# Forms Coordinator Handbook

Indiana Archives and Records Administration

Forms Management Program

Revised August 2023

# Table of Contents

WHAT IS A FORM? ..... 2

WHAT IS A *STATE* FORM? ..... 2

STATE FORM STANDARDS ..... 3

THE INDIANA ARCHIVES AND RECORDS ADMINISTRATION FORMS MANAGEMENT PROGRAM ..... 4

AGENCY FORMS COORDINATORS AND THEIR RESPONSIBILITIES ..... 4

CREATING, REVISING, REACTIVATING, DEACTIVATING STATE FORMS ..... 5

- CREATING A NEW STATE FORM ..... 5
- REVISING A SINGLE EXISTING STATE FORM ..... 5
- REVISING MULTIPLE EXISTING STATE FORMS ..... 5
- REACTIVATING A STATE FORM ..... 6
- DEACTIVATING A STATE FORM ..... 6

STATE FORMS TRAINING ..... 7

REVISION FREQUENCY ..... 7

FORMS IN MULTIPLE LANGUAGES ..... 7

STATE BOARD OF ACCOUNTS (SBOA) APPROVAL ..... 8

INSTRUCTIONS FOR COMPLETION OF STATE FORM 36040 ..... 9

INSTRUCTIONS FOR COMPLETION OF STATE FORM 53963 ..... 11

STATE FORM BEST PRACTICES ..... 12

- DESIGNING A NEW STATE FORM ..... 12
- GENERAL FORMATTING ..... 13
- USING TABLES ..... 13
- STYLE AND FONT ..... 14
- FILLABLE FIELDS ..... 14
- INSTRUCTIONS ..... 15
- CONFIDENTIAL INFORMATION ..... 15

STATE FORMS ONLINE CATALOG ..... 16

- STATE EMPLOYEE ACCESS ..... 16
- LOGGING INTO THE CATALOG ..... 16
- LINKING TO STATE FORMS ..... 16
- SEARCHING THE CATALOG ..... 16

MAINTAINING EDITABLE COPIES OF YOUR AGENCY STATE FORMS ..... 18

- FILE FORMAT ..... 18
- STORAGE LOCATION ..... 18
- PASSWORDS FOR LOCKING / UNLOCKING ..... 18
- FILE NAMING CONVENTIONS ..... 19
- ELECTRONIC COPIES OF OLD REVISIONS ..... 19

PRINTING STATE FORMS ..... 20

REVISION HISTORY ..... 21

# WHAT IS A FORM?

A form is a basic business tool (whether printed, electronic, or web-based) for collecting and documenting transactions.

# WHAT IS A *STATE* FORM?

State Forms are used to exchange goods, services, or financial assets. Many internal forms, for example, do not meet this definition.

When determining if a form needs to be considered a State Form, ask the following questions:

1. Was a decision made on which the agency needs to act (e.g., contract, license, et cetera)?
2. Were money or resources spent, and why (invoice, emergency, budget, et cetera)?
3. Is the form required by statutory authority?

### Non-Forms

Many items do not fall within the standard definition of a form including posters, envelopes, engraved items, stickers, letterhead, checklists, mailing labels, business cards, newsletters, maps, logo decals, brochures, booklets, packets, annual reports, directories, instructional sheets, and handbooks. Because they do not transact business information, these items are not subject to the State Form Standards.

### Unauthorized State Forms

Unauthorized State Forms are those that have not been recorded by the Forms Management program, so there is no central documentation of the form's authorization, purpose, or history of revision. Unauthorized forms may be duplicates, contain incorrect information, or make unlawful requests all of which are liabilities for the State. Forms Coordinators should be on the lookout for unauthorized forms and bring them to the attention of the form's originator.

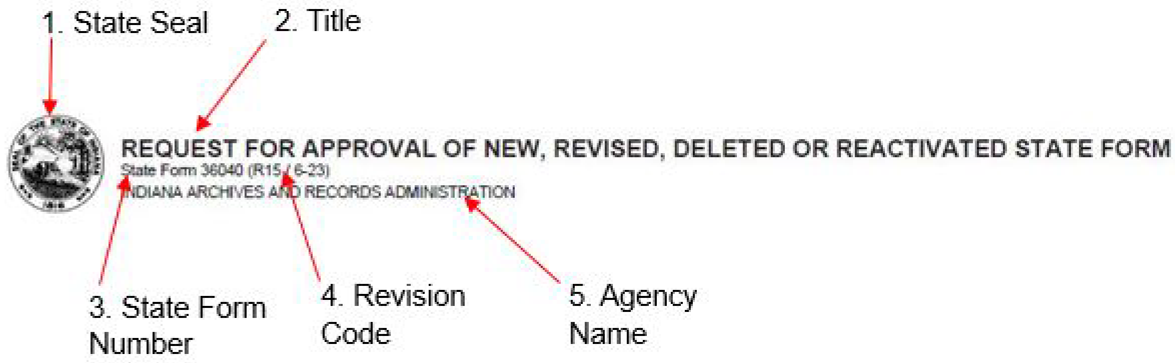
### Temporary Forms

Forms needed for 180 days or less do not need to be recorded with Forms Management for either use or design so long as the State Form Standards are met.

