

Chapter 1700 - Forms Management

1700 PROGRAM SUMMARY, RESOURCES, AND CONTACTS (Revised 9/09)

The State Forms Management Program (FMP) is mandated and governed by [Government Code Sections 14770-14775](#).

The Forms Management Program is administered by the Forms Management Center (FMC) which is located within the Department of General Services, Office of State Publishing at 344 North 7th Street (IMS P-06), Sacramento, California 95811. For inquiries, telephone the FMC at (916) 323-0311, or fax (916) 376-6340.

This chapter provides major policy for the State FMP. The State FMP includes, but is not limited to, criteria for forms design, purchasing, printing specifications, delivery, and inventory control systems. Procedures for complying with this policy are contained in handbooks available from the FMC. An Addendum to SAM Chapter 1700 is also available. The [Addendum to SAM Chapter 1700](#) contains additional information such as the responsibilities of the Departmental Forms Coordinator (DFC). To access the Addendum to SAM Chapter 1700 (PDF), please go to:

http://www.documents.dgs.ca.gov/osp/pdf/SAM_Addendum_Chapter_1700.pdf

The Forms Management and Forms Design handbooks and Addendum to SAM Chapter 1700, are part of the FMC's resource documents and are based on 'best business practices' for forms programs. They contain guidelines, procedures, instructions, terms and definitions, recommended readings, and other detailed information relating to the State FMP. For additional information please refer to the handbooks, SAM Section 1715, Forms Management Training and Guidelines and the Addendum to SAM Chapter 1700.

A DFC and/or other staff involved in the State FMP responsibilities should contact the FMC for detailed information relating to the State FMP. See SAM Section 0030 for contact names and telephone numbers.

1701 STATUTORY AUTHORITY (Revised 9/09)

[Government Code Section 14770](#) requires the Director of the Department of General Services (DGS) to ". . . establish and staff an activity within the department to be known as the 'forms management center' for the orderly design, implementation and maintenance of a statewide forms management program." This activity includes the study, development, coordination, and initiation of State Standard (STD.) forms (forms of interagency and common administrative usage) which is required by [Government Code Section 14771\(a\)\(2\)](#).

[Government Code Section 14771\(a\)\(9\)](#) requires the Director of the Department of General Services (DGS), through the Forms Management Center (FMC) to "develop and promulgate rules and standards to implement the [State Forms Management Program]." These rules and standards include responsibilities of the FMC, State agencies, and Departmental Forms Coordinators (DFCs).

[Government Code Section 14771\(a\)\(14\)](#) requires the Director of the Department of General Services (DGS), through the FMC, to ". . . provide notice to state agencies, forms

management representatives, and departmental forms coordinators, that in the usual course of reviewing and revising all public-use forms that refer to or use the terms spouse, husband, wife, father, mother, marriage, or marital status, that appropriate references to state-registered domestic partner, parent, or state-registered domestic partnership are to be included."

The term 'agency' refers to appropriate departments, offices, boards, commissions, etc.

1705 ESTABLISHING THE AGENCY PROGRAM
(Revised 9/09)

[Government Code Section 14750\(a\)](#) requires each agency head to "establish and maintain an active, continuing program for the economical and efficient management of the records and information collection practices of the agency. The program shall ensure that the information needed by the agency shall be obtained with a minimum burden upon individuals and businesses..."

[Government Code Section 14771\(a\)\(4\)](#) requires the Director of the Department of General Services (DGS), through the Forms Management Center (FMC), to "provide assistance, training, and instruction in forms management techniques to state agencies, forms management representatives, and departmental forms coordinators . . ."

[Government Code Section 14772](#) requires the director of each State agency to ". . . appoint a forms management representative and provide necessary assistance to implement the State Forms Management Program within the agency." The Forms Management Representative (FMR) usually has a level of responsibility equivalent to a staff services manager position.

The FMR appoints and works with the Departmental Forms Coordinator (DFC) to manage and maintain the Forms Management Program (FMP) within the agency. The primary responsibility of the DFC is to serve as liaison between the agency and the FMC. The DFC usually has a level of responsibility equivalent to that of a staff services analyst position.

