

Forms Management Training: State Form 36040 – Video Transcript

Hi everybody. My name is Jackie Swihart. I'm a Deputy Director with the Indiana Archives and Records Administration.

One of the divisions that I oversee is Forms Management, and so I wanted to just talk a little bit about the 36040 request form process.

I know that it's not a very intuitive form to pick up right away, and so I thought this training could be helpful as you navigate that form, and some of the language on that form as well.

I want to start with the basics. First of all, where can you find the 36040 form?

You can find this form - and any State Form -- at the State Forms Online Catalog <https://www.in.gov/iara/services-for-public/state-forms-online-catalog/> using the link above. Typically I do a quick Google search for it and it'll come right up.

Once you're there, you're gonna scroll down to the "How to Use this Catalog" section.

You'll then click "Browse all-agency catalog."

Click "State Employee Login." Log in using your State of Indiana credentials. Click OK.

And then search for, in this case, the 36040 form. But again you can find any State Form on the catalog as long as it's active.

But once you're typing in 36040, you can click search. And then you're going to want to scroll down and click to open the PDF form.

And this is what it'll look like. This is our request for approval of new, revised, deleted or reactivated form.

So you'll see the form itself is split into three different sections. Part 1 is looking for agency information. Part 2 is asking for form information. Part 3 is asking for printing information.

So let's take a deeper dive into each of these sections now.

I won't cover every single field on the form because much of it is self explanatory, but I do want to highlight a few important fields.

So looking at Part 1, you've probably noticed that we ask for signatures and names of a few different people.

So I want to talk about the differences between the requester, the Forms Coordinator, and the agency supervisor.

The requester is the person within your agency who is requesting the form either be made, designed or revised. And so the request there may be a program manager who utilizes the form in the field, or someone else who uses the form on a regular basis.

The Forms Coordinator is the person who acts as a liaison between the agency and IARA.

And then the Agency Supervisor should be the supervisor, preferably of the requester, and I'll tell you why we ask for this momentarily.

But looking at Part 2, let's talk about the different types of requests.

So the first type of request you can ask for is a new State Form to be developed, and so this would be a brand new form, something that doesn't already exist, or a form that's not already within our repository.

Keep in mind when you're submitting a new form request: does it meet the definition of a State Form? Does this form absolutely need to be a State Form?

So if you look at the definition here, one of the big words that we try to really lean into is this idea of a transaction. And so in order for a form to be considered a State Form, it must be used in a transaction involving the State.

And so when we look at it this way, many internal forms don't actually meet that definition. So forms that are not used to exchange goods or services or even financial assets, would probably not be considered a State Form. So forms that are primarily instructional, preparatory, documentative, or that are utilized by one party only, would not constitute a transaction.

So if you're putting together a new form request, your first step is to really sit with the people within your agency who use this form and ask yourself, does it need to be a State Form?

Going back to Part 2, the other type of request that you can request is a revised State Form, and so this would be related to a state form that already exists. You just want to make some updates to it.

Now here's where things get a little confusing. If you're putting in a request for a new State Form, or a revised State Form, who's going to design it?

Do you want IARA to design it, or do you want the agency, do you want YOU to design it?

And so let's start with IARA. What that means is if we design it, the agency should send us a draft of the content that they want included in the form. We're not worried about design, we just want to know exactly what information and language you want on the form and in what order. We will then use our design standards and templates to design the form for you.

However, keep in mind: we are not responsible for grammar, spelling, punctuation. We are only responsible for the design of the form. So please, please, please, before you send over a draft to us, make sure that the agency has reviewed and vetted the form for any kind of errors.

So let's talk about an agency design. So an agency design is going to give you a quicker turn-around time. So consider in the future submitting agency design requests rather than IARA design requests.

So here's what we would need in order for you to submit an agency design request: You have to mark it as such. We need to see a redline version of the form, showing where the proposed changes and edits are being made. We need a final, clean, unlocked Word or PDF file of the proposed revised form and -- this is optional but strongly preferred -- a fillable Word and/or PDF file of the proposed revised form.

Often what takes us the most amount of time to process your request is to create a fillable PDF. So if you're able to hand that over to us already ready to go, we are more quickly able to just analyze your form and upload it to the repository.

So keep in mind that when an agency makes an agency design request to IARA, the form has to be in its absolute final format before sending to us for analysis. Once we receive an agency design request, we then look at it to make sure it fits our design standards to an appropriate degree, and then we provide feedback to you if anything needs to be changed.

So again, I just want to reiterate, please be certain that an agency design request is in its complete, proofread, and final format and that all stakeholders within the requesting agency have reviewed the form's text and content prior to submission.

No edits or changes outside of the agency's original request will be addressed unless there is a justifiable reason. So that would have to include a significant change, like a court order, an executive order, or a legislative change. Or if there were corrections needing to be made due to an oversight on IARA's part. All additional requested edits that were not part of the initial agency design will require the agency to submit a new 36040 request.

