.1.1 Evaluating a request for exhibitions and submitting it to the BEP Director, through the OEX Office Chief, for consideration and approval.
- 7.2.1.2 Managing exhibitions featuring BEP products, services, and programs.
- 7.2.1.3 Supervising BEP representatives assigned at the show site. They will issue instructions, assign work hours, direct and supervise all activities, and record and report on the travel and work status of participating BEP representatives to the respective Office Chief.
- 7.2.1.4 Coordinating all on-site arrangements with the sponsoring officials, the carrier, and the decorator, if applicable.
- 7.2.1.5 Arranging the display setup and assures that all daily and overnight security requirements are met for the length of the event.

**CIRCULAR**DATE July 27, 2017

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- 7.2.1.6 Addressing, along with show staff, questions from show attendees and make appropriate notations for follow-up on technical matters for referral to OEX upon return to BEP.
- 7.2.1.7 Coordinating all security logistics with the Office of Security prior, during, and post event, if necessary.
- 7.2.1.8 Preparing and submitting a report of activities upon completion of the assignment; including recommendations for possible improvements, estimated attendance, publicity, problems encountered and solutions reached, and any special significant occurrences or observations.
- 7.2.1.9 Ensuring that exhibition materials are properly acquired, verified, packaged, shipped, secured, and labeled for return to BEP.
- 7.2.1.10 Arranging for the preparation and distribution of press releases, approved by the OEX Chief, if applicable.
- 7.2.1.11 Obtaining consent from appropriate officials for designated personnel to serve on-site as official representatives to demonstrate BEP processes, answer questions, distribute materials, etc.
- 7.2.1.12 Maintaining files and briefing BEP representatives attending the event about their specific duties and responsibilities.
- 7.2.1.13 Verifying inventories and cash receipts for sales. He or she prepares and transmits returned inventories and funds received.
- 7.2.1.14 Soliciting assistance from BEP offices including, but not limited to, the Offices of Financial Management, Security, and Currency Manufacturing. Each Office shall provide the appropriate services to support Exhibition Program operations.

**7.3 BEP Representative Responsibilities.**

- 7.3.1 Educating the public on the history and advancements of U.S. currency notes and other securities.
- 7.3.2 Networking with stakeholder audiences and the general public.
- 7.3.3 Providing technical demonstrations on the production of U.S. currency notes (i.e., Spider Press demonstrations, engraving techniques, redemption), if applicable.
- 7.3.4 Conducting point of sale and distribution operations, and ensuring the security and accountability of BEP Public Sales products and other property, if applicable.

7.3.5 Conducting media interviews and communications with approval from the OEX Office Chief and under the direction of the Exhibition Coordinator.

**8.0 OFFICE OF PRIMARY RESPONSIBILITY**

Office of External Relations

**<electronically approved>**  
Leonard R. Olijar  
Director



**CIRCULAR**

DATE July 9, 2018

**EXTERNAL COMMUNICATIONS POLICY**

REVIEW DATE: July 9, 2023

**1.0 PURPOSE**

This circular establishes the policies and procedures for the release of official communications from the Bureau of Engraving and Printing's (BEP) Office of External Relations (OEX) to external audiences.

**2.0 SCOPE**

These policies and procedures apply to employees and contractors in OEX managing or releasing BEP's official communications to external audiences. OEX employees and contractors shall be responsible for understanding and following the policies and procedures for all incoming and outgoing official communications covered in this circular regardless of form, which includes but is not limited to, oral communications, paper copy, electronic information, photographs, video, artwork, social media, and tape and digital recordings.

**3.0 POLICY**

OEX manages all of BEP's official communications to external audiences. Within its mission and management responsibilities, OEX will be as responsive as possible in dealing with inquiries from external audiences. On behalf of BEP, OEX will furnish leadership, guidance, and information to external audiences in those areas where staff possesses special or unique expertise.

Each of BEP's components shall coordinate with OEX any incoming and outgoing official communications covered by this circular to external audiences, see Section 6 – Definitions, unless a different BEP spokesperson has been requested and approved in writing by the OEX Chief.

BEP Deputy Directors, Associate Directors, Chiefs, and Managers are permitted to conduct routine and operational communications with their functional area counterparts at the Department of the Treasury, peers within other federal agencies, and existing customers without OEX review. This includes routine business and reporting requirements. Any questions regarding which communications should be reviewed by OEX should be directed to the OEX Chief.

**4.0 REFERENCES**

- 4.1 5 Code of Federal Regulations (CFR) Part 2635, "Standards of Ethical Conduct for Employees of the Executive Branch"
- 4.2 5 United States Code (USC) § 7321, "Hatch Act"
- 4.3 Code of Federal Regulations, Part 0, "Department of the Treasury Employee Rules of Conduct"



**CIRCULAR**

DATE July 9, 2018

**5.0 SUPERSESSION**

This circular supersedes Circular No. 40-00.4, "External Relations Policy," dated February 10, 2012.

**6.0 DEFINITIONS**

- 6.1 **Official Communications:** Messages in any format that contain official information transmitted on behalf of the BEP to the external audiences.
- 6.2 **Official Information:** Information created or received by the BEP in the course of conducting Government business.
- 6.3 **External Audiences:** Any audience outside the BEP. It includes, but is not limited to, traditional and social news media – see Section 6.3.1, Congress, other elected and/or appointed officials, other federal government agencies, state and local governments, elected or official representatives of foreign nations, external agencies, private commerce, the general public, numismatic organizations, artists – see Section 6.3.2.
  - 6.3.1 News media are recognized local, regional, national, and international television, radio, print, and internet news media outlets, their reporters, producers, photographers and videographers. Freelance reporters, professional and amateur internet bloggers, and internet information sites are considered and treated as news media.
  - 6.3.2 Artists include filmmakers, advertising agencies, sculptors, novelists, writers, playwrights, and others participating in the creative arts.

**7.0 RESPONSIBILITIES****7.1 Chief, OEX**

- 7.1.1 The BEP Director delegates the day-to-day managing of external relations programs and policies to the OEX Chief.
  - 7.1.1.1 External contacts and inquiries of a non-routine nature or those that have policy implications shall be handled and coordinated by the OEX Chief.
  - 7.1.1.2 The OEX Chief, on behalf of the Director, will disseminate policy guidance on:
    - Identification of sensitive issues and designate appropriate spokespersons;
    - External correspondence, which falls within the scope of this circular; and
    - Telephone or verbal communication with Congress, elected and/or appointed officials, representatives of other agencies, foreign nations, and representatives of the media.
- 7.1.2 Unless otherwise assigned by the Director, the OEX Chief will also coordinate the following releases of information:



**CIRCULAR**

DATE July 9, 2018

- 
- 7.1.2.1 Congressional and general correspondence including responses to inquiries forwarded to BEP from members of Congress, the Department of the Treasury, other agencies, or the general public to include numismatic or general information;
  - 7.1.2.2 Press/media, Congressional testimony, and all other public/private held events; and
  - 7.1.2.3 Clearance of speeches, articles, or similar communications about BEP prior to their release outside of the BEP.
- 7.2 The Office of Compliance is responsible for reporting and coordinating requirements with the Department of the Treasury's Inspector General and the Government Accountability Office.
  - 7.3 The Office of Acquisition (OA) shall refer to guidelines for communications with potential BEP contractors and vendors; these guidelines are detailed in Section 4.0 of Circular No. 70-06.1, "Receipt and Handling of Unsolicited Proposals." In addition, OA established guidelines regarding the release of procurement information within and outside of the BEP (see Circular No. 70-06.14, "Disclosure of Procurement Information").
  - 7.4 The Office of Security will respond to all routine inquiries from all outside entities/government agencies relating to law enforcement investigations. Inquiries of a non-routine nature that could potentially have an impact on the organization should be brought to the attention of the OEX Chief by the Chief of Security or designee.
  - 7.5 The Office of Chief Counsel processes all requests for BEP records received pursuant to the Freedom of Information Act (FOIA) and/or Privacy Act (PA). Unless otherwise officially authorized to do so, no BEP employee or contractor other than the Disclosure Officer may release records of the BEP, in whole or in part, under the provisions of the FOIA and/or PA. The Disclosure Officer will make the final determination on what records are properly releasable under the FOIA and/or PA.
  - 7.6 Deputy Directors, Associate Directors, Chiefs, and Managers shall refer to OEX any incoming and outgoing official communication covered by this circular to external audiences. However, as previously stated, they are responsible for routine and operational communications with their functional area counterparts at the Department of the Treasury, peers within other federal agencies, and existing customers. This includes routine business and reporting requirements.
  - 7.7 BEP employees and contractors shall refer to their respective Managers any incoming and outgoing official communication to external audiences covered by this circular. Employees or contractors may contact Congress in their personal capacity without OEX involvement.

# CIRCULAR

DATE July 9, 2018

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## 8.0 GUIDELINES FOR RESPONDING TO EXTERNAL AUDIENCES

- 8.1 OEX employees and contractors are required to comply with applicable Federal law and regulation when managing BEP's official communications to external audiences.
- 8.2 Any BEP employee or contractor having contact with or receiving an inquiry regarding BEP activities from anyone outside of BEP covered by this circular shall refer that person to the OEX Chief or their designee. BEP employees must be aware that this guidance applies while on BEP premises, official business, or off-duty. If the contact is made during hours when the OEX is not staffed (i.e., evening or midnight shift and weekends), the BEP employee shall send the request via email to the OEX Chief. An OEX representative will respond to the person as soon as possible.

## 9.0 PENALTIES FOR NONCOMPLIANCE

OEX employees and contractors who fail to follow this circular, or BEP employees or contractors who release official communications covered by this circular to external audiences without OEX's permission, may be subject to disciplinary action up to and including removal.

## 10.0 OFFICE OF PRIMARY RESPONSIBILITY

Office of External Relations

**<electronically approved>**  
Leonard R. Olijar  
Director



**CIRCULAR**

DATE January 21, 2011

**RECORD SYSTEMS SUBJECT TO THE PRIVACY ACT**

REVIEW DATE: January 21, 2014

**1.0 PURPOSE AND SCOPE**

This circular provides guidance on the storage, maintenance, and disclosure of records subject to the provisions of the Privacy Act of 1974 (5 United States Code (USC) 552a). The provisions of this circular apply to all Bureau of Engraving and Printing (Bureau/BEP) components in Washington, DC and Fort Worth, Texas.

**2.0 POLICY**

It is Bureau policy to store, maintain, and disclose records subject to the Privacy Act in accordance with the provisions of the Act and Department of the Treasury regulations.

**3.0 SUPERSESION**

This circular supersedes Circular No. 40-00.6, dated January 5, 2007, entitled "Record Systems Subject to the Privacy Act."

**4.0 DEFINITIONS**

- 4.1 "Privacy System of Records" – A collection of paper or electronic records, under the control of the Bureau, containing personal information from which information is retrieved by the name of an individual or by some identifying number, symbol, or other type of identifier assigned to the individual.
- 4.2 "Routine Use" – The use of a "Privacy Act record" compatible with the purpose for which it was created and in accordance with the privacy system announcement in the Federal Register.
- 4.3 "Privacy Impact Assessment (PIA)" – A series of questions to be asked to identify privacy issues, when a system of records is created or modified.

**5.0 BACKGROUND**

The principal purpose of the Privacy Act is to prevent the unauthorized disclosure of personal information from any system of records maintained by the Federal Government. The Act specifies requirements that Federal agencies must meet in establishing, maintaining, disclosing, and destroying information contained in a "system of records." In addition, the Act specifies Federal agencies' responsibilities for providing an individual access to personal information pertaining to themselves contained in any authorized "system of records." Any officer or employee who willfully maintains a privacy system of records without meeting the proper notice requirements or willfully discloses information subject to the Privacy Act to an unauthorized recipient shall be guilty of a misdemeanor and subject to a fine up to \$5,000.

**CIRCULAR**DATE January 21, 2011

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**6.0 REFERENCES**

- 6.1 The Privacy Act of 1974, as amended (5 USC 552a).
- 6.2 Title 31, Code of Federal Regulations (CFR), Subtitle A, Part 1, Subpart A, "Freedom of Information Act" and Subpart C, "Privacy Act."
- 6.3 Federal Register, Vol. 74, No. 123 at 74 Federal Register (FR), 31090, June 29, 2009, "Notice of systems of records," which contains an inventory of the Bureau of Engraving and Printing's Privacy Act systems of records.
- 6.4 Federal Register, Vol. 70, No. 146, at 70 FR 44178, August 1, 2005, "Notice of systems of records," which contains an inventory of the Treasury-wide systems of records.
- 6.5 Executive Order 13164, July 26, 2000, Requiring Federal Agencies to Establish Procedures to Facilitate the provision of Reasonable Accommodation.
- 6.6 Bureau Records Manual (combination of General Records Schedule (GRS) and BEP Records Schedule).
- 6.7 Circular No. 70-06.14, "Disclosure of Procurement Information."

**7.0 RESPONSIBILITIES**

- 7.1 Office of Chief Counsel is responsible for:
  - 7.1.1 Maintaining the Federal Register notices which describe the Bureau's systems of records subject to the Privacy Act; Exhibit A is a listing of these systems;
  - 7.1.2 Annually updating the Federal Register notices in accordance with instructions received from the Department of the Treasury and the input received from the Bureau managers and supervisors;
  - 7.1.3 Informing all Bureau components of their responsibilities under the Privacy Act and the Department of the Treasury's regulations;
  - 7.1.4 Ensuring through the establishment of procedures and training that all disclosures of records or information contained in records is released in conformance with the Privacy Act and the Department of the Treasury's regulations;
  - 7.1.5 Ensuring that any form or format used to collect information about individuals contains a "privacy statement" that informs those individuals of its authority,

**CIRCULAR**

DATE January 21, 2011

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the principal purpose and intended use of the information, and their rights under the Privacy Act and Freedom of Information Act (FOIA);

- 7.1.6 Providing managers and supervisors with support and direction in completing the Privacy Impact Assessments; and
  - 7.1.7 Reviewing "Privacy Impact Assessments" to determine that privacy risks are analyzed and evaluated for proposed new or modified record systems. (Exhibit B)
- 7.2 Associate Director, Chief Information Officer (CIO), and its Office of Critical Infrastructure and IT Security OCIIITS) and Office of IT Operations (OITO) are responsible for:
- 7.2.1 Ensuring that any request for a new IT system, including systems of electronic forms or records, or any modification to an existing system which results in the collection of information subject to the Privacy Act is coordinated with the Office of Chief Counsel and is included within an existing or new system of records;
  - 7.2.2 Ensuring that any form or format used to collect information about individuals informs those individuals of its authority, the principal purpose and intended use of the information, and their rights under the Privacy Act and the Freedom of Information Act (FOIA);
  - 7.2.3 Ensuring that the physical environment in which information is collected and in which it is stored, processed, or transmitted is sufficiently secure to protect the confidentiality of the records, and that there are sufficient system controls over access and authorization to protect information and record confidentiality, as well as protect the overall integrity of the IT system;
  - 7.2.4 Ensuring that when a Certification and Accreditation review is performed for an IT system or major application, Privacy Act information is identified and appropriate safeguards are in place; and
  - 7.2.5 Ensuring that all automated systems containing Privacy Act information are evaluated to determine whether they have connectivity with other systems, either within or outside the Bureau and, if they do, an Interconnection Security Agreement is executed for those other systems.
- 7.3 Bureau Managers and Supervisors are responsible for storing, maintaining, and destroying records subject to the Privacy Act in accordance with the provisions of the Act, the Department of the Treasury regulations and the BEP Records Schedule. Their responsibilities include:
- 7.3.1 Storing the records to insure their security and confidentiality. For paper records, this means storing them in a locked desk or file cabinet;



## CIRCULAR

DATE January 21, 2011

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- 7.3.2 Ensuring that the records are accurate, relevant, current, and complete;
- 7.3.3 Informing the Bureau's Privacy Officer of any and all changes to the system(s) of records subject to the Privacy Act so that a required Federal Register notification can be affected. It should be noted that significant changes to an existing system of records or implementation of a new system of records must await the Federal Register notification process. Therefore, no change or additions should be made without first informing the Privacy Officer. In addition, the Bureau managers and supervisor will annually report to the Privacy Officer on the status of their privacy systems of records. This report shall indicate what systems are in use, whether changes have been made to existing systems, or whether new systems have been developed since the last annual update;
- 7.3.4 Obtaining concurrence for other than routine use disclosures from the BEP Disclosure Officer prior to making any disclosure of information from a record that is subject to Privacy Act provisions;
- 7.3.5 Obtaining concurrence from the Bureau's Privacy Officer, prior to issuing any forms used to collect information from individuals about themselves;
- 7.3.6 Completing the "Privacy Impact Assessment" ([Exhibit B](#)) when planning, developing, implementing, updating, and operating information systems. (See [section 7a \(6\)](#) of this circular); and
- 7.3.7 Ensuring that they and their employees, who work with privacy systems of records, obtain training and are aware of the requirements of both the Privacy Act and the appropriate Treasury regulations. Each Bureau component responsible for a privacy system or records should have copies of the Act and the Treasury regulations (copies of the Act may be obtained from the Bureau's website - [www.moneyfactory.com](http://www.moneyfactory.com) under the FOIA tab; and copies of the Regulations at 31 Code of Federal Regulations (CFR).

# CIRCULAR

DATE January 21, 2011

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**8.0 OFFICE OF PRIMARY RESPONSIBILITY**  
Office of Chief Counsel

**<SIGNED>**  
Larry R. Felix  
Director



## CIRCULAR

DATE January 21, 2011

**EXHIBIT A**  
**PRIVACY ACT SYSTEMS OF RECORDS MAINTAINED IN THE BUREAU**

<u>Bureau</u>		<u>System Name</u>	<u>System Manager</u>
<u>Systems:</u>			
BEP .002	-	Personal Property Claim File	Chief Counsel
BEP .004	-	Counseling Records	Resolution Center
BEP .005	-	Compensation Claims	OHR
BEP .006	-	Debt Files (Employees)	OHR
BEP .014	-	Employee's Production Record	All Bureau Offices
BEP .016	-	Employee Suggestions	OHR
BEP .020	-	Industrial Truck Licensing Records	OEHS
BEP .021	-	Investigative Files - Police Services and Product Discrepancy	Security
BEP .027	--	Assess Control and Alarm Monitoring System (ACAMS)	Security
BEP .035	-	Tort Claims (Against the United States)	Chief Counsel
BEP .038	-	Unscheduled Absence Records	OHR
BEP .041	-	Records of Discrimination Complaints	Resolution Center
BEP .045	-	Mail Order Sales Customer Files	External Affairs
BEP .046	-	Automated Mutilated Currency Tracking Systems	OFM
BEP .047	--	Employee Emergency Notification System (Employee Locator Cards)	All Bureau Offices

## CIRCULAR

DATE January 21, 2011

**EXHIBIT A**  
**PRIVACY ACT SYSTEMS OF RECORDS MAINTAINED IN THE BUREAU (cont'd)**

<u>Dept. of the</u> <u>Treasury</u>	<u>System Name</u>	<u>System Manager</u>
Treasury.001 -	Treasury Payroll and Personnel System	OHR/OFM
Treasury.002 -	Grievance Records	OHR
Treasury.003 -	Treasury Child Care Tuition Assistance Records	OHR
Treasury.004 -	Freedom of Information Act/Privacy Act Request Records	Chief Counsel
Treasury.005 -	Public Transportation Incentive Program Records	OHR
Treasury.006 -	Parking & Carpool Program Records	OFS
Treasury.007 -	Personnel Security System	Security
Treasury.008 -	Treasury Emergency Management System	OEHS
Treasury.009 -	Treasury Financial Management Systems	OFM
Treasury.010 -	Telephone Call Detail Records	IT Operations
Treasury.011 -	Treasury Safety Incident Management Information Systems	OEHS

## CIRCULAR

DATE

**EXHIBIT A**  
**PRIVACY ACT SYSTEMS OF RECORDS MAINTAINED IN THE BUREAU (cont'd)**

Office of Personnel

<u>Management</u>	<u>System Name</u>	<u>System Manager</u>
OPM/GOVT-1	- General Personnel Records	OHR
CPM/GOVT-2	- Employee Performance File System Records	OHR
OPM/GOVT-3	- Records of Adverse Actions and Actions Based on Unacceptable Performance	OHR
OPM/GOVT-5	- Recruiting, Examining, and Placement Records	OHR
OPM/GOVT-6	- Personnel Research and Test Validation Records	OHR
OPM/GOVT-7	- Applicant Race, Sex, National Origin, and Disability Status Records	Resolution Center
OPM/GOVT-9	- File on Position Classification Appeals, Job Grading Appeals, and Retained Grade or Pay Appeals	OHR
OPM/GOVT-10	- Employee Medical File System Records	OHR

# CIRCULAR

No. 50-00.7

DATE

**EXHIBIT A**  
**PRIVACY ACT SYSTEMS OF RECORDS MAINTAINED IN THE BUREAU (cont'd)**

<u>Office of</u> <u>Government Ethics</u>	<u>System Name</u>	<u>System Manager</u>
OGE/GOVT-1 -	Executive Branch Personnel Public Financial Disclosure Reports and Other Name-Retrieved Ethics Program Records	Chief Counsel
OGE/GOVT-2 -	Executive Branch Confidential Financial Disclosure Reports	Chief Counsel



**CIRCULAR**

DATE

**EXHIBIT B  
PRIVACY IMPACT STATEMENT**



Department of the Treasury  
Bureau of Engraving and Printing

**[System Name]  
Privacy Impact Assessment (PIA)**

Office of Critical Infrastructure  
and Information Technology Security  
February 2, 2011

DATE

Section I

Bureau of Engraving and Printing Privacy Impact Assessment

<b>A. System Information</b>
<b>1. What is the system name?</b>
<b>2. What is the purpose and intended use of this system?</b>
<b>3. Does this system contain any personal information about individuals? (If no, a PIA is not required. Skip to Section II.)</b>
<b>4. What legal authority authorizes the purchase or development of this system/application?</b> <b>(List the statutory provisions or Executive Orders that authorize the maintenance of this information to meet an official program mission or goal)</b>
<b>5. For new systems, describe how privacy is addressed in documentation related to system development, including as warranted and appropriate, statement of need, functional requirements analysis, alternatives analysis, feasibility analysis, benefits/cost analysis, and especially, the initial risk assessment?</b>

**CIRCULAR**

DATE

**B. Data in the System**

**1. What categories of individuals are covered in the system? (e.g., employee, contractor, public)**

**2. What are the sources of information in the system?**

**a. Is the information collected directly from the individual or is it taken from another source? If information is not collected directly from the individual, describe the source of the information.**

**b. What Federal agencies provide data for use in the system?**

**c. What State and Local agencies provide data for use in the system?**

**d. What other third parties will data be collected from?**

**e. What information will be collected from the employee and the public? (Be as specific as possible. List personal information collected from the public such as social security number, address, credit card number, telephone number. Employee information may include badge number, user identifier, telephone number, social security number, and health information.)**

**3. How does the Bureau ensure that data is sufficiently accurate, relevant, timely, and complete to ensure fairness in making determinations about any individual?**

**a. How is data accuracy ensured?**

**b. How will data be checked for completeness?**

**c. Is the data current? What steps or procedures are taken to ensure the data is not out-of-date?**

**d. Are the data elements described in detail and documented? If yes, what is the name of the document?**

**e. How will data collected from sources other than BEP records be**

# CIRCULAR

DATE

verified for accuracy?

**4. Describe what opportunities individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of information (other than required or authorized uses), and how individuals can grant consent.)**



## CIRCULAR

DATE

**C. Attributes of the Data**

**1. Is the use of the data both relevant and necessary to the purpose for which the system is being designed?**

**2. Will the system derive new data or create previously unavailable data about an individual through the aggregation of information collected? (if no, skip to D.3)**

**a. Will the new data be placed in the individual's record?**

**b. Can the system make determinations about employees or the public that would not be possible without the new data?**

**c. How will the new data be verified for relevance and accuracy?**

**3. Do the records in this system share the same purpose, routine use, and security requirements?**

**a. If the data is being consolidated, what technical, management, and operational controls are in place to protect the data from unauthorized access or use? Explain.**

**b. If processes are being consolidated, are the proper technical, management, and operational controls remaining in place to protect the data and prevent unauthorized access? Explain.**

**4. How will the data be retrieved? Can a personal identifier be used to retrieve data? Are personal identifiers used to retrieve data on a routine, occasional, or ad-hoc basis? If yes, explain and list the identifiers what will be used to retrieve information on the individual.**

**5. What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?**

# CIRCULAR

No. 50-00.7

DATE \_\_\_\_\_

<b>D. Maintenance of Administrative Controls</b>
<b>1. If the system is hosted and/or used at more than one site how will consistent use of the system and data be maintained at all sites?</b>
<b>2. What are the retention periods of the data in this system?</b>
<b>3. What are the procedures for disposition of the data at the end of the retention period? How long will the reports produced be kept? Where are the procedures documented?</b>
<b>4. Is the system using technologies in ways that the BEP has not previously employed (e.g., monitoring software, Caller-ID)? If yes, how does the use of this technology affect public/employee privacy?</b>
<b>5. Will this system provide the capability to identify, locate, and monitor individuals? If yes, explain.</b>  <b>a. What kinds of information are collected as a function of the monitoring of individuals?</b>  <b>b. What controls will be used to prevent unauthorized monitoring?</b>
<b>6. Under which Privacy Act systems of records notice does the system operate? Provide name and number.</b>
<b>7. If the system is being modified, will the Privacy Act system of records notice require amendment or revision? Explain.</b>

## CIRCULAR

DATE

<b>E. Access to Data</b>
<b>1. Who will have access to the data in the system? (e.g., contractors, users, managers, system administrators, developers, other)</b>
<b>2. How is access to the data by a user determined? Are criteria, procedures, controls, and responsibilities regarding access documented?</b>
<b>3. Will users have access to all data on the system or will the user's access be restricted? Explain.</b>
<b>4. What controls are in place to prevent the misuse (e.g. unauthorized browsing) of data by those having access? (List procedures and training materials)</b>
<b>5. Are contractors involved with the design and development of the system and/or will they be involved with the maintenance of the system? (If yes, were Privacy Act contract clauses inserted in their contracts and other regulatory measures addressed?)</b>
<b>6. Do other systems share data or have access to the data in the system? If yes, explain.</b>
<b>7. Who will be responsible for protecting the privacy rights of the public and employees affected by the interface?</b>
<b>8. Will other agencies share or have access to the data in this system? If yes list agencies.</b>
<b>9. How will the data be used by the other agency?</b>
<b>10. Who is responsible for assuring proper use of the data?</b>

# CIRCULAR

DATE

## Section II

### Privacy Impact Analysis

#### System of Records Identification

1. Is a system of records being created under the Privacy Act, 5 USC 552a. If no, skip questions 2 through 4.

2. Have privacy and IT risk assessments been conducted that consider: the alternatives to collection and handling as designed, and the appropriate measures to mitigate risks identified for each alternative?

3. What impact will this system have on an individual's privacy? (Consider the consequences of collection and flow of information and identify and evaluate threats to individual's privacy.)

4. As a result of the PIA what choices have been made regarding the IT system of collection of information? Have adequate measures been designed and implemented to mitigate risk? What is the rationale for the final design choice or business process?



## CIRCULAR

DATE \_\_\_\_\_

**Section III****System Development Lifecycle Privacy Requirements Worksheet**

<b>A. Contact Information</b>	
<b>1. Person who completed the Privacy Impact Assessment document</b>	
Name:	
Title:	
Organization:	
Phone number:	
<b>2. System Owner</b>	
Name:	
Title:	
Organization:	
Phone number:	
<b>3. System Owner</b>	
Name:	
Title:	
Organization:	
Phone number:	
<b>4. System Owner</b>	
Name:	
Title:	
Organization:	
Phone number:	
<b>5. IT Security Reviewer</b>	
Name:	Michael Pease
Title:	Division Manager
Organization:	IT Security Division
Phone number:	(202) 874-2651
<b>6. Bureau Privacy Reviewer</b>	
Name:	
Title:	Privacy Officer
Organization:	Office of the Chief Counsel
Phone number:	(202) 874-3733

**CIRCULAR**

DATE

<b>Privacy Impact Assessment Summary</b>	
<b>System Category (check all categories that apply)</b>	<b>Requirement</b>
System of Records	Publish System of Records Notice
Website available to the public	Publish Privacy Impact Assessment
Website or information system operated by a contractor on behalf of the Bureau for the purpose of interacting with the public	Publish Privacy Impact Assessment
New or significantly altered information technology investment administering information in an identifiable form collected from or about members of the public	Conduct Privacy Impact Assessment
New or significantly altered information technology investment administering information in an identifiable form collected from or about Bureau employees	
Contains medical information	Determine if system is subject to HIPAA
Other:	
None of the above	Privacy Impact Assessment not required

# CIRCULAR

DATE

<b>Privacy Impact Assessment Approval</b>	
<b>Approval of Privacy Impact Assessment accuracy and completeness.</b>	
System Owner: _____ (Signature)	_____ (Date)
Name: Title:	
<b>Approval of Privacy Impact Assessment accuracy and completeness.</b>	
System Owner: _____ (Signature)	_____ (Date)
Name: Title:	
<b>Approval of Privacy Impact Assessment accuracy and completeness.</b>	
System Owner: _____ (Signature)	_____ (Date)
Name: Title:	
<b>Approval of IT System Risk Assessment</b>	
Manager, IT Security Division: _____ (Signature)	_____ (Date)
Name: Michael Pease Title: Manager, IT Security Division	
<b>Approval of Privacy Assessment and Resulting System Category</b>	
Privacy Act Officer: _____ (Signature)	_____ (Date)
Name: Title: Privacy Officer	





**CIRCULAR**

DATE December 16, 2015

**PROCESSING REQUESTS UNDER THE FREEDOM OF INFORMATION AND  
PRIVACY ACTS**

REVIEW DATE: December 16, 2020

**1.0 PURPOSE**

This circular contains the Bureau of Engraving and Printing's (BEP) policy and procedures for processing requests submitted pursuant to the Freedom of Information Act (FOIA), 5 United States Code (USC) § 552 or the Privacy Act (PA), 5 USC § 552a and applicable regulations of the Department of the Treasury found at 31 Code of Federal Regulations (CFR) Part 1.

The Disclosure Officer in the Office of the Chief Counsel - FOIA and Transparency Services is responsible for administering the FOIA and PA programs at the BEP. All requests for records received pursuant to either the FOIA and/or PA shall be referred to the Disclosure Officer in the Office of the Chief Counsel - FOIA and Transparency Services. Unless otherwise officially authorized to do so, no BEP employee or contractor other than the Disclosure Officer may release records of the BEP, in whole or in part, under the provisions of the FOIA and/or PA. The Disclosure Officer will make the final determination on what records are properly releasable under the FOIA and/or PA.

**2.0 SCOPE**

This circular applies to all BEP components involved in processing FOIA/PA requests including the District of Columbia Facility (DCF) and the Western Currency Facility (WCF).

**3.0 POLICY**

It is the policy of the BEP to make available to the public, upon written request, records or extracts thereof, in accordance with the FOIA/PA and applicable regulations of the Department of the Treasury found at 31 CFR Part 1.

**4.0 SUPERSESSION**

This circular supersedes Circular No. 40-00.6A, "Processing Public Inquiries Under the Freedom of Information and Privacy Acts," dated May 2, 1991.

**5.0 AUTHORITIES AND REFERENCES**

- 5.1. Freedom of Information Act, 5 USC § 552.
- 5.2. Privacy Act of 1974, 5 USC § 552a.
- 5.3. Department of the Treasury's regulations, 31 CFR Part 1.
- 5.4. Presidential Memorandum on the Freedom of Information Act, 74 Fed. Reg. 4683, dated January 21, 2009.



**CIRCULAR**

DATE December 16, 2015

- 5.5. Office of Attorney General **Memorandum** on the Freedom of Information Act, dated March 19, 2009.
- 5.6. Office of Management and Budget (OMB) **M-10-06**, Open Government Directive, dated December 8, 2009.
- 5.7. OMB Fee Schedule and Guidelines Implementing Certain Provisions of the Freedom of Information Reform Act, **52 Fed. Reg. 10012**, dated March 27, 1987.
- 5.8. Department of the Treasury, The Freedom of Information Act, TD 25-05, dated March 1, 2000.
- 5.9. Department of the Treasury, The Freedom of Information Act Handbook, **TDP 25-05**, dated December 2005.
- 5.10. Department of the Treasury, The Privacy Act of 1974, **TD 25-04**, dated August 26, 2010.
- 5.11. Department of the Treasury, The Privacy Act Handbook, **TD P 25-04**, dated June 2006.
- 5.12. Department of Justice, **Guide to the Freedom of Information Act**.
- 5.13. Department of Justice, **Overview of the Privacy Act of 1974**.

**6.0 RESPONSIBILITIES**

The BEP's Chief Counsel is responsible for general oversight of the FOIA and PA program and for designating one or more employees to serve as Disclosure Officer and as Appeals Officer.

**6.1 The Disclosure Officer is responsible for:**

- 6.1.1 Administering the FOIA and PA programs as the Director's agent;
- 6.1.2 Designating a FOIA/PA Coordinator to assist the Disclosure Officer in all matters relating to the administration of the provisions of this circular;
- 6.1.3 Determining whether to honor requests, in whole or in part, in accordance with the FOIA/PA;
- 6.1.4 Establishing a system to assign an individualized tracking number within 10 business days for each request received and provide to each individual filing a request the tracking number assigned to the request;
- 6.1.5 Acknowledging, in writing, receipt of the request, not later than 10 business days from receipt of the request;
- 6.1.6 Ensuring that FOIA requests are processed within 20 business days and PA requests within 30 business days. A request for more time to search and review records should not exceed 30 days unless exceptional circumstances require a longer period. Those circumstances are:
  - 6.1.7 The need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request;
  - 6.1.8 The need to search, collect, and appropriately examine a voluminous amount of separate and distinct records which are demanded in a single request; or
    - 6.1.8.1 The need for consultation, which shall be conducted with all practical speed, with another bureau or agency having substantial subject matter interest therein.

