

CHAPTER: 100
Agency Administration/Management

DEPARTMENT ORDER:
114 – Forms Management System

OFFICE OF PRIMARY
RESPONSIBILITY:
DIR

Effective Date:
December 29, 2011

Amendment:
N/A

Supersedes:
DO 114 (1/5/07)

Scheduled Review Date:
TBD


ACCESS

Contains Restricted Section(s)

Arizona Department of Corrections

Department Order Manual





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PURPOSE

This Department Order establishes a system for the management and control of forms, including development, revision, production, ordering, storage, distribution and accountability. Emphasis is on maintaining a standardized, responsive, cost-effective, quality-controlled means of production which generates user-friendly forms.

RESPONSIBILITY

The Inspector General is responsible for ensuring the effective and efficient development, revision, consolidation, review of all Department forms and the production of electronic forms.

The Workforce Development Administrator is responsible for the production of all non-electronic forms for the Department, maintaining statistical records on production volume and costs, and providing updated price lists to budget units and Forms Liaisons.

The Deputy Director, Division Directors, Regional Operations Directors, Wardens and Administrators are responsible for the accurate and timely determination of form needs and the efficient warehousing, storage and use of forms. They are also responsible for ensuring staff complies with the following procedures when developing new forms or revising existing forms.

PROCEDURES

1.0 FORMS COORDINATOR – The Policy Unit Forms Coordinator shall:

- 1.1 Ensure forms are developed and/or revised consistent with the Department's forms management requirements and development and/or revisions are coordinated with the Office of Primary Responsibility (OPR), and the Policy Unit as appropriate.
- 1.2 Consult with forms users, Forms Liaisons and OPR's to address forms development and management issues.
- 1.3 Ensure forms are user-friendly.
- 1.4 Review existing forms that have not been revised during the calendar year, to determine if they should be revised or rescinded.
- 1.5 In conjunction with Policy Analysts, as written instructions are reviewed and revised, monitor/review existing form requirements for Department Orders under revision or reissue to identify needed and/or scheduled form revisions. New forms/formats shall be developed, as appropriate, when new programs/processes require them.
- 1.6 Consolidate and standardize forms and form processes, when reasonable to do so, to avoid the creation of redundant forms.
- 1.7 Quarterly, prepare and send Forms Announcements to the Forms Liaisons. Forms Announcements shall provide updated information on new, revised, obsolete, deleted or reissued forms/formats, and information and instructions regarding disposition of existing stocks of superseded forms. Forms that have been revised and renumbered shall be identified in the Forms Announcements.

2.0 FORMS LIAISON

- 2.1 The Deputy Director, Division Directors, Wardens, Deputy Wardens and Administrators shall appoint a Forms Liaison for their area of responsibility and notify, in writing, the Forms Coordinator. Updated information shall be provided as changes occur.
- 2.2 Each Forms Liaison shall:
 - 2.2.1 Assist users by receiving and coordinating their requests for the development or revision of forms with the Forms Coordinator.
 - 2.2.2 Coordinate with the appropriate Business Administrator, to order all printed forms from Arizona Correctional Industries (ACI), ensure inventory completion of forms shipments received, coordinate storage and distribution within the institution, unit or work area, and process billings for payment.
 - 2.2.3 Determine institution/unit needs and submit a consolidated order to ACI upon receiving notification of new or revised forms from the Forms Coordinator.
 - 2.2.4 Serve as the area coordinator for the Division/Institution.
 - 2.2.5 Serve as the coordinator for field-testing forms.
 - 2.2.6 Serve as the subject matter expert providing information, education and training to staff on the forms management system.
 - 2.2.7 In conjunction with the appropriate Division/Institution budget unit, maintain prescribed records in accordance with section 6.0 of this Department Order.
 - 2.2.8 Serve as a point of contact for purchased forms and return of printed forms.
 - 2.2.9 Maintain usage data to assist in projecting stock levels and requirements for ordering.

