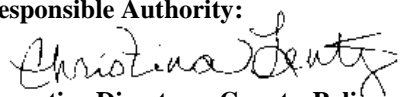


Executive Directive



Title: Forms Management	Executive Directive Number: OSPS.020.0014
Related MD Statute/Regulations: Correctional Services Article, §2-103, Annotated Code of Maryland; State Government Article, §§10-603 – 10-608 and 10-1103, Annotated Code of Maryland	Supersedes: DPSCS.020.0014 , Forms Management, Formerly Secretary’s Department Directive Number: 03-2004, Dated April 16, 2004
Related ACA Standards: N/A	Responsible Authority:  Executive Director – Grants, Policy and Statistics
Related MCCS Standards: N/A	Effective Date: November 6, 2015 Number of Pages: 6



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Secretary



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.01 Purpose.

This directive updates policy and procedure for managing forms used by the Department of Public Safety and Correctional Services (Department) and establishes the Department’s Forms Management Plan required under the State Government Article, §10-605, Annotated Code of Maryland.

.02 Scope.

This directive applies to all units of the Department.

.03 Policy.

- A. The Department shall establish a uniform approach to managing forms that are necessary for administrative responsibilities and effective business practices.
- B. The Department shall comply with requirements established by the Department of General Services, Records Management Division related to forms management.

.04 Definitions.

- A. Terms defined.
- B. In this directive the following terms have the meanings indicated.
 - (1) Form.
 - (a) “Form” means a document that has a standard format for the systematic and repetitive collection, maintenance, or transmission of information.
 - (b) “Form” includes:

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- (i) Inter-governmental form, which is required to be completed by other State departments or agencies or local government agencies;
 - (ii) Intra-departmental/agency form, which is used within the reporting department or unit of a department exclusively; and
 - (iii) Public form, which is required to be filled in by private citizens, institutions and businesses.
- (c) “Form” does not include work sheets, instruction sheets or other documents used as a temporary or informal tool to incorporate data or information into a report, for a special project or to complete a form as defined in this directive.
- (2) “Plan” means the Department’s Forms Management Plan established by this directive as required under State Government Article, §§10-603(a)(1) — (5), Annotated Code of Maryland.
- (3) “Secretary” means the Secretary of Public Safety and Correctional Services.
- (4) Unit.
- (a) “Unit” means an organizational program, institution, facility, or division established by statute or created by the Secretary within the Department of Public Safety and Correctional Services;
 - (b) “Unit” includes the Office of the Secretary.
- (5) “Unit Head” means the highest authority of a unit.

.05 Responsibility.

A. Department Forms Management Officer.

- (1) The Executive Director of the Office of Grants, Policy and Statistics, or a designee, is the Department Forms Management Officer.
- (2) The Department Forms Management Officer is responsible to:
 - (a) By July 31st each year:
 - (i) Collect information required under §.05F(2) of this directive from each unit; and
 - (ii) Submit the Department’s Annual Forms Management Activities Report to the Department of General Services Records Management Division;
 - (b) Ensure that each unit conducts a periodic review of all unit forms and maintains a current forms register; and
 - (c) Prepare and maintain current Plan for the Department.

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B. Unit Forms Management Coordinator.

- (1) Each unit head shall:
 - (a) Appoint a forms management coordinator for that unit;
 - (b) Provide the Department Forms Management Officer with
 - (i) The appointee's name and contact information; and
 - (ii) Any subsequent changes related to that assignment.
- (2) A unit forms management coordinator is responsible to:
 - (a) Administer requirements of the Department's Plan established by this directive within the unit;
 - (b) Assist unit personnel to develop forms that:
 - (i) Address issues identified under §.05C of this directive; and
 - (ii) Comply with the requirements under §.05D(2) of this directive;
 - (c) Submit a "Request for Approval of a New, Revising, or Discontinuing a Form" to the unit head when seeking to:
 - (i) Create a new unit form;
 - (ii) Revise an existing unit form; or
 - (iii) Discontinue a unit form;
 - (d) Establish and maintain a Forms Registry that:
 - (i) Includes all current unit forms; and
 - (ii) Labels each form in accordance with a standard identification system established under §.05D(3) of this directive.

C. Considerations When Developing or Reviewing Forms.

- (1) When deciding if a document is a form and governed by the requirements of this directive, a unit forms management coordinator shall consider, in addition to the definition of a form, that a form, generally:
 - (a) Has some significance requiring filing or retention;
 - (b) Contains sensitive or personal information that requires safeguarding;
 - (c) Is the official or record copy from which all related processing originates or terminates; or

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(d) May be required by statute, court order, or other legal or official process.