**CIRCULAR**

DATE December 16, 2015

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- 6.1.9 Reviewing and approving all requests for records, letters of acknowledgement, deficiency letters, expedited processing requests, fee waivers and categories, extension(s), consultation(s), referral(s), certification letter(s), and notices of denial or delay to complete processing the FOIA/PA requests;
  - 6.1.10 Ensuring that all payments are sent to the BEP-Office of Financial Management, Accounting Division and maintaining copies of all receipts and BEP Form 8643-1, "Report of Collection" (see Exhibit A).
  - 6.1.11 Reviewing, approving, and transmitting BEP's Monthly, Annual, and Chief FOIA/PA Reports to the Department of the Treasury-Departmental Office;
    - 6.1.8.2 *Ensuring FOIA/PA training for BEP employees and contractors;*
  - 6.1.12 Establishing a telephone line or internet service that provides information about the status of a request;
  - 6.1.13 Reviewing and updating BEP's FOIA/PA website;
  - 6.1.14 Maintaining BEP's FOIA Library;
  - 6.1.15 Transmitting the FOIA/PA file to the Appeals Officer for disposition; and
  - 6.1.16 Performing all other duties required by the FOIA/PA, Department of the Treasury's Departmental Office, and Department of the Treasury's directives.
- 6.2 The FOIA/PA Coordinator is responsible for:
- 6.2.1 Entering all FOIA/PA requests and appeals into the automated FOIA/PA Online System and Tracking Table on the same day as receipt. The information recorded into the FOIA/PA Online System and Tracking Table shall include, at least:
    - 6.2.1.1 date received;
    - 6.2.1.2 name of the requester;
    - 6.2.1.3 subject;
    - 6.2.1.4 exemptions claimed; and
    - 6.2.1.5 date of disposition of the request (see Exhibit B);
  - 6.2.2 Maintaining a separate paper record of all FOIA/PA records;
  - 6.2.3 Ensuring that all requests for records made pursuant to the FOIA are delineated separately from those requests for records made pursuant to the PA;
  - 6.2.4 Providing a copy of the incoming request to the Disclosure Officer on the same day as receipt of the request;
  - 6.2.5 Preparing appropriate transmittal email(s), memorandum, and certification letter(s) requesting responsive records for review by the Disclosure Officer (see Exhibits C, D);
  - 6.2.6 Routing transmittal email(s), memorandum, and certification letter(s) to the appropriate Office Chief for initial search and technical review;
  - 6.2.7 Collecting and reviewing the certification letter and responsive records sent by the Office Chiefs for review by the Disclosure Officer;
  - 6.2.8 Drafting the acknowledgment or deficiency letter to the requester for final review and signature approval by the Disclosure Officer;
  - 6.2.9 Drafting proper notice of delay in responding to the requester for approval by the Disclosure Officer. In circumstances where the Disclosure Officer has approved an extension to complete processing the FOIA/PA request, preparing a written notification to the requester indicating the extended completion date for signature approval by the Disclosure Officer;

# CIRCULAR

DATE December 16, 2015

- 6.2.10 Calculating fees in accordance with the FOIA/PA and 31 CFR § 1.7 and following up on outstanding fees due by requesters;
- 6.2.11 Recording and hand delivering all payments to the BEP-Office of Financial Management, Accounting Division and maintaining copies of all cash receipts and BEP Form 8643-1, "Report of Collection". (See, [Exhibit A](#));
- 6.2.12 Updating the FOIA/PA Liaison list within each BEP component;
- 6.2.13 Compiling and reviewing data to prepare the BEP's Monthly, Annual, and Chief FOIA/PA Reports for review and signature approval by the Disclosure Officer;
- 6.2.14 Updating BEP's FOIA Library and website; and
- 6.2.15 Performing all other duties required by the FOIA/PA, Department of the Treasury's Departmental Office, and Department of the Treasury's directives.

## 6.3 The Appeals Officer is responsible for:

- 6.3.1 Reviewing FOIA appeals received by the Director; and
- 6.3.2 Absent unusual circumstances, recommending a decision to the Director within 20 business days after receipt of the appeal.

## 6.4 The Office Chief is responsible for:

- 6.4.1 Preserving, searching, collecting, reviewing, and preparing records within that office;
- 6.4.2 Designating a FOIA/PA Liaison;
- 6.4.3 Notifying the Disclosure Officer and/or FOIA/PA Coordinator of the name, telephone number, room number, and email address of the FOIA/PA Liaison within that office;
- 6.4.4 Reviewing and signing the certification letter along with any records prepared by the designated FOIA/PA Liaison within 10 calendar days. The Office Chief may designate the FOIA Liaison as the signatory authority for the certification letter. However, the Office Chief will remain responsible for certifying whether there are responsive records; and
- 6.4.5 Requesting and justifying an extension of time within two (2) calendar days before the due date.

## 6.5 The FOIA/PA Liaison is responsible for:

- 6.5.1 Searching, collecting, reviewing, and preparing records within that office and ensuring completion of the certification letter;
- 6.5.2 Coordinating with the Records Liaison within that office for purposes of searching and collecting responsive records; and
- 6.5.3 Routing the certification letter and appropriate records to the FOIA/PA Coordinator. The FOIA/PA Liaison must provide the original record plus a copy along with the certification letter. The original records will be returned once the Office of the Chief Counsel - FOIA and Transparency Services concludes processing the request.

## 7.0 PROCEDURES

- 7.1 The BEP responds to FOIA/PA requests by mail, fax, or the FOIA Online System of the Department of the Treasury. The BEP does not accept FOIA/PA requests by electronic mail.



**CIRCULAR**

DATE December 16, 2015

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- 7.2 A request under the FOIA must:
- 7.1.1 Be in writing and signed;
  - 7.1.2 State that it is made pursuant to FOIA;
  - 7.1.3 Contain a statement that enables the processing office to determine the appropriate fee category (i.e., commercial requesters, educational institutions, non-commercial scientific institutions, news media, or all other requesters);
  - 7.1.4 Describe the nature of the record(s) being sought in sufficient detail to enable personnel to locate the records, including the dates or timeframes if possible;
  - 7.1.5 Provide an address where the determination letter may be sent;
  - 7.1.6 State whether the requester wishes to inspect the record(s) or have a copy made without first inspecting them;
  - 7.1.7 Contain a statement agreeing to pay fees for search, duplication, and/or review as appropriate. In the absence of an agreement to pay, the requester may submit a request for a waiver or reduction of fees, along with a justification of how such a waiver request meets the criteria for a waiver or reduction of fees in accordance with the FOIA, 5 USC § 552(a)(4)(A)(iii) and regulations of the Department of the Treasury found at 31 CFR § 1.7(d) (see section 9.0, Fees and Fee Waivers); and
  - 7.1.8 State whether the requester desires expedited processing due to a compelling need (see section 8.0, Expedited Processing).
- 7.3 A request under the PA must:
- 7.3.1 Be in writing and signed by the individual about whom the record is maintained or her/his duly authorized representative. A request for records or amendment of records on an individual made by a third party must include a release signed by the individual whose records are being requested;
  - 7.3.2 State that it is made pursuant to the PA;
  - 7.3.3 Describe the nature of the record(s) being sought in sufficient detail (i.e., dates or timeframes if possible) to enable personnel to locate the records;
  - 7.3.4 Provide the name of the system/subsystem or categories of records to which access is sought;
  - 7.3.5 Provide an address where the determination letter may be sent; and
  - 7.3.6 Include proof of identity that bears the requester's signature (i.e., driver's license) or a signed and dated notarized statement swearing or affirming the requester's identity and that she/he understands the penalties provided in 5 USC § 552a (i)(3) for requesting or obtaining access to records under false pretenses.
- 7.4 Under the FOIA, 5 USC § 552(a)(6)(A) and the Department of the Treasury regulations found at 31 CFR § 1.5(h), the BEP is required to respond to a perfected request within 20 business days of receipt unless the requester agrees to an extension or an extension is warranted under unusual circumstances.
- 7.5 For a PA request, the BEP has up to 30 business days after receipt of a perfected request to complete processing the request as set forth in the Department of the Treasury regulations found at 31 CFR § 1.26(g) unless unusual circumstances warrant a delay.

**CIRCULAR**

DATE December 16, 2015

- 7.6 When a determination has been made to grant or deny a request, a final determination will be mailed along with a certificate of service.
- 7.7 If the requester asks to inspect the record(s) in person, the record(s) will be made available in an area designated by the Disclosure Officer after reviewing the records(s) and any appropriate deletions are made. When it is not possible to bring the record to the individual, an escort will be provided and will remain with the individual until completion of the inspection.
- 7.8 If a requester does not respond within 30 calendar days to any communication from the BEP, the request file will be closed. The requester shall be advised of this rule.
- 7.9 The Office of the Chief Counsel - FOIA and Transparency Services will not process FOIA/PA requests during the Year-End Shutdown (YES) period. All FOIA/PA requests received during this time will be processed when operations resume at the DCF and WCF.

**8.0 EXPEDITED PROCESSING**

- 8.1 For expedited processing, the requester must demonstrate a "compelling need" in writing in accordance with the FOIA, 5 USC § 552(a)(6)(E) and the Department of the Treasury regulations found at 31 CFR § 1.5(e). Both the envelope and the request itself must be clearly marked "Expedited Processing Request."
- 8.2 A "compelling need" means that:
- 8.1.1 Failure to obtain requested records on an expedited basis could reasonably be expected to pose an imminent threat to life or physical safety of an individual; or
  - 8.1.2 The requester is an individual primarily engaged in disseminating information, and there is an urgency to inform the public concerning actual or alleged Federal government activities.
- 8.3 The demonstration of "compelling need" must be supported by a certified statement by the requester under penalty of perjury to be true and correct to the best of her/his knowledge and belief. The statement should be in the form prescribed by 28 USC § 1746 as followed: "I declare under penalty of perjury that the foregoing is true and correct. Executed on (date)."
- 8.4 According to the FOIA, 5 USC § 552(a)(6)(E) and the Department of the Treasury regulations found at 31 CFR § 1.5(e), the BEP has 10 calendar days to grant or deny a request for expedited processing.
- 8.5 When expedited processing has been denied, requesters may file an appeal within 10 calendar days of the date of the notice of denial. The appeal must be in writing and addressed to: Disclosure Officer, Bureau of Engraving and Printing, Office of the Chief Counsel - FOIA and Transparency Services, 14<sup>th</sup> & C Streets, Room 419-A, SW, Washington, D.C. 20228. The appeal determination and notification must be made by the BEP within 10 business days of receipt of the appeal.

**9.0 FEES AND FEE WAIVERS****9.1 When Charged.**

Fees to be charged under the FOIA/PA will vary depending upon the requester category (i.e., commercial requester, educational institution, non-commercial scientific institution,

**CIRCULAR**

DATE December 16, 2015

news media, or all other requesters). Search, review, and duplication fees are calculated in accordance with the procedures set forth by the Department of the Treasury's regulations found at 31 CFR § 1.7, and may be charged, when applicable, even if no records are found or disclosed.

The BEP reserves the right to request payment after a request is processed and before records are released. Requesters have the option of deciding how much they are willing to pay for requested information, but it should not be less than twenty five dollars (\$25.00). The BEP does not charge a fee if the total cost of processing a FOIA request is fifteen dollars (\$15.00) or less and for a PA request three dollars (\$3.00) or less.

When it is anticipated that the fees will exceed two hundred and fifty dollars (\$250.00) and the requester has not indicated in advance her/his willingness to pay fees as high as are anticipated, payment of the estimated fees must be obtained prior to performing such work in the case of requesters with no history of payment.

When a requester or group of requesters attempts to break a request into a series of requests for the purposes of evading the assessment of fees, the BEP shall aggregate any such requests and charge accordingly.

The following schedule of fees shall be charged for materials and/or services furnished in response to requests for records received from commercial requesters, educational institutions, non-commercial scientific institutions, news media, or all other requesters. This also includes BEP's search and review, and costs of preparing records for inspection in those cases when the requester has not requested copies of the records.

- 9.1.1 Standard Paper Duplication. Twenty cents (20¢) per page (maximum size 8.5 x 14).
- 9.1.2 Photo Prints. An amount equal to actual processing costs based on labor, materials, and overhead expenses.
- 9.1.3 Formats/Tools (CD's DVD's, etc.). The actual cost of the tool(s), supplies, and time expended will be charged based on labor, material and overhead expenses.
- 9.1.4 Search and Review. The actual salary rate(s) of the individual(s) conducting the search and review, based on grade and step for each hour or fraction thereof.
- 9.1.5 Electronic Records Search and Review. Actual direct costs of the search, including computer search time, runs, and the operator's salary. The fee for a computer printout will be actual costs.
- 9.1.6 Other services. Other services and materials requested which are not covered by this section nor required by the FOIA/PA are chargeable at actual costs. This includes, but is not limited to: a) certifying that records are true copies, and/or b) sending records by special methods such as express mail, etc.

**9.2 Fee Category**

Fees to be charged under the FOIA/PA will vary depending upon the requester's category. The fee categories are as follows:

**CIRCULAR**

DATE December 16, 2015

- 9.2.1 **Commercial Use.** Refers to requests from or on behalf of one who seeks information for a use or purpose of furthering the commercial, trade, or profit interests of the requester.
- 9.2.2 **Educational Institution.** Refers to a preschool, a public or private elementary or secondary school, an institution of graduate higher education, an institution of undergraduate higher education, an institution of professional education, and an institution of vocational education, which operates a program or programs of scholarly research. This category does not include requesters wanting records for use in meeting individual academic research or study requirements.
- 9.2.3 **Non-Commercial Scientific Institution.** Refers to educational institutions which operate program(s) of scholarly research or non-commercial institutions which operate solely for the purpose of conducting scientific research -- the results of which are not intended to promote any particular product or industry.
- 9.2.4 **Representative of the News Media/Freelancers.** Refers to any individual gathering news for an entity organized and operated to publish or broadcast news to the public. This includes freelance journalists who, though not actually employed by the media, expect future publication of such information by the media.
- 9.2.5 **All other requesters.** Refers to requesters not falling into any of the categories mentioned above.

The following chart shows the services that are provided free of charge and the services, which are chargeable for the different requester categories:

Category	Free	Chargeable Fees
Commercial	None.	Search, review, and duplication.
Educational Institution	Search, review, and duplication up to 100 pages.	Duplication over 100 pages.
Non-Commercial Scientific Institution	Search, review, and duplication up to 100 pages.	Duplication over 100 pages.
News Media	Search, review, and duplication up to 100 pages.	Duplication over 100 pages.
All other requesters	For FOIA: 2 hours of search, review, and duplication up to 100 pages.  For PA: Search, review, and duplication up to 100 pages.	For FOIA: Search after 2 hours and duplication over 100 pages.  For PA: Duplication over 100 pages.

**9.3 Waiver or Reduction of Fees**

- 9.3.1 If the requester desires a waiver or reduction of fees, this must be done in writing. Fee waivers or reductions are not automatically granted. A requester is not eligible for a fee waiver solely because of indigence.
- 9.3.2 Pursuant to the FOIA, 5 USC § 552(a)(4) and Department of the Treasury regulations found at 31 CFR § 1.7(d), the BEP may waive or reduce the fees for services only under the following conditions:



**CIRCULAR**

DATE December 16, 2015

9.3.1.1 Furnishing the information is likely to contribute significantly to the public understanding of the operations or activities of the Federal government and is not primarily in the commercial interest of the requester.

9.3.1.2 When the collection of the aggregate fee is not considered to be in the public interest, such as when the cost of collection exceeds the fee to be paid.

**9.4 Appeals of Denials of Requests for Waiver/Reduction of Fees or Fee Category.**

9.4.1 When a request for waiver/reduction of fees has been denied, or there has been an adverse determination of the requester's fee category, requesters may file an appeal within 35 calendar days of the date of the notice of denial.

9.4.2 The appeal must be in writing and addressed to: The Director, Bureau of Engraving and Printing, 14<sup>th</sup> & C Streets, SW, Washington, D.C. 20228. Requesters must include the assigned FOIA/PA number, a copy of the request, the BEP final response letter, and any other correspondence associated with the request. The letter and the envelope should be clearly marked "Freedom of Information Act Appeal-Fee" or "Privacy Act Appeal-Fee."

**10.0 PAYMENTS**

Payment shall be sent in the form of a check or money order payable to the Bureau of Engraving and Printing and sent to the Disclosure Officer, Bureau of Engraving and Printing, Office of the Chief Counsel - FOIA and Transparency Services, 14<sup>th</sup> & C Streets, Room 419-A, SW, Washington, D.C. 20228. The Disclosure Officer shall record and hand-carry payments to the BEP-Office of Financial Management, Accounting Division, accompanied by a completed Form 8643-1, "Report of Collection" (see Exhibit A).

**11.0 ADMINISTRATIVE APPEALS**

11.1 A requester may appeal an initial FOIA determination to the Director of the BEP in any of the following circumstances:

11.1.1 Access to the record(s) has been denied in whole or in part;

11.1.2 It has been determined that no responsive record(s) exist;

11.1.3 An adverse determination has been made as to the fee waiver or category applicable to the request; or

11.1.4 A request for expedited processing has been denied.

11.2 The appeal must be filed within 35 calendar days of the date of the notice of the relevant determination. However, an appeal of a denial for expedited processing must be filed within 10 calendar days of the denial.

11.3 Appeals must be in writing and addressed to: The Director, Bureau of Engraving and Printing, 14<sup>th</sup> & C Streets, SW, Washington, D.C. 20228. Requesters must include the assigned FOIA/PA number, a copy of the request, the BEP final response letter, and any other correspondence associated with the request. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal" or "Privacy Act Appeal."

11.4 Absent unusual circumstances, the BEP must make a determination with respect to any appeal within 20 business days after receipt of such appeal. If an adverse

**CIRCULAR**

DATE December 16, 2015

determination is made upon appeal, the Director shall inform the requester of her/his right to commence an action in the U.S. District Court.

**12.0 FOIA LIBRARY**

- 12.1 The FOIA, 5 USC § 552(a)(2) and the Department of the Treasury regulations found at 31 CFR § 1.4 require each agency to provide a place where the public may inspect and copy or have copied the following categories of records:
- 12.1.1 Final opinions, including concurring and dissenting opinions and orders made in the adjudication of cases, as defined in 5 USC § 551, that may be cited, used, or relied upon as precedents in future adjudications.
  - 12.1.2 Statements of policy and interpretations that have been adopted by BEP and are not published in the Federal Register. This qualification is generally met when the head of an agency or a responsible official who has been empowered by the agency to make an authoritative issuance has taken action.
  - 12.1.3 Administrative staff manuals and instructions, or portions thereof, which establish a BEP policy that affects a member of the public.
  - 12.1.4 Records that have been located and processed in response to a FOIA request that have become or are likely to become the subject of subsequent requests for substantially the same records, regardless of form or format. These are often referred to as "frequently requested" records.
  - 12.1.5 A general index of the records referred to under 12.1.4 above.
- 12.2 Listed below are some of the categories of records, which may be examined, copied, or reproduced in response to public inquiries:
- 12.2.1 Circulars
  - 12.2.2 Notices
  - 12.2.3 Bulletins
  - 12.2.4 Manuals and Operating Documents
  - 12.2.5 General Rules, Regulations, and Handbooks
  - 12.2.6 Production Reports
  - 12.2.7 Financial Statements with Respect to BEP Operations
  - 12.2.8 Invitations to Bid
  - 12.2.9 Purchase Orders
  - 12.2.10 Logs

The categories of records listed above have been published solely for the convenience of the public, and their inclusion in this index should not be construed as a determination that specific records are releasable. The BEP has the right to invoke the exemptions listed in the FOIA, 5 USC § 552(b) in appropriate instances.

- 12.3 The BEP FOIA Library is located at 14<sup>th</sup> & C Streets, SW, Washington, D.C. 20228-0001. Please contact the Disclosure Officer at (202) 874-2500 to schedule an appointment.

# CIRCULAR

No. 50-00.8

DATE December 16, 2015

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## 13.0 RETENTION PERIOD

FOIA/PA records will be retained in accordance with the National Archives and Records Administration (NARA) General Records Schedule No. 4.2.

## 14.0 OFFICE OF PRIMARY RESPONSIBILITY

Office of the Chief Counsel - FOIA and Transparency Services

<ELECTRONICALLY APPROVED>

Leonard R. Olijar  
Director





EXHIBIT C

MEMORANDUM

TO: Name, Chief  
Office of \_\_\_\_\_

FROM: Name, Disclosure Officer  
Office of the Chief Counsel-FOIA and Transparency Services

SUBJECT: FOIA/PA Request for Records  
FOIA/PA Request No. xxxx-xx-xxxx

DATE: Month, Day, Year

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On (Month, Day, Year), the Office of the Chief Counsel - FOIA and Transparency Services received a Freedom of Information Act (FOIA) request under 5 USC § 552 (or Privacy Act (PA) request under 5 USC § 552a) from (Name of Requester) to obtain (description of records requested). Attached please find for your review the (FOIA or PA) request and a certification response letter that must be completed and signed.

Once you review the request, please determine if you have any responsive records. In determining whether you have responsive records, BEP is not obliged to create records. However, we are required to provide records that exist in either an automated system or manual record file.

If responsive records are found, please provide them within 10 calendar days upon receipt of this memorandum. Please provide the original record(s) plus one copy along with the certification response letter to the Office of the Chief Counsel-FOIA and Transparency Services, Room XX. We will determine what is appropriate for release pursuant to the (FOIA or PA). The original record(s) will be returned once we conclude processing the request. If you cannot respond within 10 calendar days, please submit a written request with a justification, within two (2) calendar days of your due date.

If you have any questions about this request, please call me at (xxx) xxx-xxxx.

Enclosure(s)

# CIRCULAR

DATE December 16, 2015

## EXHIBIT D

### CERTIFICATION LETTER FOIA/PA REQUEST FOR RECORDS

#### I. BACKGROUND DATA

Privacy Request No: xxx-xx-xxx  
Date Received: (Month, Day, Year)

FOIA Request No. xxx-xx-xxx

Requester: (Name)

Nature of Request: (Description of Records)

#### II. OFFICE/PERSON RESPONSIBLE FOR PROVIDING INFORMATION TO THE OFFICE OF CHIEF COUNSEL-FOIA AND TRANSPARENCY SERVICES:

Name, Chief-Office of \_\_\_\_\_

#### III. CERTIFICATION AS TO INFORMATION PROVIDED FOR BEP RESPONSE

The attached is a FOIA/PA request filed under 5 USC § 552 or § 552a. You must provide all records maintained in your files relative to the above-captioned request within 10 calendar days upon receipt of this certification letter. Upon completion of your search and review, please indicate (X) the appropriate statement. sign and return to the Disclosure Officer, Office of Chief Counsel-FOIA and Transparency Services, Room XX.

1. \_\_\_\_\_ This certifies that records are on file and the records are enclosed.
2. \_\_\_\_\_ We are unable to provide you with copies in the time frame you requested. We shall furnish you with the required information by: \_\_\_\_\_. Please provide justification in the notes section below.
3. \_\_\_\_\_ We have searched and reviewed the files maintained in this office, and certify that there are no records responsive to this FOIA/PA request.

#### IV. EFFORT REQUIRED TO FURNISH REQUESTED INFORMATION

Please complete the information below.

SEARCH	REVIEW	NUMBER OF PAGES/COPIES	MATERIALS (i.e., COST OF CD, DVD ETC.)
HOURS: GS & STEP:	HOURS: GS & STEP:		

Print name: \_\_\_\_\_  
Signature: \_\_\_\_\_  
Title: \_\_\_\_\_

Date: \_\_\_\_\_

Notes \_\_\_\_\_





**CIRCULAR**

DATE February 25, 2019

**DRESS CODE**

REVIEW DATE: February 25, 2024

**1.0 PURPOSE**

This circular amends the Bureau of Engraving and Printing's (BEP/Bureau) policy for appropriate dress in the workplace for all employees and contractors.

**2.0 SCOPE**

This policy is applicable to the Washington, DC and Fort Worth, Texas facilities.

**3.0 POLICY**

It is the policy of the Bureau to provide for an employee-friendly environment to the extent reasonably practical. The Bureau is a unique Federal workplace that includes diverse positions and job disciplines, and employees are expected to dress appropriately and safely as required, and in a manner consistent with their official positions while on duty.

The Bureau's dress code varies by occupation and duties; however, all Bureau employees are responsible for dressing in a manner that is considerate of other employees and is suitable for our manufacturing and office environment.

Employees in professional and administrative positions, as well as those who have extensive contact with members of other Federal agencies and/or the public, are expected to dress in a manner that is generally acceptable in the business community (business casual attire). However, for meetings involving high-level officials from outside the Bureau, business attire is recommended.

- Examples of business attire: suits (dress or pant); sport coats/professional jacket with dress slacks, skirt, or dress; button down shirt and necktie; business appropriate skirts with dress blouses and blazers or sweaters; business appropriate dresses; and dress shoes.
- Examples of business casual attire: slacks and khaki-type pants; skirts and dresses; button-down, collared shirts (long or short-sleeve) without a tie; polo shirts; sweaters with a collared shirt; sweaters or blouses with or without blazers; and office appropriate jeans.

The following are requirements of the Dress Code Policy:

- Employees in positions requiring uniforms must wear them.
- All safety regulations must be followed pertaining to attire. For example:
  - Loose fitting clothing, jewelry (necklaces), and lanyards that could create a hazard around machinery is prohibited. Loose hair should be secured above the shoulders to prevent entanglement hazards.

**CIRCULAR**DATE February 25, 2019

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- Appropriate personal protective equipment (PPE) must be worn where required.
- Clothing must be tasteful and appropriate for a manufacturing environment (not torn, tattered, grungy, revealing, provocative or too casual). For example: jeans with rips or holes; old t-shirts; flip-flops; tank tops; short pants; and clothing or headwear that would generally be considered inappropriate.
- Clothing (including hats, caps, buttons or jewelry) with political slogans, profanity, derogatory or demeaning words, phrases or images are prohibited.

As approved by Bureau Management, Fridays are generally considered casual dress days. All requirements of the Dress Code Policy above still apply on Fridays.

Employees or contractors who violate the Bureau's Dress Code Policy will be counseled by their direct supervisor to take immediate action to correct the deficiency, particularly if there is a safety risk.

**4.0 SUPERSESSION**

This policy hereby supersedes Circular No. 67-35.3, entitled "Dress Code," dated October 12, 2012.

**5.0 OFFICE OF PRIMARY RESPONSIBILITY**

Office of Human Resources

<electronically approved>  
Leonard R. Olijar  
Director



**CIRCULAR**

DATE March 12, 2014

**BUREAU OF ENGRAVING AND PRINTING  
EMPLOYEE RESPONSIBILITIES AND CONDUCT**

REVIEW DATE: March 12, 2017

**1.0 PURPOSE**

The purpose of this circular is to provide guidance on the Bureau of Engraving and Printing's (BEP/Bureau) standards for employee responsibilities and conduct, including positive expectations for work performance and behavior.

**2.0 SCOPE**

This circular is applicable to all BEP employees at both the Washington, DC and Fort Worth, TX facilities.

**3.0 REFERENCES**

- 3.1 Code of Federal Regulations (CFR),  
Title 5, Part 735, "Employee Responsibilities and Conduct"
- 3.2 Code of Federal Regulations (CFR),  
Title 5, Part 752, "Adverse Actions"
- 3.3 Code of Federal Regulations (CFR),  
Title 31, Part 0, "Department of the Treasury Employee Rules of Conduct"
- 3.4 Code of Federal Regulations (CFR),  
Title 31, Section 605.1, "Conduct on Bureau of Engraving and Printing Property"
- 3.5 Civil Rights Act of 1964, Title VII  
[www.eeoc.gov/laws/statutes/titlevii.cfm](http://www.eeoc.gov/laws/statutes/titlevii.cfm)
- 3.6 Pregnancy Discrimination Act  
[www.eeoc.gov/laws/statutes/pregnancy.cfm](http://www.eeoc.gov/laws/statutes/pregnancy.cfm)
- 3.7 Equal Pay Act of 1963 (EPA)  
[www.eeoc.gov/laws/statutes/epa.cfm](http://www.eeoc.gov/laws/statutes/epa.cfm)
- 3.8 Age Discrimination in Employment Act of 1967 (ADEA)  
[www.eeoc.gov/laws/statutes/adea.cfm](http://www.eeoc.gov/laws/statutes/adea.cfm)
- 3.9 Americans with Disabilities Act of 1990 (ADA), Title I, as amended  
[www.eeoc.gov/laws/statutes/adea.cfm](http://www.eeoc.gov/laws/statutes/adea.cfm)
- 3.10 Civil Rights Act of 1991, Sections 102 and 103  
[www.eeoc.gov/laws/statutes/cra-1991.cfm](http://www.eeoc.gov/laws/statutes/cra-1991.cfm)
- 3.11 Rehabilitation Act of 1973, Sections 501 and 505  
[www.eeoc.gov/laws/statutes/rehab.cfm](http://www.eeoc.gov/laws/statutes/rehab.cfm)
- 3.12 Genetic Information Nondiscrimination Act of 2008 (GINA)  
[www.eeoc.gov/laws/statutes/gina.cfm](http://www.eeoc.gov/laws/statutes/gina.cfm)

**CIRCULAR**DATE March 12, 2014

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- 3.13 Department of the Treasury, "Ethics Handbook"  
<https://arc.publicdebt.treas.gov/files/pdf/fstreasethichandbook.pdf>
- 3.14 Manual No. 10-08.35,  
["Information Technology Security Policy and Procedures"](#)
- 3.15 Manual No. M-60-1  
BEP Personnel Manual, Chapter 735, [Section 4](#), "Outside Employment"
- 3.16 Manual No. 71-00  
BEP Security Manual, [Chapter 2](#), "Badging"
- 3.17 Manual No. 71-00, BEP Security Manual,  
Chapter 10, "Drug Program"
- 3.18 Manual No. 71-00, BEP Security Manual,  
[Chapter 12](#), "Entry/Exit Screening"
- 3.19 Manual No. 71-00, BEP Security Manual,  
[Chapter 13](#), "Escort"
- 3.20 Manual No. 71-00, BEP Security Manual,  
[Chapter 14](#), "Government Property Removal and Accountability"
- 3.21 Manual No. 71-00, BEP Security Manual,  
[Chapter 17](#), "Lost, Found, and Unclaimed Property"
- 3.22 Manual No. 71-00, BEP Security Manual,  
[Chapter 21](#), "Personal Items in Production Areas"
- 3.23 Manual No. 71-00, BEP Security Manual,  
[Chapter 23](#), "Photography and Filming"
- 3.24 Manual No. 71-00, BEP Security Manual,  
[Chapter 45](#), "Parking Program"
- 3.25 Circular #. 67-35.3  
"Dress Code"

**4.0 POLICY**

It is the policy of the Bureau to promote public confidence in its operations and the well-being of its employees by maintaining high standards of work performance and professional conduct. The Bureau is committed to producing world-class currency and providing excellent service to our customers. The success of the Bureau is dependent on the trust and confidence we earn from our employees, customers and stakeholders. In addition to displaying the highest ethical values, the Bureau expects all employees to know and comply with applicable standards of behavior and conduct-related rules and regulations.

**CIRCULAR**DATE March 12, 2014

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These standards and rules are based on a broad range of authorities, including Federal laws and regulations, Executive Orders, Treasury Orders and Directives, Bureau Directives (Manuals, Circulars, Bulletins and Special Announcements), and other policy publications. All employees are expected to know and comply with the authorities laid out in this circular. It is essential that all employees, including current and new hires, review the information that the Bureau makes available on In\$ite, and through other informational media, such as newsletters, flyers, and e-mails.

It is important to remember that some of the applicable standards and rules explicitly apply to both on-duty and off-duty conduct. In addition, even when off-duty conduct is not explicitly addressed, misconduct that occurs off-duty may result in disciplinary, corrective or adverse action if there is a nexus between the employee's misconduct and the efficiency of the Bureau's operations. An employee's off-duty or off-premise conduct should not interfere with performance of his/her official duties, the Bureau's trust in the employee's ability to perform those duties; interfere with the Bureau's mission; or discredit or bring criticism upon the Bureau.

**5.0 SUPERSESSION**

This circular supersedes the Bureau of Engraving and Printing Employee Handbook (Rules and Regulations), dated October 2005, and BEP Personnel Manual (M-60-1, Chapter 735, Section 2, Rules and Regulations Employees' Handbook, dated May 5, 1978.

**6.0 RULES, REGULATIONS, LAWS, POLICIES, AND PROCEDURES**

Although the summary below does not address all of the applicable authorities, some of the more pertinent rules and regulations and policies and procedures that all employees should review are as follows:

**6.1 Department of the Treasury Ethical Conduct****Ethics Handbook**

This publication summarizes numerous ethics-related laws and regulations, including the fourteen basic principles of ethical conduct, the criminal conflict of interest statutes, the Standards of Ethical Conduct for Employees of the Executive Branch, and the Hatch Act. The Handbook provides employees with valuable guidance on the rules pertaining to acceptance of invitations and gifts from sources outside the Government, giving gifts to supervisors and accepting gifts from other employees, financial conflicts of interests, impartiality, post-employment restrictions, and prohibited political activity.

**6.2 Conduct on Bureau of Engraving and Printing Property****31 CFR § 605.1**



**CIRCULAR**

DATE March 12, 2014

This regulation sets forth rules of conduct for anyone on Bureau of Engraving and Printing government property, including employees, contractors, and visitors. This includes prohibitions on gambling, disorderly conduct such as using loud, abusive, or profane language, or committing any obscene or indecent act; entering Bureau property with or being under the influence of intoxicating beverages, nonprescription narcotics, or other controlled substances; soliciting alms and contributions, commercial sales and solicitations and the distribution of commercial advertising; and carrying firearms, explosives, or other dangerous and deadly weapons.

**Equal Employment Opportunity (EEO) Laws**

The Bureau of Engraving and Printing is fully committed to maintaining equal opportunity in employment through the implementation of effective Equal Employment Opportunity Programs, without regard to race, color, religion, national origin, sex, sexual orientation, parental status, age, protected genetic information or disability. The BEP EEO policy statement mandates equal opportunity for all persons and prohibits discrimination in all aspects of BEP personnel policies and practices, as well as the entire employment process.

The following laws reference EEO protections:

- Civil Rights Act of 1964, Title VII
- Pregnancy Discrimination Act
- Equal Pay Act of 1963 (EPA)
- Age Discrimination in Employment Act of 1967 (ADEA)
- Americans with Disabilities Act of 1990 (ADA), Title I, as amended
- Civil Rights Act of 1991, Sections 102 and 103
- Rehabilitation Act of 1973, Sections 501 and 505
- Genetic Information Nondiscrimination Act of 2008 (GINA)

**6.3 Outside Employment****Manual No. M-60-1, BEP Personnel Manual, Chapter 735, Section 4, "Outside Employment"**

All Bureau employees must obtain prior written approval before engaging in any outside employment or business activity, with or without compensation. This document establishes the policies and procedures for requesting and obtaining such approval.

**6.4 BEP Dress Code****Circular No. 67-35.3, "Dress Code"**

This document provides guidelines for appropriate attire for all BEP employees.

**6.5 Information Technology****Manual No. 10-08.35. Information Technology Security Policy and Procedures**

# CIRCULAR

DATE March 12, 2014

This manual provides a uniform set of policies, procedures and standards for the handling of information and information technology at the Bureau. This includes hardware, software, and any personnel, contractors or corporations that may be engaged in the management of BEP information. The policy has been established to ensure protection of information and systems that support the operations and assets of the Bureau's IT systems, and that the IT systems are designed, purchased, implemented, operated, maintained and decommissioned in compliance with all Federal requirements.

## 6.6 Security

### **Manual No. 71-00, BEP Security Manual, Chapter 2, "Badging"**

This document establishes procedures for issuance of Security Access Control (SAC) badges, including new, replacement, visitor and temporary badges.

### **Manual No. 71-00, BEP Security Manual, Chapter 10, "Drug Program"**

BEP has an obligation to eliminate illegal drug use on or off duty. It is the policy of the Bureau to maintain a comprehensive and effective drug deterrence program which meets the provisions of Executive Order 12564 and Section 503 of Public Law 100-71, and the requirements of the Executive Office of the President, Office of National Drug Control Policy, and the Departments of the Treasury, Justice, Health and Human Services, and the Office of Personnel Management.

### **Manual No. 71-00, BEP Security Manual, Chapter 12, "Entry/Exit Screening"**

This policy describes the security screening process for all persons entering or exiting the Bureau who must pass through magnetometers and submit their packages and articles for screening.

