



Division of Correction

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<b>Title: Forms Management Program</b>	<b>Directive Number: DOC.020.0001</b>
<b>Related MD Statute/Regulations: §§10-604 to 10-608, 10-1103</b>	<b>Supersedes: DOC.020.0001, dated November 20, 2007</b>
<b>Related ACA Standards: Not Applicable</b>	<b>Authorized By: Assistant Commissioner Administrative Services</b>
<b>Related MCCS Standards: Not Applicable</b>	<b>Issue Date: December 31, 2010</b>
<b>Related DOC Directives: Secretary's Department's Directive Number 03-2004</b>	<b>Effective Date: December 31, 2010</b>
<b>Related DOC Code of Maryland Regulations: Forms Management Program, Department of General Services</b>	<b>Number of Pages: 7</b>

**Division of Correction Directive**

**.01 Purpose.**

This directive establishes policy and procedure in accordance with law and directives governing the management of forms used in the Division of Correction (DOC).

**.02 Scope.**

This directive shall apply to:

- A. DOC Headquarters;
- B. Each DOC facility; and
- C. Maryland Correctional Enterprises (MCE).

**.03 Policy.**

The DOC shall:

- A. Comply with the forms management law;
- B. Limit reproduction of forms; and
- C. Use forms essential to the efficient management and operation of the agency.

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**.04 Definitions.**

A. In this directive, the following terms have the meanings indicated.

B. Terms Defined.

C. "Forms" means:

(1) A document with a standard format for:

(a) The systematic and repetitive collection of information; and

(b) The maintenance or transmission of information.

(2) In accordance with the Department of General Services' *Forms Management Manual*, the following may not be counted as forms:

(a) Form letters;

(b) Worksheets;

(c) Logs;

(d) Certificates;

(e) Identification cards;

(f) Letterheads; and

(g) Printed items without fill-in spaces, such as contract provisions, instructions sheets, notices, tags, and labels, although they may be numbered for control purposes.

D. Form Categories.

(1) "Intra-departmental" means DOC forms requiring completion by the DOC exclusively.

(2) "Public Use" means DOC forms requiring completion by citizens, outside facilities or institutions and businesses.

(3) "Inter-governmental" means DOC forms requiring completion by any other state department, agency or local government agency.

(4) "FMO" means the forms management officer who is the assigned headquarters staff person responsible for the DOC's forms management program.

(5) "FMC" means the forms management coordinator who is the staff person assigned by the managing official to be responsible for the facility's forms management program.

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**.05 Procedures.**

A. Duties of the Forms Management Officer (FMO).

- (1) The DOC's FMO is the Director, Office of Policy Development, Analysis and Management or a designee, at headquarters.
- (2) The FMO's responsibilities shall include:
  - (a) The review and revision of the DOC's form management plan;
  - (b) The review and approval of forms established in conjunction with the directives;
  - (c) The maintenance of a current headquarters forms registry;
  - (d) The review and approval of forms submitted by:
    - (i) Each facility;
    - (ii) MCE; and
    - (iii) Headquarters staff.
  - (e) The completion of the fiscal year forms management activities report for the DOC, Appendix 2 to this directive; and
  - (f) As necessary, chairing the DOC's forms management committee meetings with the FMC to:
    - (i) Discuss compliance with the forms management law and directives; and
    - (ii) To ensure efficient and economical use of DOC forms by considering and reviewing forms management initiatives.

B. Duties of the Forms Management Coordinator (FMC):

- (1) Each managing official and the MCE Chief Executive Officer shall designate a FMC.
- (2) The FMC's responsibilities shall include:
  - (a) The implementation of a forms management procedure as established by this directive;
  - (b) The review of all proposed forms;
  - (c) The completion and submission of the "Request for Approval of a New, Revised or Deleted Form", DGS Form 550-13, Appendix 1 to this directive, for each form to the FMO;

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- (d) The maintenance of one copy of the current facility forms registry, a copy of which shall be forwarded to the FMO; and
- (e) Participation as a member of the DOC's forms management committee, as required.

C. Procedures for Developing a New, Revised or Deleted Form.

(1) DOC Headquarters.

- (a) Each program director shall submit a new, revised, or deleted form to the FMO or a designee, accompanied by a completed "Request for Approval of a New, Revised or Deleted Form", Appendix 1 to this directive.
- (b) The FMO or a designee shall review the form and, as necessary, consult with the program director.
- (c) The FMO or a designee shall include a copy of the approved form in the DOC headquarters forms registry, or remove a deleted form from the registry.

(2) Facilities and Maryland Correctional Enterprises.