(2) When developing or reviewing a form, in addition to the considerations for approving forms under §.05D(2) of this directive, the unit forms management coordinator shall consider:

(a) The burden the form imposes on the public;

(b) The effect of accessing Department or unit services;

(c) Requirements or alternative formats required by the Americans with Disabilities Act;

(d) Requirements for equal access to public services for individuals with limited English proficiency under State Government Article, §10-1103(b)(2), Annotated Code of Maryland;

(e) Consolidating and standardizing similar forms;

(f) Eliminating obsolete forms;

(g) Sharing information between units to eliminate duplicate collection;

(h) Converting to electronic format to collect and share data reducing cost and paperwork; and

(i) If a form is used in connection with an automated operation, ensuring the format is consistent with data entry screens.

D. Forms Control.

(1) Under State Government Article §10-604, Annotated Code of Maryland, a unit shall only use forms listed in the unit's Forms Register.

(2) A unit head is authorized to approve a form that:

(a) Is needed for the effective or efficient operation of the unit;

(b) Requests information that is needed for or relevant to a lawful purpose;

(c) Does not impose an undue burden on the individual who is to complete the form;

(d) Is as brief, as plainly written, as well designed, and as easily completed as possible;

(e) Does not duplicate unnecessarily another Department unit's form or a form used by another department or agency;

(f) If applicable, requests information concerning an individual's race in a manner that complies with State Government Article, §10-603(c), Annotated Code of Maryland.

(3) A unit forms management coordinator shall ensure that each approved unit form is identified by a "number" in the bottom left or right corner of the form as follows:

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- (a) The letters DPSCS for a public or intergovernmental form; or
- (b) An acronym representing the unit for an intra-governmental or inter-governmental form;
- (c) A unit specific number; and
- (d) The date the form was approved or last revised.

E. Forms Register.

- (1) When completing the Forms Register a unit forms management coordinator, at a minimum, shall provide the following information for each form included in the Request for Approval of a New, Revising or Discontinuing a Form:
 - (a) Form number;
 - (b) Type of form:
 - (i) Intra-departmental (includes an intra-unit form);
 - (ii) Public use; or
 - (iii) Inter-governmental;
 - (c) Authority — A cross-reference to the policy, procedure, COMAR, legislation or statute authorizing or requiring use of the form;
 - (d) Date the form was:
 - (i) Created;
 - (ii) Last reviewed;
 - (iii) Revised; or
 - (iv) Discontinued; and
 - (e) Purpose of the form.
- (3) If at any time a form is determined to be no longer necessary, the unit forms management coordinator shall:
 - (a) Use the Request for Approval of a New, Revising, or Discontinuing a Form to obtain approval to discontinue the form;
 - (b) Record the date the form was discontinued in the current Forms Register; and

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- (c) Delete the discontinued form from the Forms Register after submitting the annual activities report to the Department Forms Management Officer as required under §.05F(2) of this directive.
- (4) Each page of the unit's Forms Register shall be maintained until all forms on the page are discontinued, at which time the page may be destroyed.
- (5) A unit forms management coordinator shall maintain a completed Request for Approval of a New, Revising or Discontinuing a Form until the related form is included in the unit's annual Forms Management Activities Report and the report is submitted as required under §.05F(2) of this directive and then the Request for Approval of a New, Revising or Discontinuing a Form may be destroyed.

F. Reporting Forms Management Activity.

- (1) Before July 1st each year, the unit forms management coordinator shall review the unit's current forms in consideration with provisions under §§.05C and .05D(2) of this directive, to determine if:
 - (a) Modifying or updating the form is necessary; or
 - (b) The form is not necessary and should be discontinued.
- (2) Before July 1 each year, the unit forms management coordinator shall submit a completed Department of General Services Forms Management Activities Report to the Department Forms Management Officer detailing the unit's form management activities since the date of the previous report.

.06 Attachments/Links.

- A. Request for Approval of a New, Revising, or Discontinuing a Form (DGS 530-13(Revised 5/95))
- B. Sample — Forms Register
- C. Forms Management Activities Report (DGS 50-12) (rev.5-01) Part 1 and 2

.07 History.

- A. This directive replaces DPSCS.020.0014, formerly Secretary's Department Directive Number: 03-2004, issued April 16, 2004:
 - (1) To align responsibilities based upon Department re-organization and practice;
 - (2) Update style and format;
 - (3) Correct statutory references to match codification changes; and
 - (4) Establish that the directive is the Department's Forms Management Plan.

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- B. This directive supersedes provisions of any other prior existing Department or unit communication with which it may be in conflict.

.08 Correctional Facility Distribution.

A

S — Unit Forms Management Coordinator, Audit Coordinator

Request for Approval of a New, Revising, or Discontinuing a Form — Worksheet
 (Complete this request and submit with the new, revised, or discontinued form)

To: Unit Head	Date of Request:	Date Required for Use	<input type="checkbox"/> New Form <input type="checkbox"/> Revised Form <input type="checkbox"/> Discontinued Form
From:	Form Title:		
Telephone:	Form Number (Existing Form):	Related Existing Form Numbers:	
Last Review Date:	<input type="checkbox"/> Public Use	<input type="checkbox"/> Inter-Departmental	<input type="checkbox"/> Intra-Governmental

Purpose: (Explain the need and intended use. Indicate number and distribution of parts (if any) and if spaced for use with a computer printer or longhand.)