### **Manual No. 71-00, BEP Security Manual, Chapter 13, "Escort"**

This document establishes policy pertaining to the escorting of Bureau and non-Bureau employees, as well as, family members and other guests. It also ensures that all sponsors, escorts and persons on BEP property follow the applicable rules and regulations for access into any area.

### **Manual No. 71-00, BEP Security Manual, Chapter 14, "Government Property Removal and Accountability"**

This document establishes policy and procedures for accountability and removal of BEP-owned government property from BEP premises. The Police Officer(s) will inspect all containers (e.g., bags, boxes, briefcases, laptops) exiting the Bureau.



**CIRCULAR**

DATE March 12, 2014

**Manual No. 71-00, BEP Security Manual, Chapter 17, "Lost, Found, and Unclaimed Property"**

This circular establishes the Bureau's Lost, Found and Unclaimed Property program. All Bureau employees, contractors and visitors are required to turnover property found on Bureau premises to a Police Officer, or to the Office of Security, Police Operations Division.

**Manual No. 71-00, BEP Security Manual, Chapter 21, "Personal Items In Production Areas"**

This document prohibits employees or contractors from bringing personal property into production, storage and/or testing areas.

**Manual No. 71-00, BEP Security Manual, Chapter 23, "Photography and Filming"**

This document establishes the requirements, policies and procedures for photography and filming and for the removal of associated images from the BEP. It is the policy of the BEP to allow internal work-related and personal photography and filming to occur within the guidelines provided by this chapter. This chapter also establishes the requirement, policies and procedures for the request, review, approval, and conduct of authorized photography, filming and interviews at the BEP by outside entities, and photography on the Public Tour.

**Manual No. 71-00, BEP Security Manual, Chapter 45, "Parking Program"**

This document provides information regarding BEP's Parking Program. Parking is a privilege, not a right. The Bureau regulates all activity related to the administration of the program for its employees.

**7.0 OFFICE OF PRIMARY RESPONSIBILITY**

Office of the Director

<SIGNED>  
Larry R. Felix  
Director



**DEPARTMENT OF THE TREASURY**  
**BUREAU OF ENGRAVING AND PRINTING**  
**WASHINGTON, D.C. 20228**

December 23, 2021

**FOIA Request No. 2018-06-101**

This letter is in response to your request under the Freedom of Information Act (FOIA), 5 U.S.C. 552 received by the Department of the Treasury, Bureau of Engraving and Printing (BEP), Office of the Chief Counsel-FOIA & Transparency Services. You requested a copy of each of the following BEP Manuals and Circulars found on the BEP internal employees' intranet site:

- 10-01. Organizational Manual
- 10-02.5 Authorization of All Production Activities
- 10-04.1 Bureau of Engraving and Printing's Internal Control Program
- 10-04.2 Liaison and Coordination of Office of Inspector General
- 10-04.5 Physical Inventory and Destruction Procedures for RFA-Produced Securities
- 10-06.6 Internal Control Policy Committee Charter
- 10-10.1 BEP Lean Six Sigma Policy
- 35-00.10 BEP Representation Fund
- 35-00.11 Receipt, Handling and Transport of Mutilated Currency Received thru BEP Mail
- 35-00.12 Spoilage
- 40-00.11 Policy for BEP Courtesy Floor Tours in Production Areas
- 40-00.14 Social Media Policy
- 40-00.15 Annual Transfer of Numismatic Items and Related Materials to the Smithsonian Institution
- 40-00.16 Exhibition Program
- 40-00.4 External Relations Policy
- 50-00.7 Record Systems Subject to the Privacy Act
- 50-00.8 Processing Requests Under the Freedom of Information and Privacy Acts
- 67-35.3 Dress Code
- 67-35-5 Employee Responsibilities and Conduct
- 67-35-6 Domestic Violence, Sexual Assault, and Stalking
- 70-03.18 Physical Inventory Requirements for Sensitive Property & Security Items
- 71-00 BEP Security Manual
- 82-00.13 Policy and Procedures for Banknote Equipment Manufacturers and Currency

- Reader Manufacturers
- 84-00.5 Verification Team Procedures
- 84-00.6 Control and Custody of Unissued Federal Reserve Notes
- 84-00.7 BEP Low Serial Number and Special Request FRN Policy
- 84-00.90 Transferring Currency Sheets and/or Notes to Mutilated Currency for Redemption
- 85-00.1 Series Change Procedures for Next Generation (NXG) and Old Currency Design (OCD) \$1 and \$2 FRNs
- 92-00.11 Internal Control and Accountability of Foreign Currency Specimens
- 93-00.6 Approval and Control of Test/Experimental Work
- M-60.1 BEP Personnel Manual

On May 8, 2019, Disclosure Officer Nichole Jenkins sent the following records responsive to your request:

- 10-01. Organizational Manual
- 10-02.5 Authorization of All Production Activities
- 10-10.1 BEP Lean Six Sigma Policy
- 35-00.10 BEP Representation Fund
- 35-00.11 Receipt, Handling and Transport of Mutilated Currency Received thru BEP Mail
- 40-00.11 Policy for BEP Courtesy Floor Tours in Production Areas
- 40-00.14 Social Media Policy
- 40-00.15 Annual Transfer of Numismatic Items and Related Materials to the Smithsonian Institution
- 40-00.16 Exhibition Program
- 40-00.4 External Relations Policy
- 50-00.7 Record Systems Subject to the Privacy Act
- 50-00.8 Processing Requests Under the Freedom of Information and Privacy Acts
- 67-35.3 Dress Code
- 67-35-5 Employee Responsibilities and Conduct

The May 8, 2019 letter stated the Agency would be following up with additional responsive records. Unfortunately, the processing of the remaining responsive records was delayed. We apologize for this error. Due to this error, no fees will be charged for processing this request. The following are the remaining responsive records included with this letter. No responsive record was found for Circular 10-04.5, Physical Inventory and Destruction for RFA-Produced Securities.

A total of 845 pages were found and 590 pages redacted. The following exemptions have been applied:

Exemption (b)(2) is applied to records relating to internal personnel rules or practices.

Exemption (b)(7)(E) is applied to records that would disclose techniques and procedures for law enforcement investigations or prosecutions.

- 10-04.1 Bureau of Engraving and Printing's Internal Control Program  
[\(Page 1\)](#)
- 10-04.2 Liaison and Coordination of Office of Inspector General  
[Record not released under \(b\)\(7\)\(E\): Page 251](#)
- 10-04.5 Physical Inventory and Destruction Procedures for RFA-Produced Securities  
[Responsive record not found.](#)
- 10-06.6 Internal Control Policy Committee Charter  
[Page 4](#)
- 35-00.12 Spoilage  
[Page 7](#)
- 67-35-6 Domestic Violence, Sexual Assault, and Stalking  
[Record withheld under \(b\)\(7\)\(E\): Page 11](#)
- 70-03.18 Physical Inventory Requirements for Sensitive Property & Security Items  
[Page 12 - Redactions under \(b\)\(7\)\(e\)](#)
- 71-00 BEP Security Manual  
[Page 19 – Redactions under \(b\)\(7\)\(e\)](#)
- 82-00.13 Policy and Procedures for Banknote Equipment Manufacturers and Currency Reader Manufacturers  
[Page 211](#)
- 84-00.5 Verification Team Procedures  
[Record withheld under \(b\)\(7\)\(e\): Page 228](#)
- 84-00.6 Control and Custody of Unissued Federal Reserve Notes  
[Page 229](#)
- 84-00.7 BEP Low Serial Number and Special Request FRN Policy  
[Page 252](#)
- 84-00.90 Transferring Currency Sheets and/or Notes to Mutilated Currency for Redemption  
[Page 231 – Redactions under \(b\)\(7\)\(e\)](#)
- 85-00.1 Series Change Procedures for Next Generation (NXG) and Old Currency Design (OCD) \$1 and \$2 FRNs  
[Page 237](#)
- 92-00.11 Internal Control and Accountability of Foreign Currency Specimens  
[Page 244](#)
- 93-00.6 Approval and Control of Test/Experimental Work  
[Page 248](#)
- M-60.1 BEP Personnel Manual  
[Record withheld under \(b\)\(2\): Page 250](#)

You have the right to file an administrative appeal of this decision within 90 days from the date of this letter. By filing an appeal, you preserve your rights under FOIA and give the agency a chance to review and reconsider your request and the agency's decision. Your appeal must be in writing, signed by you or your representative, and should contain the rationale for your appeal. Please also cite the FOIA reference number noted above. Your appeal should be addressed to:

FOIA Appeal  
Director  
Bureau of Engraving and Printing  
14th & C Streets, SW  
Washington, D.C. 20228

Your appeal must be postmarked within 90 days from the date of this letter.

If you would like to discuss this response before filing an administrative appeal to attempt to resolve your dispute without going through the appeals process, you may contact our FOIA Public Liaison for assistance via phone at (202) 874-2500. A FOIA Public Liaison is a supervisory official to whom FOIA requesters can raise questions or concerns about the agency's FOIA process. FOIA Public Liaisons can explain agency records, suggest agency offices that may have responsive records, provide an estimated date of completion, and discuss how to reformulate and/or reduce the scope of requests in order to minimize fees and expedite processing time.

If the FOIA Public Liaison is unable to satisfactorily resolve your question or concern, the Office of Government Information Services (OGIS) also mediates disputes between FOIA requesters and federal agencies as a non-exclusive alternative to litigation. If you wish to contact OGIS, you may contact the agency directly by email at [OGIS@nara.gov](mailto:OGIS@nara.gov), by phone at (877) 684-6448, by fax at (202) 741-5769 or by mail at the address below:

Office of Government Information Services  
National Archives and Records Administration  
601 Adelphi Road – OGIS  
College Park, Maryland 20740-6001

Please note that contacting any agency official (including the Disclosure Officer, FOIA Public Liaison) and/or OGIS is not an alternative to filing an administrative appeal and does not stop the 90-day appeal clock.

You may reach me [linda.bailey@bep.gov](mailto:linda.bailey@bep.gov). Please reference FOIA case number 2018-06-101 when contacting our office about this request.

Sincerely,

/s/

Linda Bailey  
Disclosure Officer  
Bureau of Engraving and Printing



**MANUAL**

DATE October 27, 2017

**CHAPTER 1 - BUREAU OF ENGRAVING AND PRINTING'S INTERNAL CONTROL PROGRAM**

REVIEW DATE: September 9, 2020

**1.0 PURPOSE**

This chapter establishes policies and responsibilities to be followed in establishing, maintaining, evaluating, and reporting on internal controls at the Bureau of Engraving and Printing (Bureau/BEP) and to ensure that BEP management approved audit recommendations issued by the Office of the Inspector General (OIG), Government Accountability Office (GAO), other executive branch audit organizations, and non-Federal auditors are resolved and implemented within required time frames.

**2.0 SCOPE**

The provisions of this chapter apply to all BEP organizational components, programs, and activities. All specific internal control policies, procedures, and responsibilities identified within this chapter are derived from internal control requirements and standards promulgated by the Congress, GAO, the Office of Management and Budget (OMB), and the Department of the Treasury (Treasury).

**3.0 POLICY**

The official policy of the Bureau is to devise and maintain risk-based, cost-effective systems of internal controls consistent with all applicable laws, regulations, and sound management practices. Each Bureau management official is responsible for ensuring that adequate control systems and techniques are operating effectively to provide reasonable assurance regarding the achievement of objectives in the following categories:

- Effectiveness and efficiency of operations;
- Reliability and integrity of financial information;
- Safeguarding of assets; and compliance with applicable policies, procedures, laws and regulations.

**4.0 SUPERSESSION**

This chapter rescinds Circular No. 10-04.1, "Internal Control Program," dated October 9, 2012.

**5.0 AUTHORITY**

- 5.1 [Federal Managers Financial Integrity Act \(FMFIA\) of 1982](#) (Public Law 97-255), dated September 8, 1982, or latest version thereafter.

**MANUAL**

DATE October 27, 2017

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- 5.2 [Chief Financial Officers Act of 1990](#) (Public Law 101-576) dated November 5, 1990 or latest version thereafter.
  - 5.3 [OMB Circular A-123](#), "Management's Responsibility for Internal Control," dated December 21, 2004, or latest version thereafter.
  - 5.4 [OMB Circular A-127](#), "Financial Management Systems," dated January 9, 2009, or latest version thereafter.
  - 5.5 [OMB Circular A-130](#), "Management of Federal Information Resources," dated November 28, 2000, or latest version thereafter.
  - 5.6 [Treasury Directive 40-04](#), "Treasury Management (Internal) Control Improvement Process," dated January 4, 2001, or latest version thereafter.
  - 5.7 [Sarbanes-Oxley Act of 2002](#) (Public Law 107-204), dated July 30, 2002, or latest version thereafter.

**6.0 REFERENCES**

- 6.1 Government Accountability Office (GAO) Standards for Internal Control in the Federal Government, dated November 1999, or latest version thereafter.
- 6.2 [GAO Accounting Principles, Standards, and Requirements](#), dated November 2001, or latest version thereafter.
- 6.3 GAO Procedures with Respect to Approval of Executive Agency Accounting Systems, Revised April 18, 1982, or latest version thereafter.
- 6.4 [Government Auditing Standards](#), 2011 revision or latest version thereafter.
- 6.5 [OMB Circular No. A-50](#), "Audit Follow-up," dated September 29, 1982, or latest version thereafter.
- 6.6 [Treasury Directive 40-01](#), "Responsibility of and to the Inspector General," dated September 16, 2011, or latest version thereafter.
- 6.7 [Treasury Directive 40-02](#), "Corresponding with the General Accounting Office," dated February 14, 2000, or latest version thereafter.
- 6.8 [Treasury Directive 40-03](#), "Treasury Audit Resolution, Follow-up and Closure," dated February 2, 2001, or latest version thereafter.



## 7.0 RESPONSIBILITIES

The Bureau's Internal Control Program (ICP) is the responsibility of the Bureau's Director. The program is coordinated through the Bureau's Chief Financial Officer, who is responsible for reviewing and approving internal control policies, programs, initiatives, and similar activities. The Internal Control Policy Committee (ICPC) is comprised of Bureau executives and office chiefs and ensures adequate funding and resources are made available for an effective internal control program. The specific responsibilities of the Executive ICPC and the Management Assessment Team are identified in the ICPC Charter.

- 7.1 The Office of Compliance (OC) provides oversight of the Bureau's internal control program, and monitors the implementation of internal and external audit recommendations. Additionally, OC serves as the liaison and audit coordinator for Bureau components with external auditing and review organizations (e.g., OIG and GAO). The OC ensures that the Bureau's audit recommendations are tracked from the final report issuance through corrective action implementation, validated, and closed, through the Department's Joint Audit Management Enterprise System (JAMES) or through other applicable systems.
- 7.2 The Bureau Executives, Office Chiefs, Managers, and Supervisors are responsible for establishing, enforcing and following the internal control policies, procedures, and systems for safeguarding all Bureau assets. Management shall monitor all activities and transactions in their directorate/office/division/branch to ensure their employees are performing their assigned responsibilities and the control environment is appropriate and risks are identified and properly addressed. Upon discovery of any internal control weakness, management shall immediately report all internal control breakdowns to the ICPC Management Assessment Team. Additionally, management shall educate their employees regarding proper internal controls and encourage them to be alert and to report any risks and/or irregularities.
- 7.3 All Bureau employees are responsible for performing their work according to applicable Bureau directives in a secure manner. Because of their daily involvement, employees have the best vantage point for detecting any weaknesses and/or problems with the existing internal control environment. All employees should promptly report any internal control weaknesses or deficiencies to their supervisor either verbally or in writing.



**MANUAL**

DATE October 27, 2017

**CHAPTER 2 - INTERNAL CONTROL POLICY COMMITTEE CHARTER**

REVIEW DATE: August 6, 2020

**1.0 PURPOSE**

The purpose of this chapter is to establish a charter for the Bureau of Engraving and Printing (Bureau/BEP) Internal Control Policy Committee (ICPC).

**2.0 POLICY AND SCOPE**

The policy of the Bureau is to design, implement, monitor, and maintain effective systems of internal controls consistent with laws, regulations, and best management practices. The ICPC provides overall guidance and direction to the Bureau's Internal Control Program. This committee creates and maintains an environment that provides accountability for results and includes appropriate and effective internal controls. Specifically, the objectives of this program are to ensure that:

- 2.1 Resources are managed in an effective and efficient manner to achieve mission goals in accordance with applicable law and policy;
- 2.2 All Bureau assets are safeguarded against waste, fraud, loss, unauthorized use, or misappropriation;
- 2.3 Accountability is maintained over all assets;
- 2.4 Transactions are properly recorded so that reliable financial statements and other financial reports used for decision making are accurate; and
- 2.5 BEP is in compliance with applicable laws and regulations.

**3.0 SUPERSESSION**

This chapter superseded Circular No. 10-04.6, "Internal Control Policy Committee Charter," dated July 3, 2012.

**4.0 REFERENCES**

- 4.1 Office of Management and Budget (OMB) Circular A-123, "Management's Responsibility for Internal Control," dated December 21, 2004, or latest version thereafter.
- 4.2 [Chapter 1](#), "Bureau of Engraving and Printing's Internal Control Program," Compliance Manual.

**5.0 RESPONSIBILITIES**



# MANUAL

DATE October 27, 2017

The Internal Control Policy Committee (ICPC) is comprised of Bureau executives and office chiefs. The committee is responsible for providing overall guidance and coordination to the Bureau's Internal Control Program. The committee fosters the creation and maintenance of an environment in which accountability for results and effective controls are established to ensure the reliability of financial reporting, the effectiveness of operations, and compliance with applicable laws and regulations.

- 5.1 The Executive ICPC is comprised of the following members and will execute the functions of a Senior Management Council as detailed in OMB Circular A-123:

Associate Director (Chief Financial Officer)	Chairperson and Voting Member
Deputy Director	Voting Member
Associate Director (Manufacturing)	Voting Member
Associate Director (Chief Technology Officer)	Voting Member
Associate Director (Management)	Voting Member
Associate Director (Chief Information Officer)	Voting Member
Associate Director (Quality)	Voting Member

- 5.2 The Executive ICPC will determine the course of action the committee will take on a specific agenda item. The Executive ICPC will also:

5.2.1 Determine the course of action the committee will take on a specific agenda item. The Executive ICPC will also:

5.2.2 Ensure effective program planning, participation, and coordination on a Bureau-wide basis;

5.2.3 Provide guidance to the ICPC Management Assessment Team for the formulation of internal control objectives, plans, policies, and procedures;

5.2.4 Ensure adequate resources are provided to accomplish control objectives; and

5.2.5 Ensure timely implementation of corrective actions to internal control issues.

- 5.3 An ICPC Management Assessment Team, consisting of all Bureau Office Chiefs (to include Western Currency Facility Office Chiefs/Division Managers), will report to the Executive ICPC on the status of all internal control issues and ensure that the aforementioned objectives are attained. The Management Assessment Team is chaired by the Chief, Office of Compliance.

The ICPC Management Assessment Team is responsible for:

5.3.1 Receiving, reviewing, and tracking results of recommendations of all external audit reports, and internal control and other reviews;

5.3.2 Ensuring effective actions are taken to resolve internal control issues, and implement audit and control review recommendations;

# MANUAL

DATE October 27, 2017

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- 5.3.3 Ensuring recommendations are processed according to the action plans submitted by the respective management representative;
  - 5.3.4 Implementing and enforcing policies and procedures and responding to recommendations for enhancements to internal controls; and
  - 5.3.5 Providing updates to the Senior Executive Team as appropriate in accordance with all Bureau internal control studies and analyses (e.g., risk assessment, fraud risk assessment, etc.).
- 5.4 The Executive ICPC and the ICPC Management Assessment Team will meet on a quarterly basis; however, additional meetings may be held at the discretion of the applicable Chairperson. Prior to each meeting, the Chairperson will distribute to all committee members a meeting agenda and the meeting minutes of the last meeting.



**CIRCULAR**

DATE February 28, 2020

**SPOILAGE**

REVIEW DATE: February 28, 2025

**1.0 INTRODUCTION**

The Bureau of Engraving and Printing (Bureau) uses government resources in an efficient and effective manner. Spoilage is a key performance measure for the Bureau. The rate of spoilage demonstrates how successful we are as an organization in using these limited resources.

**2.0 PURPOSE**

This circular defines spoilage for Bureau employees.

**3.0 REFERENCE**

N/A

**4.0 SUPERSESSION**

This circular supersedes Bulletin No. 35-00.12, "Spoilage," dated October 9, 2013.

**5.0 DEFINITION****5.1 Good Yield**

The Bureau calculates a cumulative and reverse cumulative yield for each production operation by facility and for the Bureau as a whole. This is comparable to the First Time Yield accepted by Six Sigma to eliminate defects in manufacturing also known as rolled throughput yield and operational yield, which identify the good yield.

Good yield is the Total Sheets accounted for minus the sum of total mutilated sheets (MUTS) and extractions divided by Total Sheets accounted for.

For security and accountability purposes, each load is reconciled before it leaves a production operation. A load's total sheets accounted for at the end of an operation are reconciled to the load's total sheets at the start of the operation, and any differences are investigated. For purposes of reconciliation, total sheets accounted for at the end of an operation consist of the following:

- 5.1.1 Total good production for the respective operation;
- 5.1.2 Total sheets extracted from the load for sampling/quality control (QC) purposes (these become MUTS); and
- 5.1.3 Total mutilated sheets (all types of MUTS discussed above) resulting from the specific operation. Example: Job FA8295-13 at print back had good production of 15,540 sheets, 2 extracted sheets and 32 MUTS. The total sheets accounted for is 15,574 (15,540+2+32) and the total MUTS is 34 (2+32). The good yield calculation would be  $(15,574-34)/15,574$  resulting in a yield of 0.997817 or 99.7817%.



# CIRCULAR

DATE February 28, 2020

## 5.2 Test Load

A test load is a unit produced on Bureau printing/processing equipment for research and development (R & D) purposes only. Test loads are never intended to enter circulation, even though notes may look and perform like genuine product.

For accountability and financial statement purposes, test loads are assigned unique job and item numbers in Oracle. Test load production quantities are excluded from regular currency production amounts. In addition, all related costs for test work (material, labor costs, etc.) are excluded from reportable currency production costs, as well as work-in-process and finished goods inventory values. These costs, as required by generally accepted accounting principles (GAAP), are expensed as R & D costs. As a result, test load work is not considered to be spoilage. A load must be designated as a test load by a print order before the load is run at the operation where testing is to occur in order to be excluded from spoilage calculations.

## 5.3 Extracts

Extracts are production units, usually involving very small amounts, which are removed from regular production for quality control purposes, as they provide a representative sample of production at a particular operation at a given time. Upon completion of Quality Control (QC) analysis, extracts are destroyed. Currently they are not re-entered into the production cycle. However, if the volume of quality samples is large enough, exceptions may be granted and BPS extractions may be used as good work for reclamation. The process of removing extracts from regular production is an essential part of normal production. As a result, extracts are treated as a component of spoilage that is reported to management on a monthly basis. Extracts are also a component used in determining the annual spoilage standards for each denomination. These standards are used in developing production benchmarks, work-in-process and finished good valuations for financial statement purposes, and currency billing rates.

## 5.4 Completed Jobs

A completed job is a job which has been processed through every shop floor operation, and has been reclassified from work-in-process to inventory. For example, for a \$20 examined blank engraved (EBE) item number, a completed job will have gone through the Offset printing, Intaglio back printing, Intaglio face printing, and currency inspection operation. Upon completion, jobs are closed in Oracle, allowing the cost system to properly value the job for financial statement purposes.

## 5.5 MUTS

MUTS are units produced during a normal production run that do not meet required production standards. MUTS are typically removed from the production process at the operation where the flaw/defect is first discovered and destroyed. There are two categories of MUTS: 1) MUTS resulting from normal operations; and 2) MUTS resulting from causes other than normal operations. Within the second category, there are two subcategories: a) MUTS resulting from external (nonproduction-related) factors; and b) MUTS resulting from internal (production-related) factors.



# CIRCULAR

DATE February 28, 2020

The category in which a MUT falls determines whether it is a component in 1) determining monthly spoilage as reported to management, and 2) determining annual spoilage standards for currency products. The various categories are discussed below.

## 5.5.1 MUTS resulting from normal operations

In most production processes, a certain percentage of production will be unfit for eventual use. As a result, MUTS resulting from normal operations are always considered to be a component of spoilage that is reported to management on a monthly basis. This category of MUTS is also a component used in determining the annual spoilage standards for each denomination.

## 5.5.2 MUTS resulting from causes other than normal operations

There are situations when MUTS are generated as the result of factors other than normal operations.

### 5.5.2.1 MUTS resulting from external (non-production-related) factors:

Some MUTS result from external (non-production-related) factors such as:

- 1) MUTS resulting from good work that has been damaged by means other than production (water damage from faulty plumbing, forklift damage during handling, etc.).
- 2) MUTS resulting from defective materials (substandard paper or ink) received from the vendor and used in production, where the defect wasn't identified prior to the material being issued.

MUTS in this category are treated as abnormal spoilage for financial statement purposes, as they are a) relatively unusual, and b) outside the control of manufacturing operations. They are written off as a period expense when incurred. They are excluded from any monthly spoilage calculations that are provided to management on a monthly basis. They are also excluded from any calculations used to determine annual spoilage standards, and as a result, are not used to develop any production benchmarks, work-in-process/finished good valuations, or currency billing rates for future years.

### 5.5.2.2 MUTS resulting from internal (production-related) factors:

Some MUTS also result from internal (production-related) factors that are not considered normal, such as:

- 1) MUTS resulting from a running defect in the production process, where the cause of the running defect was ignored or unidentified by production personnel, resulting in spoilage well in excess of normal operations;



**CIRCULAR**

DATE February 28, 2020

2) MUTS resulting from improper materials (incorrect ink used to print a particular denomination) or improper equipment (incorrect inking rollers, improper plates) used in production by operations personnel.

MUTS in this category are the result of production mistakes that are within the control of manufacturing. As a result, these MUTS are included in the calculations used to report monthly spoilage to management. However, they are not considered to be part of the normal operating environment, as they would not have occurred if the manufacturing process was functioning as expected.

Therefore, they are excluded from any calculations used to determine annual spoilage standards and are not used to develop any production benchmarks, work-in-process/finished good valuations, or currency billing rates for future years.

**6.0 SPOILAGE FORMULA**

The formula for Spoilage and Good Yield (GY):

- Spoilage % =  

$$\frac{[1 - \text{GY}(\text{Offset}) \times \text{GY}(\text{Back}) \times \text{GY}(\text{Face}) \times \text{GY}(\text{Inspection}) \times \text{GY}(\text{COPE}) \times \text{GY}(\text{LEPE}) \times \text{GY}(\text{SNI})] \times 100}{\text{Total Sheets Accounted For}}$$
- $$\text{GY} = \frac{\text{Total Sheets Accounted For} - (\text{Total MUTS} + \text{Extractions})}{\text{Total Sheets Accounted For}}$$

**7.0 USING THE FORMULA**

The Bureau monitors currency production and the quantity of spoilage related to daily operations. There are operations where 100% of the work does not flow thru the operation and an allowance must be made so that all operations are equivalent and to avoid overstating spoilage. You must include the spoilage from the partial operation (i.e., SNI) to the production at the next operation (i.e., packaging).

The Spoilage calculation as defined in this circular is the official calculation method utilized for financial reporting and incorporated into BEP Enterprise (BEN) accountability reports.

**8.0 OFFICE OF PRIMARY RESPONSIBILITY**

Chief Financial Officer (CFO)

**<electronically approved>**

Steven Fisher  
 Associate Director  
 (Chief Financial Officer)

**Circular 67-35.6  
Domestic Violence,  
Sexual Assault, and Stalking  
is being withheld under  
FOIA exemption (b)(7)(e).**



**CIRCULAR**

DATE: July 11, 2014

**PHYSICAL INVENTORY REQUIREMENTS FOR SECURITY ITEMS AND SENSITIVE PROPERTY**

REVIEW DATE: July 11, 2017

**1.0 PURPOSE AND SCOPE**

This circular establishes physical inventory requirements to maintain security and accountability over all Bureau of Engraving and Printing (Bureau/BEP) security items and sensitive property. This circular applies to all Bureau employees (including contractors) and components holding these items.

**2.0 BACKGROUND**

Physical inventories are performed by custodian organizations to ensure the accuracy of their perpetual inventory records, to identify data entry errors or omissions on a timely basis, and to safeguard assets from loss, misuse, or misappropriation. Properly conducted and reconciled inventories enhance internal controls and accountability for Bureau security items and sensitive property and are an important internal control procedure to limit the risk of loss or theft, and enable timely detection of discrepancies.

**3.0 POLICY**

It is the policy of the Bureau to maintain the highest level of internal controls over all security items and sensitive property. One extremely important control methodology is the verification of inventory product by conducting periodic physical inventories. Product is defined but not limited to raw materials, work-in-process to include extractions assigned to that location, finished goods, and testing material. Office Chiefs at the Washington, DC Facility (DCF) and the Office Chiefs and Division Managers at the Western Currency Facility (WCF) having custodial responsibility for security items and sensitive property and shall ensure physical inventories are properly planned, conducted, and documented in accordance with this circular.

**4.0 SUPERSESSION**

This circular supersedes Circular No. 70-03.18, "Physical Inventory Requirements for Sensitive Property and Security Items," dated March 6, 2012.

**5.0 DEFINITIONS****5.1 Security Items –**

Items include but are not limited to distinctive currency paper, semi-finished and finished currency, high-value production materials such as color-shifting, metallic, and taggant flush inks, quality assurance displays and standards, and instruments of reproduction such as films, plates, dies, rolls, masters, altos, cylinders, surface pieces, and digital media.

**5.2 Sensitive Property –**

Property the Bureau has determined shall be maintained under security and accountability controls to ensure that the public's safety, national security, or ongoing investigations are not compromised due to their loss, misuse, or



# CIRCULAR

DATE: July 11, 2014

misappropriation. Sensitive property includes but is not limited to items such as firearms, ammunition, badges, credentials, and information technology equipment such as desktop computers, laptops, iPads, Personal Digital Assistants (PDAs), blackberries and two-way radios.

### 5.3 Control Records –

Bureau of Engraving and Printing Enterprise (BEN) reports such as INV019 Inventory Control Record Report and WIP020 WIP Control Record Report, are considered the official record. For items that are not tracked in BEN, an electronic spreadsheet or manual listing shall be the official control record. The Office of Compliance (OC) is responsible for approving the control record for Bureau property or security items that are not included in BEN.

### 5.4 Custodian –

The individual within the Bureau component who is assigned the immediate responsibility to safeguard and account for the security items and sensitive property under their control.

### 5.5 Physical Inventory –

The process of physically counting the stock of Bureau securities or sensitive property in an area and matching the related inventory counts to control records, and reconciling (or explaining) any differences.

### 5.6 Reconciliation –

The process of comparing the product counted during an inventory to that shown in the control records. Types of reconciliation differences are:

5.6.1. Item Not Found – Item(s) that cannot be physically located at the time of the inventory.

5.6.2. Data Entry Error – Incorrect and/or untimely (entries performed 8 or more hours after an item(s) has been physically moved) BEN data entries.

5.6.3. Timing Differences – BEN data entries and/or physical item movements that occur prior or during an inventory and within the applicable 8-hour shift. For example, an acceptable reconciliation difference between the physical count and a BEN quantity might be that missing securities were transferred out. In this instance, an annotation of the material transfer document would explain and document the reconciliation.

5.7 OPC – Offset printed currency.

5.8 PCB – Printed currency back.

5.9 UBE – Unexamined blank engraved currency (face printed).

5.10 EBE – Examined blank engraved currency.

5.11 FRN – Federal Reserve note (overprinted).

5.12 PDA – Personal digital assistants or other hand-held computing device.



# CIRCULAR

DATE: July 11, 2014

## 6.0 REFERENCES

- 6.1 [Circular No. 10.04.5](#), "Physical Inventory and Destruction Procedures for RFA-Produced Securities," dated July 2, 2009, or latest version thereafter.
- 6.2 [Circular No. 82-00.12](#), "Bureau of Engraving and Printing Enterprise (BEN) Data Entry Requirements," dated August 29, 2012, or latest version thereafter.
- 6.3 [Manual No. 71-00](#), "BEP Security Manual," dated March 1, 2012, or latest version thereafter.

## 7.0 PROCEDURES

Inventory procedures vary by how often they are performed, complexity, and documentation requirements. Persons conducting these inventories are responsible for adhering to accountability and internal controls. The DCF Office Chiefs and the WCF Office Chiefs and/or Division Managers are ultimately responsible for ensuring: inventories are conducted as outlined in the Attachment (Physical Inventory Requirements), reconciled to the appropriate control record, and procedures are properly followed and inventory adjustments (correction of inventory records to bring them into agreement with the findings of actual physical inventory) are documented. For the purposes of this circular, simplified inventory procedures as described below may be followed by custodians.

- 7.1. The use of BEN or other approved official Bureau records, printouts or inventory records while conducting the inventory is acceptable.
- 7.2. Inventories shall be reconciled by comparing physical counts to the control records. Differences between the physical counts and the control records shall be fully explained and documented. These differences shall be annotated on the control record along with any additional information that helps explain the difference and/or resolution such as a Material Transfer number, Remedy Ticket number or Physical Inventory Adjustment Approval Form number. These control records and any other relevant documentation shall be maintained and available for periodic audit and review. Differences may be attributed to timing differences, miscounts, incomplete official records, data entry error, or misappropriation. The line, serial/lot numbers, or quantities on the control records shall be check-marked to show reconciliation. The check mark denotes the reconciliation of both the serial/lot number and item. Persons conducting the inventory and reconciliation shall sign and date the control records. If the inventory is conducted by non-supervisory personnel, the applicable supervisor or designee shall review, sign, and date the control records. All empty locators/resources within the assigned Sub Inventories/Departments shall be printed, signed, and dated to show no materials existed at the time of inventory.
- 7.3. If the physical inventory results cannot be reconciled to the appropriate official Bureau record (i.e., differences exist), the custodian shall verbally notify their immediate supervisor. The supervisor shall notify the Office of Security (OS) (the Manager, Product and Physical Security Division, DCF or the Manager, Product Security Branch, WCF) via email or phone call upon the discovery of the inventory



**CIRCULAR**

DATE: July 11, 2014

discrepancy. The OS and OC will determine if there were accountability or process flow issues that caused the discrepancy or if an investigation should be initiated. The Office of Compliance will provide assistance to OS with determining the root cause of the discrepancy if it was related to accountability or process flow issues.

- 7.4. For all securities stored in approved vaults, safes, containers, etc., that are infrequently accessed and secured with a security seal; inventories may be performed without physically accessing the securities. This may be accomplished by printing out the current control record and comparing the items, quantities and seal number(s) to the previous inventory performed. The previous inventory must contain a signature, date and seal number(s) to be valid. If all three match; sign, date and record the seal number on the current control record. An example statement could read "All seals remain the same from inventory 6/15/13, Green Seal: 0200258, Pink Seal: 0155729". The statement shall contain at a minimum the date and seal number(s).
- 7.5. Custodians shall retain written physical inventory documentation (BEN reports, etc.) supporting the inventory in accordance with Circular 80-05. Such documentation is subject to review by the OC, Office of Security – DCF, Security Division – WCF, the Office of the Inspector General, and any external oversight organization such as the Government Accountability Office or external audit groups.