- (a) Staff proposing the use of a form shall submit two copies of the form to the FMC.
- (b) The FMC shall:
  - (i) Number the form or ensure that it is numbered appropriately; and
  - (ii) Review the form for necessity, clarity, efficiency, and economy.
- (c) The FMC shall consult with appropriate staff or MCE staff, as necessary.
- (d) The FMC shall forward two copies of the proposed form and one copy of completed DGS Form 550-13, Appendix 1 to this directive, to the FMO or a designee.
- (e) Upon approval and return of the form by the FMO or a designee, the FMC shall record the form in the facility forms registry.
- (f) Staff may submit a form for approval at the same time a corresponding facility directive is submitted to the Director, Office of Policy Development, Analysis and Management or a designee, for headquarters review and approval, if accompanied by two copies of the proposed form and one copy of DGS Form 550-13.

D. Forms Identification and Numbering.

- (1) The FMO at headquarters or a designee and the FMC at each facility and MCE shall be responsible for the identification and numbering of the form on the bottom left corner of the form.

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- (2) Most forms in use are to accompany a directive so that instructions are available to support the use of the form.
- (3) The first form associated with the directive shall be designated with a lower case “a” immediately following the last digit of the form number, the second by a lower case “b”, and so on.
- (4) A capital “R” is inserted immediately following the lower case letters for forms that may be photocopied.
- (5) An enclosed parenthesis, including, the month and year the form was implemented or revised shall immediately follow the forms number, as indicated in the example below.
  - (a) DOC.020.0006, is a form with revisions in February 2010, and is to be identified as DOC Form 020.0006aR (Rev. 12/10).
  - (b) If it were one of three forms associated with the above agency directive, the form numbers would be as follows:
    - (i) DOC Form 020.0006aR (Rev. 12/10)
    - (ii) DOC Form 020.0006bR (Rev. 12/10)
    - (iii) DOC Form 020.0006c (Rev. 12/10)
  - (c) The first form appended to JCI.020.0006.1 would be numbered JCI Form 020.0006.1aR and so on, as above.
- (6) Public use and intra-governmental forms are similar to intra-departmental forms, except that the form is identified by the agency or facility acronym, DPSCS, followed by the agency or facility form number.
  - (a) DPSCS/DOC Form 095.0006b (Rev. 12/10)
  - (b) DPSCS/RCI Form 195.0003.1aR (12/10)
- (7) Maryland Correctional Enterprises.

Due to the unique nature of its operations, MCE shall number generated forms according to a system that the FMO approves and in accordance with the MCE policies and procedures.

- (8) Forms Not Associated With Directives.

Staff shall number a form that is not directly associated with an agency directive or facility directive sequentially in accordance with the related functional series of the agency directive or facility directive.

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(9) Forms Shared by Regions.

- (a) Where a facility have shared services and, therefore, shared forms, these forms shall managed by the facility that has responsibility for that function.
- (b) For example, in Hagerstown, the regional commitment office is located at the Maryland Correctional Institution-Hagerstown, but serves the Maryland Correctional Training Center and Roxbury Correctional Institution as well.
- (c) Therefore, the commitment forms would carry a Maryland Correctional Institution-Hagerstown form number and be recorded in that facility's registry.

(10) Forms from Other Agencies.

A form by another agency, but used by the DOC or any of its facilities or units, is not a DOC form and may not be counted as a form, nor be given a DOC form number.

(11) General Forms Guidelines.

- (a) Use "8 ½ x 11" size paper;
- (b) Consider the manner of printing and margin requirements;
- (c) Consider whether the form is to be handwritten or typed;
- (d) Consider the route the form will take during completion;
- (e) Consider distribution and filing requirements; and
- (f) Consolidate forms to reduce paperwork and improve efficiency.

(12) The FMO or a designee shall:

- (a) Assemble the DOC's fiscal year forms management activities report, Appendix 2 to this directive, from headquarters and facility forms management activities that occurred throughout the fiscal year; and
- (b) Forward the report to the DPSCS Office of Planning, Policy, Regulations and Statistics by July 15<sup>th</sup>.

(13) Each managing official and the MCE Chief Executive Officer shall develop procedures, in consultation with their respective FMC, to implement and comply with this directive to include the most economical and efficient reproduction of forms.

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**.06 Attachment(s).**

- A. Appendix 1, Request for Approval of a New, Revised or Deleted Form (DGS 550-13).
- B. Appendix 2, Forms Management Activities Report (DGS 550-12).

**.07 History.**

- A. This directive supersedes and rescinds DOC.020.0001, dated November 20, 2007.
- B. This directive rescinds DOC.020.0001, dated October 3, 2005.

**.08 Distribution.**

- A
- L
- S- Forms Management Coordinators