

CHAPTER: 100

Agency Administration/Management

DEPARTMENT ORDER:

114 – Forms Management System

OFFICE OF PRIMARY
RESPONSIBILITY:

DD

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ACCESS

Contains Restricted Section(s)

Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

A handwritten signature in black ink, appearing to read "David Shinn", is written over a horizontal line.

David Shinn, Director

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PURPOSE

This Department Order establishes a system for the management and control of forms, including the development, revision, production, purchase, 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 Policy and Research Unit is responsible for ensuring the effective and efficient development, revision, consolidation, and review of all Department forms and the production of electronic forms.

The Assistant Director for Arizona Correctional Industries (ACI) 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.

The Deputy Directors, Assistant 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 this Department Order when developing new forms or revising existing forms.

PROCEDURES

1.0 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 Policy and Research Unit Forms Coordinator shall ensure all forms are developed or revised in accordance with the following guidelines:

- 1.1 Forms shall not be modified **or tailored** to make them unique to a specific institution or bureau without authorization from the Office of Primary Responsibility (OPR).
- 1.2 Review existing form requirements for Department Orders under review and revision. 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. The Forms Coordinator shall:
 - 1.2.1 Consult with Form Liaisons to address form development and management issues.
 - 1.2.2 Ensure forms are user-friendly.
 - 1.2.3 Review existing forms that have not been revised during the calendar year to determine if they should be revised or rescinded.
 - 1.2.4 Consolidate and standardize forms and form processes to avoid the creation of redundant forms.
 - 1.2.5 Prepare a Forms Announcement for placement on the ADCNet quarterly. Forms Announcements shall provide updated information on forms and instructions regarding the disposition of existing stock.

- 1.3 New or revised forms designated for distribution to the:
 - 1.3.1 Inmate Master Record/Institution file shall be approved by the Offender Services Bureau Administrator.
 - 1.3.2 Inmate Medical Record shall be approved by the Assistant Director for Medical Services or designee.
- 1.4 Electronic Forms – The Forms Coordinator, in consultation with the OPR, shall develop electronic forms for placement on the ADCNet.
 - 1.4.1 Electronic forms, which indicate a distribution, shall be copied and distributed accordingly. The person who completes an electronic form is responsible for the distribution.
 - 1.4.2 Blank electronic forms may be printed by computer and copied for subsequent completion by hand.
 - 1.4.3 The following types of forms may not be available electronically:
 - 1.4.3.1 No Carbon Required (NCR) forms
 - 1.4.3.2 Forms with special printing instructions (such as colored paper, cardstock, laminate, etc.)
 - 1.4.3.3 Medical forms
 - 1.4.4 Department forms, which are deemed inappropriate for electronic use, shall be purchased through ACI.
- 1.5 Printed Forms - Printed forms shall be produced by ACI.
 - 1.5.1 Forms purchased through ACI shall not be photocopied for use.

2.0 ELECTRONIC SIGNATURES – Electronic signatures may be used for electronic forms, procurement actions (e.g., contracts, intergovernmental agreements, interagency services agreements, etc.), Department Orders, and other binding documents.

- 2.1 Use of electronic signatures shall only be authorized by the Director, Deputy Directors, Inspector General, or Assistant Directors.

3.0 FORMS LIAISON

- 3.1 The Deputy Directors, Assistant Directors, Wardens, Deputy Wardens and Administrators shall appoint a Forms Liaison for their area of responsibility.
- 3.2 The Forms Liaison shall:
 - 3.2.1 Coordinate requests for the development or revision of forms with the Forms Coordinator.
 - 3.2.2 Coordinate with the appropriate Business Administrator to order all printed forms from ACI.

- 3.2.3 Manage institution, unit or work area inventory.
- 3.2.4 Serve as the area coordinator for the institution, unit or work area.
- 3.2.5 Serve as the subject matter expert providing information, education and training to staff on the forms in accordance with this Department Order.
- 3.2.6 Maintain records in accordance with section 6.0.

4.0 FORMS DEVELOPMENT AND REVISION

- 4.1 Development - All Department forms shall be developed and approved for production by the Forms Coordinator under the authority of the Policy and Research Unit Administrator.
 - 4.1.1 The Forms Coordinator shall determine if the development of a form is appropriate.
 - 4.1.2 Forms created by other government or private agencies shall not be re-created as a Department form.
 - 4.1.3 A standard design layout, created by the Forms Coordinator and approved by the Policy and Research Unit Administrator, shall be used to develop new forms or to revise existing forms.
 - 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. Forms translated into Spanish shall include a (S) designator in the number.
- 4.2 New or Revised Forms Requests - Requests for new or revised forms 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 If practical, a sample of the proposed or revised form shall accompany the request.
 - 4.2.2 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.
 - 4.2.3 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.
 - 4.2.4 A recommendation for the type of production to be used for the form may be included in the request.

- 4.2.5 The Forms Coordinator shall:
 - 4.2.5.1 Work in collaboration with the appropriate OPR until the form has been satisfactorily developed or revised.
 - 4.2.5.2 Notify the requestor in writing if the request violates the provisions of this Department Order and cannot be developed as submitted.
 - 4.2.5.3 Forward a draft of an approved new or revised form to the appropriate Forms Liaison or OPR.
 - 4.2.5.4 Provide instructions to ACI on the disposition of new/revised forms.
 - 4.2.5.5 **In collaboration with the OPR, determine management of existing supply; either destroy or exhaust all existing supply and timeframes for such.**

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 calendar 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. Form orders must be received by ACI by August 15. Forms will be delivered by November 15.
 - 5.1.2 The second on-cycle forms order/price list will be mailed to the Forms Liaisons by January 15. Form orders must be received by ACI by February 15. Forms will be delivered by May 15.
 - 5.1.3 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 Business Offices shall prepare an order for forms as indicated by the instructions on the request and submits 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 Business Offices 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.
- 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.
- 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 ADCRR logo design developed by the Forms Coordinator and approved by the Director.

6.0 FORMS INVENTORY AND RECORD-KEEPING

- 6.1 Institution and Division Business Offices shall establish and maintain a consolidated "warehouse" inventory sufficient to meet the demonstrated needs of the entire institution or office.
- 6.2 ACI shall provide a report that includes the title and number of each form, the Business Office and quantity purchased, date(s) of purchase, and individual and aggregate cost of each form to the Forms Coordinator on an after-cycle basis.

7.0 ANNUAL INSPECTION - The Inspections Unit shall determine if:

- 7.1 Only authorized electronic and ACI forms are being used.
- 7.2 ACI printed forms in use include the approved ADCRR logo.
- 7.3 Required forms management records are being maintained.
- 7.4 Warehouse/office stock, distribution and reorder mechanisms are in place and functioning.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms for the following:

- **Form**
- **Format**

- **Forms Liaison**
- **Forms Listing**
- **Off Cycle Printing**
- **On Cycle Printing**

AUTHORITY

A.R.S. §39-103, Size of public records; Public Employee