**8.0 INTERNAL CONTROL REVIEW**

The OC will review inventory procedures and monitor physical inventories on a random basis to ensure internal controls and operating procedures are in place and followed, and that physical inventories of all Security Items and/or Sensitive Property are performed. The OC will conduct independent physical inventories on a random sample basis or in total to ensure the reliability of custodian records and inventories.

**9.0 REPORTING REQUIREMENTS**

At the request of the OC, the supervisor shall provide the copy of their physical inventory report. If so requested, this shall include a copy of the BEN Report or other report of record.

**10.0 OFFICE OF PRIMARY RESPONSIBILITY**

Office of Compliance

**<SIGNED>**  
Larry R. Felix  
Director

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No redactions applied.**

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**Bureau of Engraving and Printing  
SECURITY MANUAL  
2018**





**MANUAL**

Date: February 15, 2018

**DIRECTOR'S STATEMENT**

REVIEW DATE: February 15, 2023

The Bureau of Engraving and Printing's (BEP/Bureau) vision is to be the world's foremost security printer. This requires that our products and our employees are kept secure and safe.

The policies and procedures contained herein are defined as written directives that initiate or govern action and conduct that involves the security of the Bureau. This manual is a single reference source for non-cyber security programs and establishes the foundation for the BEP's security program.

Bureau security policies are guided by Treasury and national policies and standards. These include Executive Orders, Presidential Directives/Issuances, and individual agency/department requirements/policies, etc.

Responsibilities for effective security and internal controls extend to all employees and contractors of the BEP from entry level to executive positions. It is incumbent upon each individual to be knowledgeable of, adhere to, comply with, and support these security policies, procedures and internal controls to the best of their ability. All Bureau employees are accountable for knowing and adhering to all security policies and procedures. Employees at all levels are also responsible for reporting any obvious or suspected security violations, discrepancies or suspicious activities to supervisors and security personnel.

**<electronically approved>**

Leonard R. Olijar  
Director



# MANUAL

Date: February 15, 2018

## TABLE OF CONTENTS

### Contents

DIRECTOR'S STATEMENT.....	1
OFFICE OF SECURITY SERVICES CONTACT LISTING.....	2
INTRODUCTION .....	5
CHAPTER 1 – AREA SECURITY PLANS .....	6
CHAPTER 2 – BADGING .....	8
CHAPTER 3 – BOMB THREAT REPORTING .....	13
CHAPTER 4 – CAMERA CELL PHONES, PHOTOGRAPHY AND FILMING..	17
CHAPTER 5 – CLASSIFIED AND SENSITIVE BUT UNCLASSIFIED INFORMATION .....	23
CHAPTER 6 – CONTRACT AND INDUSTRIAL SECURITY.....	28
CHAPTER 7 – CREDENTIALS AND SHIELDS.....	31
CHAPTER 8 – DESTRUCTION OF UNFIT CURRENCY, DIES, ROLLS, CURRENCY PLATES AND SURFACE PIECES .....	35
CHAPTER 9 – DIGITAL IMAGES.....	38
CHAPTER 10 – DRUG PROGRAM .....	41
CHAPTER 11 – EMERGENCY MANAGEMENT.....	47
CHAPTER 12 – ENTRY/EXIT SCREENING.....	53
CHAPTER 13 – ESCORT.....	55
CHAPTER 14 – GOVERNMENT PROPERTY REMOVAL AND ACCOUNTABILITY.....	58
CHAPTER 15 – IMPAIRMENT IN THE WORKPLACE.....	62
CHAPTER 16 – KEY AND LOCK CONTROL .....	65
CHAPTER 17 – LOST, FOUND AND UNCLAIMED PROPERTY .....	68
CHAPTER 18 – MISSING PRODUCT.....	70
CHAPTER 19 – OIG HOTLINE .....	75
CHAPTER 20 – ONE-TO-ONE COLOR REPRODUCTIONS.....	78
CHAPTER 21 – PERSONAL ITEMS IN PRODUCTION AREAS.....	80
CHAPTER 22 – PERSONNEL SECURITY .....	81
CHAPTER 23 – PRODUCT SECURITY .....	99
CHAPTER 24 – PUBLIC TOUR SECURITY.....	126
CHAPTER 25 – RANDOM ANTI-THEFT MEASURES .....	129
CHAPTER 26 – RECORDING OF INTERVIEWS .....	131
CHAPTER 27 – REDEEMABLE CURRENCY AND HIGH VALUE ITEMS....	134
CHAPTER 28 – RESOLUTION OF LOAD VARIANCES (DISCREPANCIES) .... .....	136
CHAPTER 29 – SECURITY CONTROLS OPERATIONS REVIEW AND EFFECTIVENESS PROGRAM.....	138
CHAPTER 30 – SECURITY STRAPS AND SEALS.....	144
CHAPTER 31 – SECURITY VIOLATIONS .....	148
CHAPTER 33 – SEMI-ANNUAL AREA ACCESS LIST REVIEWS.....	151

# MANUAL

Date: February 15, 2018

---

CHAPTER 34 – SMOCKS .....	154
CHAPTER 35 – SOLICITING, SELLING AND CANVASSING .....	155
CHAPTER 36 – SUSPENSION OF ACCESS .....	156
CHAPTER 37 – TRANSPORTATION OF SECURITIES .....	158
CHAPTER 38 – VAULTS AND SAFES .....	163
CHAPTER 39 – VEHICLE INSPECTIONS .....	166
CHAPTER 40 – WAIVERS .....	168
CHAPTER 41 – CONTROLLED ACCESS AREAS .....	172
CHAPTER 42 – OFFICIAL INVESTIGATIONS AND FACT FINDINGS .....	174
CHAPTER 43 – SAFE HARBOR .....	176
CHAPTER 44 – PARKING.....	183

# MANUAL

Date: February 15, 2018

## INTRODUCTION

### 1.0 PURPOSE AND BACKGROUND

This manual prescribes the policies, responsibilities and procedures provided for BEP security programs. This manual is consistent with all applicable Executive Orders (EO), US Department of the Treasury Directives, Orders and Regulations, BEP Directives, and accepted industry standards.

### 2.0 SCOPE

The provisions of this manual apply to all employees, contractors and visitors who work at or enter the BEP Washington, DC (DCF) and the Western Currency Facility (WCF).

### 3.0 AUTHORITY

The basis for this manual was established through Department of the Treasury Security Manual TD P 15-71, which gives the Bureau authority to develop policies and procedures to protect its assets.

### 4.0 POLICY

It is the policy of the BEP to establish, maintain and promote the highest level of security for the protection of its personnel, products, resources and property.

### 5.0 SUPERSESSION

5.1 BEP Security Manual No. 71-00, dated March 1, 2012.

5.2 All bulletins, circulars, manuals and previously published BEP issuances relating to security of the BEP.

### 6.0 WAIVERS

Any waivers to this manual must be approved by the Chief, Office of Security (OS).

### 7.0 OFFICE OF PRIMARY RESPONSIBILITY

Office of Security





# MANUAL

Date: February 15, 2018

## CHAPTER 2 – BADGING

### 1.0 PURPOSE AND BACKGROUND

This chapter establishes BEP policies and procedures regarding issuance of new or replacement Security Access Control (SAC) badges, visitor badges and Personal Identity Verification (PIV) badges as well as for gaining access to BEP facilities when employees or contractors do not have their badge in their possession.

### 2.0 REFERENCES

2.1 [Department of the Treasury Security Manual, TD P 15-71](#)

2.2 [Homeland Security Presidential Directive \(HSPD\) 12](#)

### 3.0 POLICY

3.1 In accordance with Chapter 22, employees and required contractors will complete the Homeland Security Presidential Directive (HSPD)-12 PIV process prior to being issued a SAC badge or PIV badge. Once an employee or contractor has completed the PIV process and has been issued a SAC badge, he or she will be able to receive replacement badges as required without further PIV activity. PIV badges are issued only to employees and contractors who require BEP LAN access, which may include an email account, as well as all others accessing the building for more than six (6) months. Personal Identification Number (PIN) for PIV badges and the Manual Access Number (MAN) or PIN numbers associated with the SAC badges are personal and may not be shared with any other person for any reason.

### 4.0 PROCEDURES

#### 4.1 Visitor Badges:

4.1.1 Visitors will only be issued a SAC badge. Sponsors are responsible for informing their guests of what time to arrive, the appropriate BEP entrance to enter and being there to meet the visitor upon arrival. The Sponsor will also ensure their guest(s) brings an official, government-issued picture ID to provide to the Police Officer at the appropriate facility entrance. When the visitor arrives, the Police Officer (DCF) or Processing Center staff (WCF) will ask the visitor who they are there to see, retrieve the



# MANUAL

Date: February 15, 2018

ID, enter the visitor's information into the security system, and issue a visitor badge. At the DCF, this will include scanning the visitor's driver's license into the access control system. The visitor must remain at the facility entry point until the escort arrives.

4.1.2 For large groups (20 or more people), the sponsoring office will provide a list of all visitors to the Office of Security, Physical Security Branch (PSB) (Room D511M Security Systems Operations Center (SSOC) – DCF; Room A140 – WCF) at least 72 hours prior to the visit. The PSB will make the badges and have them ready for the visitors when they arrive.

**4.2 Temporary Badge:** If employees or contractors forget their SAC badge and need access to BEP facilities, they will be issued a temporary SAC badge. Employees and contractors may self-sponsor, which means they do not need a supervisor to verify their identity to the Police. However, they must meet the following requirements:

4.2.1 Must be enrolled in the SAC system and have current access authorization.

4.2.2 Access must not be suspended.

## PROCEDURES (CONTINUED)

### 4.3 New Badge Requests:

4.3.1 When a new employee reports to the BEP to initiate the PIV process, the PSB will take their photo in preparation for creating a SAC badge.

4.3.2 Once the employee is cleared by the DCF Personnel Security Division (PSD) or WCF Personnel Security Branch, the PSB will create and hold the SAC badge until issuance to Human Resources (HR). The HR will coordinate with PSB during the week prior to new employee orientation to have all the new employee badges ready for issue. PSB will deliver the new employee SAC badges to HR the Friday prior to the scheduled Orientation Day. The HR representative will sign for control of the badges and secure them in their office. On Orientation Day, a HR representative will meet the new employees and give them their SAC badges to allow access to the BEP. New employees must sign for their badges by completing the appropriate badge issuing form. The HR will return the badge issuing form to PSB within one working day.

4.3.3 The process of issuing a PIV badge begins with initiation of "sponsorship" in the system. Employees will be sponsored by HR at new employee orientation. Contractors will be sponsored only upon request of the respective COR. The employee must appear in person at the SSOC at least twice as part of the process of obtaining a PIV badge - once for registration, which includes presentation and scanning of two forms of ID, fingerprinting, picture taking, and other data entry; and the second time for badge activation and the programming of a unique and private PIN number.

### 4.4 Replacement Badges:

**MANUAL**

Date: February 15, 2018

4.4.1 SAC Badges may need to be replaced for several reasons, including:

4.4.1.1 When directed by a BEP Police Officer.

4.4.1.2 When the picture and/or data reflected on the badge is not readily discerned.

4.4.1.3 When the badge repeatedly fails to function properly when the holder tries to use it for access.

4.4.1.4 When the badge is damaged beyond use.

4.4.1.5 When any badge data must be modified, such as the property removal authorization or the "key personnel" designation.

4.4.1.6 When a new generation of badge or identification is being instituted.

4.4.1.7 When the assigned badge has been lost.

4.4.1.8 When an employee's name changes (employee must be re-PIV'd).

**PROCEDURES (CONTINUED)**

4.4.2 Current SAC badge holders do not usually require a new photo; therefore, the badge may be fabricated without the user being present. Badge photos will be updated at least every five years or if major changes occur in the person's physical features.

4.4.3 PIV badges must be replaced when internal certificates expire without being updated or the badge itself expires as well as for the same conditions as for a SAC badge.

4.4.4 Reissue or replacement of PIV badges will require a new picture any time "re-enrollment" is required. Re-enrollment is required for all badges terminated by the PIV database system and for all lost/stolen badges. PIV badge renewals and updates do not require new pictures. PIV photos will be updated at least every five years or if major changes occur in the person's features.

4.4.5 If an employee's badge falls into one of the categories listed in paragraph 4.4.1, the employee may simply report to SSOC (DCF) or Room A140 (WCF) and request a new badge.

# MANUAL

Date: February 15, 2018

4.4.6 DCF: If the SAC Badge or PIV Badge is lost, the employee must write a hard copy (paper) memorandum addressed to their Office Chief (or Office of the COR for contractors) detailing when, where, and how the badge was lost. The Office Chief must countersign the memorandum indicating they have read it and also complete a BEP Form 9480 for the replacement badge. These can be emailed or hand carried to SSOC for reissue. Replacement of lost SAC badges will be delayed for at least five business days to allow and encourage the search and recovery of the old badge. Each loss of a PIV Badge or SAC Badge must be reported to BEP Police so they can enter the appropriate data into the National Crimes Information Center (NCIC) database, as well as the BEP Information Technology Help Desk.

WCF: If the SAC Badge or PIV Badge is lost, the employee must contact Police Communication to initiate an Incident Report. Replacement of lost SAC badges or PIV cards may be delayed for at least five business days to allow and encourage its search and recovery. Police Operations will enter the appropriate data into the National Crimes Information Center (NCIC) database, as well as notify the BEP Information Technology Help Desk.

4.4.7 Requests for new authority to have the "Key Personnel" icon (DCF only) on the badge must be initiated by email or memorandum by an Office Chief and addressed to the Chief, OS (DCF), or Manager, Security Division (WCF) for approval. Any person who does not yet have a personal SAC badge must go through the PIV process and have a picture taken in order to receive their badge. Contact the PSD at 202-874-2432 (DCF) or the PSB at 817-847-3858 (WCF) for PIV requirements.

4.4.8 Badges are issued at the following rooms and days:

4.4.8.1 DCF - Room D 511M, Monday through Friday.

4.4.8.2 WCF - Room A102, Monday through Friday.

4.5 **Non-BEP Employee visitors with Valid PIV Cards:** All non-BEP employees who hold a valid PIV card from another federal agency may gain access to the BEP by meeting the following procedures:

4.5.1 The non-BEP personnel must have an official need for unescorted access to BEP.

4.5.2 The non-BEP personnel must be sponsored by a BEP employee via the initial request.

4.5.2.1 Non-BEP personnel will be required to reapply for unescorted access on an annual basis via the BEP sponsor. BEP sponsors will be required to resubmit the request to OS for re-validation.

# MANUAL

Date: February 15, 2018

4.5.3 Background investigations of the non-BEP personnel will be verified by OS prior to authorizing unescorted access.

4.5.4 Once OS approves the request, the non-BEP PIV card holders will be loaded into the BEP MDI security system, thus permitting access to the BEP.

4.5.5 PIV card expiration dates will no longer be used for SAC card badge expiration dates; instead all cards will expire one-year from date approved for unescorted access.

4.5.6 If access (escorted or non-escorted) is required to sensitive areas, a SAC badge will be issued to the non-BEP PIV card holder personnel.

4.5.7 In the event the SAC badge has not been utilized for access for 30 consecutive days, the card will automatically deactivate and the non-BEP personnel will be required to contact their sponsor in order to reactivate the badge.

4.5.8 The BEP sponsor will ensure all non-BEP employees understand the security requirement to report lost, stolen or revoked cards to OS immediately.

## PROCEDURES (CONTINUED)

4.6 **Accountable Property:** All BEP SAC badges are considered accountable property and the receipt of each badge must be acknowledged by signature.

4.7 **Mass Issuance:** For mass issuance of new or replacement badges, procedures herein may be modified at the discretion of the Chief, OS.

4.8 **Wearing of Badges:** All badges (SAC and/or PIV) must be worn in full view at all times. Badges must be worn above the waist and below the neck (not obscured by clothing) with the picture side facing out. Failure to wear badges and/or display them properly may result in the individual, or in the case of a visitor, the individual's sponsor, being issued a security violation citation (9090).

Note: BEP uniformed Police Officers are exempt from this requirement.











# MANUAL

Date: February 15, 2018

## CHAPTER 4 – CAMERA CELL PHONES, PHOTOGRAPHY AND FILMING

### 1.0 PURPOSE AND BACKGROUND

This chapter establishes the requirements, policies and procedures for the use of camera cell phones, photography and filming on BEP premises. This chapter also establishes the requirements, policies and procedures for the request, review, approval, and conduct of authorized photography, filming, and interviews at the BEP by outside entities, and photography on the Public Tour.

### 2.0 POLICY

It is the policy of the BEP to allow internal work-related and personal photography and filming to occur within the guidelines provided by this chapter. Camera cell phones are permitted on BEP property, except in production and designated security areas, to afford employees, contractors, and visitors access to their cell phones for the sole purpose of making or receiving telephone calls. At no time may a camera cell phone be brought into production or designated security areas unless approved by the Chief, Office of Security. Areas where camera cell phones are prohibited will be posted as such. Blackberry devices issued by BEP have their cameras enabled and are authorized to take photographs in all but Testing Areas.

### 3.0 REFERENCE

3.1 [Department of the Treasury Security Manual, TD P 15-71](#)

### 4.0 RESPONSIBILITIES

4.1 **BEP Employees, Contractors, and Visitors:** Bureau employees, contractors, and visitors will comply with the policies and procedures set forth in this chapter and any supplemental guidance issued by BEP regarding the use of camera cell phones, photography or filming while on Bureau property. Individuals who are authorized to conduct photography and/or filming will abide by the guidelines listed below with regard to the possession and use of camera equipment on BEP controlled property. BEP employees and/or contractors involved in outside photographic, filming and/or interview activities are required to abide by all existing security regulations and seek assistance from the OS, if applicable.

4.2 **Office of Security (OS):** The OS will review requests for purchase, possession and/or use of cameras for work-related purposes within the Bureau. When approved, the OS will provide the BEP employee and/or contractor with documents and/or materials to identify their authority to possess Bureau-owned camera equipment and to conduct work-related photographic and/or filming activities on BEP controlled property. Any exception to the policy, which may include the use of BEP-issued Blackberry devices in Testing Areas or personal cell phones must be approved through the

# MANUAL

Date: February 15, 2018

requesting individual's Office Chief and the OS. Any exception to the policy must include specific, work related justification to use BEP-issued or personal cell phones. As with BEP property and in the event of a Security violation, personal cell phone cameras are subject to review by the OS. The OS may also review all work-related and/or personal photo materials and authorize their release/removal from the Bureau. The OS will coordinate with OEX and determine the level of OS participation required with regard to the need for security escort and/or control of photographic activity. This guidance only applies to true picture taking cameras/cell phone cameras used by employees performing work-related photography and/or approved personal photography. It is not meant to apply to IT equipment, video teleconferencing equipment, replacements to physical security systems, currency inspection equipment, currency laboratory test equipment, or other image capturing equipment. This guidance is not meant to indicate that the OS will approve testing scenarios and/or activities that use image-capturing equipment.

**4.3 Office Chiefs, Managers and Supervisors:** Office Chiefs, WCF Division Managers and/or their designee will submit written requests to the OS for permission to purchase and use camera equipment to conduct work-related photography and/or filming on BEP controlled property. The use of cell phone cameras (BEP issued or personal) must include specific work-related justification subject to the review and approval of the OS.

**4.4 Visitor Sponsors and Contracting Officer's Representatives (CORs):** CORs, employees and contractors who sponsor or escort visitors within BEP are responsible for advising all visitors of restrictions applicable to camera cell phone possession and use.

**4.5 Office of External Relations (OEX):** The Chief, OEX, is the Director's agent for reviewing and approving all requests for outside photography, filming or interviews and releasing public information about the Bureau. OEX is responsible for the overall coordination of approved events with affected BEP offices.

**4.6 Office of External Relations - Tour Personnel:** Tour personnel will ensure that personnel on the BEP's tour do not use camera cell phones inappropriately while on the tour. The WCF has a designated storage area for tourists to store their cell phones; therefore, cellular phones are not authorized on tours at the WCF.

**4.7 Office of Information Technology Operations (OITO):** The OITO may be required to remove unauthorized photographic images from cell phone cameras when requested by the OS.

**4.8 Photoengraving:** BEP photographers in the Photoengraving Branch are authorized to conduct work-related photography without the permission and review of the OS. In addition to photographic and filming work that takes place in their office area, they may take photographs and conduct filming at retirement and other internal BEP ceremonies and functions.

# MANUAL

Date: February 15, 2018

## 5.0 PROCEDURES

5.1 Employee Personal Photography: Personal cameras, including cell phone cameras are prohibited in production or designated security areas.

5.1.1 Allowable Personal Photography inside the Bureau: Individuals will be allowed to take personal photographs and film in administrative office areas, conference rooms, ceremonial areas, and other generally non-production/security-related gathering areas within the Bureau.

5.1.2 Prohibitions of Personal Photography conducted inside the Bureau: Under no circumstances will employees/contractors be allowed to take personal photographs and/or film in security, production, testing, and/or currency storage areas.

5.2 Work-Related Photography:

5.2.1 Prohibitions of Work-Related Photography conducted inside the Bureau: Under no circumstances will employees/contractors be allowed to conduct work-related photography and/or filming in security, production, testing, storage areas, or anywhere within the Bureau unless approved in advance by the area supervisor and the OS Chief.

5.2.2 Written Requests for Work-Related Purchase and Use of Camera Equipment:

5.2.2.1 The Office of Acquisition is not permitted to procure camera equipment without approval from the Chief, OS (DCF), or Manager, Security Division (WCF).

5.2.2.2 Office Chiefs, Division Managers and/or their designee will forward to the appropriate Chief, OS (DCF) or Manager, Security Division (WCF), a written request for the purchase and use of camera equipment to take work-related photographs in or around the Bureau. At a minimum, the written request will include the following:

- Work-related justification supporting the request for purchase and use of the camera equipment;
- The name(s) and Office affiliation of the individual(s) (employee/contractor) assigned to that component that have been selected to take photographs and/or conduct filming in or around the Bureau; and
  - Camera identification data to include the camera's make, model, and any other known applicable identifying data.

# MANUAL

Date: February 15, 2018

## 5.2.3 Written Requests for Work-Related Use of BEP Issued or Personal Cell Phone:

5.2.3.1 If a need arises for work-related photographs and the personnel are not authorized to take photos, the Office Chief will forward to the appropriate Chief, OS (DCF) or Manager, Security Division (WCF), a written request to take work-related photographs in or around the Bureau. At a minimum, the written request will include the following:

5.2.3.1.1 Work-related justification to include inclusive locations and duty necessity supporting the request to utilize BEP-issued camera cell phone or personal camera cell phone;

5.2.3.1.2 The name(s) and Office affiliation of the individual(s) assigned to that component that have been selected to take photographs and/or conduct filming in or around the Bureau; and

5.2.3.1.3 Cell phone identification data to include make, model, serial number and other known applicable identifying data.

## 5.2.4 Authorization to Take Photographs/Authorization Documents:

5.2.4.1 Annual Authorization: Bureau employees and/or contractors who are approved to conduct work-related photography will be provided a written annual authorization to take photographs in or around the Bureau, and will be issued a camera permit badge by the OS. The camera permit badge will be properly displayed at all times when the individual is in possession of a camera and/or while taking photographs. BEP-issued camera cell phones and personal camera cell phones must follow the same annual authorization requirements.

5.2.4.2 Temporary Authorization: Bureau employees and/or contractors temporarily authorized (on a case-by-case basis) to take photographs or film at the BEP will be issued a letter signed by the Chief, OS (DCF), or the Manager, Security Division (WCF) granting this permission, as appropriate. This letter must be in their possession at all times when possessing camera equipment and while taking photographs/filming.

5.2.4.3 Photoengraving Photographers: In addition to photographic and filming work that takes place in their Office area, Photoengraving Photographers may take photographs and conduct filming at retirement and other internal BEP ceremonies and functions. However they are not authorized to take photographs at the BEP that contain sensitive security, production, and/or testing data unless approved by the OS and the area/asset owner. Their photographic products are subject to review by the OS, if it is suspected to contain sensitive security, production and/or testing data/images.

# MANUAL

Date: February 15, 2018

5.2.5 Registration of Authorized Camera Equipment: All cameras or hand-held devices capable of capturing an image or producing a photographic image owned/purchased by the Bureau will be registered with each individual Office Chief (or designated staff member). In the event of a Security violation, all cameras in inventory to include BEP-issued camera cell phones or personal cell phones are subject to search and inspection.

5.2.5.1 Office Chiefs, WCF Division Managers and/or their designee must notify the OS (DCF) or the Security Division Manager (WCF), respectively, when a camera is no longer in service so it can be removed from the inventory list. As long as a camera is in service, there is no need to submit a continuation request for camera equipment previously authorized for use.

5.2.5.2 Changes to camera equipment data (additions and/or deletions of equipment) will be forwarded to the OS within seven business days to keep the users in compliance with camera possession and photographic requirements.

5.2.6 Identifying/Marking Camera Equipment: Within 24 hours of delivery to the BEP, all authorized/registered cameras will be etched to indicate they are the "property of the BEP."

5.2.7 Removing Work-Related Photographic Images from the BEP: All employees/contractors seeking to remove work-related digital images from the BEP should consult and comply with existing Bureau IT policy governing this action. The OS is authorized to conduct reviews of Bureau-owned camera equipment and personal camera cell phones receiving authorization for work-related photography at entry/exit points of the Bureau and/or within the Bureau.

## 5.3 Submission and Approval of Outside Requests for Photography:

5.3.1 Office of External Affairs (OEX) Approval: Requests must be submitted to the Chief, OEX, at least five business days prior to the date the interview, photography, and/or filming is to occur. All personnel who desire to conduct interviews of Bureau employees or take photographs and/or film on Bureau-controlled property will submit a written request to the Director, through the OEX, and will receive written approval prior to engaging in such activity. The Director reserves the right to approve or disapprove all requests. All requests involving photography and filming inside the Bureau will be coordinated with the OS and will be administered in accordance with applicable security policy. Approved requests for interviews, photography and/or filming will be conducted within the limitations set forth in the approval. OEX will conduct the following activities with regard to review, approval and coordination of outside requests for photography, filming and/or interviews at the BEP.

5.3.1.1 OEX will review requests to determine the date, time, and purpose of the visit; the number of persons in the visiting party; the person(s) and

# MANUAL

Date: February 15, 2018

area(s) to be visited; and the area(s) and item(s) to be photographed. OEX will contact the requestor to obtain clarification or additional information if necessary.

5.3.1.2 OEX will notify the OS in writing of the request and coordinate with the respective security component, obtain special security instructions, arrange photographic clearance procedures, and escort requirements, if deemed necessary.

5.3.1.3 OEX will meet/coordinate with the Chief(s)/Division Managers of the area(s) to be visited and/or photographed, ascertain any special requirements, and finalize arrangements for the visit.

5.3.1.4 OEX will notify the requestor of the status (Approved/Disapproved) of the request.

5.3.1.5 OEX will notify the BEP Police and Parking Coordinator of the date/time and purpose of the visit.

5.3.2 The Office of Security: Upon notification from OEX of a request to conduct interviews and/or photography inside the Bureau, the OS will review the request to determine and coordinate the need for and level of security involvement. The OS will also determine the requirement for special security instructions, arrange photographic clearance procedures, and escort requirements, if warranted.

5.3.3 Affected BEP Area Employees: BEP employees and/or contractors within the area being visited by an outside entity for the purpose of photography, filming and/or interviews will ensure that all area security procedures and policies are maintained. They are required to be alert for any instances of a breach of security policy and request assistance from the OS immediately, if necessary.

## 5.4 Public Tour Photography (DCF only):

5.4.1 Individuals entering the public tour may possess photographic equipment.

5.4.2 While in the building, tourists are allowed to take photographs only on the Tour Bridge and in the Gift Shop. Tourists will not be allowed to take pictures of security production and testing activities.

## 6.0 SECURITY VIOLATION

Failure to comply with the policies and procedures prescribed in this chapter will be considered a security violation. Depending on the circumstances, such violations may result in criminal prosecution, disciplinary or adverse administrative action, confiscation of the individual's camera cell phone or other photography-capable device, denial of entry or revocation of access privileges to the Bureau, and/or other appropriate corrective action.





























**MANUAL**

Date: February 15, 2018

**CHAPTER 8 – DESTRUCTION OF CURRENCY, DIES, ROLLS, CURRENCY PLATES AND SURFACE PIECES****1.0 PURPOSE AND BACKGROUND**

This chapter establishes BEP policy for the destruction and disposition of unfit currency, dies, rolls, master currency plates, master altos, working altos, working currency/offset plates, and surface pieces. All cancelled, defective or otherwise unsuitable BEP currency, dies, rolls, currency plates, and surface pieces will be processed, controlled, and destroyed in accordance with the instructions contained herein. Destruction schedules (Materials Transfer Schedules), which accompany the materials to be destroyed and/or those that will be used to certify the destruction of the materials, will have NO errors, pen and ink changes, strikeovers, or other corrections.

**NOTE:** No deviations from the procedures established in this chapter will be authorized without the prior approval of the Chief, OS or his/her authorized designee (Manager, Security and Investigations Division, DCF or Manager, Security Division, WCF). Should a deviation from these procedures occur, the facts and circumstances of that deviation will be fully documented and reported to the Manager, Security and Investigations Division or Manager, Security Division WCF within three work days. Furthermore, any procedural change which may cause a change to this policy will first be coordinated with, and approved by the Chief, OS, prior to implementation.

**2.0 REFERENCES**

2.1 [Treasury Order 135-01](#), “Delegation of authority and responsibility for Destruction of Security Items,” dated February 16, 2000

2.2 [Treasury Directive 19-06](#), “Delegation to the Director, Bureau of Engraving and Printing, for the Redemption and Destruction of Unfit Currency and the Destruction of Waste and Spoiled Items,” dated February 29, 2000

2.3 Memorandum, Kate Todd Beach, Acting Treasurer of the United States, “Procedures for Destruction of Security Items,” dated January 19, 1993

**3.0 DEFINITIONS**

3.1 **Unfit Currency (Muts):** All operational spoiled finished and unfinished currency.

3.2 **Currency Plate(s):** All master currency plates, offset plates, master altos, altos, and working currency plates, whether finished or unfinished, nickel, aluminum, and Nylo.

# MANUAL

Date: February 15, 2018

**3.3 Surface Pieces:** Treasury seals, Federal Reserve Bank seals, Federal Reserve Bank numerals, and the Universal seals that are used during currency overprinting operations.

**3.4 Dies:** Single or multi-subject items that are used to make proofs, plastic altos or masters or are used to transfer images onto a roll used in Siderography.

**3.5 Rolls:** Small cylinders used in Siderography that transfer images from a die to a plate or cylinder.

**3.6 Dual Verification:** Two people to compare and verify the plate or surface piece serial number and description with the serial number and description on the BEN-generated destruction schedule.

## 4.0 AUTHORIZATION

The authorization to destroy unfit currency, dies, rolls, currency plates, or surface pieces rests with the Chiefs, Office of Security, Office of Engraving or delegated to the Foreperson of the Plate Making Division (DCF) and the Engraving Branch Manager (WCF).

The authority to develop the method(s) of destruction, and to certify the destruction of currency, dies, rolls, currency plates, and surface pieces rests with the Chief, OS. This authority may be further delegated to the Manager, Security and Investigations Division, DCF and to the Security Division Manager, WCF.

All offices involved in the destruction of currency, dies, rolls, currency plates and/or surface pieces, will write and maintain internal procedures related to the destruction of currency, rolls, dies, currency plates and surface pieces. These procedures will include "dual verification" of every item to be destroyed and verification of the appropriate BEN entries. All internal operating procedures, related to the destruction of dies, rolls, currency plates, and/or surface pieces, will be submitted to, and approved by, the Chief, OS and Chief, OC prior to implementation.

## 5.0 PROCEDURES

### 5.1 Destruction Standards.

5.1.1 Unfit currency shall be deemed destroyed when it has been shredded into pieces not greater than 3/8 by 1/8 inch.

5.1.2 A working currency or offset plate will be deemed "Destroyed" when it has been shredded into strips, not greater than three-quarter (3/4) inch wide or longer than the length of a currency plate.

# MANUAL

Date: February 15, 2018

5.1.3 Master currency plates, master altos, and altos will be deemed “Destroyed” when they have been shredded, as described above, or the entire plate has been “Sheared” (i.e., cut across its entire width, along the long axis, and through the center, of every currency note on the plate).

5.1.4 A surface piece, die, or roll will be deemed “Destroyed” when the image has been removed by grinding the image completely off or grinding an X through the image. The presence of a complete or partial serial number on the remainder of the surface piece is not a security concern. The defaced surface pieces will be stored in a locked/sealed container and safeguarded until they are smelted.

5.2 Destruction Process. All Bureau components involved in the destruction process will include in their internal operating procedures measures that assure achievement of the following objectives:

5.2.1 Upon completion of the verification process by the Office of Compliance and the delivery component, certification of destruction shall be conducted by two people from the Office of Security.

5.2.2 Standard procedures would require that all securities be destroyed at BEP. At times, due to the quantity of unfit securities, the adherence to standard procedure would result in the introduction of additional destruction time and labor costs. Therefore, an approval to destroy securities offsite shall require approval from the BEP Director.

5.2.3 The entire destruction process will be digitally recorded. Recording of the destruction process will be maintained for a minimum of one year.

5.3 Disposition.

5.3.1 Currency plates, master altos, and altos. The strips and shreds, resulting from the destruction process, will be strapped and sealed in a C09 container and the BEN destruction schedule number(s) will be recorded on the C09 container. Personnel from the OS will ensure that these strips and shreds are safeguarded until they are smelted. These shreds are not considered a security item and will be treated as a pilferable item only.

5.3.2 Dies, rolls, and surface pieces, which have been destroyed by having the image ground off, may be “recycled” or disposed of as “scrap metal.”

5.3.3 Semi-annually, the WCF Security Division will ship all destroyed currency plate strips and shreds to the DCF for storage until they can be transported to an approved smelting and reclamation facility.

# MANUAL

Date: February 15, 2018

## CHAPTER 9 – DIGITAL IMAGES

### 1.0 PURPOSE AND BACKGROUND

This chapter establishes guidelines and procedures for the control and accountability of digital images of security items, including sensitive digital images.

### 2.0 POLICY

2.1 BEP employees and contractors are accountable for the handling of digital images and media and are expressly prohibited from releasing any digital image without proper authorization and approval.

2.2 BEP employees and contractors are responsible for safeguarding digital images and media to prevent unauthorized disclosure, loss, replication, distribution, and/or destruction.

2.3 The BEP requires strict accountability and security controls over currency designs that have been proposed or adopted but not released to the public.

### 3.0 EXCEPTIONS

Excluded from the controls established by this policy are images of production equipment or processes taken during the production of Bureau security products that have been released to the public.

### 4.0 REFERENCES

4.1 Public Law 102-550, “The Counterfeit Detection Act of 1992”

4.2 [Circular No. 70-03.18](#), “Physical Inventory Requirements for Sensitive Property and Security Items”

### 5.0 RESPONSIBILITIES

5.1 **Director:** The Director, BEP shall approve all requests to store, transmit, transfer, or share currency images related to currency designs that have been proposed or adopted, but not released to the public.

