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Manual of Policies and Procedures

Title
FORMS MANAGEMENT

Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Other References (includes but is not limited to)
IC 5-15-5.1-1 <i>et seq.</i> IC 11-8-2-5(a)(10)	00-04-102 01-04-104 04-03-102	

I. PURPOSE:

The purpose of this policy is to establish a comprehensive and uniform process for the development, use, review and deletion of forms used by the Department of Correction.

II. POLICY STATEMENT:

The development and standardization of forms within the Department is necessary so that accurate information may be maintained and retrieved by staff. Forms may be in either paper or electronic format. The Department shall establish a procedure that provides a process for the development, review, revision and deletion of forms in conjunction with the rules and regulations of the Indiana Commission on Public Records.

The Department shall develop procedures to ensure that forms necessary for the operation of the Department are printed as needed. The Department shall utilize facility operated print shops whenever feasible.

III. DEFINITIONS:

For the purpose of these administrative procedures, the following definitions are presented:

- A. Camera-ready Artwork: A high quality copy of a form prepared in a format to be used in a print shop to make print-quality reproductions.
- B. Commission: The Indiana Commission on Public Records

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- C. Department Forms Coordinator (DFC): The person designated to serve as a liaison between the Department and the Commission in the development, revision and reproduction of state forms.
 - D. Facility Forms Coordinator (FFC): The staff person designated at each facility to oversee the development, revision and reproduction of state forms.
 - E. Form: Every piece of paper, transparent plate or film containing information that is printed, generated or reproduced by whatever means, with blank space(s) left for the entry of additional information and used in transactions involving the state.
 - F. Forms Management Division: The division of the Commission responsible for the management, design and specifications of state forms and that provides continuity from the form's origin to its printing and/or reproduction and revision.
 - G. Non-form: Any document generated by a state agency that the Forms Management Division determines does not meet the criteria to be considered a form and assigned a state form number. (e.g. Handbooks, letterhead stationery, brochures, etc.)
- IV. DEPARTMENT FORMS COORDINATOR (DFC):

The Commissioner shall designate a staff person in the Department's Central Office to serve as the Department Forms Coordinator (DFC). The Commissioner shall advise the Commission by memorandum as to the staff person who shall act in this capacity and of any change in this position.

The DFC shall serve as a liaison between the Department and the Commission and any other agencies involved in the development, design and printing of forms. The DFC shall work with Department staff and the Commission in the processing, developing and designing of state forms.

The DFC's responsibilities include:

- A. Ensure that all requests from facilities for the development and/or revision of forms are reviewed and, if approved, forwarded to the Forms Management Division;
- B. Assist the facilities in answering questions regarding form requests;
- C. Report all changes made to existing forms to the Division Directors and Facility Heads;

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- D. Review all form design and camera-ready artwork and forward to requestor for approval;
- E. Serve as the Facility Forms Coordinator (FFC) for Central Office;
- F. Inform the Forms Management Division of any forms which may be deleted or discontinued; and,
- G. Develop a system for monitoring forms used by the Department.

V. FACILITY FORMS COORDINATOR (FFC):

The Facility Head shall appoint a staff member to serve as the Facility Forms Coordinator (FFC). The Facility Head shall ensure that the name and contact information for the FFC is provided to the DFC and that whenever there is a change in the FFC the DFC is notified.

The FFC shall work with all segments of the facility to develop and process all forms.

The FFC's responsibilities include:

- A. Serve as a liaison between the facility and the DFC;
- B. Develop and maintain a log, including copies, of all forms used at the facility that are specific to that facility;
- C. Review, log and approve all requests for new or revised forms;
- D. Assist staff in the revision of forms as needed;
- E. Review all form design and camera-ready artwork for all forms specific to the facility;
- F. Maintain a log of all requests from the facility for the reproduction of forms;
- G. Advise the DFC of all forms that may be discontinued or deleted; and,
- H. Develop a system for monitoring the use of all forms in the facility.

VI. DEVELOPMENT OF NEW FORMS:

- A. Staff Responsibilities:

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1. Determine the need for a new form.
2. Create a rough draft of the form.
3. Prepare a justification as to the need for the new form.
4. Submit rough draft and justification to the FFC.

B. FFC Responsibilities:

1. Receive requests for new forms.
2. Review draft form and justification to ensure the need for the proposed form.
3. Prepare State Form 36040, REQUEST FOR APPROVAL OF NEW/REVISED FORM, in as much detail as possible.
4. Ensure the proposed form has a title using the approved title format (function/operation and subject) as requested by the Forms Management Division (e.g., Report of ..., Log of ...).
5. Submit two (2) samples of the proposed form and the completed State Form 36040 to the appropriate Division Director for Central Office requests or the Facility Head for facility requests for approval.
6. Receive comments from the Division Director or Facility Head regarding the appropriateness of the proposed form and whether any form(s) may be replaced by the implementation of this new form.
7. If approved, submit the completed State Form 36040, the proposed form, the explanation/justification and a completed State Form 21301, REQUISITION, to the DFC. (When completing State Form 21301, REQUISITION, for a new or revised form only the new or revised form shall be listed on the REQUISITION.)

