

STATE OF OHIO



DEPARTMENT OF REHABILITATION
AND CORRECTION

SUBJECT: Department Forms	PAGE <u> 1 </u> OF <u> 5 </u>
	NUMBER: 01-COM-02
RULE/CODE REFERENCE: O.R.C. 125.92, 125.98	SUPERSEDES: 01-COM-02 dated 01/23/09
RELATED ACA STANDARDS:	EFFECTIVE DATE: January 9, 2015
	APPROVED: 

I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

II. PURPOSE

The purpose of this policy is to establish standardized procedures for the Ohio Department of Rehabilitation and Correction (DRC) comprehensive Forms Control program to ensure compliance with state law and regulations.

III. APPLICABILITY

This policy is applicable to all DRC employees, contractors, volunteers, interns and other agents of the State.

IV. DEFINITIONS

Area of Ownership – Any DRC subdivision of authority administered by a DRC Managing Director that requires forms to be used to conduct official department business, such as APA, Office of Prisons, Ohio Correctional Health Care Office of Administration, OPI, etc.

Counterfeit Forms – Any form generated by a DRC employee, contractor, volunteer, intern or other agent of the State for DRC business purposes that is not authorized for use by the DRC Forms Analyst.

Form – Any document, device, or item used to convey information, regardless of medium, that has blank spaces for the insertion of information and that may have a predetermined format and data elements to guide the entry, interpretation, and use of the information. “Form” does not include letterheads, envelopes, labels, tags, tickets, or note pads, or forms mandated by the federal government, but does include all computer-generated forms except those mandated by the federal government pursuant to ORC 125.91B

Forms Analyst – Job position/title for the DRC Bureau of Information Technology Services (BITS) employee responsible for managing the Department’s forms management program, in compliance with ORC 125.98.

Master/Institution – Forms that meet criteria so as not being required to be ordered from a vendor, but are either photo-copied from a master or printed from the Ohio Forms Resource on the intranet, as needed.

Ohio Forms Resource – (includes familiar DRC forms catalog) A PDF link resource found on the DRC Intranet where form users access needed DRC and State Forms information. DRC forms information includes current version, revision, format, packaging-unit/pricing, and availability (Printed, DRC Electronic Forms Catalog or DOTS Portal). Links to other agency forms and/or ordering information are also provided (State Forms [ADM, GEN, OBM, TOS], FAMS, Performance Evaluations, Pharmacy Service Center)

On-Line DRC Electronic Forms – DRC forms created in special software, managed by the DRC Forms Analyst and accessible to DRC form users on the DRC Intranet.

On-Line DRC Electronic Forms Catalog – The DRC Intranet location where On-Line DRC Electronic Forms are accessed by DRC form users.

"SOFTWARE-X" – This definition is a placeholder in this policy representing the name of any software, regardless of brand, manufacture, or type that is not the authorized software that is used by the Forms Analyst to create DRC forms and therefore is not supported by the Department for forms creation/usage, for legal and security reasons.

Stocked Forms – Approved DRC paper forms pre-printed and stocked by OPI as a service to DRC form users. Pre-printed and stocked DRC paper forms that are retired from service must be purchased by the DRC area of ownership that required the forms.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction to maintain a centralized forms management program that standardizes all forms used by DRC, in accordance with existing state law and regulation.

VI. PROCEDURES

A. DRC Managing Director/Designee Form Responsibilities

1. The appropriate Managing Director/designee is authorized to approve the creation, revision, or deletion of all DRC forms for their Area of Ownership.
2. All department DRC forms that relate to process dictated in Department policy must be appropriately cited in all related policies. It is the responsibility of the Deputy Director or designee of the Area of Ownership to determine any and all department policies that may be impacted by a form creation, revision, or deletion and complete the necessary policy revision(s) in a timely manner.

B. DRC Form Control Numbers will be assigned by the Department Forms Analyst to any and all department forms that are:

1. Officially represent the department's actions, or
2. Have an average annual usage per facility/office/bureau/division of more than 1000, or
3. Has annual usage below 1000 but is used by several facilities/offices/bureaus/divisions (example – Monthly Reports).

When a form has been assigned a control number, the Area of Ownership (I.E., SECURITY) will also be recorded as the authority for future revisions.