5.2 **Office Chiefs:** Office Chiefs shall:

5.2.1 Ensure file repositories and media under their purview containing sensitive images shall have and maintain appropriate access controls to restrict access to only authorized personnel.

# MANUAL

Date: February 15, 2018

5.2.2 Coordinate with employees and contractors within their Office to ensure sensitive images are stored, transmitted, and handled securely to prevent unauthorized access.

5.2.3 Coordinate approval requests through their AD and the Director to store, transmit, or share currency images related to currency designs that have been proposed or adopted but not released to the public.

## 5.3 **Employees/Contractors:** Employees and contractors:

5.3.1 Shall treat sensitive images as Sensitive But Unclassified (SBU) documents and ensure that the information is properly protected in access controlled file storage locations, and transmitted securely using an approved procedure either outlined in this policy or coordinated through the CIO Directorate.

5.3.2 Are responsible for ensuring any individuals, with which sensitive images are being shared has a valid need to know for the required information. If any questions regarding and individuals authorization for the images exists, the employee/contractor shall coordinate with their Office Chief for clarification.

5.3.3 Shall ensure proper approval was obtained prior to storing, transmitting, or sharing currency images related to currency designs that have been proposed or adopted but not released to the public.

5.3.4 Shall ensure external/removable storage devices containing digital images are stored in an appropriate locked container which has been approved by the OS in order to provide physical security for the media when not in use. If necessary, Requests for Assessment (RFA) may provide additional security requirements.

5.3.5 Shall immediately report any loss or theft of the digital media and/or images to PCC at (202) 874-1234 (DCF) or (817) 847-3700 (WCF).

## 6.0 **PROCEDURES**

The storage, transfer, modification, and deletion of all digital images of currency or other securities will be in accordance with approved CIO Directorate methodologies for using: encryption, shared folders, BEP-issued USB drives, and/or BEP approved removable storage devices. Individuals may contact the BEP Service Desk (202) 874-3010 (DCF); (817) 847-3700 (WCF) for information and assistance with implementing security controls for protecting sensitive information.

## 7.0 **SENDING IMAGES OUTSIDE THE BEP**

The following procedures apply to the preparation and use of digital images by Bureau organizations and staff for temporary loan and/or permanent transfer to external entities.

# MANUAL

Date: February 15, 2018

7.1 The Office's Records Management Liaison Officer shall obtain a Non-Disclosure Agreement (NDA) from Office of Security and coordinate with Office of Chief Counsel and the external individual or organization to execute the NDA. The NDA shall be stored in the Office's official records inventory.

7.2 At the request of the Office, Chief Counsel, or the discretion of the Chief, OS, a site survey, background investigation, and/or fitness determination of the external organization may be conducted.

7.3 The media may be sent via email, if approved by the Office Chief, OS, and OCIITS or via US Registered Mail with return receipt requested, or an overnight service (signatory service).

7.3.1 Email of sensitive images shall utilize a secure email capability that consists of one or more of the following mechanisms:

7.3.1.1 S/MIME encrypted email using PIV (or equivalent) certificates

7.3.1.2 Secure Email using the CIO Directorate secure email gateway

7.3.1.3 Encrypted attachments using passwords that are a minimum of 16 characters consisting of at least one upper, one lower, one number, and one special character.

7.3.1.4 The password may not be sent by email and must be communicated to the recipient(s) using an alternate mechanism.

## 8.0 SECURITY AND ACCOUNTABILITY

8.1 All BEP employees and contractors must perform inventories as outlined in reference 2 (section 4.2) above, and are subject to monitoring, audit, and verification at any time by OS, OC, and OCIITS, or other authorized security and/or investigative personnel.

8.2 Failure to comply with the policies and procedures prescribed in this chapter will be considered a security violation. Depending on the circumstances, such violations may result in criminal prosecution and disciplinary or adverse administrative action.



# MANUAL

Date: February 15, 2018

## CHAPTER 10 – DRUG PROGRAM

### 1.0 PURPOSE AND BACKGROUND

This chapter establishes BEP policy and procedures regarding maintaining a drug-free environment at the BEP. On September 15, 1986, President Ronald W. Reagan signed [Executive Order 12564](#), establishing the Drug-Free Federal Workplace. The order made it a condition of employment for all Federal employees to refrain from using illegal drugs on or off duty. In a letter to all Executive Branch employees dated October 4, 1986, the President reiterated his goal of ensuring a safe and drug-free workplace for all Federal workers. The Executive Order recognized that illegal drug use is seriously impairing a portion of the national work force, resulting in the loss of billions of dollars each year. As the largest employer in the nation, the Federal government has a compelling interest to establish reasonable conditions of employment. The intent of the order is to assist those who need help while sending a clear message that any illegal drug use is incompatible with Federal service.

### 2.0 POLICY

The BEP, as a result of its work, has a compelling obligation to eliminate illegal drug use from its workplace. Therefore, it is the policy of the BEP to maintain a comprehensive and effective drug deterrence program, which meets the provisions of Executive Order 12564 and Public Law 100-71, and the requirements of the Executive Office of the President, Office of National Drug Control Policy; the Departments of the Treasury, Justice, Health and Human Services, and the Office of Personnel Management.

### 3.0 REFERENCES

- 3.1 [Executive Order 12564](#), “Drug-free Federal Workplace.”
- 3.2 [Section 503 of Public Law 100-71](#), Mandatory Guidelines for Federal Workplace Drug Testing Programs.

### 4.0 RESPONSIBILITIES

- 4.1 **Office of Security:** The OS is responsible for implementing, coordinating and managing the Bureau’s Drug-Free Federal Workplace Program. They are also responsible for Safe Harbor Program.
- 4.2 **Office Chiefs/Managers and/or Supervisors:** Office Chiefs/Managers and/or Supervisors are responsible for notifying employees who have been selected for drug testing. Notification must be in person (i.e., notification cannot be done via email, fax, interoffice mail etc.).

# MANUAL

Date: February 15, 2018

4.3 **Office of Human Resources (OHR):** OHR is responsible for coordinating applicant testing with Drug Program Manager.

4.4 **Bureau Employees and Applicants:** Bureau employees and applicants are responsible for arriving at the identified collection site at the scheduled time and date and providing the required specimen.

## 5.0 PROCESS

5.1 **Drug Testing:** Section 503 of the Supplemental Appropriations Act of 1987 requires the Bureau to specify the nature, frequency, and type of drug testing to be instituted. The Bureau conducts the following types of drug testing:

5.1.1 Random testing

5.1.2 Reasonable Suspicion Testing

5.1.3 Follow-up testing to counseling or rehabilitation

5.1.4 Applicant testing

5.1.5 Voluntary testing for employees

5.1.6 Injury, illness, unsafe or unhealthful practices

5.2 **Illegal Drugs Being Tested:** Controlled substances are defined in Title 21 of the United States Code, Controlled Substance Act, [Section 802](#). The term "illegal drugs" does not mean the use of a controlled substance pursuant to a valid prescription or other uses authorized by law. Bureau employees and applicants are tested for the presence of the following:

5.2.1 Marijuana

5.2.2 Cocaine

5.2.3 Opioids

5.2.4 Amphetamines

5.2.5 Phencyclidine (PCP)

**MANUAL**

Date: February 15, 2018

**5.3 Designated Positions:** Any employee who occupies a Tested Designated Position (TDP) is subject to drug testing. The Director reserves the right to add or delete positions determined to be TDP, pursuant to the criteria established in the Executive Order and this chapter. Employees whose duties fall within one or more of the following categories are considered to occupy a TDP:

**5.3.1 Presumptive:** Those positions involving transportation and law enforcement, such as Motor Vehicle Operators and Police Officers.

**5.3.2 Preferred:** Employees issued a National Security Clearance at the Secret or Top Secret level. This category includes those employees having access to a firearm.

**5.3.3 Discretionary:** Employees occupying the positions of risk and sensitivity that have been approved for random testing by Executive Committee of the Interagency Coordinating Group through the formal process and those employees holding a Confidential National Security Clearance.

**5.3.4 Voluntary:** Any employee not occupying a TDP may volunteer to be included in the random testing by submitting a written request through their manager to the Drug Program Manager.

**5.4 Accident or Unsafe Practice Testing:** The Bureau is committed to providing a safe and secure work environment. Employees involved in on-the-job accidents, or who engage in unsafe on-duty job-related activities that pose a danger to others or the overall operation, may be subject to testing. Based on the circumstances of the accident or unsafe act, testing may be initiated when the accident or unsafe practice results in:

5.4.1 A death or personal injury requiring hospitalization; or

5.4.2 Damage to government or private property in excess of \$500.

**5.5 Notification for Random Testing:**

**5.5.1 Procedures for Office Chiefs/Managers/Supervisors and Executive Assistants:**

5.5.1.1 Office Chiefs/Managers/Supervisors (or their acting representative) and Executive Assistants will receive electronic notification (depending on the preference of the manager who they assign to receive such notification) announcing random drug testing for specific personnel.

5.5.1.2 Coordinate any appointment time conflicts with Drug Program Manager immediately.

**MANUAL**

Date: February 15, 2018

5.5.1.3 Issue the memorandum in person to the employee, sign, annotate the time and date on the notification letter, allow the employee to read and initial the bottom of their letter and make a copy for your records and hold for three (3) years (General Schedule 1, #36, Section C) and issue the employee the original.

5.5.1.4 The supervisor will provide the notification memorandum to the employee immediately upon being notified the employee has been randomly selected to test. If the employee has pre-scheduled leave that will cause them to miss their appointment, the supervisor will immediately contact the Drug Program Manager to arrange an appointment prior to the employee leaving the facility. Once notified, the employee CANNOT leave BEP premises and the employee should be encouraged NOT to urinate prior to their appointment time at the collection site. The notification memorandum will identify the time and location of the collection site. Failure to appear for the urine specimen collection or interfering with the collection process will be considered a refusal to test.

5.5.1.5 When an employee who was selected for testing is absent, the supervisor will specify the employee's absentee status (i.e., leave, travel, offsite, meeting, etc.) on the bottom of the notification memorandum and return it to the Drug Program Manager prior to the employee's scheduled appointment. An email stating the employee is not available is not acceptable. The notification letter must be returned, signed and dated. Failure to do so will be reported to the Chief, Office of Security. Employees who are unavailable for testing will be placed on a deferred testing list for 60 days. Employees who are placed on deferred testing due to telework cannot be deferred a second time for telework within the same 60-day time period.

**5.5.2 Procedures for Employees:**

5.5.2.1 Immediately upon arrival at the collection site or when directed by Drug Program Manager, the employee will provide the required urine specimen. The collection is not delayed because the donor says he or she is not ready or is unable to urinate or because an authorized employer representative is late arriving. If the employee is unable to provide the required specimen on the first attempt, the time will be annotated on the Custody and Control form. The employee will be required to remain in the collection site under the supervision of collection site personnel and/or Drug Program Manager. The employee will be urged to drink fluids, distributed reasonably over a period of time. The employee must make at least one effort to provide a specimen within two hours from the first attempt of the collection process.

5.5.2.2 After two hours have elapsed and the employee has not provided the required specimen, the employee will be given a memorandum, "Procedures for an Inability to Provide a Urine Specimen." Collection efforts will cease three hours from the employee's arrival to the collection site and the employee will return to duty. The employee must immediately initiate efforts to provide the Medical Review Officer (MRO) with a copy of medical documentation supporting his/her inability to provide a urine

# MANUAL

Date: February 15, 2018

specimen. This documentation must be provided within five business days. The Drug Program Manager will provide the employee with procedures to contact the MRO.

5.5.2.3 Any employee who does not provide a urine specimen and does not provide medical documentation citing a legitimate medical condition justifying his or her inability to provide a specimen constitutes a refusal to test. The employee will be subject to administrative action.

5.5.2.4 Failure to be notified by a supervisor will not be considered a refusal to test unless the employee avoids or refuses to be formally notified.

### 5.5.3 Procedures for positive drug testing results:

5.5.3.1 Upon re-confirmation with the MRO, the Drug Program Manager will prepare a memorandum for the supervisor to issue to his/her employee.

5.5.3.2 The supervisor will sign the memorandum, issue the original to the employee in person, and hand deliver a copy to the Drug Program Manager.

5.5.3.3 The OS, will arrange to have an employee's badge redlined and to have the employee escorted from the building.

5.5.3.4 Until a determination is made regarding final administrative action, the employee may be placed on administrative leave with pay.

5.5.4 **Applicant:** The BEP will decline to extend a final offer of employment to any external or internal applicant with a verified positive drug test result. Any applicant with a verified positive drug test result may not reapply to the BEP for a period of twelve months.

5.5.5 **Procedures for Negative Drug Test Results:** Negative drug test results will be provided by the Drug-Free Federal Workplace Manager upon request.

5.5.6 **Procedures for Prescription Drugs:** If the donor does not admit use of an illegal drug or specimen tampering, the MRO will ask the donor if there is any possible medical explanation for the test result.

5.5.6.1 If the donor provides a possible medical explanation (e.g., claims that a positive result was due to a legally prescribed medication that the drug use was associated with a valid medical procedure, or is taking a medication that may have interfered with the drug test), the donor will be required to provide appropriate supporting documentation within a specified time.

5.5.6.2 If the donor has no valid medical explanation for the result, the MRO will advise the donor that the test result will be reported to the Drug Program Manager at BEP.





















# MANUAL

Date: February 15, 2018

## CHAPTER 13 – ESCORT

### 1.0 PURPOSE AND BACKGROUND

This chapter establishes BEP policy pertaining to the escorting of Bureau and non-Bureau employees, as well as, family members and other guests. It also ensures that all sponsors, escorts and persons on BEP property follow the applicable rules and regulations for access into any area.

### 2.0 REFERENCE

[Department of the Treasury Security Manual, TD P 15-71](#)

### 3.0 RESPONSIBILITIES

**3.1 Sponsors:** The sponsoring component will provide continuous escort for all visitors during the time they are in, or on, BEP property. Sponsors are responsible for informing their guests of what time to arrive, the appropriate BEP entrance to enter and being there to meet the visitor when they arrive.

**3.2 Escorts:** Escorts will comply with the following procedures at all times while escorting individuals or groups and will ensure the person being escorted follows applicable procedures. The escort will immediately report any illegal or suspected illegal activity or threats to the safety of Bureau employees, product or property.

**3.3 Contracting Officer's Representatives (CORs):** CORs will ensure contractor personnel are provided this policy before they commence working at the BEP and that they comply with these procedures.

### 4.0 PROCEDURES

**4.1 Escort Procedures:** While escorting visitors, an escort must:

4.1.1 Maintain continuous observation of ALL ESCORTED INDIVIDUALS AT ALL TIMES (except as provided in paragraph 4.1.5 below).

4.1.2 Escort only the number of individuals that can be effectively controlled. Typically, an escort to guest ratio of 1:6 is considered appropriate. If needed, obtain necessary escort assistance prior to the start of the escort.

4.1.3 Ensure the escorted individual is authorized to visit designated areas prior to entry, displays their issued visitor badge properly, and is informed of all restrictions prior to beginning the escort.

# MANUAL

Date: February 15, 2018

4.1.4 Ensure the escorted individual uses their visitor badge for all controlled entrances and exits. If the badge will NOT allow access, the escort must grant the escorted individual access using the escort's badge. It is noted that although a visitor's badge or the badge of a BEP employee or contractor who does not have access to sensitive or security areas will not grant them access, it records their entrance/exit in the Security Access Control (SAC).

4.1.5 Ensure that when an escorted individual requires access to a designated smoking area or rest room, the escort will wait outside for him/her. Do not allow the escorted individual to use a rest room or smoking area with two separate exits unless there is an escort on each door.

4.1.6 Ensure an escorted group remains together. If the group must split up for any reason, call your supervisor and request assistance. If assistance is not available, take the entire group together.

4.1.7 Always be alert and pay attention to the actions and conduct of the individual(s) being escorted.

4.1.8 Advise the BEP Police if an escorted individual possesses a prohibited item, e.g., weapon, camera, alcohol, etc. and the BEP Police will take appropriate action.

4.1.9 Not allow an escorted individual to continue their entry into the BEP if they attempt to bring an illegal item into the BEP.

4.1.10 Be aware that section supervisors will, at any time, be afforded the opportunity to inspect items being brought into and out of their areas.

4.1.11 Obtain a properly signed property removal permit for the removal of government property from the BEP.

4.1.12 Ensure escorted individuals are not allowed to bring personal property or outerwear into security areas. Escorts will make arrangements for the temporary storage of such items prior to accessing security areas.

4.1.13 Ensure escorted individuals are not used to satisfy Dual Control. Escorting must be performed in accordance with the area designation and Two-Person Rule requirements.

4.2 Escorted Person Procedures: While on BEP premises, escorted persons must:

4.2.1 Not bring any prohibited items into the BEP.

4.2.2 Limit their access to those BEP areas specified within the purpose of the visit.



# MANUAL

Date: February 15, 2018

---

4.2.3 Remain with the escort at all times while on BEP premises.

4.2.4 Present his/her visitor badge and other identification, when requested by BEP Police or other Security officials.

4.2.5 Wear the BEP-issued visitor badge on an outer garment prominently displayed above the waist at all times.

4.2.6 Badge in and out of Bureau buildings, sensitive, or security areas upon each entry or exit occasion.

4.2.7 Surrender their visitor badge to the Police Officer on duty prior to departure from Bureau premises.

4.3 Contractor Escort Privileges: Appropriately cleared contractors are authorized to escort other contractor personnel into any area to which the cleared contractor has access.









**MANUAL**

Date: February 15, 2018

**CHAPTER 15 – IMPAIRMENT IN THE WORKPLACE****1.0 PURPOSE AND BACKGROUND**

This chapter establishes BEP policy regarding supervisory responsibilities when dealing with employees who may be impaired in the workplace. It also provides information to assist in properly identifying possible signs of impairment and illustrates when to render assistance.

**2.0 POLICY**

It is the policy of the BEP to properly identify and minimize the risks associated with drug and alcohol usage and the resulting impairment in the workplace. Employees are reminded that the use or possession of alcohol (to include empty containers) or drugs in the workplace is unauthorized. Impairment in the workplace is **STRICTLY PROHIBITED** and poses a severe risk not only to the employee involved, but to all BEP employees.

**3.0 REFERENCE**

[Department of the Treasury Security Manual, TD P 15-71](#)

**4.0 PROCEDURES**

**4.1 Recognizing Impairment.** Supervisors, along with other Agency officials, have an important role in dealing with alcohol/drug-related issues in the workplace. Supervisors have the day-to-day responsibility of monitoring the work and conduct of employees. A supervisor may encounter an employee with problems related to impairment in dealing with performance, conduct and/or leave-related issues. Supervisors will refer the employee to the Employee Assistance Program (EAP) and seek guidance from the Employee Labor Management Relations Division (EPMD) on potential disciplinary action. The following provides non-exhaustive lists of identifiers of an impairment problem and signs of impairment.

**4.1.1 Identifiers of a Possible Impairment Problem**

- Unexplained absences
- Frequent tardiness
- Performance issues
- Careless sloppy work
- Missed deadlines
- Conduct problems

# MANUAL

Date: February 15, 2018

## 4.1.2 Signs of Impairment

- Odor of alcohol
- Staggering
- Bloodshot eyes
- Behavioral changes
- Unusual actions
- Abusive language
- Slurred speech
- Inconsistent responses
- Admissions of drinking or drug use
- Sleeping on duty

**4.2 Engaging an Impaired Employee.** Supervisors are reminded about the importance of preserving employee privacy and confidentiality. Supervisors are not to make direct accusations when confronting an employee they suspect of impairment in the workplace. They will inform the employee that there is reasonable suspicion of impairment. When a supervisor suspects or is informed that an employee may be impaired in the workplace, the supervisor will follow these procedures:

4.2.1 If an employee is required to perform safety-sensitive related duties, he or she will be restricted from performing those duties immediately.

4.2.2 Send the employee to the Health Unit for observation and possible assessment. A supervisor or manager should remain with the employee at the health unit and document their own observations.

4.2.3 Meet with the employee in a secure/private location and provide them representation if the employee requests representation and is entitled to representation.

4.2.4 If the employee becomes argumentative or disruptive, immediately notify the PCC at (817) 847-3700 (WCF) or (202) 874-1234 (DCF), and explain the situation to the Police.

4.2.5 Notify an EAP counselor and inform the counselor of the situation. If it is after hours and no EAP counselors are available, contact the EAP as soon as possible.

4.2.6 Notify the PCC (WCF or DCF, as appropriate) and request a Police Officer certified to administer a Standardized Field Sobriety Test (SFST) to respond.

4.2.6.1 Employees are to be reminded that while submitting to testing is strictly voluntary, they are strongly encouraged not only for their own personal safety, but the personal safety of every BEP employee.

# MANUAL

Date: February 15, 2018

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4.2.6.2 Disciplinary action may not be taken against an employee solely because he or she declines to undergo a SFST.

4.2.7 If an SFST is performed and an employee is deemed to be under the influence of alcohol and/or drugs, the employee's supervisor may utilize any of the options listed below in 4.2.8.

4.2.8 Whether an employee refuses to submit to testing or is under the influence, it is the responsibility of the supervisor to determine the next course of action. Some suggestions are:

- Call the employee a taxi (Taxi is at the employees expense)
- Call a family member to come and take the employee home

4.2.9 By no means should an employee be sent home alone or allowed to drive due to liability and safety reasons. In any event, an impaired person will not be allowed to work with or around any equipment or machinery.

4.3 For further information and guidance, contact the EAP at 202-874-1913 (DCF), 817-847-3621(WCF) or see [Alcoholism in the Workplace: A Handbook for Supervisors](#) at [www.opm.gov](http://www.opm.gov).









# MANUAL

Date: February 15, 2018

## CHAPTER 17 – LOST, FOUND AND UNCLAIMED PROPERTY

### 1.0 PURPOSE AND BACKGROUND

This chapter establishes BEP policy regarding implementation of the Bureau's Lost, Found and Unclaimed Property program.

### 2.0 REFERENCE

[Department of the Treasury Security Manual, TD P 15-71](#)

### 3.0 RESPONSIBILITIES

3.1 Office of Security: The OS, Police Operations Division, will administer the BEP's Lost, Found and Unclaimed Property program.

3.2 Employees and Contractors: BEP employees, contractors and visitors are required to turn over property found on Bureau premises to BEP Police.

### 4.0 PROCEDURES

4.1 **Property Custodian:** A member of the Police Operations Division will be assigned duties as the Property Custodian. The Property Custodian is responsible for administering the Lost, Found and Unclaimed Property Program which includes maintaining proper custody and control, advertising, returning to owner or making other appropriate final disposition.

4.2 **BEP Form 9138 (Receipt and Disposition of Personal Property):** BEP Police are responsible for initiating a BEP Form 9138 (Receipt and Disposition of Personal Property) for property turned in as found on Bureau premises. BEP Police will maintain custody and control of such property until released to the owner or Property Custodian.

4.3 **Turning in Lost, Found, or Unclaimed Property:** Any item of value found on Bureau property in which the owner is not readily identified must be turned in to PCC at the DCF or WCF, as appropriate. The Police representative receiving the property will initiate a BEP Form 9138, provide a copy to the person turning in the property and make an appropriate entry into the found property daily journal. The found property and BEP Form 9138 will be immediately turned over to the Property Custodian. The Property Custodian will safeguard the property until it is returned to its rightful owner or another appropriate disposition has been made. Each police shift will assign a designated supervisor as the shift custodian and ensure they have access to a safe in order to secure any found property of value, i.e., jewelry, wallets, purses, credit cards, bank cards, checks, etc.

# MANUAL

Date: February 15, 2018

**4.4 Articles of Significant Value:** When an article of significant value is turned in or recovered by the BEP Police, the Police Shift Commander will direct a police report be written. If a report is necessary, it will contain a description of the article and the events surrounding the recovery and efforts to locate a possible owner.

**4.5 List and Description of Lost, Found, Unclaimed Property:** The Property Custodian will maintain a consolidated list with descriptions of all items, dates found and instructions on how to claim found property. The list will be posted for 30 calendar days in prominent locations throughout the facility. A copy of each list will be forwarded to Property Management, Office of Facilities Support at the DCF or Office of Operations Support at the WCF, as appropriate.

**4.6 Final Disposition If Property is Not Claimed:** After 30 calendar days has elapsed and the personal property remains unclaimed by the owner, the property may be retained for official Agency use, destroyed, or reported to GSA as excess property in accordance with [41 CFR Part 102-41](#).

**4.7 Perishable Items:** The BEP Police are authorized to dispose of perishable items immediately.













# MANUAL

Date: February 15, 2018

## CHAPTER 19 – OIG HOTLINE

### 1.0 PURPOSE AND BACKGROUND

The purpose of this chapter is to inform employees and contractors of the existence and availability of the Department of the Treasury OIG Hotline number and to provide guidance on reporting and use. It is Bureau policy to encourage personnel to report suspected acts of theft, fraud, waste, and misappropriation to ensure the proper receipt and evaluation of allegations involving such acts and to take appropriate actions to resolve any reports received. The BEP has adopted the OIG Hotline as its internal Hotline program. Internal security notification other than hotline complaints should still be forwarded to the appropriate internal OS Division and/or the PCC at the DCF or WCF, as appropriate.

### 2.0 REFERENCE

[Department of the Treasury Security Manual, TD P 15-71](#)

### 3.0 PROCEDURES

**3.1 Hotline Availability and Number:** The OIG Hotline is available 24 hours per day, 7 days per week. The OIG Hotline number is 1-800-359-3839.

**3.2 FAX complaints:** The facsimile number is 202-927-5404.

**3.3 Mail complaints:** Treasury Hotline, Office of the Inspector General, 1500 Pennsylvania Ave, NW, Washington, DC 20220.

**3.4 Email:** The identity of an individual who chooses to make a complaint via email cannot be protected by the OIG. As such, the OIG cannot guarantee anonymity and confidentiality. An individual who desires confidentiality **MUST** make the complaint(s) in person, by telephone, or US mail and must request confidentiality.

**3.5 Description:** The Hotline can be described as a system wherein complaints are received, evaluated, and investigated as warranted. **NOTE:** If ever unsure whether to call the OIG, then call the OIG.

#### 3.6 Items to report to the Treasury OIG:

3.6.1 Violation of laws, rules, or regulations.

3.6.2 Gross mismanagement, waste of funds, and abuse of authority.

3.6.3 Dangers to the public health and safety related to the Treasury's grants, contracts, programs and operations.

**MANUAL**

Date: February 15, 2018

3.6.4 Allegations of criminal activity and serious misconduct involving Department of the Treasury employees.

**3.7 Items not reported to the Treasury OIG:**

3.7.1 Personnel matters involving requests for individual relief should be handled through the appropriate process. Examples of appropriate avenues for relief that are not the IG include using negotiated grievance procedures, filing administrative grievances, filing EEO complaints, and filing appeals to third parties such as the MSPB.

**3.8 Information needed to initiate a hotline complaint/report:** When making a complaint, be as specific as possible. Your complaint should provide the following items of information:

3.8.1 The subject employee/contractor's full name, if known.

3.8.2 The subject's Office/Division/Section, if known.

3.8.3 The specific violation/wrongdoing you are reporting.

3.8.4 Specific dates and times (if possible).

3.8.5 Specific location where the violation/wrongdoing occurred.

3.8.6 How the individual accomplished the alleged wrongdoing (if known).

3.8.7 Witnesses to the wrongdoing, if known.

**3.9 Caller Identification/Anonymous Calls:** While you can always make an anonymous report, callers are encouraged to clearly identify themselves and provide a contact number for where and when they can be reached if more information is needed in order to conduct a complete investigation into the reported complaint.

**3.10 Written Complaints:** If your report is complex and documentation is available to support your complaint, you should submit your complaint in writing. Written complaints should contain sufficient information to answer the normal investigative questions: who, what, when, where, how, and why. Written complaints should be submitted to the location and address noted in section 3.3 above.

**3.11 Length of an Investigation:** The time required to complete an investigation may vary depending on the complexity and/or the amount of information initially provided to initiate the investigation. Complaints that do not provide sufficient information to initiate an investigation may not be completed.

**MANUAL**

Date: February 15, 2018

---

**3.12 Notification of Completion:** The OIG will not provide information regarding what actions have been taken on any allegation reported to their office. Federal regulations prohibit the disclosure of information contained in law enforcement records even to the individual submitting the allegation(s). Unless you are contacted directly by an OIG investigator, there will be no communication from the OIG outside of correspondence which may advise you that your matter has been referred to another entity, or your submitted allegation did not fall under the jurisdiction or cognizance of the US Department of the Treasury. For information and procedures for submitting a request under the Freedom of Information Act (FOIA), contact the BEP's FOIA representative located in the Office of the Chief Counsel.

# MANUAL

Date: February 15, 2018

## CHAPTER 20 – ONE-TO-ONE COLOR REPRODUCTIONS

### 1.0 PURPOSE AND BACKGROUND

This chapter establishes BEP policies and procedures regarding one-to-one (actual size) color reproduction of United States securities produced by the BEP.

### 2.0 REFERENCES

2.1 [Section 504](#) of Title 18, United States Codes (USC)

2.2 [Section 411.1](#) of Title 31, Code of Federal Regulations (CFR)

### 3.0 PROCEDURES

3.1 Bureau Approvals: All requests for approval to make reproductions subject to this policy will be submitted by normal channels in the form of a Request for Assessment (RFA). The RFA will include a complete test plan and proposed security plan.

3.2 All one-sided, full color, one-to-one (actual size) reproductions of US currency, US bonds, or US government identification documents will be required by (or for) the official business of the BEP. These reproductions, unless otherwise approved by the OS will be limited to:

3.2.1 Reproductions made in their entirety within the confines of the BEP.

3.2.2 A portion of a planned, officially sanctioned, BEP research and development or testing project.

3.2.3 A portion of a planned, officially sanctioned, and required "quality standards comparison chart" or similar document or chart.

### 4.0 OTHER AUTHORIZED REPRODUCTIONS

4.1 [18 USC 504](#) authorizes the Secretary of the Treasury to prescribe regulations to permit color illustrations of United States currency as the Secretary determines may be appropriate. The pertinent Treasury regulations, published in [31 CFR 411.1](#), permit the printing, publishing or importation, or the making or importation of the necessary plates or items for such printing or publishing, of color illustrations of US currency provided that:

4.1.1 The illustration is of a size less than three-fourths (75%), or more than one and one-half (150%), of the actual size of the matter illustrated;

4.1.2 The illustration is one-sided; and

# MANUAL

Date: February 15, 2018

---

4.1.3 All negatives, plates, positives, digitized storage medium, graphic files, magnetic medium, optical storage devices, and any other item used in the making of the illustration that contain an image of the illustration, or any part thereof, are destroyed and/or deleted or erased after their final use in accordance with this authority.

4.2 Bureau employees and components may not make, or permit others to make, color reproductions of US securities unless the reproductions comply with the requirements of [31 CFR 411.1](#) or are made in accordance with the policies and procedures prescribed in this circular.

## 5.0 LEGAL WARNING

5.1 Criminal Liability: Unless permitted by proper authority, making an engraving, photograph, print, or impression in the likeness of an obligation or security of the United States, or any part thereof, is a violation of [18 USC 474](#). Such a violation is considered a class B felony, and is punishable by a fine or imprisonment for up to 25 years, or both. An individual who makes a one-to-one reproduction of US currency or other securities without following the policies and procedures prescribed in this circular could be prosecuted under [18 USC 474](#), even if the reproduction is made without a fraudulent intent.

## MANUAL

Date: February 15, 2018

## CHAPTER 21 – PERSONAL ITEMS IN PRODUCTION AREAS

**1.0 PURPOSE AND BACKGROUND**

This chapter establishes BEP policy regarding personal items in production areas.

**2.0 REFERENCE**

[Department of the Treasury Security Manual, TD P 15-71](#)

**3.0 RESPONSIBILITIES**

**3.1 Office of Security:** The OS will issue security violations as authorized/appropriate with regard to finding personal items in production, storage, and/or testing areas. Also, the OS will post and maintain Area Security Plans and provide training on area security.

**3.2 Office Chiefs, Managers and Supervisors:** Office Chiefs, managers, and supervisors are responsible for ensuring their employees are trained and fully aware of this security requirement.

**3.3 Employees/Contractors:** Employees and contractors will not bring unauthorized personal items into production, storage, and/or testing areas.

**4.0 PROCEDURES**

**4.1 Personal Items:** Personal items are defined as non-work related items. Examples include, but are not limited to, personal smart phones, electronic readers, games, laptop/table computers, brief cases, handbags, coats, jackets, and non-job related reading material.

**4.2 Lockers:** Employees will be afforded lockers for the proper storage of their personal items.

**4.3 Use of Clear Plastic Bags:** Personal items (medications) approved for exception to this requirement, by the responsible Office Chief, will be contained within clear plastic bags when allowed into production, storage and testing areas. Clear plastic bags are the only containers authorized to carry these approved personal items.

**NOTE:** Clear plastic bags will not be stored in any area that contains securities.

























































































































































## MANUAL

Date: February 15, 2018

## CHAPTER 31 – SECURITY VIOLATIONS

**1.0 PURPOSE AND BACKGROUND**

This chapter establishes BEP policy regarding the Security Violations Program and provides information pertaining to the issuance of citations and the requirement of Office Chiefs, and/or their designees, to review issued security violations and take appropriate corrective measures.

**2.0 REFERENCE**

[Department of the Treasury Security Manual, TD P 15-71](#)

**3.0 RESPONSIBILITIES**

**3.1 Office of Security:** Police Officers, Investigators and Security Specialists will be responsible for issuing the BEP Form (9090), “Security Violation.”

**3.2 BEP Police:** The BEP Police will be responsible for administering the Security Violation program. Additionally, the Police will keep statistical records of issued security violations, outcomes and report this information as required.

**3.3 Office Chiefs:** Office Chiefs and/or their designees will be responsible to receive and process security violations and provide written notification to the OS as to their review, and any compensatory and/or disciplinary actions that result from their review.

**3.4 BEP Employees and Contractors:** BEP employees and contractors will comply with the direction provided by OS personnel during the issuance of a Form 9090, “Security Violation.”

**4.0 PROCEDURES**

**4.1 Security Violation - Form 9090 (Exhibit A):** The BEP Form 9090 is used by members of the OS to cite BEP employees and contractors for violating security and accountability policy. The following list contains examples of violations listed on the BEP Form 9090. This list is not all inclusive. The category “other” is added to capture violations not listed on this form.

4.1.1 Failure to secure products and instruments of reproduction.

4.1.2 Failure to set alarm protection in a security area.

4.1.3 Failure to secure/lock any section, wing, vault, semi-vault, container, any door of a security area.

**MANUAL**Date: February 15, 2018

---

4.1.4 Failure to comply with OS instructions.

4.1.5 Tampering with or misusing security systems equipment (alarms, sensors, closed circuit television, locks, badge readers, security lighting, Keywatcher system, etc.).

4.1.6 Failure to strap/seal securities loads/skids.

4.1.7 Failure to properly display SAC badge.

4.1.8 Failure to properly escort visitors as required.

4.1.9 Failure to adhere to “two person” or “dual control” rules.

4.1.10 Other - If this category is used, the issuer will provide detailed information regarding the noted violation. An additional/supplemental page will be used to record these details if necessary.

