

ADDENDUM
to
CHAPTER 1700
of the
STATE
ADMINISTRATIVE
MANUAL

This Addendum provides an overview of the application of efficient and economical management methods to the creation, maintenance, use and disposition of the State's forms. It is designed to be used with the Forms Management Handbook and the Forms Design Handbook.

Policy for this program is in Chapter 1700 of the State Administrative Manual (SAM).

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Fulfillment Services
Office of State Publishing
Department of General Services
September 2008

INTRODUCTION

State of California
Department of General Services

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Subject	Page Number
STATUTORY AUTHORITY	1
TERMS AND DEFINITIONS	1
GOALS OF FORMS MANAGEMENT	2
FORMS MANAGEMENT RESPONSIBILITIES	2
Agency Responsibilities	2
Program Structure	3
Responsibilities of the Departmental Forms Coordinator	3
Responsibilities of the Forms Management Center	4
IMPLEMENTING THE AGENCY FORMS MANAGEMENT PROGRAM	5
FORMS DESIGN	5
Form Identification	5
STANDARD STATE (STD.) FORMS	6
Low-use Forms (previously called camera-ready forms)	7
Agency Requests for Modified, Overprinted or Electronic STD. Forms	7
ELECTRONIC FORMS	8
BUSINESS USE FORMS/REPORTS INVENTORY	9
PUBLIC USE FORMS	9
PRIVACY AND DISCLOSURE	10
DISPOSAL OF ACCOUNTABLE FORMS	10

TABLE OF CONTENTS

SAM 1700 ADDENDUM

STATUTORY AUTHORITY

Government Code Sections 14750; 14750, 14740-14741.1, 14770-14775

TERMS AND DEFINITIONS

Business – A business is any partnership, corporation, organization, business trust, or any nongovernmental entity or representative thereof, who supplies the state with information by filling out a form.

Business Use Form/Report – Any form/report used by State agencies to solicit information (including signatures) from a business entity.

Low-Use Forms – Low-use STD. forms are ordered from the Office of State Publishing on a Publishing Order, STD. 67.

DGS – The Department of General Services.

Departmental Forms Coordinator (DFC) – The individual appointed to act as the liaison between a State department, board, commission, or other agency, and the Forms Management Center.

Electronic Form – A form designed or filled out on electronic media.

Forms – Forms are any preprinted or electronic documents containing fixed messages or requests that are used repeatedly. Variable data or fill-in spaces may or may not be included. This definition applies to all temporary or permanent forms. It applies whether a form is printed by the Office of State Publishing or on agency duplicating equipment. It includes such items as form letters, tags, labels, continuous forms, tab cards and envelopes. Data entry screens and reports from databases are included in this definition.

Forms Management – Forms management is the use of analytical techniques applied toward the development, design, production, procurement, stocking, and distribution of effective forms. These techniques carry with them the ultimate goal of effective and efficient systems and procedures for identifying existing forms and for authorizing proposed new or revised forms. It ensures that unused or obsolete forms are removed from the system.

Forms Management Center (FMC) – The unit in the DGS Office of State Publishing that is charged with carrying out the forms management responsibilities of the DGS Director.

Forms Management Unit –The organizational unit responsible for administration of the program in an agency.

Standard Form – Another name for a “Standard State Form”.

STD. – The designation for a Standard State Form, e.g., STD. 262.

GOALS OF FORMS MANAGEMENT

Forms, whether paper or electronic, are templates for information gathering. After information is entered, a form becomes a record. Forms management involves analyzing, creating, designing, printing, purchasing, stocking, controlling inventories, and distributing effective forms. The goals of a forms management program are:

1. Developing and managing effective systems, policies and procedures for both people and machines;
2. Having the right forms available at the right times;
3. Standardizing forms, policies and procedures;
4. Improving work flow;
5. Reducing the cost of processing, using, filing, and retrieving information contained in forms.
6. Reducing printing costs.

FORMS MANAGEMENT RESPONSIBILITIES

The forms management program is mandatory. Its effectiveness depends on a clear understanding of the responsibilities of the operating agencies and the Department of General Services. The responsibilities described below are derived from the statutes cited in SAM 1700. They are formulated from good business practices and gathered from forms professionals and forms associations. Discussions of these practices are included in the material listed in the Recommended Reading List at the back of the *Forms Management Handbook*. This handbook is available from the FMC.