C. Procedures for Creating a New DRC Form

1. When the Managing Director or designee determines that a new form is necessary in their Area of Ownership, the Managing Officer or designee shall submit a written request for a new form via e-mail to the DRC Forms Analyst. The e-mail request shall include:
 - a. A description of the intended purpose or function of the form, including verification that no current DRC form exists to fulfill the purpose or function of the new requested form.
 - b. The DRC policy name and number associated with the form.
 - c. Documentation that other DRC areas impacted by the new form have been consulted.
 - d. The name of a primary contact person from the Area of Ownership that can serve as a Subject Matter Expert (SME) to assist the DRC Forms Analyst in the design of the form.
2. Upon receipt of the Managing Officer or designee's request, the DRC Forms Analyst will contact the SME from the Area of Ownership to finalize the requirements for the new form. Using the requirements provided by the SME, the DRC Forms Analyst shall prepare a formal draft of the new form for review, testing and approval by the SME and, if necessary, other staff members from the Area of Ownership. After the draft form has been reviewed, finalized and approved, the DRC Forms Analyst shall:
 - a. Assign a DRC Control Number to the form.
 - b. Begin the historical file that must be maintained for the life of the form.
 - c. Update the DRC forms database, and sample file, used to create the Ohio Forms Resource posted on the DRC Intranet site.
 - d. If a printed form, secure the necessary information from OPI, such as the form graphic or artwork and packaging unit/pricing, if the printed form is to be ordered from OPI,
 - e. Notify the Managing Director or designee from the Area of Ownership and other appropriate parties impacted by the form of the creation and availability of the new form.

D. Procedures for Revising an Existing DRC Form

1. DRC forms associated with a DRC policy that will change the intent of the policy shall only be revised during the policy's annual review/revision period unless a policy variance justifying the revision has been approved pursuant to Department Policy 01-COM-01, Department Directives.

2. When the Managing Director or designee determines that a form must be revised in their Area of Ownership, the Managing Director or designee shall submit a written request for the revision via e-mail to the DRC Forms Analyst. The e-mail request shall include:
 - a. The DRC policy name and number associated with the form.
 - b. A description of the requested revisions and the purpose for the revisions.
 - c. Documentation that other DRC areas impacted by the revisions have been consulted.
 - d. The name of a primary contact person from the Area of Ownership that can serve as a SME to assist the DRC Forms Analyst in the design of the form revisions.
3. Upon receipt of the Managing Officer or designee's request, the DRC Forms Analyst will contact the SME from the Area of Ownership to finalize the revisions for the DRC form. Using the requirements provided by the SME, the DRC Forms Analyst shall prepare a formal draft of the revised form for review and approval by the SME and, if necessary, other staff members from the Area of Ownership. After the draft revised form has been reviewed, finalized, and approved, the DRC Forms Analyst shall:
 - a. Ensure the DRC Control Number on the form is accurate and update it if necessary.
 - b. If a printed form, secure the necessary information from OPI, such as the form graphics or artwork and packaging unit / pricing, if the printed form is to be ordered from OPI.
 - c. Update the historical file that must be maintained for the life of the form.
 - d. Update the DRC forms database, and sample file, used to create the Ohio Forms Resource posted on the DRC Intranet site.
 - e. Notify the Managing Director or designee of the Area of Ownership and other parties impacted by the form of the revision and availability of the revised form.

E. Procedures for Deleting an Existing DRC Form

1. DRC forms associated with a DRC policy shall only be deleted from use during the policy's annual review/revision period unless a Policy Variance justifying the deletion has been approved pursuant to DRC policy.
2. When the Managing Director or designee determines that a form must be deleted in their Area of Ownership, the Managing Director/designee shall submit a written request for the deletion via e-mail to the DRC Forms Analyst. The e-mail request shall include:
 - a. The DRC policy and number associated with the form.
 - b. A justification for deletion of the form.
 - c. Documentation that other DRC areas impacted by the deletion of the form have been consulted.
3. Upon receipt of the Managing Director or designee's request, the DRC Forms Analyst shall:
 - a. Update and close the historical file that must be maintained for the life of the form.

- b. Update the DRC forms database, the sample file used to create the Ohio Forms Resource posted on the DRC Intranet.
- c. Notify the Managing Officer or designee of the Area of Ownership and other parties impacted that the form has been deleted from DRC service.

F. "SOFTWARE-X" and Counterfeit Forms

DRC does not support "SOFTWARE-X" forms and counterfeit forms for legal and security reasons. Therefore, no "SOFTWARE-X" forms or counterfeit forms shall be created or used in place of existing official authorized DRC forms for DRC business purposes.

G. Departmental Policy Issues (Regarding Forms)

1. All department forms that relate to a process dictated in Department policy must be appropriately cited in all related policies.
2. Staff are not to use DRC1361 or DRC1362 to generate a draft of a new form. These are for creating Policy and Procedures only.
3. During the annual policy review or during the creation of a new policy, the reviewer or creator will check the policy for forms usage. Any departmental policy that requires, refers to, mentions, or implies the use of a form, must identify that form by Form Number and Title, at the bottom of the last page.

H. State Seal Usage (The Great Seal)

1. The design of the great seal shall not be reproduced, except as required by any provision of the Ohio Constitution and the Revised Code, unless permission to do so is first obtained from the Governor of the State of Ohio.
2. If a department seal is needed for publications or forms, a digitized file of the DRC or APA-seal is available from the Department Forms Analyst.