

1.412 FORMS MANAGEMENT (11.4.2)

1.412.02 University Forms Management

- A. The university has a forms management program consistent with **State Government (SG) § 10-604** through **§ 10-608**.
1. The program requires that all university forms must be approved by a forms management officer and maintained in a central listing and repository.
 2. The agency complies with the university's forms management program in addition to maintaining its own forms management program, as described in **1.412.04**.
- B. The university's forms management officer reviews, approves, and reports on forms created by or for departments and operations administered by the university in order to avoid redundancy and assure that forms are relevant for their designed purposes.
- C. For purposes of the university's forms management program, forms are documents that contain fixed arrangements of captioned spaces designed:
1. For entering and extracting prescribed information; and
 2. In standard formats for the systematic and repetitive collection, maintenance and/or transmission of information.
- D. For purposes of the university's forms management program, forms are NOT:
1. Worksheets, such as reports, logs, charts, schedules, checklists, applications, records, and other documents used exclusively by the department of origin which, when completed, are not retained for audit purposes;
 2. Forms created by other entities, such as federal, system, state, county, municipal, corporate, other universities and institutions;
 3. One-time forms used for specific projects, such as survey documents;
 4. Form letters or memoranda;
 5. Letterhead, envelopes, tab cards, etc.;
 6. Licenses, certificates, or diplomas;
 7. Brochures, maps, manuals, booklets, pamphlets, posters;
 8. ID cards, passes, permits;
 9. Tests, examinations, quizzes;
 10. Menus, announcements; and
 11. Contracts, agreements.

- E. New and revised agency forms coming under jurisdiction of the university's forms management program will be sent through the appropriate commander consistent with **1.200 Organization** to the forms management officer for review.
- F. The university's forms management officer must be notified by form management date and number when forms covered by the university's forms management program are discontinued or revised.

1.412.04 Intra-Agency Forms Management

(17.5.3, 82.3.4)

- A. Employees will make concerted efforts to keep the number of agency forms low to promote efficiency, effectiveness, and fiscal responsibility.
- B. For purposes of the intra-agency forms management program, forms are documents that:
1. Meet the criteria of university forms; and
 2. ARE worksheets, such as reports, logs, charts, schedules, checklists, applications, records, and other documents used exclusively by this agency that, when completed, may or may not be retained for audit purposes.
- C. The commander responsible for the logistics function is designated as the agency's Forms Control Manager (FCM) and is responsible for:
1. Being the official liaison to the university's forms management officer;
 2. Coordinating and managing the intra-agency form management program;
 3. Reviewing form requests and evaluations and making recommendations based on agency needs, best practices, and applicable controlling directives;
 4. Consulting with employees who will or currently use the forms;
 5. Ensuring the Accreditation Manager reviews forms for compliance with applicable CALEA standards;
 6. Ensuring formats are consistent with any records maintenance or data-processing requirements;
 7. Ensuring master copies of forms are created;

8. Ensuring form names, numbers, and revision dates to forms are assigned and updated as they are approved or revised;
 9. Ensuring the agency's FORMS SYSTEM contains form names, numbers, instructions, and implementation and revision dates;
 10. Ensuring the Chief OR DEPUTY CHIEF APPROVES NEW AND REVISED FORMS BEFORE THEY ARE IMPLEMENTED AND MADE AVAILABLE TO EMPLOYEES;
 11. ENSURING FORM MASTERS AND INSTRUCTIONS ARE MAINTAINED AS ON-LINE RESOURCES;
 12. Ensuring agency forms are periodically reviewed to determine if forms need to be created, combined, revised, or deleted to meet the needs of the agency.
- D. Duties and responsibilities of the Logistics officer include, but are not limited to:
1. Ensuring that forms used by the agency are obtained, purchased, printed, or copied as needed;
 2. Consulting with the FCM to ensure that the most current versions of forms are being used;
 3. Ensuring that only good quality originals are used when forms are being produced or reproduced;
 4. Ensuring reasonably adequate supplies of forms are distributed and available;
 5. Ensuring procedures are in place for maintaining records of traffic citations to include:
 - a. Issuing citation forms to officers;
 - b. Accounting for citations; and
 - c. Securely storing the reserve supplies of citations; and
 6. Conducting periodic spot-checks on form supplies to refresh HARD COPY supplies as necessary.
- E. Employees will:
1. Use only those forms and versions approved by the agency or required by external controlling directives, such as Statement of Charges, ACRS reports, moving violations, missing person reports, etc.;
 2. Use forms for their intended purposes and consistent with related instructions and/or training;
 3. Inform their supervisors and the Logistics Officer when on-hand supplies of PRINTED forms appear to be getting low; and
 4. Submit requests explaining and justifying needs for new or revised forms through their respective chains of command to the FCM. Supervisors and commanders who review form requests will give their written comments. Mock-ups of new forms or corrected copies of old forms may be included with form requests.
- F. THE FORM-NUMBERING FORMAT USED BY THE AGENCY WAS ESTABLISHED BY THE UNIVERSITY'S FORM CONTROL PROGRAM. EXAMPLE: UPO.123.D.
1. THE FIRST THREE SPACES OF THE FORM NUMBER WILL ALWAYS BE "UPO" FOR "UNIVERSITY POLICE DEPARTMENT.
 2. THE NEXT THREE SPACES IS A SEQUENTIAL NUMBER ASSIGNED BY THE FCM TO THE FORM.
 3. A LOWER CASE "e" AFTER THE THREE DIGIT NUMBER SIGNIFIES THAT IT IS AN ELECTRONIC FORM.
 4. THE LAST SPACE OF THE FORM NUMBER WILL EITHER BE A "D" FOR FORMS THAT ARE INTENDED FOR USE WITHIN THE AGENCY, OR "P" FOR FORMS THAT ARE DISTRIBUTED OUTSIDE THE AGENCY AND ARE ALSO TRACKED THROUGH THE UNIVERSITY'S FORM MANAGEMENT PROGRAM.
 5. FORM NUMBERS ARE FOLLOWED BY A FOUR-DIGIT DESIGNATOR FOR THE MONTH AND YEAR OF THE FORM VERSION. EXAMPLE: (04/05) = (MM/YY).
 6. FORM NUMBERS AND VERSION DATES ARE INCLUDED IN ALL DEPARTMENTAL FORMS.