C. DFC Responsibilities:

1. Review the information submitted and determine whether a similar form already exists.
2. If the proposed form is from a facility, forward the proposed form to the appropriate Division Director for review and approval.
3. Receive the decision of the Division Director:

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- a. If approved, prepare the request for forwarding to the Forms Management Division.
 - b. If not approved, return the request to facility with explanation of why the proposed form was not approved.
4. If the proposed form is approved:
- a. Determine whether form is to be designed by Forms Management or by the Department. (Note: As a general rule, all forms to be printed as carbonless sets or printed by an outside vendor shall be designed by the Forms Management Division.)
 - b. Submit the proposed form and supporting information to the Forms Management Division.
 - c. Receive the form back from the Forms Management Division:
 1. If approved and not designed by the Forms Management Division, record State Form Number and return to FFC.
 2. If not approved, return to FFC with explanation as to reason form was not approved.
 3. If the form was designed by the Forms Management Division, review the “proof” copy returned by the Forms Management Division.
 - (a) Check for obvious errors.
 - (b) Send copy of “proof” to FFC for review and approval.
 - (c) Receive decision of FFC.
 - (d) Return “proof” to the Forms Management Division with approval or denial.
 4. Obtain the “camera ready” copy of the approved form from Forms Management Division.
 - (a) Forward copy of “camera ready” artwork to appropriate print shops.

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- (b) Distribute via e-mail a copy of the “camera ready” artwork to all impacted facilities.
 - (c) Return “camera ready” artwork to Forms Management Division.
- D. Any need for “camera ready” artwork for a form shall be directed to the DFC.

VII. REVISION OF EXISTING FORMS:

A. Staff Responsibilities:

1. Contact the appropriate FFC.
2. Advise of the need to revise form.
3. Provide FFC with:
 - a. A copy of the existing version of the form.
 - b. A copy of the proposed revisions to the form.
 - c. A justification as to why the form is to be revised.

B. FFC Responsibilities:

1. Follow procedures as indicated in Procedure VI to obtain approval of proposed revision.
2. Ensure that samples of the existing and proposed version of the form are submitted with request and they are clearly identified.
3. Include two (2) samples of the proposed revision.

C. DFC Responsibilities:

1. Receive requests to revise forms:
 - a. Review requests to determine whether revision will impact only the facility submitting the request or multiple facilities
 - b. Review to ensure compliance with policies/procedures.
2. Submit request and sample revision to appropriate Division Director for review and approval.
3. If approved, ensure all necessary documentation is included and send to Forms Management Division.

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4. If the request is not approved, return the request to FFC with an explanation as to why it was not approved.
5. Follow procedures in Procedure VI to notify facilities of the revision.

VIII. DEVELOPMENT/REVISION OF FISCAL FORMS:

- A. FFC shall follow the procedures in Procedures VI and VII.
- B. DFC shall follow Procedures VI and VII to obtain approval by staff.
- C. DFC shall submit proposed form to the Department's Fiscal Division for review and approval.
- D. DFC shall prepare a justification and submit the requested new form or revision to the State Board of Accounts for approval.
- E. If the form is involved in the payment process, submit the same justification and request to the Auditor of State for approval.
- F. If the proposed form is approved by the State Board of Accounts and , if necessary, the Auditor of State:
 1. The DFC shall forward the approval and all other required documentation to the Forms Management Division.
 2. A copy of the approval from the State Board of Accounts and Auditor of State, if required, shall be forwarded to the FFC to be maintained in his/her files.
- G. If the proposed form is not approved, the DFC shall return the request to the FFC with an explanation as to why the proposed for was not approved.
 1. The FFC and appropriate staff shall review the explanation and determine whether to proceed with the request for the new/revised form.
 2. The FFC and staff may make any necessary corrections and re-submit the form for further consideration in accordance with these administrative procedures.

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IX. REQUESTS TO PRINT/REPRINT STATE FORMS:

- A. State Forms may be reproduced by:
- A Department print shop (e.g. Plainfield Correctional Facility, Pendleton Correctional Facility, Indiana State Prison, Indiana Women’s Prison, Miami Correctional Facility)
 - The Department of Administration's EPIC shop
 - The PEN Products print shop at the Wabash Valley Correctional Facility
 - An outside, privately operated print shop
 - A copy machine or computer printer
- B. Whenever possible, forms are to be reproduced within the Department.
- C. For security reasons, requests to reproduce certain fiscal forms, (i.e., checks and deposit slips) should be reproduced by an outside vendor. Also, it may be necessary at times for security or other reasons (e.g. size or construction of forms) to request that forms be printed by a source outside the Department.
1. All requests to reproduce a form using a vendor outside the Department shall be sent to the DFC for review and approval.
 2. The DFC shall submit the request to the Forms Management Division for approval.
 3. The facility shall follow all applicable procurement procedures.
- D. The reproduction of state forms may be:
1. On an as needed basis; or,
 2. On an annual basis;

