



**DEPARTMENT OF CORRECTIONS  
Institutions**



<b>Title:</b> <b>Forms Control</b>	<b>DOC Policy: 10.1.3</b>
<b>Supersedes: Procedure #53, Forms Control dated 10/1/98</b>	
<b>Applicability: All functional units</b>	
<b>Directives Cross-Reference: None</b>	

**I. PURPOSE**

To establish a method of forms adoption and review of forms to ensure the control and standardized use of forms throughout the Department of Corrections.

**II. DEFINITIONS**

- A. Division Forms Control Liaison: A person appointed by the division Assistant Director to serve as liaison/representative between that division and the forms control coordinator. Liaisons will be contacted to discuss issues as deemed necessary by the forms control coordinator and will be responsible for coordinating input from staff in their respective division as needed and maintaining the division forms manual.
- B. Department of Corrections Form: Any document/format used throughout the department as a standard, directed to be used through DOC rules and procedures, and of which 100 or more copies is used per year.
- C. In-House Form: Any document/format that is specific to one or more functional unit, but that is not standard department practice or directive.
- D. Forms Control Coordinator: The person appointed by the Director or Deputy Director to administer the provisions of this procedure, work with division forms control liaisons, and be responsible for the department forms manual.
- E. Format: The layout of a form on a page, including paper size, color and type.

**III. POLICY**

**A. General Guidelines for Department Forms**

- 1. Any form that is a Department of Corrections form will be assigned a CD number by the forms control coordinator which is to be placed in the lower right-hand corner followed by the month and year of the most current revision date.
- 2. All department forms will be registered in the Department of Corrections forms manual.

3. Any form that is adopted and registered by the department will be used by all functional units to meet the operational function(s) for which the form was designed.
4. Forms will be standardized and designed to maximize multiple functions and eliminate duplications.
5. A form will begin with the main title of "Department of Corrections" and will be followed with the bold subtitle "Name of Form" that best describes the purpose of the form.
6. A department form will not list the name of a functional unit in the title or subtitle(s).
7. A form may list the standardized distribution on the lower left-hand side of the form.
8. No form will be printed with a CD number, nor will the purchase order be approved, if it is not registered in the department forms manual as the current version of that form.

**B. In-House Forms**

1. Forms that are specific to certain functional unit uses will not be assigned a CD number nor will they be registered in the department forms manual.
2. If the in-house forms relate to an in-house procedure or are deemed "important" by the functional unit manager, an in-house numbering system may be developed in that functional unit for in-house forms only.
3. If an in-house numbering system is developed, it shall not include any or modification of a Department of Corrections form into an in-house form. If the forms exists as a department form, it shall not be designated as an in-house form.
4. If special circumstances exist where a functional unit must deviate from a department form, it must be discussed and approved by the division forms control liaisons and the forms coordinator.
5. Functional units which decide to use an in-house numbering system will use a designation in place of "CD". This designation should not be the same as another functional unit's in-house designation and should correspond to the functional unit title. (i.e. "W" for OWCC, "P" for OSP, etc.)

### **C. Forms Manual**

1. The Department of Corrections forms manual shall be the responsibility of the forms control coordinator.
2. The manual will include numeric and alphabetic indexes as well as a hard copy and printing instructions for each department form.
3. Any revisions to old forms and requests for new forms will be monitored by the forms control coordinator and a posting will be distributed monthly, or as necessary, to liaisons with changes or additions for the forms manuals. The posting will consist of copies of new and revised forms as well as updated indexes. It will be the responsibility of each manual holder to keep up-to-date.
4. Forms manuals (other than the master manual) will be maintained by each division forms control liaison.

### **D. Forms Adoption and Revision**

1. A request for a new or revised form may be submitted by any employee, contractor or volunteer to the forms control coordinator.
2. Prior to submission, the originator will distribute the request to specific areas of the department, which will use or be impacted by the form request, for review and comment. The originator will communicate with the division forms control liaison with problems or questions during this process.
3. The originator will assure that recommended changes have been made and submit the form to the forms control coordinator.
4. Upon receipt of the request, the forms control coordinator will review spelling, spacing and format, and return it to the originator for any corrections. The coordinator will also assure that all work areas or staff who may be impacted by the request have been contacted.
5. If there are no discrepancies regarding the form, the forms control coordinator will assign the CD number and/or new revision date, register it in the department forms manual and distribute it in the next posting.

### **E. Forms Orders**

1. All orders for a form(s) will be processed as follows:
  - a. OSCI Print Shop using CD633; or
  - b. State printer using CD206; or
  - c. May be photocopied if very few forms are needed and it will not alter the format in any way.

2. Ordering of forms will be the responsibility of the requestor and will be done on an as-needed basis.
3. Neither the Services Division Print Shop at OSCI nor the state printer will produce an order for any Department of Corrections form that is not registered in the Department of Corrections forms manual.

**F. Forms Automation**

Department of Corrections forms may be automated for convenience and timeliness only if the format of the automated electronic copy is consistent with the format of the original form registered in the forms manual.

**III. IMPLEMENTATION**

This policy will be adopted immediately without further modification.