3.0 GENERAL INSTRUCTIONS – The creation or use of forms other than those developed and/or approved through the procedures outlined in this Department Order is prohibited. The Forms Coordinator shall ensure all forms/formats are developed or revised in accordance with the following guidelines:

- 3.1 Forms in use Department-wide shall not be modified to make them unique to a specific institution or bureau, without authorization from the Forms Coordinator. Forms that are unique to a specific function or organizational unit shall be requested, developed, approved and modified in the same manner as forms used Department-wide. Example: A psychiatric form developed specifically for use by Baker Ward.
- 3.2 Forms shall be reviewed in conjunction with the review of the authorizing Department Order. Forms may be revised more frequently as requested by the OPR, or if required by a change in written instruction, statute or to update the form design.
- 3.3 New or revised forms designated for distribution to the Inmate Master Record/Institution file shall be approved by the Offender Support Services Bureau Administrator prior to finalization.

- 3.4 New or revised forms designated for distribution to the Inmate Unit Health Record shall be approved by the Health Services Bureau Administrator or designee prior to finalization of any new or revised forms.
- 3.5 Software applications for developing forms shall be recommended by the Forms Coordinator for approval by the Inspector General and Information Technology in accordance with Department Order #102, Information Technology.
 - 3.5.1 Forms development and design licensing shall only be held by the Policy Unit.
 - 3.5.2 The Deputy Director, Division Directors, Wardens and Administrators who use electronic forms may purchase licensing for approved software as needed in accordance with Department Order #102, Information Technology.
 - 3.5.3 When applicable, Contract Beds shall purchase software that is compatible with Department software.
- 3.6 Electronic Forms – The Forms Coordinator, in consultation with the OPR, shall develop electronic Departmental forms for placement on the ADCNet. The Forms Coordinator shall distribute the most current revisions of approved electronic forms to the Department Webmaster for placement on the ADCNet.
 - 3.6.1 Completed electronic forms may be copied for distribution as necessary.
 - 3.6.1.1 Electronic forms, which indicate a distribution, shall be copied and distributed accordingly. The person who completes an electronic form is responsible for the distribution.
 - 3.6.2 Blank electronic forms may be printed by computer and copied for subsequent completion by hand.
 - 3.6.3 The following types of forms may not be available electronically:
 - 3.6.3.1 NCR forms
 - 3.6.3.2 Forms with special printing instructions (such as colored paper, cardstock, laminate, etc.)
 - 3.6.3.3 Medical forms
 - 3.6.3.4 Inmate use forms
 - 3.6.4 Department forms, which are deemed inappropriate for electronic use, shall be purchased through ACI.
- 3.7 A form may be approved for either printed production or electronic production in order to accommodate variances in local capabilities.
- 3.8 Printed Forms – Printed forms shall be produced by ACI. Employees are encouraged to purchase forms during on-cycle-printing in accordance with section 5.0 of this Department Order.
 - 3.8.1 Forms purchased through ACI shall not be photocopied for use.

4.0 FORMS DEVELOPMENT AND REVISION

- 4.1 Development – All Department forms shall be developed and approved for production by the Policy Unit Forms Coordinator under the authority of the Inspector General.
- 4.1.1 The Forms Coordinator shall determine if the development of a form/format is appropriate (See the Glossary of Terms.). If in doubt as to whether it's a form or format, the Forms Liaisons shall contact the Forms Coordinator.
- 4.1.2 Forms and formats created by other government or private agencies shall not be re-created as a Department Form. If required, these documents shall be included as an attachment to the appropriate Department Order.
- 4.1.3 A standard design layout, created by the Forms Coordinator and approved by the Inspector General, shall be used to develop new forms or to revise existing forms. Existing non-standard forms shall be converted to the standard design whenever an update is needed.
- 4.1.4 Multiple-part forms printed on NCR paper shall conform to the following NCR color sequence.
- 4.1.4.1 Two-part ... white, canary
- 4.1.4.2 Three-part ... white, canary, pink
- 4.1.4.3 Four-part ... white, canary, pink, goldenrod
- 4.1.4.4 Five-part ... white, green, canary, pink, goldenrod
- 4.1.4.5 Six-part ... white, blue, green, canary, pink, goldenrod
- 4.1.5 As part of the forms development and approval process, the Forms Coordinator shall assign a number to forms consistent with the Department's approved numbering system. The assigned number shall identify the authorizing Department Order and the approved method(s) of production. Forms translated into Spanish shall include a (S) designator in the number.
- 4.2 Requests for New or Revised Forms – Staff who determines that a new or revised form may be required shall contact their Forms Liaison, who shall work with the OPR to develop or revise forms. The Forms Liaison shall contact the Forms Coordinator early in the process for assistance and research in developing the form(s) and to prevent delay in the final development process. Development of new or revised forms may be the result of a statutory change, new or revised Department Orders, or by request from staff.
- 4.2.1 Requests for development of new or revised forms shall be made using the format outlined in Attachment A. The request shall be forwarded through the chain-of-command to the appropriate Forms Liaison, who shall forward the request to the Forms Coordinator.
- 4.2.1.1 If practical, a sample of the proposed or revised form shall accompany the request.