AGENCY RESPONSIBILITIES

The responsibilities of your agency are:

1. Establishing and maintaining an active, continuing program for the economical and efficient management of forms in the agency.
2. Appointing one person to coordinate the program within the agency as required by G.C. 14772. The agency forms management representative is referred to as the Departmental Forms Coordinator in these instructions. The person appointed

should have skills appropriate to accomplish the duties described in these instructions. FMC recommends that the appointment be at a level not lower than Staff Services Analyst or equivalent. The person should be familiar with the agency programs and procedures.

3. Providing assistance to implement the forms management program within the agency.
4. If responsible for the content of any Standard (STD.) form, assuring timely response to requests for information from the Forms Management Center.

PROGRAM STRUCTURE

Forms management is a staff activity. The program should be located at a level high enough to give the perspective and authority needed for across-the-board improvements and to provide technical guidance and department-wide coordination between functions. Ideally, the program should be centralized.

The choice of a centralized or decentralized program will depend on availability of staff resources and the overall structure of the organization. Whichever arrangement is

chosen, the program needs backing, upper-level support, and stature in the organization to be successful. More detailed information on structure and organization of a forms program is available in the *Forms Management Handbook*.

RESPONSIBILITIES OF THE DEPARTMENTAL FORMS COORDINATOR (DFC)

On behalf of the agency, the DFC is responsible for:

1. Coordinating the agency forms management program.
2. Delegating duties to other appropriate personnel.
3. Acting as the contact between the agency and the FMC.
4. If the agency is responsible for the content of any STD. form, providing timely response to requests for information from the FMC.
5. Inventorying and establishing an ongoing system of controls for the forms ordered and maintained by the agency.
6. Providing safeguards in all forms management activities for the protection of individual privacy and confidentiality of information.
7. Reviewing and approving requests for printing or creation of electronic versions of

- forms for the agency or delegating those responsibilities in the way that is most effective for the agency.
8. Determining that only necessary forms are ordered or established in electronic media and that those forms meet the standards set forth in the *Forms Design Handbook*.
 9. Ensuring that the new or revised forms meet the standards set forth in the *Forms Design Handbook* and the *Forms Management Handbook*.
 10. Ensuring discontinuance of obsolete forms from the agency system.
 11. Conducting research into forms management problems.
 12. Conducting forms analysis for designing or redesigning the agency's forms.
 13. Being responsible for reports required by the FMC for administration of the program. These include, but are not limited to, reports on the agency Public Use Forms Program and the Business Use Forms/Reports Program.

14. Distributing information on forms management activities.
15. Coordinating with the agency training office to provide and make arrangements for appropriate training of forms management personnel.

RESPONSIBILITIES OF THE FORMS MANAGEMENT CENTER

The FMC is responsible for carrying out the provisions of G.C. 14770 on behalf of the Director. These responsibilities are:

1. Establishing standards, policies and procedures to carry out the State's Forms Management Program.
2. Assisting agencies in developing programs for the effective management, analysis, design, and purchase of forms.
3. Establishing a program for the management of the State's STD. forms.
4. Studying, developing, designing, revising, coordinating, and managing the State's STD. forms in cooperation with the agencies responsible for their content.
5. Reviewing forms that have an impact on private business.
6. Establishing and maintaining basic design and specification criteria for the State's forms.

7. Providing training and instruction in forms analysis, design, and management.
8. Obtaining information and reports from agencies as required to administer the program and evaluate its progress.
9. Preparing reports as required by the Legislature.

IMPLEMENTING THE AGENCY FORMS MANAGEMENT PROGRAM

Good business practices indicate that all agencies, whether large or small, should follow certain steps to implement an effective forms management program. The following steps should be included in the implementation.

1. Appoint a departmental forms coordinator;
2. Write and distribute forms management goals (or vision and mission statements), policy, and procedures;
3. Announce the program;
4. Train forms personnel;
5. Enable, facilitate, and support the responsibilities of the Departmental Forms Coordinator listed on page 3 of these instructions.

Detailed information on each step is available in the *Forms Management Handbook*.

FORMS DESIGN

Agencies should design and construct forms for their most efficient use. Properly designed and constructed forms can be printed more economically and processed more efficiently. Use the design standards, criteria, and techniques presented in the *Forms Design Handbook*.