4.1.11 Failure to follow parking regulations

**4.2 Distribution of Form 9090:**

4.2.1 White copy – Office of Security.

4.2.2 Yellow Copy – Reporting Official.

4.2.3 Green Copy – Violator.

4.2.4 Pink Copy - Violator’s Office Chief.

**4.3 Office Chief Response:** Office Chiefs will respond in writing to the Chief, OS or the Security Division Manager (WCF), within 14 days of receipt of the Form 9090 informing them of what corrective action, if any, was taken. If necessary, Office Chiefs are advised to seek clarification from the OS on the reported violation and to work with the EPMD to determine appropriate penalties.

**4.4 Reporting by the Office of Security:** The OS will compile data on issued violations and review trend analysis. As requested, the OS will provide statistical reports of violations.











**MANUAL**

Date: February 15, 2018

**CHAPTER 34 – SMOCKS****1.0 PURPOSE AND BACKGROUND**

This chapter establishes BEP/Bureau policy regarding the acquisition and use of smocks.

**2.0 POLICY**

To ensure the security of its products, smocks, wraps, lab coats, and opaque aprons of any type are not worn or carried into areas containing Category I securities (e.g., production areas, production cages, labs, and vaults that contain securities, etc.). The BEP will continue to provide to employees, at their request, available BEP-issued uniforms and may also provide clear vinyl aprons to protect employee clothing from inks and other production materials.

**3.0 REFERENCE**

[Department of the Treasury Security Manual, TD P 15-71](#)

**4.0 PROCEDURES**

4.1 The Security and Investigations Division (SID) (DCF), and the Security Division (WCF) will approve the use of any disposable smock and the areas in which they may be worn.

4.2 After receiving approval, Office Chiefs may provide their employees with approved disposable aprons to be worn in Category II and III areas when the work performed results in contact with contaminated currency, inks and other production materials and the work does not involve contact with securities. NOTE: Contaminated currency refers to currency received by the Mutilated Currency Division that may have been contaminated by sources outside the BEP.

4.3 Office Chiefs will ensure used, contaminated vinyl aprons that are no longer serviceable are disposed of in accordance with procedures established by the Office of Environment, Health and Safety.

4.4 Employees may only wear the approved disposable aprons in authorized areas and may not exit those areas wearing or carrying a disposable apron.

**MANUAL**

Date: February 15, 2018

**CHAPTER 35 – SOLICITING, SELLING AND CANVASSING****1.0 PURPOSE AND BACKGROUND**

This chapter establishes BEP policies and procedures regarding soliciting, selling and canvassing on BEP property.

**2.0 REFERENCES**

2.1 31 Code of Federal Regulations (CFR) [Section 0.211](#), “Soliciting, Selling, and Canvassing”

2.2 [31 CFR Section 605.1](#), “Regulations Governing Conduct on Bureau of Engraving and Printing Building and Grounds and Annex Building and Grounds”

2.3 5 CFR Part 950, “Solicitation of Federal Civilian and Uniformed Service Personnel for Contributions to Private Voluntary Organizations”

**3.0 PROCEDURES**

3.1 All BEP contractors and employees are prohibited from selling any item or service, or soliciting or canvassing for the sale of any item or service, in any BEP building or on BEP grounds. Prohibited types of solicitations and canvassing include direct communications for the purpose of selling an item, as well as indirect marketing activities, such as the display or distribution of sales literature and advertising. This prohibition applies to all sales, solicitations, or canvassing for commercial purposes or in support of for-profit activities, except for the activities of the BEP Credit Union and BEP concessions, such as the BEP cafeteria, gift store, and vending machines. This prohibition also applies to all sales, solicitations, or canvassing for charitable purposes or on behalf of non-profit organizations, except for events conducted under the Combined Federal Campaign and special fundraising events authorized by the Director. Examples of items subject to this prohibition include, but are not limited to Girl Scout cookies, candy for school projects, or other types of foods and beverages, raffle tickets, jewelry, luggage, clothes, perfume, cosmetics, nutrition supplements, CDs and DVDs, and electronic equipment.

3.2 When this type of unauthorized activity is identified, the PCC will be contacted to issue the subject a security violation notice (9090). The subject will be required to immediately remove the unauthorized items from all BEP premises. If necessary, the Police may confiscate the unauthorized items and the subject may collect their property at the end of their shift and remove the items from BEP premises.

3.3 Employees in violation of this policy may be subject to disciplinary action.

**MANUAL**

Date: February 15, 2018

**CHAPTER 36 – SUSPENSION OF ACCESS****1.0 PURPOSE AND BACKGROUND**

This chapter establishes BEP policy for temporary suspension of access (Red-lining) to Bureau facilities. Generally, the BEP restricts employee and contractor access to BEP facilities pending decisions affecting their employment status. Such suspensions mean the employee's access to BEP facilities is restricted unless under BEP escort, and then, entry is only permitted for official purposes upon BEP request.

**2.0 REFERENCE**

[Department of the Treasury Security Manual, TD P 15-71](#)

**3.0 RESPONSIBILITIES**

**3.1 Office of Security:** The OS will process suspension of access decisions and prohibit suspended persons from entering BEP facilities unless authorized by aspects of this policy.

**3.2 Office of Human Resources (OHR):** EPMD will be the point of contact for employees having questions regarding their suspension.

**3.3 Office Chiefs:** The employee's Office Chief will provide formal notification to employees of issued suspensions. He or she will also ensure the OS is notified of all employee suspensions.

**3.4 BEP Employees, Contractors and Visitors:** If suspended, BEP employees, contractors will abide by these procedures.

**3.5 Contracting Officer's Representatives (COR):** The COR will obtain all BEP property from contract employees and provide formal notification to the OS of the suspension.

**4.0 PROCEDURES**

**4.1** Notification of a suspension will be transmitted via e-mail to the OS and followed up with telephonic or personal communication. The Chief, OS, or Security Investigations Division Manager will make notification to other appropriate security offices as deemed necessary.

**4.2 Employee Notification:** A suspended employee will be notified in writing by the Office of Human Resource of their suspension along with any special instructions, if applicable.

# MANUAL

Date: February 15, 2018

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4.3 **Credit Union Access:** Red-lined employees may not gain access to the credit union inside BEP facilities.

4.4 **Reinstatement:** When the determination has been made to allow an employee to return to work, EPMD will send an email notification to the employee's Chief and the Chief, OS, or Security Investigation Division Manager. The Chief, OS, or the Security Investigations Division Manager will make notification to other appropriate security offices as deemed necessary.









































**MANUAL**

Date: February 15, 2018

**CHAPTER 43 – SAFE HARBOR****1.0 PURPOSE AND BACKGROUND**

This chapter specifies the requirements and procedures for Bureau of Engraving and Printing (BEP/Bureau) employees to properly enroll in the Safe Harbor Program. The BEP is required under Executive Order 12564 to initiate action to discipline any employee found to use illegal drugs. The Executive Order permits an agency to exempt an employee from disciplinary action who enrolls into the Safe Harbor Program by meeting the conditions outlined in this policy.

**2.0 POLICY**

It is the policy of the BEP to assist employees who are seeking treatment for illegal drug use. The Safe Harbor Program is extended to any employee who occupies a Testing Designated Position and meets all of the following conditions:

- 2.1 Voluntarily identifies themselves as a user of illegal drugs prior to being identified through other means (Attachment 1);
- 2.2 Obtains rehabilitation through the Bureau's Employee Assistance Program (EAP);
- 2.3 Agrees to sign a written consent (Attachment 2) to release specific information to the Drug-Free Federal Workplace Program (DFFWP) regarding the employee's drug rehabilitation program progress; and
- 2.4 Thereafter, refrains from using illegal drugs.

**3.0 SCOPE**

This policy applies to all BEP employees in random drug testing positions.

**4.0 REFERENCES**

- 4.1 [Executive Order 12564](#), "Drug-Free Federal Workplace," dated September 15, 1986.
- 4.2 "The Privacy Act of 1974," 5 United States Code (USC) § [552a](#), as amended.
- 4.3 "Regulatory Requirements for Alcoholism and Drug Abuse Programs and Services for Federal Civilian Employees," 5 CFR § 792.101 ([Link to Document](#))
- 4.4 [Executive Order 10450](#), "Security Requirements for Government Employment," dated April 27, 1953.



# MANUAL

Date: February 15, 2018

4.5 **Executive Order 13181**, “To Protect the Privacy of Protected Health Information in Oversight Investigations,” dated December 20, 2000.

## 5.0 DEFINITIONS

In every instance in which the pronoun “he” or any of its derivatives is used, the feminine “she” or its appropriate derivative is considered included.

5.1 **Employee Assistance Program (EAP):** The Bureau’s EAP is the counseling program or service that offers assessment, short-term counseling, and referral services to employees for a wide-range of drug, alcohol, and mental health problems that affect employee job performance. EAP coordinators are responsible for referring drug-using employees for rehabilitation and for monitoring employees' progress while in treatment, evaluates employees who have violated the Drug-Free Federal Workplace program and makes recommendations concerning education, treatment and follow-up testing.

5.2 **Follow-Up Drug Testing:** For a period of one year, employee will be subject to unannounced direct observation drug testing following completion of rehabilitation.

5.3 **Sensitive Position:** An employee in a position that has been designated Special Sensitive, Critical-Sensitive or Non-Critical Sensitive pursuant to 5 CFR § 731.106 and 5 CFR § 1400.201 or an employee in a position that has been designated as sensitive in accordance with Executive Order 10450, as amended.

5.4 **Designated Employer Representative (DER):** The DER is authorized to take immediate action to have employees removed from safety-sensitive duties and to make required decisions in the testing and evaluation processes. The DER also receives test results and other communications for the employer.

## 6.0 RESPONSIBILITIES

The Office of Security (OS) is responsible for implementing, coordinating and managing the BEP’s Drug-Free Federal Workplace Program and will provide assistance to employees who elect to enroll in the Safe Harbor Program.

## 7.0 PROCEDURES

7.1 **Protection:** Employees are protected by Safe Harbor only if they are properly following the procedures for invoking Safe Harbor. An employee may not be subject to disciplinary action resulting from a positive drug test taken as part of the employee’s formal drug rehabilitation program.

7.2 **Eligibility:** The key to this provision’s rehabilitative effectiveness is an employee’s willingness to admit his problem before he is identified through other means. This self-referral option allows any employee to identify himself as an illegal

# MANUAL

Date: February 15, 2018

drug user for the purpose of entering a drug treatment program. Employees must admit drug use to the Drug-Free Federal Workplace Program DER in order to be covered under the protections of Safe Harbor.

7.2.1 Employees are not protected by Safe Harbor by informing their Supervisor, Manager, Office Chief, co-workers or any other non-management personnel that they are using illegal drugs.

7.3 **Ineligibility:** Any of the following conditions will cause an employee to be ineligible for Safe Harbor:

7.3.1 An employee identified to have used illegal drugs on the basis of any appropriate evidence prior to self-identification;

7.3.2 An employee directly observed using illegal drugs, and substantiated by an agency investigation;

7.3.3 Evidence of illegal drug use obtained from an arrest or criminal conviction;

7.3.4 A verified "positive" drug test result;

7.3.5 An employee who has been issued a notice that he is scheduled for a drug test cannot enter Safe Harbor to avoid the drug test;

7.3.6 An employee whose actions or appearance initiates an official request for a mandatory drug test, i.e., for safety or reasonable suspicion testing cannot enter into Safe Harbor to avoid a drug test; and

7.3.7 An employee who was allowed to previously enroll into Safe Harbor does not qualify to re-enter in to a new agreement for ten (10) years. If any employee self-identifies to being a drug user prior to ten (10) years, they will be subject to administrative action.

7.3.8 An employee's unwillingness to admit his problem before he is identified through other means.

7.4 **Procedures upon Notification:** Once an employee provides the proper notification and indicates a desire to seek treatment for illegal drug use, the following procedures will apply:

7.4.1 Safe Harbor Agreement and Consent;

7.4.1.1 Sign a Safe Harbor Agreement (Attachment 1) indicating he has enrolled in Safe Harbor and understands the requirements of the Safe Harbor Program;

# MANUAL

Date: February 15, 2018

7.4.1.2 Sign a Consent Authorization to release specific information to the Bureau's DFFWP DER regarding the employee's progress in the drug rehabilitation program (Attachment 2); and

7.4.1.3 The Safe Harbor Agreement must be signed immediately after admitting illegal drug use. The DER will keep these documents on file. Failure to provide the signed agreement and the consent forms will render null and void the request for Safe Harbor.

7.4.2 Referral to Drug Rehabilitation Program. I understand that I must enter a drug rehabilitation program coordinated through the BEP Employee Assistance Program. After enrolling into the Safe Harbor Program, the employee will be referred to an approved drug abuse rehabilitation program. Regardless of the drug rehabilitation program chosen, the employee remains responsible for successful completion of the program. Assertions that the employee was not satisfied with the program will not constitute a valid excuse for continuing to use illegal drugs, or a valid defense regarding disciplinary action, or a valid reason for discontinuation of the drug rehabilitation program.

7.4.2.1 Detail of Employees Occupying a Sensitive Position. BEP shall not allow any employee to remain on duty in a sensitive position who is found to use illegal drugs, prior to successful completion of a drug abuse rehabilitation program through an EAP. However, as part of rehabilitation, the OS, Chief may at his discretion, allow an employee to return to duty in a sensitive position if it is determined by EAP that this action would not pose a danger to public health, safety, public trust or national security information.

7.4.2.2 Leave Allowance. During duty hours, absences for drug rehabilitation must be charged to the appropriate leave category according to personnel law and regulations and BEP policy.

**7.5 Rehabilitation Programs:** The EAP will be available to refer and/or assist the employee in enrolling in an accredited drug rehabilitation program. All costs associated with such a program will be the responsibility of the employee. Within three (3) days of signing the Safe Harbor Agreement, the employee will complete the Consent Authorization and provide a letter to the DER from the drug rehabilitation program or clinic, confirming enrollment. If an employee needs more than three (3) days, they must submit a written request to the DER. Failure to provide this confirmation letter to the DER within the specified time frame shall render null and void the enrollment in Safe Harbor.

**7.6 Treatment Documentation:** While participating in the drug rehabilitation program, the DER will receive updates from the drug rehabilitation program on the employee's progress. The drug rehabilitation program must schedule the employee for unannounced drug testing while in rehabilitation. Refusal to submit to testing or failure to cooperate with the collection process will void the safe harbor agreement. An initial

# MANUAL

Date: February 15, 2018

progress report will be provided to the DER within 14 business days after enrollment into the drug rehabilitation program. Updated progress reports will be due monthly after the initial submission. Strict confidentiality shall be maintained during all phases of rehabilitation.

**7.7 Voiding of Safe Harbor:** If any of the requirements stated in this chapter are not met, the employee's enrollment in Safe Harbor will be rendered null and void. In accordance with Executive Order 12564, the agency shall initiate action to remove from service any employee who is found to use illegal drugs and refuses to obtain drug rehabilitation through an Employee Assistance Program.

**7.8 Length of Rehabilitation Program:** Understanding that drug rehabilitation is different for each individual, an employee must provide documentation to the DER from EAP indicating successful progress and completion of the drug rehabilitation program.

**7.9 Return to Duty Testing:** Upon release from the drug rehabilitation program, the employee will be subject to a Return-to-Duty drug test (observed collection). If an employee withdraws from the drug rehabilitation program prior to being released, they will be required immediately to report for Return-to-Duty testing (observed collection). Employees receiving a positive test result will be subject to disciplinary action, up to and including removal from federal service.

**7.10 Follow-Up Drug Testing:** Employees who receive a negative test result for their Return-to-Duty Testing will be subject to unannounced follow-up drug testing (observed collection) for a period of 12 months by the DER. The DER will notify the supervisor when follow-up testing is required. Refusal to submit to testing or failure to cooperate with the collection process will result in administrative disciplinary action, up to and including removal from federal service.

# MANUAL

Date: February 15, 2018

## ATTACHMENT 1 Safe Harbor Agreement

I, \_\_\_\_\_, am voluntarily identifying myself as a user of illegal drugs. I have not been identified as an illegal drug user by any other means (i.e., results of a drug test, direct observation, arrest, etc.), nor have I been issued a notice to report for a random drug test. I understand that in order to enter the Safe Harbor Program and receive its protections and not be disciplined for my past illegal drug use, I must abide by the following conditions:

(1) I understand that I must enter a drug rehabilitation program coordinated through the Bureau of Engraving and Printing (BEP) Employee Assistance Program;

(2) I understand that I must sign a written consent to release information regarding my progress in the drug rehabilitation program to the BEP's Designated Employer Representative;

(3) I understand that I must remain in compliance with my drug rehabilitation until I have completed the program; and

(4) I understand that I must admit his problem before being identified through other means.

(5) I understand that I must thereafter refrain from using illegal drugs.

I further understand that if I violate any of the above provisions that my request for Safe Harbor shall be null and void and I may be subject to administrative disciplinary action up to and including dismissal.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

# MANUAL

Date: February 15, 2018

**ATTACHMENT 2**  
**Consent and Authorization for the Release of Information for the Verification of Drug Rehabilitation Treatment and for Evaluation of Treatment Progress**

I, \_\_\_\_\_, authorize \_\_\_\_\_  
*Employee's Name* *Name of Treatment Center*

to release and disclose the following information:

1. Name of program/Treatment Facility;
2. Date of employee's enrollment in the drug rehabilitation program;
3. Expected completion date;
4. Phase of program completion (i.e., inpatient, outpatient, follow-up, etc.);
5. Any summary of progress, including the failure to complete any portion of the program or failure to successfully progress through the program;
6. Any summary of prognosis including whether the employee can safely perform the functions of his position without affecting his own health or safety or that of any other individual;
7. A required urinalysis drug test report is submitted monthly to the Designated Employer Representative (DER) \_\_\_\_\_. He/she can be reached at \_\_\_\_\_; and
8. Any other specified information:  
\_\_\_\_\_  
\_\_\_\_\_.

I authorize the above release of information to be made to the Bureau of Engraving and Printing's (BEP) DER in the Drug- Free Federal Workplace Program for the purposes of verifying compliance with the drug rehabilitation program and/or my progress in the program. I acknowledge that consent to release of this information is a mandatory requirement of my enrollment in BEP's Safe Harbor program. This consent and authorization will terminate upon my completion of the drug rehabilitation program.

\_\_\_\_\_  
**Name**

\_\_\_\_\_  
**Date**

# MANUAL

Date: February 15, 2018

## CHAPTER 44 – PARKING

### 1.0 PURPOSE AND BACKGROUND

This chapter establishes BEP policy for the Washington DC facility (DCF) and provides information regarding the Parking Program. Parking is a privilege granted by the BEP. The BEP regulates all activity related to the administration of the Parking Program for its employees and strives to prevent fraud and abuse. BEP provides procedures establishing responsibility for all activities related to the Parking Program.

### 2.0 POLICY

It is the policy of the BEP to provide maximum parking opportunities to BEP employees with a primary emphasis on second and third shift parking where outside parking and public transportation opportunities are limited. The BEP encourages carpooling and supports the organization of vanpools to conserve energy and abate automotive-induced air pollution. Parking assignments will be made in accordance with Federal Property Management guidelines.

### 3.0 REFERENCES

- 3.1 [41 CFR Part 101-20](#), Federal Property Management Regulations
- 3.2 Department of the Treasury Parking Policy - [TD 74-08](#)
- 3.3 Department of Transportation Vanpool Definition - [Vanpool](#)

### 4.0 DEFINITIONS

4.1 **Carpool** - A group of two or more BEP employees that regularly commute to and from work on a continuing basis. Non-BEP employees, non-employed individuals, students, and minor children, do not qualify as carpool members.

4.2 **Disabled/Handicapped Employees** - An employee who has a current state-issued handicapped placard along with documentation/proof of approval (from the State) for handicapped parking in the employee's name and, who is provided a BEP handicap parking permit.

4.3 **Emergency Employees** - Employees designated by the Director or Deputy Director, who are critical to agency operations in dismissal or closure situations. These employees are necessary to continue agency operations in any given emergency situation (typically BEP Police and Power Plant).

4.4 **Executive Personnel** - The Director, Deputy Director, and Associate Directors who are members of the Senior Executive Service.

# MANUAL

Date: February 15, 2018

- 4.5 **Office Chiefs** - Office Chiefs or GS-15s who report directly to an Associate Director.
- 4.6 **Official Parking** - Parking reserved for Government-owned or Government-leased vehicles, VIPs, visitors to Bureau facilities, or privately-owned vehicles that are regularly used for Government business.
- 4.7 **Open Season** - An event held annually for a specific period of time in which BEP employees may apply for parking. The parking assignment period is for one year or the remainder of a year if an employee is granted parking after open season.
- 4.8 **Parking Oversight Committee** - The parking oversight committee is comprised of managers within the Office of Security with input from the Parking Coordinator.
- 4.9 **Parking Permits/Access Cards** - A placard provided to employees provided on premise parking denoting the shift they are allowed to park. Parking permits/cards are nontransferable outside of the assigned member. Parking permits must be displayed the entire time the vehicle is on premise.
- 4.10 **Primary Member** - A carpool primary member. The Primary Member must be a full-time, permanent employee of the BEP.
- 4.11 **Reserved Parking** - Spaces near the building entry used in conjunction with the two visitor spaces at the bottom of the deck reserved for guests doing business with BEP and for executive use when schedules dictate they drive to the facility. SET members assigned on-premise parking will also utilize these spaces.
- 4.12 **Special Requirement** - Parking is provided to BEP employees who REGULARLY use their privately-owned vehicles for official business at least 15 days per month and who qualify for reimbursement of mileage and travel expenses under Government Travel Regulations to conduct Government business. An employee must submit a request signed by their Office Chief to the BEP Parking Coordinator. A quarterly roster of the number of days per month the privately-owned vehicle is being used will be submitted to the BEP Parking Coordinator. If approved, periodic audits will be conducted and if usage is insufficient according to the above, such privileges will be revoked. Special requirement may also include a category of employees whose arrival time benefits the BEP mission. This is a rarely used category.
- 4.13 **Vanpool** - A group of at least seven persons using a passenger van specifically designed to transport passengers commuting to and from work on a daily basis.
- 4.14 **Visitor Parking** - Parking is available for official visitors Monday through Friday. Arrangements for all visitors requesting parking will be made through the BEP Parking Coordinator on a first-come, first-served basis. Use of this parking is typically limited to



# MANUAL

Date: February 15, 2018

those persons who are conducting OFFICIAL BUSINESS with the Bureau and only for the period of the business visit.

## 5.0 RESPONSIBILITIES

5.1 BEP Parking Coordinator. The Parking Coordinator is responsible for administering the Parking Program. This responsibility includes establishing procedures, rules and regulations, conducting periodic reviews, and coordinating the annual open season for updating and reallocating of parking as dictated by current requirements. The parking coordinator may also issue parking notices to violators of this policy.

5.2 BEP Police Officers. BEP police officers, both supervisory and non-supervisory, are required to actively enforce this policy in all parking areas and to issue 9090 citations to ALL employees who fail to adhere to the parking policies.

5.3 Parking Oversight Committee. The Parking Oversight Committee makes major recommendations and decisions regarding the Parking Program, as well as determinations on revocation of Parking Privileges.

5.4 Primary Member (see definition, section 4.10). The primary member is responsible for assuring that assigned parking is utilized in accordance with the rules and regulations of BEP and commercial parking facilities.

5.5 Carpool/ Vanpool Members (see definition, section 4.1 and 4.13). All members must comply with the rules and regulations of the BEP and the commercial parking facilities.

## 6.0 PROCEDURES

6.1 Assignment Priority. Parking will be assigned in the following order of precedence:

- Official Vehicles
- Disabled/Handicapped Employees
- Executives (Members of the SES) & the JLC Chairman
- Vanpools
- Office Chiefs or GS-15s who report directly to an SES
- Carpools
- Emergency Employees
- Special Requirements
- Other Vehicles

# MANUAL

Date: February 15, 2018

6.2 Assignment of Carpools/Other Vehicles. Information submitted in the parking application is contained in the PARK database where the ranking process is conducted. Parking assignments will be made according to the following ranking factors:

6.2.1 Total number of BEP carpool members (non-BEP employees are not counted);

6.2.2 Total number years of BEP service (BEP Entrance on Duty Date);

6.2.3 Total number non-BEP federal years of service based on the Service Computation Date for Retirement; and

6.2.4 In the event of a tie, the Primary Member's BEP entry on duty date will be the deciding factor.

6.3 The ranking process calculates years of service using a formula of 60% for the number of BEP years and 40% for the number of other federal years. (Example: Five (5) BEP carpool members with 27 BEP years and 50 other Federal years would calculate as  $27 \times .60\% = 16.2$  and  $50 \times 40\% = 20$ . The total formula results would be 36.2 years of service.)

## 6.4 Parking Application

6.4.1 All BEP employees, including those who are currently participating in the program, must reapply for parking every year during Parking Open Season. Current participation in the Parking Program does not guarantee eligibility for the next year's Program due to the varying number of applications received each year, and BEP requirements (e.g., construction projects, etc.).

6.4.2 Acceptance of a parking assignment by the primary member is certification that the car/vanpool is organized and operates as stated on the application. The application contains a warning statement concerning the liability of anyone making false statements. Making false statements on the application may lead to the termination of parking privileges and/or disciplinary action. A random verification audit of qualified applicant information will be conducted.

6.4.3 Carpool qualification: Carpools must consist of at least one BEP driver and one BEP passenger. Non-BEP employees do not factor into consideration and/or ranking of carpools.

6.4.4 Disabled Employee/Handicapped Parking: There is no handicapped parking available off-premise. On-premise, the BEP allocates five (5) handicapped spaces based on federal formulas that direct states and municipalities to assign a specific number of handicap parking spaces based on the total number of parking spots available. Employees who desire to be considered for BEP Handicapped parking must provide current State-issued proof in the applicant's name to the BEP Parking Coordinator. The parking placard issued by the state will not suffice unless it has the name imprinted by the State onto the placard. Handicapped parking is available on a first-come, first-served basis. If there are no handicapped parking spaces available

# MANUAL

Date: February 15, 2018

upon arrival, the employee may park in any valid open parking space not marked "Reserved." In order to be fair to all BEP employees (since handicapped parking employees can park even when the five (5) marked handicapped spaces are full), regardless of valid handicapped documentation provided by employees, at no time will more than ten handicapped permits be given out on any shift. This number is including RA requests. If an employee applies for handicapped parking after ten passes have been distributed on that shift, the employee will be placed on a waiting list.

6.4.5 Reasonable Accommodation (RA) Requests: Official RA requests made to the Office of Equal Opportunity and Diversity Management (OEODM) for handicapped parking will NOT result in the creation of additional handicap parking spaces (temporary or permanent) and will not cause the total number of handicap permits to exceed 10 per shift in accordance with section 6.4.4 above. Those granted RA will be put in the handicapped parking pool for the duration of their accommodation if less than 10 permits have been issued on their shift. However, they are still subject to the first-come, first-served use of BEP handicapped spaces. If there are no Handicapped parking spaces available, the employee may park in any valid open parking space not marked "Reserved" during their RA period.

6.4.6 Parking Assignment Waiting List. Those persons qualified, but not selected for a parking assignment during open season will be placed on their shift waiting list in order of priority (see 6.1 and 6.2), and be offered parking as vacancies occur. They will remain ahead of any applications received during the parking year with the exception of Executives and Office Chiefs. While on the waiting list, an employee may participate in the Public Transportation Incentive (PTI) Program.

## 7.0 RULES AND REGULATIONS

7.1 Assignment Policy and Penalties. The assignment of parking will conform to regulations established by the General Services Administration (GSA) and the Department of the Treasury. Immediate cancellation of parking permits/privileges and a mandatory penalty of up to three years suspension of parking privileges may be imposed for willfully or knowingly misrepresenting carpool membership, other application qualifications, or violations of any part of this policy. Violations of carpool and BEP parking regulations are the responsibility of each member of a carpool and all members may be held collectively responsible for any violation. Also, under Section 1001, Chapter 47, Title 18 USC, additional penalties can be imposed as prescribed by law.

7.2 Parking Procedure. Employees provided parking on-premise will be provided information depicting the open (authorized) parking areas on their shift. Employees may only park in these areas. In addition, certain spaces are marked for a specific group of parkers (i.e., Reserved, handicap, day shift only, van pool only, etc.) and may only be used as such. Otherwise, employees may park in any open space in any authorized area during their shift.

# MANUAL

Date: February 15, 2018

7.3 Contractor Parking. BEP contractors are not permitted to utilize Bureau-controlled parking areas except under the following circumstances:

7.3.1 Temporary parking while loading/unloading materials required for performance of work at the Bureau;

7.3.2 Temporary parking of vehicles that mount tools or equipment, necessary to the performance of Bureau work, that must be located in close proximity to the work site (e.g., welding machines, pumps, etc.); and

7.3.3 High ranking officials of contractor companies visiting Executives/Chiefs at the BEP.

7.4 Reporting Changes to Status. The primary member and carpool members are responsible for reporting to the BEP Parking Coordinator changes that may affect their parking privilege, as denoted below, as soon as possible. Failure to report such changes may result in the suspension or revocation of parking privileges. The BEP does not guarantee parking to employees switching shifts after Open Season assignments are made. If a permanent shift change is directed by management, and there are no available parking spaces on the new shift, the member's parking application will be placed on the waiting list ahead of all other Open Season parking wait list employees. If an employee voluntarily switches shifts, they will NOT be provided parking on the new shift. They will go on the waiting list behind other employees on that shift's waiting list. These changes must be reported immediately:

7.4.1 Change in shift

7.4.2 Change in telework status

7.4.3 Change in vehicle information

7.4.4 Change in the number of BEP carpool riders

7.4.5 Change in medical restriction

7.4.6 Change in RA status

7.5 Carpool/Vanpool Member Status. A member who is reassigned to another shift for a period of more than three months (90 calendar days) is no longer considered a member. A pool that loses one or more full-time BEP members will be permitted 30 calendar days to recruit new member(s). EXCEPTION: Loss of the "primary member" will result in termination of the pool. A new parking application will have to be submitted. If the new or revised pool does not surpass the qualifying criteria of the top-ranked application on the waiting list, then it will lose its permit and be placed on the waiting list in accordance with its relative ranking with all other applicants on the waiting list.

7.6 Public Transportation Incentive (PTI) Participant List Status. An employee who submits a parking application at any time, either as primary or non-primary member, will be checked against the list of PTI participants. If parking can be provided, his or her name will be deleted from the PTI participant list beginning with the month the parking

# MANUAL

Date: February 15, 2018

begins. Participants in the PTI program or other federally-sponsored parking programs are not eligible for the BEP Parking Program. Employees can only be in one program at a time.

7.7 Right to Cancel. The BEP maintains the right to cancel parking without notice and has no obligation to provide alternate parking. If it is necessary to displace a member(s) from their assigned parking area or facility because of a requirement of the BEP to utilize the area, termination of lease agreement or inclement weather, the displaced carpool/driver will have to make alternate parking arrangements.

7.8 Parking Program Violations. Knowingly or willfully violating any parking rules or regulations may cause revocation or suspension of parking privileges. Two parking violations within 12 months may result in the termination of your parking privilege for the remainder of the fiscal year. Such violations include Security Violations (9090's), Parking Notices (given by the Parking Coordinator), delinquent payments to the Off-Premise Parking Facility, or any combination thereof.

7.9 Vehicle Capacity Limitations. Only one vehicle from each car/vanpool may be parked on-premise or at a BEP-sponsored parking facility at any given time. Certain areas such as the trolley turnaround may be tight for larger vehicles. Employees park at their own risk and must use their own judgement whether their vehicle will fit without contacting structures and/or other vehicles.

7.10 Temporary Parking. Temporary on-premise parking is available for "Official BEP Business Only." It is based on the availability of spaces at that time. This request must be submitted by the employee to the BEP Parking Coordinator. If further confirmation is needed, the Parking Coordinator may contact the employee's supervisor.

7.11 Consistent Use of Assigned Parking. Parking privileges will be revoked if the parking assignment is not regularly used except for justifiable cause. Justifiable cause can be a detail to a different work location, long-term training, maternity leave, or medical issues. If the justifiable cause lasts more than 14 calendar days, the parking assignment may be temporarily assigned to applicants on the waiting list.

7.12 Periodic Review. Periodic Parking Program reviews will be conducted without notice to ensure that program participants are complying with parking rules and regulations. Parking participants will be notified if any violations are found. If violations are found, parking participants must correct violations within two working days. If violations have not been corrected, parking participants may lose their parking privileges.

7.13 Parking Spaces/Assignments. Employees granted on-premise parking privileges will park on a first-come, first-served basis. All on-premise parking assignments are ONLY valid during the originally assigned work shift on the parking application. If an employee arrives more than 45 minutes before their tour of duty for any reason (i.e., overtime, training, or meetings, etc.), they may not park on BEP property. In addition,

# MANUAL

Date: February 15, 2018

employees must vacate their space immediately at the end of their normally assigned work shift. If an employee must stay past their shift, they must find parking off BEP property to accommodate oncoming BEP employees from the next shift who have been afforded on-premise parking.

7.14 Telework/AWS and Parking Privileges. Employees who telework on an “intermittent” basis will typically not be impacted by their telework status. However, employees who telework/AWS more than two days per week are not eligible to participate in the Parking Program. For example: an employee may telework 2 days within a week OR they may have an AWS day and a telework day within a week. However, two days may not be exceeded between telework and AWS. Employees who have been approved for “regular” telework must notify the BEP Parking Coordinator of their telework status prior to commencing telework. Failure to notify the BEP Parking Coordinator may result in termination of the parking assignment.

7.15 Motor Vehicle Inspections. All motor vehicles entering/exiting onto BEP premises are subject to inspection by the BEP Police. During periods of heightened security, every motor vehicle may be inspected. The inspection includes, but is not limited to, trunks, cargo compartments, engine compartments, the undercarriage, and/or a visual inspection of the passenger area. Parking participants are expected to fully cooperate with the motor vehicle search and hereby provide their consent to such searches of their vehicle in exchange for the right to park on BEP premises.

7.16 BEP Liability for Damaged Vehicles. Employees are advised that their personal car insurance is the primary mechanism for monetary restitution for damages arising from parking their privately-owned vehicle in or on Agency-controlled parking spaces. Claims received from employees by the BEP for such damages will be adjudicated on a case-by-case basis. BEP will not provide reimbursement for any increase in insurance premiums or other incidental expenses, such as towing and taxi fees.

7.17 Weekends/Holidays/Closures. Weekend/Holiday/Closures on-premise parking is controlled by the Police Operations Division and is open to all BEP employees. This parking is available on a first-come, first-served basis. Employees will follow police officer’s directions as to what areas are available to park.

7.18 Motorcycles. Employees interested in driving motorcycles onto BEP premises must register their motorcycles with the BEP Parking Coordinator. There are limited designated motorcycle parking spaces located in the Main Building, Trolley Turnaround area. Employees may park their motorcycles in these spaces on a first-come, first-served basis. If spaces are full, then employees must park off-premise. Employees who violate the first-come, first-serve rule or park illegally on BEP premises may lose their registration privilege.

7.19 Bicycles. Parking for bicycles is available in the Main Building, Trolley Turnaround area and on 13th Street in front of the Annex Building on a first-come, first-served basis.