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- a. The FFC shall ensure that there is adequate storage for an annual supply of the form.
 - b. If ordered annually, the facility may request the delivery be staggered to reduce the need for storage.
 - (1) The FFC shall advise the print shop of the delivery schedule.
 - (2) The FFC shall ensure that accurate records of the forms received are maintained to ensure that only those forms ordered are received.
- E. Staff shall advise the FFC when there is a need to reproduce a form.
1. The FFC shall have a State Form 21301, REQUISITION, completed.
 2. The REQUISITION shall include a request number, the quantity desired, the name and state form number including latest revision date, and the signature of the FFC or another facility staff person authorized to sign such requests.
 - a. When the form(s) shall be printed by a Department print shop, not including PEN Products, a maximum of four (4) forms may be listed per REQUISITION.
 - b. When the form(s) shall be printed by the EPIC print shop or an outside vender, only one (1) form may be listed on the REQUISITION.
 3. A sample of the requested form(s) shall be attached to the REQUISITION to ensure that the latest version of the form is being requested. (Preferably, the samples shall be originals and not photocopies or facsimiles; however, photocopies may be used if original forms are not available.)
- F. The following procedures shall be followed for requests to print state forms:
1. Forms to be printed by Department or PEN Products shops:
 - a. The FFC shall ensure that any form to be reproduced is listed on a REQUISITION and a current sample of the form is included
 - b. The FFC shall indicate on the REQUISITION the specific print shop that is to print the form.

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- c. The FFC shall review each request for printing and log the request on the Log of Printing, as indicated in Procedure X.
 - d. After the request has been logged, the FFC shall ensure that the appropriate Business Office staff has recorded the REQUISITION.
 - e. The FFC or designated staff shall send the REQUISITION to the designated print shop.
2. Forms to be printed by EPIC:
- a. The FFC shall ensure that a REQUISITION is completed with only one (1) form listed on it.
 - b. The FFC shall record the REQUISITION on the Log of Printing.
 - c. The FFC shall indicate on the request that the printing is to be done by the EPIC print shop.
 - d. The FFC shall submit the REQUISITION to the facility Business Office.
 - (1) The Business Office staff shall review the REQUISITION.
 - (2) Complete the pertinent information in upper right hand corner of the REQUISITION, including a requisition number and the facility account number.
 - (3) A "Required Delivery Date" must be included (NOTE: This must be an actual date with reasonable time allowed for processing and printing.)
 - (4) Indicate an estimated price for the printing which shall be as accurate as possible.
 - e. Submit the approved REQUISITION to the DFC for review and approval.
 - f. The DFC shall review the REQUISITION and forward it to the Forms Management Division for approval.

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g. The Forms Management Division shall forward the approved REQUISITION to EPIC for reproduction.

3. Forms to be printed by an outside vendor:

a. Follow the same procedures as requests for reproduction by EPIC above.

b. When the REQUISITION is approved by the Forms Management Division, it shall be returned to the facility.

c. Following the approval for printing or reprinting by the Forms Management Division, the facility shall follow the appropriate procurement procedures to purchase the printing.

X. LOG OF PRINTING:

A. Each FFC shall maintain a log of all forms and non-forms that the facility requests to be printed.

B. The DFC shall provide the FFCs with the format to be used to record this printing.

C. The Log of Printing shall be kept in an electronic format in Microsoft Excel and shall contain:

- State form number
- Revision date/number of the form requested
- Title
- Quantity requested
- Requesting facility
- Print shop utilized
- Date Sent to Print Shop
- Comments, as necessary

D. The FFC shall e-mail a copy of the Log of Printing to the DFC at the end of each calendar year. The log shall be sent to the DFC by the 15th day of January following the end of the year.

E. Upon receipt of the logs from the facilities, the DFC will review the logs and combine them into one (1) log indicating the total printing done by the Department for the previous year.

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- F. The DFC shall submit the master log to the Forms Management Division no later than the first of February.

XI. EVALUATION OF FORMS USAGE:

- A. The FFC shall maintain a copy of all forms used by the facility.
- B. The FFC shall contact each department or section head to discuss the annual use of forms for that department or section.
1. The FFC shall attempt to determine the need for printing of each form.
 2. The FFC shall determine whether any form needs revision or may be discontinued.
 3. The FFC shall maintain a record of this contact.
- C. The FFC shall prepare a report for each form that may be discontinued.
1. The Facility Head shall review this report.
 2. If elimination of the form is approved, the request shall be forwarded to the DFC.
- D. The DFC shall review all recommendation for discontinuing a state form.
1. Forward to the appropriate Division Director for approval.
 2. If approved, forward request to the Forms Management Division for the deletion of the form from the active form database.
 3. If not approved, return request to the FFC with an explanation.

XIII. APPLICABILITY:

These procedures are applicable to all Department divisions and facilities.

Signature on File
J. David Donahue

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FORMS MANAGEMENT

Commissioner

1/26/07

Date