Your agency should include staff of the Forms Management Unit early in the discussion of changes to systems where any forms are involved. This allows early input by the Forms Management Unit into lead times required, analysis of the forms' final layout, construction, printing specifications, manufacturing time, and shipment by the printer.

FORMS IDENTIFICATION

All agency forms must show certain identifying information. If there is space, you should locate this information together. The *Forms Design Handbook* shows formatting for this information.

Form Titles – Form titles must describe both the form's subject and function. See the *Forms Management Handbook* for help with titling forms.

Form Numbers – Ideally, form numbers should be prefixed by the initials of the agency, i.e.,

FTB, WRCB, etc. The numbers may follow any plan or scheme that works for your agency but must not duplicate a number already in use by the agency. An exception is allowed if a number is differently prefixed or suffixed. A form used by an office or division within an agency may carry a sub-prefix. An example is "GS-OAS," for the DGS, Office of Administrative Services. Suffixes are often helpful to show field office versions with different mailing addresses or close relationship to another form, such as FTB 1000-LA, or DOJ 1000B.

Creation or Revision Dates – The date, if the form is new, must be the month and year in which the form was created or first distributed, such as "NEW 1-96". If it is revised, the date will be the month and year in which the form was revised, such as "REV. 1-96". The notation "TEMP" may be used instead of "NEW" or "REV." on a form intended to be temporary, such as a form used in a short-term project. "TEST" or "PILOT" may be used on forms being tested before release to all users.

Printed Employee Names – It is not advisable to preprint names on a form unless there is a compelling reason to do so. An exception may be made for names of elected or appointed officials.

STANDARD STATE (STD.) FORMS

Whenever possible, agencies should use Standard State (STD.) forms instead of creating their own agency forms. Order STD. forms through the Office of State Publishing, Forms Management Center. The STD. Forms Website contains information on available STD. forms. Please go to the following website: <http://www.osp.dgs.ca.gov/StandardForms/Default.htm>.

The FMC coordinates STD. forms with agencies responsible for the content of those forms. If your agency is responsible for a form that must be used by all agencies statewide, you should submit it to the FMC for consideration as an STD. form. A sponsoring agency is not charged for the printing or warehousing of an STD. form for which it is responsible. An agency that would prefer to pay for an STD. form should contact the Forms Management Center.

Submit a Standard Form Approval Request, FMC 110, which is available from the FMC. Attach a copy of the form (or a draft or mock-up). If the form has been printed as a departmental form, include a copy of the last printing order.

An agency may compose a form submitted for inclusion in the Standard Forms Program. It must, however, be considered a draft and will be recomposed into the FMC's forms design system.

If the FMC accepts a form, the sponsoring agency must help with periodic review of the form. The FMC does not reprint STD. forms without review and approval by the responsible agency. Responsible agencies must pay for out-of-date or obsolete forms that are removed from stock at the Materials Services Warehouse. Plan revisions to avoid this cost if at all possible.

If a form is removed from coordination as an STD. form and returned to the agency which has authorship responsibility, the agency must change the form number at the next printing. Such forms may carry a statement such as: "(Formerly STD. XXX.)"

LOW-USE FORMS (PREVIOUSLY CALLED CAMERA-READY FORMS)

Forms generating less than \$600 annually and with less than a minimum number of orders every month cannot be efficiently kept in stock at the STD. Forms Warehouse. These are considered to be in the "low-use" category.

Low-use STD. forms are made available to users through the Office of State Publishing from a print-on-demand system. Order these forms on an STD. 67, Publishing Order. More than one low-use form may be ordered on an STD. 67. It is the responsibility of the DFC to notify the department offices of the availability of these forms.

AGENCY REQUESTS FOR MODIFIED, OVERPRINTED, OR ELECTRONIC STD. FORMS

Modified STD. Forms – If your agency has a significant and compelling need for a modification of an STD. form for your agency only, you must request approval in writing from the FMC. This request must first be reviewed and approved by your agency DFC. Explain the need for the change and the benefits expected and attach a mock-up or draft of the modified form. If the FMC finds the request is reasonable, they will then ask the responsible agency if the modification can be accepted. If the request is granted, a copy of the FMC's approval must be attached to any request for printing. No approval will be valid for more than one year unless specifically stated in the approval by the FMC. This is to ensure that you are not reprinting forms that have been revised.