# MANUAL

Date: February 15, 2018

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7.20 Off-Premise Parking (Parking Garage). All parking participants assigned BEP off-premise facilities are expected to conduct themselves in a proper manner and follow the rules of the garage. Violation of garage rules, disorderly or abusive conduct is justification to immediately suspend parking privileges for up to three years.



**CIRCULAR**

DATE: May 16, 2014

**POLICY AND PROCEDURES FOR BANKNOTE EQUIPMENT MANUFACTURERS  
AND CURRENCY READER MANUFACTURERS RECEIVING FEDERAL RESERVE  
NOTES**

REVIEW DATE: May 16, 2017

**1.0 PURPOSE AND SCOPE**

This circular documents Bureau of Engraving and Printing (BEP/Bureau) policy and procedures regarding Banknote Equipment Manufacturers (BEMs) and Currency Reader Manufacturers (CRMs) receiving new designs and production samples of Federal Reserve Notes (FRNs) for the purpose of updating their products to denominate and/or authenticate genuine currency. The procedures include initial approval of BEMs and CRMs, transfer of FRNs for testing on site or off site, monitoring transferred FRNs, sanctions, and reinstatement. The policy and procedures in this circular apply to redesigned FRNs not yet in circulation and to production samples of FRN designs in circulation. This circular pertains to the BEP facilities in Washington, DC and Fort Worth, TX.

**2.0 POLICY**

- 2.1. It is BEP policy to provide BEP-Approved BEMs and CRMs an opportunity to accommodate FRN redesigns prior to issuance. Additionally, it is BEP policy to provide BEMs an opportunity to evaluate sample FRNs which represent material, production, and process changes as they occur. This policy allows these equipment manufacturers to adjust, modify, or change their equipment and software to accommodate new banknote designs or variations in note designs already in circulation. BEMs will receive test decks of FRNs. CRMs will receive sample FRNs of smaller quantities than the test decks. BEP will make every effort to distribute new design FRNs to BEMs at least six months prior and to CRMs at least four months prior to issuance to the public.
- 2.2. A company will be considered BEP-Approved when the company has been determined to meet the definition of BEM or CRM, and the company and pertinent personnel have passed a background inquiry. Whenever there is a change of company name, ownership, organizational structure, or personnel, BEP will re-evaluate whether the modified company meets the definition of BEM or CRM and BEP-approved status.
- 2.3. BEP will only interact with company personnel who have passed background inquiries once a company has been BEP-Approved as a BEM or CRM.
- 2.4. BEP-Approved BEMs and CRMs will be invited to perform testing at a BEP facility (on site) or testing at a company facility (off site) with redesigned FRNs not yet in circulation. Due to the resource intensive nature of testing on site and the ability of BEM equipment to authenticate genuine FRNs from counterfeits, opportunities to work with FRNs representing variations of note designs already in circulation will only be announced to BEMs approved without limitations against testing off site.



# CIRCULAR

DATE: May 16, 2014

- 2.5. Test deck and sample note distribution opportunities are offered at BEP's discretion. BEP does not issue test decks or sample notes to BEMs other than as part of planned test deck and sample note opportunities which are communicated to all BEP-Approved BEMs or CRMs. BEP does not transfer test decks or sample notes in response to unsolicited BEM/CRM requests. BEP may plan a test deck or sample note issuance opportunity for all BEP-Approved BEMs or CRMs based on requests or comments from one or more BEMs or CRMs.
- 2.6. Planned test deck and sample note distribution opportunities may also include transfer of "digital image," "digital image of a security item," or "sensitive digital image" (digital images) to BEMs. When this is the case, all necessary requirements of Manual 71.00, "Control and Accountability of Digital Images" are followed.
- 2.7. It is BEP policy to sanction a BEM/CRM that violates a Security Agreement (SA) and/or Nondisclosure Agreement (NDA) with the BEP. If a company merges with and/or acquires a company which is under sanction, the newly modified company is considered a company under sanction. BEP will consider reinstatement requests and requests for waiver of sanction.
- 2.8. BEP will apply consistent methods and criteria in its BEM/CRM-related activities.

## 3.0 REFERENCES

- 3.1 [Circular No. 10-04.5](#), "Physical Inventory and Destruction Procedures for RFA-Produced Securities."
- 3.2 [Circular No. 70-03.11](#), "Security Items Delivered Outside the Bureau."
- 3.3 [Circular No. 70-03.18](#), "Physical Inventory Requirements for Sensitive Property & Security Items."
- 3.4 [Circular No. 93-00.6](#), "Approval and Control of Test/Experimental Work."
- 3.5 [Manual 71.00](#), "Security Manual"

## 4.0 DEFINITIONS

- 4.1. Ban – exclusion from invitations from Central Bank Liaison Staff (CBLs) to approved BEMs and/or CRMs to participate in distribution of test decks or sample notes; not permitted to receive FRNs from the Bureau for the duration of sanction.
- 4.2. Banknote Equipment Manufacturer (BEM) – a company that produces any type of equipment that handles banknotes for commercial purposes, which includes but is not limited to, point of sale, counting and sorting, transit systems, vending, gaming, and note validating and dispensing in commercial banking environments.
- 4.3. BEM/CRM Master List – the list maintained by the CBLs in the Manufacturers Cash Handling Equipment Database (<http://bepwebp1/appsb/MCHE/Main.htm>); the list identifies companies that have satisfied the requirements to be eligible for



# CIRCULAR

DATE: May 16, 2014

initial approval as a BEM or CRM. This list includes companies under sanction and reflects sanction duration. Companies on the list, not restricted by sanction, will be invited to participate in each available in-house vendor conference and off-site test deck or sample note evaluation opportunity planned by BEP. CBLS provides this list to Office of Security (OS) through the Product and Investigations Branch (PIB) Manager and/or designee(s), and to the Currency Technology Office (CTO) in Richmond, VA, where samples of counterfeit notes are maintained. The CTO relies on BEP to approve vendors prior to the vendor testing at CTO.

- 4.4. BEP-Approved – status conferred when a company is found to meet the definition of BEM or CRM, and the company and pertinent personnel have passed an initial background inquiry; status allowing companies with this designation, not under sanction, to be invited to participate in test deck or sample note distributions; does not guarantee receipt of test deck or sample notes; does not imply the BEP in any way endorses or underwrites the use and functionality of the equipment manufactured by the BEM or CRM.
- 4.5. Company – the commercial business self-identified on Bureau of Engraving and Printing Background Information Request Form ([Exhibit A](#)).
- 4.6. Currency Reader Manufacturer (CRM) – a company that produces a commercially available product or service designed for the purpose of denominating US currency by an individual.
- 4.7. Federal Reserve Note (FRN) – test or production currency notes overprinted with serial numbers and seals.
- 4.8. Sample notes – subset of test deck.
- 4.9. Sanction – punitive administrative action taken as a result of a BEM or CRM violating an established SA or NDA.
- 4.10. Test Deck – set of FRNs to be distributed to BEMs only; the material and process variations to be included and total quantity of FRNs will be planned. For redesigned notes not yet in circulation, test decks will be planned by CBLS and Office of Product Development (OPD) during new product development. For notes in production, test decks will be planned by CBLS or designee to represent material and/or process variations of interest.

## 5.0 RESPONSIBILITIES

- 5.1. CBLS is responsible for the following:
  - 5.1.1. Receives from companies applications to become BEP-Approved BEMs or CRMs. CBLS serves as BEP point of contact to obtain, from each interested company, information about the company.
  - 5.1.2. Determines whether each requesting company meets the definition of BEM or CRM. Once a company is BEP-Approved, CBLS can change its designation as BEM or CRM based on the definitions of each term (see 4.2 and 4.5) and changes to the company's product offerings.



**CIRCULAR**

DATE: May 16, 2014

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- 5.1.3. Informs company not meeting the definition of BEM or CRM in writing that it is ineligible to participate. ([Exhibit B](#))
  - 5.1.4. Submits request for security background inquiry of eligible company to the OS through the PIB Manager. Requests shall be submitted and hand delivered through a memorandum ([Exhibit C](#)) accompanied by a completed Bureau of Engraving and Printing Background Information Request Form ([Exhibit A](#)) listing information about the company and pertinent personnel.
  - 5.1.5. Reviews OS recommendations resulting from background inquiry, and makes final decision whether to grant BEP approval of a BEM or CRM. Based on the results of this review, may grant approval with reasonable preconditions and/or limitations.
  - 5.1.6. Within 10 business days of receipt of OS recommendation, informs the company of approval or disapproval as a BEM or CRM via a signed memorandum with copy to OS. (disapproval, [Exhibit B](#); approval, [Exhibit D](#); or conditional approval, [Exhibit E](#))
  - 5.1.7. Adds approved company to the BEM or CRM master list and notes any preconditions or limitations.
  - 5.1.8. Prior to transfer of FRNs, ensures that the SA to be used is approved by obtaining concurrence from the Office of Chief Counsel (OCC), the Office of Compliance (OC), and OS.
  - 5.1.9. Prior to transfer of FRNs, coordinates with OCC to develop the NDA, if needed. All transfers to BEM/CRM of redesigned FRNs not yet in circulation require a NDA.
  - 5.1.10. Each time BEP plans an opportunity for BEMs and or CRMs to receive FRNs, sends invitation ([Exhibit F](#)) to approved BEMs and/or CRMs to participate in distribution of test decks or sample notes, and receives BEM/CRM responses.
  - 5.1.11. Prior to transfer of FRNs, forwards information about the company and pertinent personnel. SA, and NDA to BEM/CRM for completion and signature.
  - 5.1.12. Prior to transfer of FRNs, obtains information about the company and pertinent personnel, NDA, and SA from the BEM/CRM and distributes as follows:



# CIRCULAR

DATE: May 16, 2014

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- 5.1.12.1. information about the company and pertinent personnel ([Exhibit A](#)) is filed and a copy sent to PIB Manager.
  - 5.1.12.2. NDA filed.
  - 5.1.12.3. SA with signatures from OC and OS filed with copy to the BEM/CRM, OC, and the PIB Manager.
  - 5.1.13. Coordinates times and dates to transfer FRNs to each BEM/CRM. For redesigned FRNs not yet in circulation, CBLS and OPD communicate to determine FRN availability prior to CBLS arranging times and dates with BEM/CRM.
  - 5.1.14. Provides OS with a copy of the timetable for transferring FRNs to BEM/CRM. For redesigned FRNs not yet in circulation, also provides OPD the timetable.
  - 5.1.15. For transfer of production samples of FRN designs in circulation, fulfills project manager responsibilities per [Circular No. 70-03.11](#). If digital images are included in the transfer, CBLS follows applicable requirements of [Manual 71.00](#).
  - 5.1.16. For each print order (PO) or Order for Supplies or Services (OSS) authorizing transfer of FRNs to more than one BEM/CRM, arranges a meeting to discuss the schedule and all items to be completed with all components having identified responsibilities in the PO or OSS at least five days prior to the first scheduled transfer of FRNs. For redesigned FRNs not yet in circulation, OC, OS, Securities Verification Section (SVS), and OPD will be invited to the meeting.
  - 5.1.17. Prepares a Pro forma memo ([Exhibit G](#)) to be signed by OS.
  - 5.1.18. Follows the applicable OSS/PO and [Circular No. 70-03.11](#) to complete transfer of FRNs to each BEM/CRM. The stipulations of the applicable PO revision or OSS will define responsibilities and details of sample FRN package assembly, contents, serial number recording, verification, shipment, return, and retention.
  - 5.1.19. Receives comments/suggestions from BEMs and CRMs, and reports to appropriate organizations within BEP.
  - 5.1.20. Prepares and issues a late inventory warning letter upon the first instance of any BEM/CRM not complying with the inventory requirement per the SA. Sends the late inventory warning letter via e-mail and postal service or equivalent to the BEM/CRM within 15 calendar days after the inventory due date.
  - 5.1.21. When CBLS becomes aware a BEM/CRM has violated any agreement with BEP, informs OS and (or if notified by OS of suspected violation) ceases contact with the BEM/CRM until investigation by OS is completed.
  - 5.1.22. Within 15 business days of receipt of OS notification of investigation outcome requiring sanction of BEM/CRM, notifies the BEM/CRM in a letter



# CIRCULAR

DATE: May 16, 2014

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- of sanction ([Exhibit H](#)). The letter of sanction is written by CBLS, reviewed and approved by Chief Counsel (or designee), and signed by CBLS.
- 5.1.23. Records the sanction and duration on the BEM or CRM master list.
  - 5.1.24. Responds to each BEM/CRM written request for reinstatement, within 10 business days, in a reinstatement process letter ([Exhibit I](#)) that:
    - 5.1.24.1. restates the reason for sanction;
    - 5.1.24.2. states sanction duration;
    - 5.1.24.3. requests that the BEM/CRM address the following items in writing (if they have not already done so voluntarily):
      - 5.1.24.3.1. identify the root cause of the reason for sanction;
      - 5.1.24.3.2. evaluate the need for action to assure that nonconformities do not recur;
      - 5.1.24.3.3. determines corrective action needed;
      - 5.1.24.3.4. if desired, specifically request that BEP consider waiving the sanction duration.
    - 5.1.24.4. notifies BEM/CRM that waiver and/or reinstatement consideration requires the following:
      - 5.1.24.4.1. written CBLS approval of proposed corrective actions;
      - 5.1.24.4.2. CBLS verification of corrective action implementation and effectiveness; and
      - 5.1.24.4.3. Written notification of reinstatement from CBLS.
  - 5.1.25. Receives BEM/CRM written root cause and corrective action proposal, ensures it is complete, and provides the proposal to the following:
    - 5.1.25.1. Chief, OS or designee for review and comment within 30 days;
    - 5.1.25.2. Manager, Security and Investigations Division (SID) or designee, OS for review and written recommendation within 30 days;
    - 5.1.25.3. Chief, OC for review and comment within 30 days;
    - 5.1.25.4. Manager, Accountability Systems & Compliance Division (ASCD), OC for review and comment within 30 days; and
    - 5.1.26.5. OCC for review and comment within 30 days.
  - 5.1.26. Reviews the complete BEM/CRM proposal and responses from personnel listed under paragraph 10.3.



# CIRCULAR

DATE: May 16, 2014

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- 5.1.27. Responds to the BEM/CRM corrective action proposal with a letter, reviewed and approved by OCC, approving or disapproving proposed corrective action.
  - 5.1.28. Verifies implementation of approved corrective action by site visit at the BEM/CRM location at a time agreeable to both parties, or by requesting, receiving, and reviewing sufficient evidence of effective implementation of corrective action.
  - 5.1.29. After CBLS verifies BEM/CRM implementation of approved corrective action, final determination for each reinstatement request will be made according to the following conditions:
  - 5.1.30. If waiver was requested and the period of sanction is not expired, creates a folder for the Director's review containing the following:
    - 5.1.30.1. Letter notifying BEM of sanction
    - 5.1.30.2. Letter(s) from BEM requesting reinstatement and waiver of sanction
    - 5.1.30.3. Documents reflecting the corrective actions approved and verified by CBLS
    - 5.1.30.4. memo from OS regarding the waiver under consideration
    - 5.1.30.5. Letter for the Director's authorization with recommended final determination of the waiver and reinstatement request. This letter is written by CBLS with review and approved by OCC.
  - 5.1.31. If the period of sanction is expired, regardless whether waiver was requested, CBLS will make and document final determination. Based on the results of review, the CBLS may grant approval with reasonable preconditions and/or limitations.
  - 5.1.32. Provides written response, reviewed and approved by OCC, to request for reinstatement to BEM/CRM postmarked or equivalent within 60 days from the latter of the following:
    - 5.1.32.1. date of receipt of BEM/CRM written root cause and corrective action proposal, or
    - 5.1.32.2. date written reinstatement request can be considered per sanction duration
  - 5.1.33. When a request for reinstatement is granted, updates the BEM/CRM master list with the sanction removed.
  - 5.1.34. Maintains sanction history attached to the BEM/CRM master list.
  - 5.2. OPD is responsible for the following for redesigned FRNs not yet in circulation:
    - 5.2.1. Planning test decks with CBLS during new product development.
    - 5.2.2. Communicates with CBLS regarding dates when test decks and/or sample notes will be available for distribution. CBLS will use these dates to



# CIRCULAR

DATE: May 16, 2014

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- schedule appointments for BEMs/CRMs to receive test decks and sample notes.
- 5.2.3. Receives from CBLS a copy of the timetable for transferring FRNs to each BEM/CRM.
  - 5.2.4. Fulfills project manager responsibilities per [Circular No. 70-03.11](#). If digital images are included in the test deck transfer, OPD follows applicable requirements of [Manual 71.00](#).
  - 5.2.5. Participates in meetings led by CBLS to discuss schedule and all items to be completed for each PO or OSS authorizing transfer of FRNs to more than one BEM/CRM.
  - 5.2.6. Receives from OC, per schedule established in SA, periodic inventory status of notes being tested off site by BEM/CRM.
- 5.3. OCC is responsible for providing counsel regarding:
- 5.3.1. Sas;
  - 5.3.2. NDAs;
  - 5.3.3. Memos recommending disapproval or sanction of BEMs/CRMs;
  - 5.3.4. Memos informing BEMs/CRMs of disapproval or sanction;
  - 5.3.5. Written root cause and corrective action proposals of BEMs/CRMs requesting reinstatement (within 30 days of CBLS request);
  - 5.3.6. Written responses to the BEM/CRM requests for reinstatement;
  - 5.3.7. Letter for the Director's authorization of waiver requests; and
  - 5.3.8. With regard to transfer of a digital image outside of the BEP, OCC follows all necessary requirements of [Manual 71.00](#).
- 5.4. OC is responsible for the following:
- 5.4.1. Reviews changes to the SA within 10 business days of CBLS request;
  - 5.4.2. Participates in meetings led by CBLS to discuss schedule and all items to be completed for each PO or OSS authorizing transfer of FRNs to more than one BEM/CRM;
  - 5.4.3. Receives all inventory reports from BEMs and CRMs per completed Sas signed by Chief, OC or designee; and
  - 5.4.4. Forwards a listing of inventory status to CBLS, OS, and OPD (for redesigned FRNs not yet in circulation) five business days after inventories are due per SA. For redesigned FRNs not yet in circulation, OPD will also receive inventory status.
  - 5.4.5. Chief, OC and Manager, Accountability Systems & Compliance Division (ASCD) will review the written root cause and corrective action proposal of a BEM/CRM requesting reinstatement, and provide comments to CBLS within 30 days.



**CIRCULAR**

DATE: May 16, 2014

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- 5.4.6. If digital images are included in the test deck or sample note transfer, OC follows applicable requirements of [Manual 71.00](#).
- 5.5. OS is responsible for the following:
- 5.5.1. PIB Manager or designee receives from CBLS information about the company and pertinent personnel ([Exhibit A](#)) and memorandum requesting security background inquiry ([Exhibit C](#)) of eligible company and/or certain personnel.
  - 5.5.2. PIB Manager or designee replies within 15 business days of receipt of CBLS memo requesting security background inquiry via memorandum delivered as follows:
    - 5.5.2.1. to CBLS if OS recommends approval or approval with reasonable preconditions or limitations; or
    - 5.5.2.2. to OCC for review of legal sufficiency if OS recommends disapproval. OS delivers final written recommendation to CBLS within 5 business days of receiving legal counsel.
  - 5.5.3. Receives copy of CBLS memorandum notifying each company not BEP-Approved as BEM or CRM ([Exhibit B](#)).
  - 5.5.4. OS, as requested, provides CBLS with a template SA to be used for the term of the FRN issuance. Reviews changes to the SA within 10 business days of CBLS request.
  - 5.5.5. Receives from CBLS a copy of the timetable for transferring FRNs to each BEM/CRM.
  - 5.5.6. If digital images are included in the test deck or sample note transfer, OS follows applicable requirements of [Manual 71.00](#).
  - 5.5.7. Participates in meetings led by CBLS to discuss schedule and all items to be completed for each PO or OSS authorizing transfer of FRNs to more than one BEM/CRM.
  - 5.5.8. Signs pro forma memo ([Exhibit G](#)) prepared by CBLS for each BEM/CRM authorized to work off site with FRNs after SA for transfer of notes is fully authorized.
  - 5.5.9. Receives from OC, per schedule established in SA, periodic inventory status of notes being tested off site by BEM/CRM.
  - 5.5.10. Notifies CBLS when any BEM/CRM is under investigation for potential violation of agreements with BEP.
  - 5.5.11. Investigates BEM/CRM when company is suspected of violating agreements with BEP.
  - 5.5.12. Notifies CBLS of investigation outcome by memorandum within 10 business days of case closed.



# CIRCULAR

DATE: May 16, 2014

5.5.13. When a BEM/CRM requests reinstatement, the Chief, OS or designee provides review and comment of BEM/CRM written root cause and corrective action proposal. The Manager, SID, provides review and written recommendation within 30 days (or 90 days if a site visit overseas is deemed necessary by OS) based on:

5.5.13.1. evaluation of the proposed root cause and corrective action;

5.5.13.2. if necessary, analysis of updated background inquiry results; and

5.5.13.3. if OS deems necessary, security site visit of BEM/CRM facilities. Extend allotted time for written recommendation to 90 days for overseas site visits.

5.5.14. If a BEM/CRM requests reinstatement with waiver of sanction and the period of sanction is not expired, provides memo recommending approval or disapproval of the waiver under consideration to CBLS for Director's review.

## 6.0 PROCEDURE FOR BEM AND CRM INITIAL APPROVAL

6.1. Company applies to become a BEP-Approved BEM or CRM following application procedures available on the BEP website ([www.moneyfactory.gov](http://www.moneyfactory.gov)).

6.2. CBLS requests information about the company and pertinent personnel.

6.3. CBLS receives information about the company and pertinent personnel.

6.4. CBLS reviews paperwork for completeness and determines if company meets the definition of BEM or CRM.

6.4.1. If information is not complete, CBLS will contact the requesting company for additional information.

6.4.2. If CBLS determines company does not meet the definition of BEM or CRM, CBLS will inform the company in writing that it is ineligible to participate. ([Exhibit B](#))

6.5. CBLS submits request for security background inquiry ([Exhibit A](#)) of eligible company to OS through the PIB Manager. Requests shall be submitted and hand delivered through a memorandum accompanied by information about the company and pertinent personnel. Requests are hand delivered due to the level of privacy data contained within the package.

6.6. OS replies via memorandum from the PIB Manager or designee with recommendation based on security background inquiry of the company and certain employees. Within 15 business days of receipt of CBLS request memo, the OS reply memorandum will be delivered as follows:

6.6.1. If OS recommends approval or approval with reasonable preconditions or limitations, OS will provide the memo to CBLS.



# CIRCULAR

DATE: May 16, 2014

- 6.6.2. If OS recommends disapproval, OS provides reply memorandum to OCC for review of legal sufficiency.
- 6.6.3. Following legal review within 10 days of OS request for review, OS makes its final written recommendation to the CBLS within 5 business days of receiving legal counsel. Written recommendation will cite how the company falls short of requirements for full-approval.
- 6.7. CBLS reviews OS recommendation, and determines final approval or disapproval decision. Based on the results of this review, the CBLS may grant approval with reasonable preconditions and/or limitations.
- 6.8. Within 10 business days of receipt of OS recommendation, CBLS informs the company of approval ([Exhibit D](#) or [E](#)) or disapproval ([Exhibit B](#)) as a BEM or CRM via a signed memorandum from CBLS with copy to OS.
- 6.9. CBLS adds approved device manufacturer to the BEM or CRM master list and notes any preconditions or limitations.
- 6.10. If CBLS changes a BEP-Approved BEM or CRM designation based on the definitions of each term (see 4.2 and 4.5) and changes to the company's product offerings, this is also noted on the BEM or CRM master list. CBLS provides the PIB Manager and a designee of the same division access to this list.

## 7.0 PROCEDURE FOR TRANSFER OF FRNS

- 7.1. Prior to transfer of FRNs, CBLS will obtain an approved SA as follows:
  - 7.1.1. CBLS will request a SA template from OS.
  - 7.1.2. OS will provide CBLS with a template SA to be used for the term of the FRN issuance.
  - 7.1.3. CBLS will make changes (if needed) to the SA and ensure that the revised SA is approved by OCC, OC, and OS. OCC, OC, and OS will review and comment within 10 business days of CBLS request.
- 7.2. Prior to transfer of FRNs, the CBLS will coordinate with OCC to develop Nondisclosure agreement (NDA) if needed. All transfers of redesigned FRNs not yet in circulation to BEM/CRM require NDA.
- 7.3. Each time BEP plans an opportunity for BEMs and or CRMs to receive FRNs, CBLS will send invitations ([Exhibit F](#)) to approved BEMs and/or CRMs to participate in distribution of test decks or sample notes.
- 7.4. BEM/CRM responds with interest to CBLS.
- 7.5. CBLS forwards request for information about the company and pertinent personnel ([Exhibit A](#)), SA, and NDA to BEM/CRM for completion and signature. The updated information about the company and pertinent personnel will be used to identify changes to company information since last OS background inquiry.
- 7.6. CBLS will receive the information about the company and pertinent personnel ([Exhibit A](#)), SA, and NDA from the BEM/CRM.



# CIRCULAR

DATE: May 16, 2014

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- 7.6.1. CBLS will then obtain signatures from OC and OS on the SA. CBLS will provide a copy of the fully approved and signed SA to the BEM/CRM, OC, and the PIB Manager.
  - 7.6.2. CBLS will provide the PIB Manager with a copy of the completed information about the company and pertinent personnel ([Exhibit A](#)).
  - 7.6.3. For each instance of FRN distribution, CBLS will file each signed NDA by BEM/CRM company name.
  - 7.7. CBLS will arrange with each BEM/CRM times and dates to transfer FRNs. For redesigned FRNs not yet in circulation, CBLS and OPD will communicate to determine FRN availability prior to CBLS arranging times and dates with BEM/CRM.
  - 7.8. CBLS will provide OS with a copy of the timetable for transferring FRNs to BEM/CRM. For redesigned FRNs not yet in circulation, OPD will also receive the timetable.
  - 7.9. In accordance with [Circular No. 70-03.11](#), BEP Form 9133-4, "Print Order" and/or BEP Form 8098 "Order for Supplies or Services" will be obtained prior to transferring FRNs to BEMs and CRMs as follows:
    - 7.9.1. For transfer of redesigned FRNs not yet in circulation, OPD will make the request. If digital images are included in the test deck transfer, OPD follows applicable requirements of [Manual 71.00](#).
    - 7.9.2. For transfer of production samples of FRN designs in circulation, CBLS will make the request. If digital images are included in the test deck or sample note transfer, CBLS follows applicable requirements of [Manual 71.00](#).
  - 7.10. For each PO or OSS authorizing transfer of FRNs to more than one BEM/CRM, CBLS will arrange a meeting to discuss the schedule and all items to be completed with all components having identified responsibilities in the PO or OSS at least 5 days prior to the first scheduled transfer of FRNs. For redesigned FRNs not yet in circulation, OC, OS, SVS, and OPD will be invited to the meeting.
  - 7.11. CBLS will prepare a Pro forma memo ([Exhibit G](#)) to be signed by OS.
  - 7.12. CBLS will follow the applicable OSS/PO and [Circular No. 70-03.11](#) to complete the transfer of FRNs to the BEM/CRM. The stipulations of the applicable PO revision or OSS will define responsibilities and details of sample FRN package assembly, contents, serial number recording, verification, shipment, return, and retention. If applicable, CBLS will follow [Manual 71.00](#) to include digital images in the transfer.
  - 7.13. In the event of certain changes to company or personnel, a BEM/CRM company, in full compliance with the applicable SA and NDA, may retain issued notes while an updated security background inquiry, SA, and NDA, as needed to accurately reflect the change, are completed per parts 7.5 and 7.6. This applies to changes to the following:



**CIRCULAR**

DATE: May 16, 2014

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- 7.13.1. personnel listed in the security agreement;
  - 7.13.2. ownership; and/or
  - 7.13.3. company name.
- 7.14. CBLS will receive comments/suggestions from BEMs and CRMs.
- 7.15. CBLS will report comments/suggestions to appropriate organizations within BEP.

**8.0 PROCEDURE FOR MONITORING THE SA**

- 8.1. For first violation of inventory reporting requirement
- 8.1.1. OC shall receive all inventory reports from BEMs and CRMs per the agreed upon SA.
  - 8.1.2. OC will forward a listing of inventory status to CBLS, OS, and OPD (for redesigned FRNs not yet in circulation) five business days after inventories are due per the SA. For redesigned FRNs not yet in circulation, OPD will also receive inventory status.
  - 8.1.3. CBLS will prepare and issue a late inventory warning memorandum ([Exhibit J](#)) for any BEM/CRM who does not comply with the inventory requirements for their first time. CBLS will attach the late inventory warning memorandum to an email and send it to the BEM/CRM, as well as sending it via postal service or equivalent within 15 calendar days after the inventory due date.
  - 8.1.4. Late inventory reporting will be considered an administrative failing offense, and factored into the determination of penalties, per Paragraph 9.0, Table 1, however this offense does not require OS investigation.
- 8.2. For violations other than first missing/late inventory report, see section 9.0 below.

**9.0 PROCEDURE FOR SANCTIONS**

- 9.1. When CBLS becomes aware a BEM/CRM violated any agreement with BEP, other than the first offense for Late Inventory reporting, informs OS and (or if notified by OS of suspected violation) ceases contact with that BEM/CRM until the investigation by OS is completed.
- 9.2. OS will notify CBLS of the investigation outcome by memorandum within 10 business days of case closed.
- 9.2.1. If OS concludes there has been no violation, no sanction is required.
  - 9.2.2. If OS concludes non-criminal violation(s) have occurred, sanctions will be enforced by CBLS according to Table 1. For multiple offenses, the penalties will be assessed by each individual circumstance and totaled. (i.e., 1<sup>st</sup> Offense – Unauthorized movement of FRNs and 1<sup>st</sup> Offense – Loss of FRNs = 3-year ban).



**CIRCULAR**

DATE: May 16, 2014

**Table 1. BEM and CRM Offenses and Penalties**

Nature of Offense	Penalty – 1 <sup>st</sup> Offense	Penalty – 2 <sup>nd</sup> Offense	Penalty – 3 <sup>rd</sup> Offense	Penalty – 4 <sup>th</sup> Offense
Administrative failings including but not limited to: <ul style="list-style-type: none"> <li>Missing/Late Inventory</li> <li>Failure to document inadvertent or intentional destruction of BEP Securities</li> </ul>	Warning memo (for 1 <sup>st</sup> offense of a specific administrative failing)	6-month ban (for repeat offense same administrative failing)	1-year ban (for repeat offense of same administrative failing)	2-year ban (for repeat offense of same administrative failing)
Falsification or other Non-compliance with Security agreement or NDA*	1-year ban	2-year ban	3-year ban	5-year ban
Unauthorized movement of FRNs**	1-year ban	2-year ban	5-year ban	Life time ban
Loss of FRNs	2-year ban	5-year ban	Life time ban	

\* Falsification to include information required to complete security agreement and/or falsification of any additional documents submitted to the BEP.

\*\* Unauthorized movement of FRNs to include FRNs stored at unauthorized facilities, FRN(s) in custody of other than authorized employee, or unauthorized external field testing.

9.3. Within 15 business days of receipt of OS notification of investigation outcome requiring sanction of BEM/CRM, CBLS will notify the BEM/CRM in a letter of sanction ([Exhibit H](#)). The letter of sanction will be written by the CBLS, reviewed and approved by Chief Counsel (or designee), and signed by the CBLS.

9.4. CBLS will record the sanction and duration on the BEM or CRM master list.

## 10.0 PROCEDURE FOR REINSTATEMENT OF A BEM OR CRM

10.1. A BEM/CRM must request reinstatement in writing.

10.2. The CBLS will respond to each BEM/CRM request for reinstatement, within 10 business days, in a reinstatement process letter ([Exhibit H](#)) that:

10.2.1. restates the reason for sanction;

10.2.2. states sanction duration;

10.2.3. requests that the BEM/CRM address the following items in writing (if they have not already done so voluntarily):

10.2.3.1. identify the root cause of the reason for sanction;



# CIRCULAR

DATE: May 16, 2014

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- 10.2.3.2. evaluate the need for action to assure that nonconformities do not recur;
  - 10.2.3.3. determines corrective action needed;
  - 10.2.3.4. if desired, specifically request that BEP consider waiving the sanction duration.
- 10.2.4. notifies BEM/CRM that waiver and/or reinstatement consideration requires the following:
- 10.2.4.1. written CBLS approval of proposed corrective actions;
  - 10.2.4.2. CBLS verification of corrective action implementation and effectiveness; and
  - 10.2.4.3. Written notification of reinstatement from CBLS.
- 10.3. When the BEM/CRM written root cause and corrective action proposal is received, the CBLS will provide the proposal to the following:
- 10.3.1. Chief, OS for review and comment within 30 days;
  - 10.3.2. Manager, SID, OS for review and written recommendation within 30 days based on:
    - 10.3.2.1. evaluation of the proposed root cause and corrective action;
    - 10.3.2.2. if necessary, analysis of updated background inquiry results; and
    - 10.3.2.3. if OS deems necessary, security site visit of BEM/CRM facilities. Extend allotted time for written recommendation to 90 days for overseas site visits.
  - 10.3.3. Chief, OC for review and comment within 30 days;
  - 10.3.4. Manager, Accountability Systems & Compliance Division (ASCD), OC for review and comment within 30 days; and
  - 10.3.5. Chief Counsel for review and comment within 30 days.
- 10.4. CBLS will review the complete BEM/CRM proposal and responses from personnel listed under paragraph 10.3. CBLS will respond to the BEM/CRM with a letter, reviewed and approved by OCC, approving or disapproving proposed corrective action.
- 10.4.1. If the BEM/CRM proposed corrective action is approved, CBLS will verify implementation and effectiveness of corrective action either:
    - 10.4.1.1. By conducting on-site verification with the BEM/CRM at a time agreeable to both parties, or
    - 10.4.1.2. By requesting, receiving, and reviewing sufficient evidence of effective implementation of corrective action.



**CIRCULAR**

DATE: May 16, 2014

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- 10.4.2. If the BEM/CRM proposed corrective action is disapproved, the letter from CBLS will cite reasons for disapproval of the corrective action.
- 10.5. After CBLS verifies BEM/CRM implementation of approved corrective action, final determination for each reinstatement request will be made according to the following conditions:
- 10.5.1. If waiver was requested and the period of sanction is not expired, written authorization of the Director of BEP is required to waive penalties and approve reinstatement. The Director may approve reinstatement with reasonable preconditions and/or limitations. For the Director's authorization, CBLS creates a folder containing the following:
- 10.5.1.1. Letter notifying BEM of sanction;
- 10.5.1.2. Letter(s) from BEM requesting reinstatement and waiver of sanction;
- 10.5.1.3. Documents reflecting the corrective actions approved and verified by CBLS;
- 10.5.1.4. memo from OS regarding the waiver under consideration; and
- 10.5.1.5. Letter for the Director's authorization with recommended final determination of the waiver and reinstatement request. This letter is written by CBLS with review and approved by OCC.
- 10.5.2. If the period of sanction is expired, regardless whether waiver was requested, CBLS will make and document final determination. Based on the results of review, the CBLS may grant approval with reasonable preconditions and/or limitations.
- 10.6. CBLS will submit to the Chief Counsel (or designee) for review and comment a draft written response to the BEM/CRM request for reinstatement.
- 10.7. After incorporating Chief Counsel (or designee) comments and verifying with same that the document is complete, the CBLS will sign the written response to the BEM/CRM requesting reinstatement. The written response will be postmarked, or equivalent, within 60 days from the latter of the following:
- 10.7.1. date of BEM/CRM written root cause and corrective action proposal, or
- 10.7.2. date written reinstatement request can be considered per sanction duration.
- 10.8. CBLS will update the BEM/CRM master list with the sanction removed. The history will be retained adjacent to the master list.