- 4.2.1.2 Each request for a revised form shall include justification that indicates why an existing form no longer meets the needs or requirements of the user.
- 4.2.1.3 Each request for a new form shall include an explanation of how this form will meet the needs or requirements of the user currently not being met by another form.
- 4.2.1.4 A recommendation for the type of production to be used for the form may be included in the request.
- 4.2.2 The Forms Coordinator shall:
 - 4.2.2.1 Accept the request for final development and notify the requestor in writing if the request violates the provisions of this Department Order and cannot be developed as submitted. Requests should be made through the Forms Liaison and/or the appropriate chain of command.
 - 4.2.2.1.1 The Forms Coordinator may contact the requestor to determine how the requestor's needs may be met.
 - 4.2.2.1.2 The notification shall detail the reason that the form can not be developed and may suggest alternative solutions.
 - 4.2.2.2 Forward a draft of an approved new or revised form to the appropriate Forms Liaison or OPR, for review by the requestor.
 - 4.2.2.3 Work in cooperation with the appropriate Forms Liaison or OPR and the requestor until the form has been satisfactorily developed or revised.
 - 4.2.2.4 Upon receipt of the OPR's final approval of a new/revised form, forward a sample of the approved form, print specifications and distribution instructions to ACI.
 - 4.2.2.5 Upon publication of a new/revised form in the Forms Announcement in accordance with Department Order #101, System of Written Instruction, provide instructions to ACI and Forms Liaisons on the disposition of the forms that are superseded as outlined in section 1.0 of this Department Order.
- 4.2.3 Any problems or questions that cannot be resolved shall be referred to the Policy Unit Manager for resolution and, if necessary, to the Inspector General for final determination.

5.0 PRINTING AND ORDERING FORMS

- 5.1 On Cycle Printing – ACI will process two on-cycle forms orders each fiscal year. The delivery date for forms ordered shall be 90 days from the date the order is due back.
 - 5.1.1 The first on-cycle forms order/price list will be mailed to the Forms Liaisons by July 15. **This order must be received by ACI by August 15.** Orders will be delivered by ACI by November 15.

- 5.1.2 The second on-cycle forms order/price list will be mailed to the Forms Liaisons by January 15. **This order must be received by ACI by February 15.** Orders will be delivered by ACI by May 15.
- 5.1.3 ACI shall provide the Forms Liaisons with updated pricing information on printed forms per pre-packaged unit, and the number of forms per pre-packaged unit. The pricing information shall remain unchanged until written notification is provided to the Forms Liaison by ACI. Once the order is consolidated, the actual price including discounts shall be sent to the appropriate Business Administrator.
- 5.1.4 The on-cycle order form shall establish the pricing for the smallest order. If the order is for a quantity larger than identified on the pricing list, a discount may be allowed by ACI. ACI shall notify ordering entities of any discounts for large quantity orders.
- 5.1.5 Orders for printed forms shall be prepared only by the Forms Liaison at each Institution or Division.
- 5.1.6 Forms Liaisons shall consolidate orders. Forms shall be ordered in sufficient quantities to meet the needs of local customers, dependent upon local warehousing/storage/operations capacity.
- 5.1.7 Users are encouraged to minimize the frequency of reorders and off-cycle orders to assist in taking advantage of quantity price-breaks, and minimize processing costs for purchase orders.
- 5.1.8 Forms shall be ordered in the pre-packaged amounts established by ACI. ACI may package forms in small quantity packages, usually 100 or less, dependent upon usage.
- 5.1.9 Requesting budget units shall prepare an order for forms as indicated by the instructions on the request and submit it to the appropriate Forms Liaison.
 - 5.1.9.1 The Forms Liaison(s) shall consolidate the orders and fill them from either the warehouse or other central inventory.
 - 5.1.9.2 After budget units acknowledge receipt of their orders, the appropriate Business Administrator shall process the transaction(s) for payment.
- 5.2 Off Cycle Ordering – Forms may be ordered during the off-cycle time period by contacting the Forms Liaison, who shall coordinate the order(s) with ACI. Prices shown on the cycle order/price list will be in effect. Volume discounts may apply when a sufficient quantity is ordered, as determined by ACI. Prices shown on the cycle order/price list will be in effect. Volume discounts may apply when a sufficient quantity is ordered, as determined by ACI.
- 5.3 Printing Forms – ACI and the Forms Liaisons shall only print or authorize the printing of forms that have been approved by the Forms Coordinator.
 - 5.3.1 Upon receipt of printing instructions, ACI shall print and prepare the forms for distribution as identified by the Forms Coordinator in accordance with section 4.0 of this Department Order.