These appointments are made using the form FMC 105 – State Forms Management Program Appointments, signed by the department director, and submitted to the Forms Management Center (FMC). You may access a copy of the FMC 105 via the following website address:

<http://www.osp.dgs.ca.gov/StandardForms/forms+Coordinators.htm>

Agencies may also staff their FMP with forms program managers, forms analysts, forms designers, forms authors, forms programmers, and proofreaders to assist their Forms Management Representative (FMR) and Departmental Forms Coordinator (DFC) in carrying out the forms management responsibilities of the agency.

Classifications commonly used to staff the FMP have been staff services managers, associate governmental program analysts, staff services analysts, digital composers, information officers, and information systems analysts. Staff assigned to the FMP should possess the skills, knowledge, and abilities to carry out the duties detailed in SAM Chapter 1700, the [Addendum to SAM Chapter 1700](#), and the FMC's handbooks.

[Government Code Sections 14771\(a\) and 14775](#) require the director of each State agency

to fulfill legislative requirements needed to effectively implement the State Forms Management Program (FMP). Such requirements may involve submitting various reports to the DGS FMC.

1710 TERMS AND DEFINITIONS
(Revised 9/09)

Business-Use Forms/Reports – State forms and/or reports used to collect and/or solicit information from businesses. See [Government Code Sections 14771\(c\) and 14775](#).

Public-Use Forms – State forms used to obtain or solicit facts, opinions, or other information from the public or private citizens, etc. See [Government Code Section 14741\(1\)](#).

State Standard (STD.) Forms – State forms developed for use by all agencies to carry out common statewide administrative functions. See [Government Code Sections 14771\(a\)\(2-6\)](#).

Agency / Departmental Forms – State forms created and used specifically by an agency to carry out the agency's administrative functions. The term 'agency' refers to appropriate departments, offices, boards, commissions, etc.

Forms Management Representative (FMR) – An individual appointed by the department's director to implement the agency's FMP. See [Government Code Section 14772](#).

Departmental Forms Coordinator (DFC) – An individual appointed by the department's FMR to serve as liaison between the agency and the FMC.

1715 FORMS MANAGEMENT TRAINING AND GUIDELINES
(Revised 9/09)

As required by [Government Code Section 14771\(a\)\(4\)](#), the Forms Management Center (FMC) provides training and assistance in all aspects of establishing and implementing the State Forms Management Program (FMP). The training consists of three classes, Forms Management, Forms Analysis and Design, and Introduction to Electronic Forms. These classes are available to any State employee who has forms management, analysis, and/or design responsibilities. Departmental Forms Coordinators (DFCs) are strongly encouraged to attend these classes.

State agencies may contact the FMC to coordinate and schedule training sessions.

All agencies must implement an effective FMP as detailed in the Forms Management Handbook, SAM Chapter 1700, and the [Addendum to SAM Chapter 1700](#). The handbook and Addendum to SAM Chapter 1700 contain guidelines for the program and are used in the FMC's classes. The Forms Design Handbook, which is used in the Forms Analysis and Design Class, explains the basic techniques and criteria of proper forms design for the State of California.

State agencies may contact the FMC to request copies of the Forms Management and Forms Design handbooks.

1720 FORMS DESIGN STANDARDS

(Revised 9/09)

Forms can be filled out and designed on paper or by electronic media. Agencies should follow the forms design standards, criteria, and techniques presented in the Forms Design Handbook. All agency forms and all STD. forms must contain the term 'State of California', the authoring department's name, a form title, a form number, and a form creation or revision date. Contact the Forms Management Center (FMC) for information about forms design standards and forms design software.

Refer to SAM Section 1710 for Agency Forms and STD. Forms definitions.

Forms not included in the STD. Forms Program may not carry 'STD.' or any variation of that designation as a prefix to the form number. If a form is removed from coordination as an STD. form and returned to management of the generating agency, the agency must change the number and identification at the next printing. These forms may carry a statement such as 'Formerly STD. XXX'.

It is not advisable to preprint names of employees on forms unless there are compelling reasons to do so. An exception may be made for names of elected or appointed officials. Please refer to the [Addendum to SAM Chapter 1700](#).