# CIRCULAR

DATE: May 16, 2014

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## 11.0 OFFICE OF PRIMARY RESPONSIBILITY

BEP Central Bank Liaison Staff (CBLs)

**<SIGNED>**  
Larry R. Felix  
Director



**Circular 84-00.5  
Verification Team Procedures  
has been fully withheld under  
FOIA exemption (b)(7)(e)**

**MANUAL**

DATE October 27, 2017

**CHAPTER 7 - CONTROL AND CUSTODY OF UNISSUED FEDERAL RESERVE NOTES**

REVIEW DATE: April 1, 2020

**1.0 PURPOSE AND SCOPE**

This chapter specifies the Bureau of Engraving and Printing's (BEP) policy as it pertains to the accountability of unissued Federal Reserve notes. This chapter applies to all BEP components and personnel responsible for the inventory of unissued Federal Reserve notes. Unissued Federal Reserve notes are finished notes where ownership has been transferred to the Federal Reserve System, and held in the Federal Reserve Depository Vaults at the BEP.

**2.0 POLICY**

The BEP shall perform periodic physical inventories of unissued Federal Reserve notes as prescribed by Department of the [Treasury Order Number 101-07](#). The Federal Reserve Board, in accordance with the [Sarbanes-Oxley Act of 2002](#) (Public Law 107-204), may perform inventories of notes in which they have ownership.

**3.0 SUPERSESSION**

This chapter supersedes Circular No. 84-00.6, "Control and Custody of Unissued Federal Reserve Notes," dated February 26, 2013, or latest version thereafter.

**4.0 REFERENCES**

- 4.1 Department of the [Treasury Order Number 101-07](#), dated September 6, 1996.
- 4.2 [Sarbanes-Oxley Act of 2002](#) (Public Law 107-204), dated July 30, 2002.
- 4.3 Chapter 7 "Physical Inventory Requirements for Sensitive Property and Security Items," Compliance Manual.

**5.0 RESPONSIBILITIES**

- 5.1 The Offices of Currency Manufacturing (DCF/WCF) are responsible for entering current finished goods inventory data into the Federal Reserve Board's on-line Currency Ordering System (COS) and into the Bureau of Engraving and Printing Enterprise (BEN). This information is entered on a daily basis to ensure inventory balances in BEN reconcile to COS. The Offices of Currency Manufacturing shall perform a daily reconciliation of BEN to COS and all discrepancies shall be reported to the Office of Compliance. Additionally, both Offices of Currency Manufacturing shall conduct physical inventories of unissued Federal Reserve notes in accordance with Chapter 7 "Physical Inventory Requirements for Sensitive Property and Security Items," Compliance Manual.

## MANUAL

DATE October 27, 2017

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- 5.2 The Office of Compliance shall review the BEN/COS reconciliation of unissued Federal Reserve notes reported from BEN to the quantities in COS when discrepancies have been reported by the Offices of Currency Manufacturing. The Offices of Currency Manufacturing shall report all unresolved discrepancies to the Federal Reserve Board. The Office of Compliance shall conduct an annual physical inventory of unissued Federal Reserve notes held within the BEP and reconcile the inventories to control records (BEN and COS). Per [Treasury Order Number 101-07](#), the Office of Compliance shall summarize the results of the physical inventory conducted at calendar year-end and the Associate Director (Chief Financial Officer) shall issue a report to the Board of Governors of the Federal Reserve, the Commissioner, Bureau of the Fiscal Service, the Secretary, Department of the Treasury, and the Director, Bureau of Engraving and Printing.



**MANUAL**

DATE September 28, 2015

**TRANSFERRING CURRENCY SHEETS AND/OR NOTES TO MUTILATED  
CURRENCY FOR REDEMPTION**

REVIEW DATE: September 28, 2020

**1.0 INTRODUCTION**

These procedures describe how to adequately safeguard the Bureau of Engraving and Printing's (BEP/Bureau) assets from loss and/or misappropriation when transferring/receiving mutilated work from the Office of External Relations (OEX) to the Office of Financial Management (OFM), Mutilated Currency Division (MCD).

**2.0 PURPOSE**

The purpose of these procedures is to securely transfer mutilated sheets and notes for destruction.

**3.0 PROCEDURES**

OEX Public Sales Vault (PSV) personnel will determine through inspection whether currency sheets/notes are in an acceptable condition to be sold to the public. If not, they will be transferred to MCD. OEX will coordinate with MCD on the timing of the transfer to minimize the impact on financial reporting requirements.

The PSV supervisor and a PSV staff member will prepare and sign a Transfer/Delivery Schedule – BEP Form 2446 ([Exhibit A](#)) or appropriate BEN transactions to include the Federal Reserve District Bank, denomination, series, sheet size, quantity and face value of each item being transferred. (NOTE: MCD assigns case numbers for redemption. MCD does not use manual mut schedules.) The Transfer/Delivery Schedule (or appropriate BEN transactions) shall include the grand total of products transferred to MCD.

PSV personnel will deface (cancel) uncut currency sheets prior to transferring them to MCD.

PSV will contact MCD to schedule a delivery date for quantities less than 25 sheets or 500 single notes; larger quantities shall require at least a two-day advance notice.

MCD will verify, under dual control, counts of more than 25 sheets or 500 notes within the Public Sales Vault. MCD will count, under dual control, those sheets on the counting machine in the presence of a PSV representative.

Untampered bundles and bricks in their original forms do not need to be opened/recounted to minimize risk.

PSV will place the sheet/notes into the security bag.



**MANUAL**DATE September 28, 2015

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The PSV supervisor will affix a security seal onto the security bag and immediately record the security seal number on BEP Form 2045, BEP Security Seal Register ([Exhibit B](#)). The PSV supervisor shall also initial and date the entry on the Register.

PSV personnel will transfer the sheets/notes to MCD for payment and processing for destruction.

MCD shall verify, under dual control, the seal number to BEP Form 2045 prior to breaking the security seal on the bag. If the seal number agrees, then MCD may break the security seal and sign and date BEP Form 2045. If the seal number does not agree, the seal shall not be broken and MCD and OEX management shall be notified immediately.

MCD will count and verify, under dual control, the sheets and/or notes against the Transfer/Delivery Schedule. This count will be witnessed by a PSV representative.

MCD shall review and sign the Transfer/Delivery Schedule if the count agrees with the documentation. If there is a discrepancy, management shall be notified immediately.

MCD shall prepare and sign BEP Form 2510, Teller's Debit Supporting Document ([Exhibit C](#)).

MCD shall prepare and sign BEP Form 2493 Receipt – Hand Deliveries of Currency ([Exhibit D](#)). A PSV representative shall sign BEP Form 2493. A copy of each form shall be provided immediately to a PSV representative.

The PSV will send a copy of BEP Forms 2510 and 2493 to MCD.

The PSV personnel will process the Transfer/Delivery Schedule as a BEN sales order to manage physical inventory, accountability, and financial reporting.

**4.0 OFFICE OF PRIMARY RESPONSIBILITY**

Office of External Relations and the Office of Financial Management, Mutilated Currency Division.

**<electronically approved>**

Leonard R. Olijar  
Director











**CIRCULAR**

DATE July 31, 2013

**SERIES CHANGE PROCEDURES FOR NEXT GENERATION (NXG) AND OLD CURRENCY DESIGN (OCD) \$1 AND \$2 FEDERAL RESERVE NOTES (FRNs)**

REVIEW DATE: July 31, 2016

**1.0 PURPOSE AND SCOPE**

This circular revises the policy and procedures for changing the series year and/or suffix letter printed on Federal Reserve Notes (FRNs). The provisions of this circular pertain to all Bureau of Engraving and Printing (BEP) components responsible for assuring that the proper series year and/or suffix letter is incorporated throughout the production of Next Generation (NXG), and the Old Currency Design (OCD) \$1 and \$2 FRNs. The information in this document will also be used for external communications purposes.

**2.0 BACKGROUND**

Historically, the series year delineated the design, signatures, and security features of the FRNs. It also allowed for easy communication to the public and stakeholders regarding what design, security features and signatures should be on a given denomination. For example, when a major change to the note was made, e.g., a design change or the signature of the Secretary of the Treasury, the series year was changed to the year that the change was approved. When a minor change to the note was made, e.g., change to a level 2 or level 3 feature\* or the signature of the Treasurer of the United States, a capital suffix letter was added or incremented alphabetically to the series year.

The above definition was clear in that a change to the series year occurred primarily in these cases. However, since 2003, this definition has changed. In October 2003, the 2004 series NXG \$20 note was issued. Thus, this note does not conform to the series year being the year that the design was approved. In addition, both the New Currency Design (NCD) \$5 and NXG \$5 note designs have the 2006 series year.

Furthermore, because of the creasing issue, which halted production of the NXG \$100 note (2009 series), the suffix letter A (2009A series) was added to the series year when BEP resumed production after significant changes to the production process were made. This was necessary in order to distinguish the post-creasing notes from original production notes. This also facilitates any additional education requirements for the original notes reclaimed from the creased work. Also during this production delay of the NXG \$100s, the BEP returned to production of the NCD \$100s (2006 series). This gap in production was also noted by the suffix letter A (2006A series).

**3.0 POLICY**

It is the policy of the BEP to adhere to Interagency Currency Design (ICD) and Departmental guidelines and policies, to produce as soon as possible, FRNs (of the current design (NXG), and the (OCD) \$1 and \$2 denominations) with a new series year and/or suffix letter. It should be noted that there has been a long standing ICD policy that

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\* Level 2 - machine readable; device assisted authentication; not clearly visible. Level 3 - covert; reserved for issuing authorities; high-security features.

\*\*OCD notes do not have a series year designator in the serial number.



# CIRCULAR

DATE July 31, 2013

any change that affects the notes' function in circulation, authentication or processing by the Banknote Equipment Manufacturers (BEM), the Federal Reserve System, or acceptance by any of the user groups, should be implemented as a change in the series year and/or suffix letter. Historically, changes to materials or processes would not necessarily constitute a series change, but are timed with signature or design changes. Therefore, only under extreme circumstances, e.g., creasing issue, would a process/material change alone drive a change in the series year and/or suffix letter.

- 3.1 A change in the series year and/or suffix letter should be made in accordance with the following conventions:
  - 3.1.1 The series year is changed (e.g., 2009 series):
    - 3.1.1.1 When a new Secretary of the Treasury is appointed.
- 3.2 A capital suffix letter (e.g., 2009A) is added to the series year or incremented alphabetically:
  - 3.2.1 When a new Treasurer of the United States is appointed and the appointment does not coincide with the appointment of the Secretary of the Treasury.
  - 3.2.2 When a change will affect the notes' function in circulation, authentication or processing by BEM or the Federal Reserve System, or acceptance by any of the user groups, e.g., level 2 or level 3 features\*. The ICD committee shall provide final approval to implement a change to add a capital suffix letter to the series year or increment the existing letter alphabetically.

## 4.0 REFERENCE

- 4.1 [Treasury Order 101-07](#), dated September 6, 1996 (reaffirmed August 6, 2012).

## 5.0 SUPERSESSION

This circular supersedes Circular No. 85-00.1, "Series Change Procedures for United States Federal Reserve Notes (FRNs)," dated January 7, 2004.

## 6.0 PROCEDURES

### 6.1 INTERAGENCY CURRENCY DESIGN (ICD) GROUP

- 6.1.1 The ICD group shall convene to determine if a series change is necessary in accordance with section 3.2.2 of this procedure.
- 6.1.2 Identifies the change to the series year or suffix letter as necessary. Informs Director, BEP of the change.

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\* Level 2 - machine readable; device assisted authentication; not clearly visible. Level 3 - covert; reserved for issuing authorities; high-security features.

\*\*OCD notes do not have a series year designator in the serial number.



**CIRCULAR**DATE July 31, 2013

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**6.2 UNITED STATES SECRET SERVICE (USSS)**

- 6.2.1 The USSS will submit a memorandum to the BEP Director requesting blank paper, offset printed sheets, intaglio printed backs, unexamined blank engraved (UBE) and/or examined blank engraved (EBE) sheets and/or FRNs, as needed, whenever there is a series change. Sheets and/or FRNs will be used as training material by the USSS Counterfeit Specialists.

**6.3 OFFICE OF THE DIRECTOR, BEP**

- 6.3.1 Prepares and submits a memorandum, through the Treasurer of the United States to the Secretary of the Treasury, as notification of the series year change.
- 6.3.2 Schedules a meeting with the newly confirmed Secretary of the Treasury for the purpose of obtaining a signature on the model signature blocks to be incorporated on the FRNs.
- 6.3.3 Delivers model signed signature blocks to the Office of Engraving.
- 6.3.4 Authorizes approval to BEP Management to begin production of FRNs bearing new series year.
- 6.3.5 Authorizes delivery of blank Paper, offset sheets, intaglio printed backs, UBE and/or EBE sheets and/or notes to the USSS Counterfeit Specialists, as requested via memorandum, from the USSS.
- 6.3.6 Authorizes production of specimen notes for delivery to the USSS, whenever there is a series change, as normal course of business. The notes will be marked with a red 'Specimen' stamp and contain control numbers. The BEP will deliver to the USSS the following:
- 6.3.6.1 Two straps (200 notes) of each denomination, whenever the series year is changed and/or a capital suffix letter is added to the series year or incremented alphabetically. One strap from the DC Currency Facility (DCF) and one strap from the Western Currency Facility (WCF) should be issued as appropriate.

**6.4 EASTERN CURRENCY FACILITY (ECF) AND WESTERN CURRENCY FACILITY (WCF)**

- 6.4.1 Following approval to begin production of FRNs bearing new series year, provide production timeline, to include plate production, press schedule, vault deliveries, etc., to the ICD.

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\* Level 2 - machine readable; device assisted authentication; not clearly visible. Level 3 - covert; reserved for issuing authorities; high-security features.

\*\*OCD notes do not have a series year designator in the serial number.

DATE July 31, 2013

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**7.0 OFFICES OF PRIMARY RESPONSIBILITY**

Office of the Director

**<SIGNED>**  
Larry R. Felix  
Director

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\* Level 2 - machine readable; device assisted authentication; not clearly visible. Level 3 - covert; reserved for issuing authorities; high-security features.

\*\*OCD notes do not have a series year designator in the serial number.



## CIRCULAR

DATE July 31, 2013

## SERIES CHANGE YEARS

Series Year	Reason for Change	Description	Letter Designator	Denominations
1990	Currency Redesigned Series Family - 1990, 1993, 1995	Embedded security thread added to the paper and intaglio micro-printing added around the portrait	N/A	\$10, \$20, \$50, \$100
1993	Secretary Appointment	Secretary Lloyd Bentsen – January 20, 1993	N/A	**OCD - \$1 \$5, \$10, \$20, \$50, \$100
1995	Secretary Appointment	Secretary Robert Rubin – January 11, 1995	N/A	**OCD - \$1, \$2 \$5, \$10, \$20
1996	New Currency Design (NCD) Series Family - 1996, 1999, 2001, 2003, 2003A, 2006, 2006A	Portrait enlarged and moved off-center. Embedded security thread moved to a denomination specific location. Added ultraviolet properties to the embedded security thread. Intaglio micro-printing moved to a denomination specific location. Added a portrait watermark to the paper that matches the printed portrait. Added optically variable ink (OVI) that changes color from green to black on the face plate.	A	NCD - \$20, \$50, \$100
1999	Secretary Appointment	Secretary Lawrence Summers – July 2, 1999	B	**OCD - \$1 NCD - \$5, \$10, \$20, \$100
2001	Secretary Appointment	Secretary Paul O'Neil – January 20, 2001	C	**OCD - \$1 NCD - \$5, \$10, \$20, \$50, \$100

\* Level 2 - machine readable; device assisted authentication; not clearly visible. Level 3 - covert; reserved for issuing authorities; high-security features.

\*\*OCD notes do not have a series year designator in the serial number.

## CIRCULAR

DATE July 31, 2013

## Series Change Years (continued)

Series Year	Reason for Change	Description	Letter Designator	Denominations
2003	Secretary Appointment	Secretary John W. Snow – February 3, 2003	D	**OCD - \$1, \$2 NCD - \$5, \$10, \$100
2003A	US Treasurer Appointment	Treasurer Anna Escobedo Cabral - January 19, 2005	F	**OCD - \$1, \$2 NCD - \$5, \$100
2004	Next Generation Currency Design (NXG)  Series Family – 2004, 2004A, 2006, 2009, 2009A, 2013	Background color was added to both sides using dry offset printing process. Added offset micro-printing to the face plate. The OVI was changed to copper to green color shift. Added a symbol of freedom.	E	NXG - \$20, \$50
2004A	Next Generation Currency Design (NXG)	N/A	G	NXG - \$10, \$20, \$50
2006	Secretary Appointment	Secretary Henry Paulson – July 10, 2006	H I	NCD - \$5, \$100  **OCD - \$1 NXG - \$5, \$10, \$20, \$50, \$100

\* Level 2 - machine readable; device assisted authentication; not clearly visible. Level 3 - covert; reserved for issuing authorities; high-security features.

\*\*OCD notes do not have a series year designator in the serial number.



## CIRCULAR

DATE July 31, 2013

## Series Change Years (continued)

Series Year	Reason for Change	Description	Letter Designator	Denominations
2006A	Process Change (New Production Run)	When NXG \$100 production of redesigned \$100 note, Series 2009, halted due to production problems, production of NCD \$100s was resumed. With the NXG \$100s bearing a new series year and new signatures, a decision was made to retain Series 2006 and Cabral/Paulson signatures on the NCD \$100s. The A was added to the series to distinguish between the different production cycles.	K	NCD - \$100
2009	Secretary Appointment  US Treasurer Appointment	Secretary Timothy Geithner – January 26, 2009  Treasurer Rosa Rios - August 6, 2009	J	**OCD \$1, \$2  NXG - \$5, \$10, \$20, \$50, \$100
2009A	NXG \$100 returned to production	NXG \$100 returned to production	L	NXG - \$100
2013	Secretary Appointment	Secretary Jacob Lew – February 28, 2013	M	**OCD - \$1 NXG - \$5, \$20

\* Level 2 - machine readable; device assisted authentication; not clearly visible. Level 3 - covert; reserved for issuing authorities; high-security features.

\*\*OCD notes do not have a series year designator in the serial number.



**CHAPTER 10 - INTERNAL CONTROL AND ACCOUNTABILITY OF FOREIGN CURRENCY SPECIMENS**

REVIEW DATE: December 21, 2022

**1.0 PURPOSE AND SCOPE**

This circular establishes policy and provides procedures for the control and accountability of foreign (non-United States) currency specimens received by the Bureau of Engraving and Printing (BEP/Bureau). The policy and procedures outlined herein apply to all BEP components that may receive foreign currency specimens.

**2.0 POLICY**

It is the policy of the BEP to maintain strict control and accountability over all foreign currency specimens, provided to BEP and intended for use as exemplars and/or in currency research and design from the time of receipt until appropriate final disposition has been accomplished. These policies and procedures do not apply to currency specimens that are given to and accepted by employees in a personal capacity in accordance with the policies and procedures set forth in Circular No. 50-00.3, "Gifts to Employees from Outside Sources."

**3.0 SUPERSESION**

This circular supersedes Circular No. 92-00.11, "Internal Control and Accountability of Foreign Currency Specimens," dated April 5, 2013.

**4.0 REFERENCES**

- 4.1 Treasury Directive [61-04](#), "Foreign Gifts and Decorations," dated January 19, 2017, or latest version thereafter.
- 4.2 Treasury Directive [61-09](#), "Department of the Treasury Gift Acceptance Authority," dated August 9, 2016, or latest version thereafter.
- 4.3 Circular No. [50-00.3](#), "Gifts to Employees from Outside Sources," dated May 18, 2011, or latest version thereafter.
- 4.4 May 18, 2011, or latest version thereafter.
- 4.5 Circular No. [70-03.18](#), "Physical Inventory Requirements for Sensitive Property and Security Items," dated July 11, 2014, or latest version thereafter.
- 4.6 Circular No. [82-00.10](#), Use of Temporary Transfer Delivery Schedule (BEP Form 2446), dated April 20, 2015 or latest version thereafter.
- 4.7 Circular No. [82-00.12](#), Bureau of Engraving and Printing Enterprise (BEN) Data Entry Requirements, dated April 1, 2015, or latest version thereafter.



# MANUAL

DATE October 27, 2017

4.8 BEP Security Manual No. 71-00, dated March 1, 2012, or latest version thereafter.

## 5.0 PROCEDURES

A determination will be made as to the nature of each specimen received as a loan, gift, or BEP purchase. Each specimen identified as a "gift" will be handled in accordance with the procedures in Treasury Directive 61-09, which implements the Department of the Treasury's gift acceptance authority at 31 USC § 321(d). The Office of the Chief Counsel shall be consulted for assistance in handling and processing these gifts. If the specimen is a loan, the receiving component will ask the owner whether the specimen should be returned to the owner or destroyed at the end of the loan period, and will document the owner's directive. All BEP employees will use these procedures when receiving and handling foreign currency specimens.

### 5.1 Receiving Specimens

- 5.1.1 BEP components receiving foreign currency specimens from any source shall immediately verify the contents of the packages against the documentation provided using the two (2) person rule.
- 5.1.2 If any discrepancies are noted, the Office of Security, Product Investigations Branch, shall be notified immediately. If no discrepancy is found, continue to 5.2.1.

### 5.2 Creating Records

- 5.2.1 The receiving office/component shall prepare a Transfer and Delivery Schedule, BEP Form 2446 (per Circular No. 82-00.10), for each receipt of specimen(s). The Form 2446 must be signed by the receiving component's Chief or designee.
- 5.2.2 Form 2446 shall list, in detail, a description of each item received, date of receipt and any related documents or literature, including the origin and nature of the receipt transaction as a loan, gift or BEP purchase and annotate this in the related inventory system of records. If BEP receives approval to accept a specimen as a gift in accordance with Treasury Directive 61-09, a copy of the approval memorandum will be included in the system of records.
- 5.2.3 The receiving component must ensure that there is a system of record in place to account for the items received, and if a system does not exist will be responsible for initiating its creation. Any system of record, other than BEN, must first be approved by the Office of Compliance. Once the system of record has been approved, it must be maintained to accurately reflect the on-hand physical quantity of the item(s) received.
- 5.2.4 Records shall be managed in accordance with the applicable National Archives (NARA) approved records schedule, Circular No. 80-05, "Records Management Program," and Circular No. 50-00.7, "Record Systems Subject to the Privacy Act" requirements.

### 5.3 Handling, Storage and Inventory Controls



**MANUAL**

DATE October 27, 2017

- 5.3.1 The specimens shall be stored in Office of Security approved safes, in accordance with Category Type I securities, per Security Manual, No 71-00, and at least one copy of the Transfer and Delivery Schedule will be retained separately from the specimen(s).
- 5.3.2 Office Chiefs shall designate a primary custodian for the control of the securities. The designated custodian and at least one other employee must be present when securities (foreign currency specimens) are removed for work purposes and/or when the safe is open.
- 5.3.3 The designated custodian shall record each opening of the safe on the Security Container Check Sheet, Standard Form 702.
- 5.3.4 The Office Chief, or designee, for any component with custody of foreign currency is responsible for designating two employees (one who is the primary custodian) to jointly maintain accountability of the securities (foreign currency specimens) and to conduct an annual physical inventory and reconcile the results to the approved inventory system of records, in accordance with Circular No. 70-03.18, "Physical Inventory Requirement for Security and Sensitive Property."

**5.4 Internal Loans and Transfers**

- 5.4.1 If an item is on loan to BEP, it should be returned to the entity that loaned the item when it is no longer needed for the purposes for which it was received or destroyed when directed to do so by the owner.
- 5.4.2 The designated custodial office shall request a print order from the Office of Financial Management, Production Management Division, which authorizes the shipment of the items back to the loaning country.
- 5.4.3 In situations where it is not possible to return the item to the entity that loaned it, the designated custodian office shall contact the Office of Chief Counsel for specific guidance.

**6.0 DISPOSITION**

The disposition process for foreign currencies no longer needed by BEP must be handled in accordance with guidance provided by the loaning country and the nature of the item. Contact the Office of Financial Management to see whether the item may be exchanged through a financial institution into US dollars. If not, contact the Office of Facilities Support so that the item may be disposed of in accordance with GSA policies and procedures for disposing of excess government property. If there are any questions as to Government ownership of an item (i.e., the item was loaned to BEP, but cannot be returned to the owner or the item was received as a gift, but there is no record of gift approval in accordance with Treasury Directive 61-09), contact the Office of Chief Counsel for more specific guidance, if needed.

**6.1 Gifts to the Agency**

Treasury Directive (TD) 61-09 provides the policies and procedures that Bureaus and Offices within the Department of the Treasury must follow to request and obtain

# MANUAL

DATE October 27, 2017

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approval from the Assistant Secretary of Management (ASM) to accept gifts (both monetary and non-monetary) from outside sources.

## 6.2 Gifts to Employees

The Foreign Gifts and Decorations Act (5 USC § 7342) permits an employee to accept a gift of "minimal value" (currently \$390 or less) that is tendered and received as a souvenir or mark of courtesy from a foreign government if the employee reports the gift and receives approval to retain the gift from the Department of the Treasury in accordance with the procedures in Treasury Directive 61-04.

If an employee separates from Federal employment and leaves such a gift behind, the gift may be converted to government property. General Services Administration regulation 41 CFR Part 102-41 provides guidance on the handling of abandoned or unclaimed personal property.



**MANUAL**

DATE October 27, 2017

**CHAPTER 12 - RETENTION TIME FRAMES FOR TEST/EXPERIMENTAL SECURITIES**

REVIEW DATE: October 27, 2022

**1.0 PURPOSE AND SCOPE**

The purpose of this chapter is to provide guidance for retention time frames for test/experimental securities within the Bureau of Engraving and Printing (BEP).

**2.0 POLICY**

- 2.1 Retention time frames for test/experimental securities are categorized as either "Permanent" or "Temporary."
- 2.2 Permanent retention is reserved for test/experimental securities retained for test report reference, historical archive purposes, or as official specimens. Offices conducting testing should consult the Curator of BEP's Historical Resources Center to determine if test items to be produced have historical significance and are appropriate for archiving.
- 2.3 Temporary retention covers a period of one year or less, commencing on the date the work is produced. Most test/experimental securities will be retained under this category.
- 2.4 The Project Manager shall specify the estimated time frame for test production and evaluation, and the targeted destruction date for test/experimental work in the Print Order (BEP Form 9133)(PO) or Order for Supplies and Services (BEP Form 7989) (OSS). The PO/OSS shall additionally specify any permanent retention requirements for test work past the targeted destruction.
- 2.5 The Project Manager shall retain test/experimental securities for only the minimum amount of time needed to complete testing and evaluation.
- 2.6 Based on information contained in the PO/OSS, as approved, the Production Management Division shall incorporate the approved retention time frame and projected destruction date for test securities to be produced and/or extracted in the PO/OSS.
- 2.7 The Project Manager may be granted six-month extensions on the retention of test/experiment work beyond the specified PO/OSS date with approval of their Associate Director.
- 2.8 The Project Manager shall obtain the approval of the Director for extensions in retention periods beyond 18 months.
- 2.9 The Project Manager shall be responsible for providing approvals to the Offices of Security and Compliance who shall incorporate approved extensions into the file and

transmit copies to the Production Management Division as well. This process is automated in Serena through the PO/OSS application.

# BUREAU OF ENGRAVING AND PRINTING

## PERSONNEL MANUAL



**BEP Personnel Manual  
is being withheld under  
FOIA exemption (b)(2)**

**Circular 10-04.2**  
**Liaison and Coordination of**  
**Office of the Inspector General**  
**has been fully withheld under**  
**FOIA exemption (b)(7)(e).**



**CIRCULAR**

DATE September 2, 2016

**BEP LOW SERIAL NUMBER AND SPECIAL REQUEST FEDERAL RESERVE  
NOTE POLICY**

REVIEW DATE: September 2, 2021

**1.0 PURPOSE AND BACKGROUND**

This document outlines the policies and procedures for requesting, acquiring, distributing and accounting for low serial number and/or special request Federal Reserve notes. The Federal Reserve Board of Governors' (Board) policy permits the Secretary of the Treasury and the Treasurer of the United States to request low and special request serial number notes. In addition, the Board's policy permits the Bureau of Engraving and Printing's (BEP) Office of External Relations (OEX) to acquire special request serial number notes for its Public Sales Program.

**2.0 DEFINITIONS**

- 2.1 Low serial number notes: Notes bearing serial numbers 00000001A through 00000100A from the initial process bearing the "A" suffix of each series issued for each Federal Reserve Bank. Treasury officials may request low serial number notes for display purposes only, by submitting a request in writing to the Board.
- 2.2 Special request serial number notes: Federal Reserve notes containing serial numbers that have been specifically identified by a requester. These may not include low serial number notes. Special request serial number notes may include notes bearing serial numbers 00000101 to 00016000 and notes bearing serial numbers outside the normal range of production (96000001 and above for \$1,\$2, \$5, \$10 and \$20 notes, and 99200001 and above for \$50s and \$100s). Federal Reserve notes outside the normal production range are commonly referred to as Public Sales serial number notes/uncut sheets. BEP's OEX and Treasury officials may acquire these notes with approval from the BEP Director.
- 2.3 Federal Reserve Set: A set of 12 Federal Reserve notes from all 12 Federal Reserve Bank designations with identical series, denomination, and serial number.
- 2.4 Treasury Officials – The Secretary of the Treasury and the Treasurer of the United States.

**3.0 REFERENCE**

Board of Governors of the Federal Reserve System memorandum, "Treasury Secretary's Request for Low-Serial-Number Federal Reserve Notes," dated October 31, 2006.

**4.0 SUPERSESSION**

This circular supersedes Circular No 84-00.7, "Low Serial Numbered and Special Requested Federal Reserve Notes Policies and Procedures," dated February 1, 2001.



**CIRCULAR**DATE September 2, 2016

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**5.0 POLICY**

The BEP is responsible for instituting, maintaining, and enforcing security and accountability controls over the removal, transfer, and delivery of low serial number and special request serial number Federal Reserve notes. The BEP may only extract special serial number notes to meet the requests of Treasury officials and its Public Sales Program after the Board has issued notes from the applicable series, bank, and denomination into general circulation. BEP will incorporate an estimate of all low and special serial number requirements on an aggregate basis within the Board's Yearly Currency Order.

**6.0 PROCEDURES**

- 6.1 OEX and Treasury officials may acquire special request serial number notes with approval from the BEP Director. Treasury officials are not permitted to acquire notes bearing serial numbers 00000001 through 00000100 of any suffix, or bearing serial numbers with identical digits such as 11111111, 22222222, etc., for personal use. Treasury officials may request low serial number notes for display purposes only, with approval from the Board. OEX and the Office of Compliance are responsible for the accountability of low serial number notes. They shall remain under dual control in OEX's Public Sales Vault until requested by the Board.
- 6.2 The BEP's Manufacturing Directorate is responsible for retaining notes with serial numbers 00000001A – 00016000A in a separate custody status for six months. The retention period for the first cash pack will begin on the day of issue (payout) for each series, denomination, and bank designation. The BEP will coordinate with the Board prior to transferring low and special request serial number notes to OEX for Treasury officials or to its Public Sales Program.
- 6.3 Federal Reserve notes bearing serial numbers 00000001 through 00000100 with suffix letter B or higher will be shipped to Federal Reserve Banks as requisitioned by the Board. Following the six-month retention period, low serial number notes with suffix letter A, which were not requested by Treasury officials or OEX, will be delivered to the Federal Reserve System or destroyed in accordance with Board handling instructions.
- 6.4 After approval from the BEP Director, or his/her designee, or the Board depending on the type of notes requested, OEX shall submit requests for low and/or special serial number notes to the BEP's Production Management Division for coordination with the Office of Currency Manufacturing for processing and delivery to the Federal Reserve Vault (FRV) for payout and delivery to OEX. OEX is responsible for the retention, accountability, and delivery of requested Federal Reserve notes to Treasury officials.



**CIRCULAR**

DATE September 2, 2016

- 6.5 Whenever a series change occurs and/or after the required six-month retention period has elapsed, OEX is authorized to use the remaining notes from the special request number notes for its Public Sales Program, or coordinate their delivery or destruction in accordance with Board handling instructions. OEX may use special request serial number notes for its Public Sales Program prior to the lapse of the six-month retention period by coordinating with the Offices of the Secretary and the Treasurer, and obtaining approval for such use from the BEP Director. OEX is prohibited from using low serial number notes for public sales purposes without written approval from the Board.
- 6.6 BEP will not create or permit the formation of Federal Reserve Sets with identical serial numbers from each of the 12 Federal Reserve Banks for any series for Treasury officials or its Public Sales Program. The BEP will prevent the generation of Federal Reserve sets by staggering serial numbers to fulfill Treasury requests for Federal Reserve notes. The BEP will notify the Board when generating public sales products with similar serial numbering, with the exception of Federal Reserve Sets, which are strictly prohibited.
- 6.7 OEX is responsible for the management, accountability, and delivery of all low and special request serial number notes it receives. OEX will maintain records of all notes requested, received, retained, and delivered. Requests by Treasury officials for special request serial number notes, which already exist in OEX's Public Sales Vault, will not require additional Orders for Supplies and Services from BEP's Production Management Division nor notification to the Board. OEX representatives will be responsible for updating the Low and Special Request Serial Number Note report (which tracks all movement of low and special request serial number notes received by OEX).
- 6.8 Federal Reserve notes bearing serial numbers beyond the normal production range (96000001 and above for lower banknote denominations, and 99200001 and above for \$50 and \$100 banknote denominations) can only be produced for the BEP's Public Sales Program, upon approval from the Board. Upon written request and approval by the BEP Director and the Board, OEX is also authorized to obtain special serial number notes within general circulation (i.e., 2016xxxx and 8888xxxx [with any suffix]) to commemorate dates or events for its Public Sales Program initiatives.
- 6.9 Each year BEP will provide an overview of its planned Public Sales Program requirements to the Board to ensure compliance with this policy.
- 6.10 Star sheets and/or notes will not be made available for the BEP's Public Sales Program, unless specific written authorization is provided from the Board. However, prior to destroying excess star sheets and/or notes, the BEP's Production Management Division will notify OEX about their availability so that OEX can seek permission from the Board to use these sheets or notes for its Public Sales Program.

# CIRCULAR

DATE September 2, 2016

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6.11 The Director, OEX and the Office of Security are the only components authorized to deliver Federal Reserve notes requested pursuant to this circular.

## 7.0 OFFICE OF PRIMARY RESPONSIBILITY

Office of External Relations

**<electronically approved>**

Teresa Dean  
Chief