- 5.3.2 ACI shall print sufficient copies of new forms, as determined by the OPRs, in consultation with the Forms Coordinator.
- 5.3.3 ACI-produced forms shall be printed and contain the approved ADC “Pin” Logo or a blue “ADC” watermark design developed by the Forms Coordinator and approved by the Director.

6.0 FORMS INVENTORY AND RECORD-KEEPING

- 6.1 Institution and Division budget units shall establish and maintain a consolidated "warehouse" inventory sufficient to meet the demonstrated needs of the entire institution or office.
 - 6.1.1 In accordance with coordinating forms storage and distribution, the Forms Liaison shall have unrestricted access to all locations within the unit/area where large quantities of forms are stored, to allow physical inventory, permit review of form stock levels, and verify appropriate form distribution. (“Large quantities” consist of more than 500 of any individual form.)
- 6.2 Based on usage experience, minimum quantities of forms to be stocked shall be determined to ensure timely reordering to coincide with on-cycle ordering and the specified ACI printing and shipping time lines.
- 6.3 The Forms Liaison shall ensure each budget unit request for forms is filled from on-hand inventory, or arrange for forms to be produced by ACI.
- 6.4 ACI shall maintain data on the number and type of forms purchased by budget units from the Print Shop and Copy Service.
- 6.5 ACI shall provide a report that includes the title and number of each form, the budget unit and quantity purchased, date(s) of purchase, and individual and aggregate cost of each form to the Forms Coordinator on an after-cycle basis.
- 6.6 The Forms Liaison shall maintain a record to track the quantity of forms ordered, forms received, and amounts paid to ACI for forms purchases, both on and off cycle order. This shall constitute the forms management of records for that respective budget unit/area.

7.0 ANNUAL INSPECTION – The Inspections Unit shall determine if:

- 7.1 Only approved electronic forms are being used.
- 7.2 ACI printed forms in use include the approved ADC “Pin” Logo or blue “ADC” watermark.
- 7.3 Only currently authorized forms are in use.
- 7.4 Required forms management records are being maintained.
- 7.5 Warehouse/office stock, distribution and reorder mechanisms are in place and functioning.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms

ATTACHMENT

Attachment - A, New Forms Request

ATTACHMENT A

MEMORANDUM

(Date)

TO: (Forms Coordinator)
FROM: (OPR/Forms Liaison)
SUBJECT: (New Form - Revision to existing form)

(Provide the following information in the body of the memorandum or electronic mail)

- Suggested Form Title
- Purpose of the form
- Who will be completing/using the form (staff, inmate, inmate family)
- Any similar forms (if known) or is the form to be used in conjunction with others
- Is the form new, revised (provide form number) or superseding another (provide form number)
- Please note if the form is being developed because of a statutory or policy change
- Whether or not the form is appropriate as an electronic format.
- Who the contact person will be (include name and telephone number)
- When form is needed (deadline)

Attachment

(Attach a sample of the form or a list of the information to be included on the form)