In the past, we have been very lenient on that matter and we have tried our best to work with agencies to address any ongoing shifting feedback throughout the analysis process. However, we no longer can continue doing that, so please make sure that your form has been vetted before sending to us as an agency design.

Remember, going back to Part 1: when you submit the 36040, we ask for approval of a supervisor, and that is because we want to see confirmation that the agency design -- or even if it's an IARA design -- we want to see that the content in the form has been vetted by the agency prior to submission. And this will avoid any ongoing back and forth with new additional changes throughout the process.

I often get questions about, "Well, my form requires State Board of Accounts approval," and so I wanted to briefly touch on that.

If your form does require State Board of Accounts approval, it probably involves money paid to the State. If the request is for a new or revised form that is collecting money, send a copy of the request directly to SBOA so they can review and determine if their approval is required.

If the form involves money paid by the state, you might also need to ask the Auditor of State for review as well.

Keep in mind that requesting approval from SBOA is the responsibility of the agency requesting the design and analysis.

And here are the steps that would be followed in that process: the agency would have to submit a State Form number from IARA.

Excuse me, let me start that over: an agency would have to request a State Form number from IARA in advance of submitting requests to SBOA for review, but that is for new forms only.

IARA would then fill out a 43776 form {Memorandum - State Board of Accounts Approval for State Form Number} and send to the requesting agency at the agency's request.

The agency would then take on the responsibility of filling out the State Form 56162. {SBOA's State Form Checklist}

Once both of the forms are filled out, the requesting agency would send those forms to SBOA directly at the email address on the screen. {Also on the form itself.}

Keep in mind you might have to follow up with SBOA occasionally, and that is on the agency to continue following up. Once SBOA reviews and approves the request and the form, that is when the agency can then submit a 36040 request, along with the written approval from SBOA for us to process.

Also on Part 2, I just wanted to quickly highlight that if we're asking for a Social Security number, we do need to know what the federal statute is or the State statute that is requiring that, or allows you to ask that. Very similarly with the confidential information as well. So just make sure if your forms require either of those statements, that you do mark it as yes and give us the appropriate information.

Part 3 is regarding printing information. Generally speaking, this section is not often used, and chances are if you do use it, you're already familiar with how to fill this out, but I will just say if you plan to print hard copies of the form, this is where you would provide that printing information.

So just some quick reminders: always try to design your own forms. It's faster to do it that way. It gives you as an agency more control over your forms. Truthfully, IARA is moving in that direction anyway, where we want to limit how many forms we're actually designing. And so you might as well get ahead of that right now and start practicing and learning how to design your own forms. There are trainings available in the IARA guidelines to help you with that.

Another reminder is to review, review, review. Whether it's an IARA design or an agency design, we do require 3 signatures, which means 3 reviews are necessary.

Always submit forms requests directly to the Forms Management Division inbox. {fmd@iara.in.gov} Please do not submit requests directly to individual IARA or Forms Management staff. Always submit requests directly to the shared inbox.

Just some fine print: agencies have full responsibility for ensuring the accuracy of spelling, grammar, punctuation, and the copy, before submitting the form to IARA.

Keep in mind that as far as frequency of request goes, individual forms can only be submitted to IARA once per six months. Exceptions can be granted when agencies are requesting the changes in response to significant requirements placed on them. That, again, could be a court order. It could be legal, whatever it may be, we would have to see that justification.

Form requests that are the same State Form submitted multiple times within one year that do NOT have that kind of impetus behind them may be reviewed by IARA staff as time allows. Once an agency has reviewed a proof of an IARA, design, agencies may only request one new change onto an existing request. More than one change will require the agency to submit a new request form, and we may then have to reassign the request to a lower order in the queue.

So again, this is just a reminder to review, review, review before sending our way.

And then I wanted to bring to your attention that we do have some instruction around temporary forms and emergency approval forms. So keep in mind that forms needed for 180 days or less do not require our approval as long as you're utilizing the design standards that we've shared. An agency can also develop a user form in response to an emergency or court order or administrative order, without prior approval of IARA, and so if that's the situation for you, please notify us immediately of the need for an emergency form. Submit a copy of the form to us with a full explanation of the circumstances in writing within 10 days of implementation. The form will then be immediately studied and uploaded to the repository, and if a permanent format is necessary, we will work with you to devise a permanent format within six months.

If you have any questions about the 36040 form or anything else with Forms Management, please go to your Forms Coordinator first. They are truly the liaison between your agency and IARA, and they should be able to help you and point you in the right direction.

Forms Coordinators, if YOU have questions for us, please contact us. Contact us at the Forms Management inbox at fmd@iara.in.gov.

Thank you so much, and I hope this was helpful.