Authority: (Provide information related to legislation, regulation, program generating the need for the form.)

Frequency of Use: <input type="checkbox"/> One Time <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Other (Explain:) _____	Form To Be Printed By: <input type="checkbox"/> Outside Vendor <input type="checkbox"/> Printing and Publication <input type="checkbox"/> Maryland Correctional Enterprise <input type="checkbox"/> Computer Generated <input type="checkbox"/> Photocopier
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Unit Head:
 Approved **Disapproved** **Other Action:** _____

 Unit Head Signature Printed Name [Click here to enter a date.](#)
 Dated Signed

Unit Forms Management Coordinator Assigned Form Number: _____

(Maintain this worksheet until the information concerning the identified form is included in the unit's annual Forms Management Activities Report that is submitted to the Department Forms Management Officer and then destroy.)
 DGS 530-3(Revised 5/95)

INSTRUCTIONS

I. **GENERAL INSTRUCTIONS** - Submit to the Records Management Division, 301 West Preston Street, Room B-23, Baltimore, Maryland 21201. Reports are due to the Records Management Division no later than July 31 of each year (State Government Article 10-608). If additional space is needed, continue on a blank sheet of paper identifying the name of the Department/Agency and FY of report.

II. ITEMS

6. **INTRA-DEPARTMENTAL/AGENCY FORMS:** Those forms that are used within the reporting department/agency, exclusively.
- a. Number of forms is the final figure shown on last year's report and supplied by the Records Management Division (RMD).
 - b. Number of forms that were developed during current fiscal year. Do not include forms that were created due to new legislative requirements.
 - c. Number of forms created as a result of legislation enacted during the current fiscal year.
 - d. Number of forms that were previously in existence but have been brought under the department/agency's control and numbering system for the first time.
 - e. Number of forms discontinued during the fiscal year.
 - f. Number of forms revised during the fiscal year.
 - g. Number of forms which can be completed and transmitted electronically.
 - h. Total number of forms for the current fiscal year. Total achieved by: $6a+b+c+d-e-h$.
7. **PUBLIC USE FORMS** - Forms that are required to be filled-in by private citizens, institutions and businesses.
- a. Figure supplied by RMD. Follow same directions as listed in Item 6 above.
8. **INTER-GOVERNMENTAL FORMS** - Forms that are required to be completed by other State departments/agencies or local government agencies.
- a. Figure supplied by RMD. Follow same directions as listed in Item 6 above.
9. **TOTAL:** Add figures for Forms Categories 6, 7 and 8 in respective columns $a+b+c+d-e-h$.
10. **SIGNIFICANT ACCOMPLISHMENTS**
- a. Briefly describe procedures or other actions which resulted in the elimination, consolidation or improvement in the quality of forms. Identify the specific forms(s) involved. Where possible, enclose "Before" and "After" samples.
 - b. Other cost savings criteria, e.g. eliminate stocking, print as needed, etc.
11. **GIVE REASON(S) FOR CREATING NEW FORM(S)**
12. **FORMS REDUCTION COST SAVINGS**
- Determine actual cost to print a form. Then, using the following equation: $\frac{\text{Form Print Cost}}{4\% (.04)} = \text{Cost Savings}$
- Enter the \$ amount (actual form print cost) into the equation and divide that figure by 4% (.04) to determine the Cost Savings for each reduced/deleted form.
- a. Enter total number of forms reduced.
 - b. Determine Average Print Cost by adding print costs of all reduced forms and then dividing the sum (total) by the total number of reduced forms, which results in the Average Print Cost.
 - c. Determine Total Cost Savings by adding the Cost Savings figures for all reduced forms. The sum (total) is to be entered in "C" column, Total Cost Savings.

Department of General Services Forms Management Activities Report (See Instructions on Reverse) State Government Article 10-608		Records Management Division 7275 Waterloo Road, POB 275 Jessup, Maryland 20794 Telephone No. (410) 799-1930 FAX No. (410) 799-8532 e-Mail Richard.Herring@dgs.state.md.us		1. Date of Report				
				2. FY Reported				
3. Name of Department/Agency		4. Signature		Telephone				
		Name/Title		email				
5. Departmental Components included in Report								
Forms Categories	a. No. Start of FY	b. Newly Created (See Item 11)	c. New Legislation (See Item 11)	d. Newly Controlled	e. Discontinued	f. Revised	g. Electronic Format	h. No. End of FY
6. Intra-Departmental								
7. Public Use								
8. Inter-Governmental								
9. Total (6+7+8)								
10. Significant Accomplishments (See instructions on reverse - Use additional sheet(s) as required.)								
11. Justification(s) for Newly Created and/or Forms Created as a Result of New Legislation								
12. Instructions for Developing Cost Savings (Print Cost Divided by 4% (.04) = Cost Savings)								
a. No. Forms Reduced		b. Average Print Cost		c. Total Cost Savings				