Standard forms modified by an agency with approval of the FMC will carry the STD. number and the naming convention of the generating agency, such as “STD. 15 (REV. 6-95) DGS 210 (REV. 1/2002).”

Overprinted STD. Forms – If your agency purchases STD. forms in their original paper form and wishes to overprint with agency information, you must request pre-approval from the FMC. Send the FMC a written request with a copy of the form as you wish it overprinted. The OSP will not overprint STD. forms without approval from the FMC.

Overprinted forms do not need special identification of the using agency if it is identified in the material overprinted.

Electronic STD. Form – You must also request approval for your agency to use an electronic version of an STD. form that was not distributed by the FMC. The procedure is the same as the request for a modified STD. form. The form must carry the STD. number and the naming convention of the generating agency, such as “STD. 15 (REV. 6-95) DGS 210 (REV. 1/2002).”

ELECTRONIC FORMS

Forms can be designed on, stored in, filled out, and transmitted by electronic media. The management principles applied to paper forms should also include and be applied to electronic forms.

Forms designed and generated via electronic media should conform to the design standards recommended in the *Forms Design Handbook*.

Users of forms stored in electronic media should be made aware that changes should not be made to those forms without appropriate review and approval. This review and approval is the responsibility of the DFC. While it is appropriate for a staff person to design a form on electronic media, the form must be considered a draft until approved by the DFC. Call the FMC for information about forms design software and appropriate hardware.

BUSINESS USE FORMS/REPORTS INVENTORY

G.C. 14771 and 14775 require the ongoing development, maintenance, and review of a statewide inventory of non-tax business-use

forms and reports used by State agencies to collect and/or solicit information from businesses.

This inventory is known as the Business Use Inventory (BUI) and should include both agency and STD. forms and reports. For the purpose of the inventory, a business is defined as a nongovernmental entity such as a corporation, organization, partnership, business trust, etc.

On an annual basis, each state agency is required to review one-third of its non-mandated forms/reports on its BUI. This review process is required on an annual basis so that each form/report is reviewed every three years. As part of this review process, one-third of the non-mandated forms/reports must be either eliminated or certified for continued usage. Agency heads can certify their non-mandated forms/reports for continual usage if the forms/reports meet all of the following criteria:

1. The agency needs the form/report to meet other specific statutory requirements;
2. The agency has the authority to require the form/report;
3. The form/report is not duplicative of, or in conflict with, other forms/reports required of a business by the agency;

4. The information contained on the form/report cannot be obtained in a more cost-effective manner;
5. The agency actually reviews, and is actively using, information previously obtained on the form/report.

State agencies are required to maintain their certification documentation. However, a summary of the status of the non-mandated forms/reports reviewed must be sent to DGS each year. In addition, State agencies may be requested to provide their certification documentation to DGS as part of an SB 1898 audit.

PUBLIC USE FORMS

G.C. 14771(a)(12) requires that forms used by the public have assigned control numbers. The agency form number serves this purpose and must appear on the form as part of the identification.

Your agency may not ask for or require members of the public to supply information to the State on a form that is not identified as described in this Addendum.

Each agency must identify forms used by the public and keep an index and inventory listing of them. You may contact the FMC for information about the Public Use Forms Program.

PRIVACY AND DISCLOSURE

State and Federal laws protect people's privacy and confidential information. Your agency must obey these laws when gathering or disclosing information about an individual. The Information Practices Act requires that Privacy Statements be included on forms that gather such information.

DISPOSAL OF ACCOUNTABLE FORMS

Your agency is responsible for all of your accountable forms. Destruction must be witnessed by a member of your agency's internal audit unit. If there is no such unit, then it must be witnessed by an agency employee who is not directly responsible for handling or accounting for the documents or the fees for which the documents are issued.

After your documents are destroyed, you must write a memo that certifies the following:

1. The reason for destroying the documents;
2. The type and number of the destroyed documents;
3. That all documents listed were destroyed;
4. How the documents were destroyed; and
5. The date the documents were destroyed.

The memo must be in duplicate and signed by the witness. Keep and file one copy of the memo and give the second copy to the witness.