1725 FORMS REVIEW PROCESSES

(Revised 9/09)

Proposed changes to paper and electronic forms should be reviewed for legal impact, workflow processes and routed for review by the appropriate departmental staff. Coordinating this review and approval process is the responsibility of the Departmental Forms Coordinator (DFC).

1730 STANDARD STATE (STD.) FORMS

(Revised 9/09)

All agencies must use STD. forms instead of creating their own agency forms whenever feasible. A list of STD. Forms is available online at:

http://www.osp.dgs.ca.gov/StandardForms/Paper_Form_Price_List.htm

Most STD. forms are available online as Fill-and-Print pdfs at:

<http://www.osp.dgs.ca.gov/StandardForms/Fill+and+Print+Standard+eForms.htm>.

Savable versions of these forms for use on your local networking systems may be purchased using an FMC 14 - Electronic STD. Forms Product Order located at:

<http://www.documents.dgs.ca.gov/osp/pdf/fmc14.pdf>.

Procedures for requesting modified, overprinted, or electronic STD. forms are in the [Addendum to SAM Chapter 1700](#). The Addendum also includes procedures for submitting a form for inclusion as an STD. form.

1735 BUSINESS-USE INVENTORY
(Revised 9/09)

[Government Code Sections 14771\(c\) and 14775](#) require the 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 which is comprised of the forms your department has created in order to conduct its daily business and reports that it requests of businesses. For the purpose of this inventory, a business is defined as a non-governmental entity such as a corporation, organization, partnership, business trust, etc. The procedures for satisfying the responsibilities for the Business-Use Inventory are contained in the [Addendum to SAM Chapter 1700](#).

[Government Code Section 14771\(c\)](#) requires the Director of the Department of General Services (DGS), through the Forms Management Center (FMC), to develop and maintain the statewide Business-Use Inventory, and notify State agencies of their annual review requirements.

[Government Code Section 14775\(b\)](#) requires each State agency commencing December 31, 1995, to review one-third of its Business-Use Inventory on an annual basis.

As part of the annual review requirements, each State agency is to eliminate those forms and/or reports that are not mandated by statute. However, an agency head may certify the continued use of a form and/or report if the information provided on the form and/or report meet specific requirements detailed in [Government Code Section 14775\(b\)](#).

[Government Code Section 14775\(c\)](#) states that a business may contest an agency head's certification of the continued use of a form and/or report.

1740 PUBLIC-USE FORMS INVENTORY
(Revised 9/09)

[Government Code Section 14771\(a\)\(12\)](#) requires that forms to be used by the public (including businesses) have assigned control numbers. The agency form number serves this purpose and must appear on the form as part of the identification. See SAM Section 1720.

An agency may not ask for or require members of the public to supply information to the State on a form not so identified. This applies whether the information is submitted voluntarily, required to gain or retain a benefit or service, or mandatory (a penalty will be assessed for failure to provide the information).

Agencies have been given the responsibility by the Forms Management Center (FMC) to identify all forms used by the public and maintaining a current index and inventory of forms. Upon request, agencies must report changes to their inventory to the FMC.

1745 PRIVACY AND DISCLOSURE
(Reviewed 9/09)

State and Federal laws protect people's privacy and confidential information. An agency must obey these laws when gathering or disclosing information about an individual. These laws include requirements concerning:

1. The kind of information a form can request;
2. The information that is provided by the individual;
3. How to store the forms and their information; and
4. Disclosing the data on the forms.

You can find out more about the privacy and disclosure laws and regulations from the following:

1. Federal Privacy Act, Public Law 93-579;
 2. Freedom of Information Act, 5 U.S.C. 552(b)(6);
 3. [Information Practices Act, California Civil Code Section 1798 et seq.](#); and
 4. [California Public Records Act, Government Code Section 6250 et seq.](#)
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1750 DISPOSAL OF UNUSED ACCOUNTABLE FORMS
(Reviewed 9/09)

Each agency is responsible for the appropriate disposal of unused (blank) accountable forms. Accountable forms are unused pre-numbered forms used to record or transfer money. Examples are checks, receipts, meal tickets, and licenses.

Destruction of accountable forms should be witnessed by a member of your agency's internal audit unit. If there is no such unit, 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.

Procedures for certification of destruction are contained in the [Addendum to SAM Chapter 1700](#).