# STATE FORM STANDARDS

In accordance with IC 5-15-5.1-6, the Indiana Archives and Records Administration establishes standards for the design, redesign, numbering, standardization, consolidation, and elimination of all forms used by state government. These standards make State Forms easy to read, identify, and understand.

**There are five elements to the State Form Standards: State Seal; Title; State Form Number; Revision Code; and Agency Name.**


1. State Seal
2. Title
REQUEST FOR APPROVAL OF NEW, REVISED, DELETED OR REACTIVATED STATE FORM
State Form 36040 (R15 / 6-23)
INDIANA ARCHIVES AND RECORDS ADMINISTRATION
3. State Form Number
4. Revision Code
5. Agency Name

1. The Indiana State Seal should be on the form in the upper left-hand corner. Size must be .625".
2. The Title should be to the right of the State Seal, left aligned and centered on the State Seal. The State Form title should be in 11-point bold Arial in all CAPITAL letters.
3. The State Form number is provided by Forms Management (please see Designing a New State Form). The State Form number should be displayed on the form as “State Form #####” in 7-point plain Arial, directly beneath the State Form title.
4. The State Form revision code is based on how many times the form has been revised. It should be displayed on the form within parentheses and in 7-point plain Arial. The State Form revision code sequence is:
    a. Creation of form = (M-YY)
    b. First revision = (R / M-YY)
    c. Second revision = (R2 / M-YY)
    d. Third revision = (R3 / M-YY), et cetera
5. The agency name should be displayed beneath the State Form number and State Form revision code in 7 or 8 point plain Arial in all capital letters. Agencies may choose to include a division name with the agency name.

**NOTE 1:**
Forms Management understands that depending on the format you use that some of the specific details of how the header elements are displayed may need to be adjusted. For example, for in order to meet accessibility best practices, an all-capitalized title may not be ideal, or for web based State Forms the State Seal may need to be located somewhere other than the upper left-hand corner. Forms Management recommends that agencies do their best to include all five elements of the standards, even if the agency is not able to adhere exactly to the recommended placement, font, or sizes due to format constraints.

**NOTE 2:**
If your form requires State Board of Accounts (SBOA) approval, the approval statement provided by SBOA should be displayed on the form beneath the State Form number and revision code, but above the agency and/or division name. For more information on SBOA approval please see State Board of Accounts Approval.

# THE INDIANA ARCHIVES AND RECORDS ADMINISTRATION FORMS MANAGEMENT PROGRAM

The Forms Management program is defined by IC 5-15-5.1-1 as: "the program maintained by the administration to provide continuity of forms across agencies by providing standards for consistent form design, numbering, and access."

The Forms Management program operates within the Indiana Archives and Records Administration (IARA) and is charged with establishing State Forms standards, the Forms Catalog, and the State Forms numbering system.

# AGENCY FORMS COORDINATORS AND THEIR RESPONSIBILITIES

All State agencies are required (IC 5-15-5.1-10) to appoint a representative from their staff to serve as a State Form liaison between the agency and the Indiana Archives and Records Administration.

This person is referred to as the Forms Coordinator. Forms Coordinators are an integral part of successful State Forms management. A Forms Coordinator should be familiar with their agency's forms needs, their agency's internal forms processes, and the Indiana Archives and Records Administration's processes and standards. Forms Coordinators provide leadership to the agency and help ensure that processes and standards are adhered to, and State Forms meet the agency's needs.

There are four essential duties of a Forms Coordinator:

- Review and approve State Form 36040 and State Form 53963 on behalf of their agency.
- Answer questions about the forms of their agency.
- Understand and promote State Form Standards to their agency.
- Maintain editable copies of agency forms

To appoint a new Forms Coordinator for your agency please fill out State Form 57302 and submit to fmd@iara.in.gov.

# CREATING, REVISING, REACTIVATING, DEACTIVATING STATE FORMS

## CREATING A NEW STATE FORM

1. Ensure your new State Form does not already exist and that it meets the definition of a State Form.
2. Submit the following to fmd@iara.in.gov:
    i. A completed State Form 36040.
    ii. A copy of the format in which you designed the form (typically Word). This can be locked or unlocked. If you lock it, Forms will not know your password so be sure to make a note of it.
    iii. Copies of all final formats you wish to appear in the Forms Catalog (typically PDF). This can be locked or unlocked. If you lock it, Forms will not know your password so be sure to make a note of it.
3. If you have admin access to the Forms Catalog you can upload your new form when you are ready (for more information on admin access please see State Forms Online Catalog).
4. If you do not have admin access, Forms Management will review your State Form header to ensure it complies with State Form Standards and either upload or send back for corrections.

## REVISING A SINGLE EXISTING STATE FORM

1. Submit the following to fmd@iara.in.gov:
    i. A completed State Form 36040.
    ii. A redlined (marked up) copy of the current version of the form (the version currently in the Forms Catalog) showing where revisions were made. You can submit this in any format including a scan of a marked-up paper copy, Word using the Track Changes and Compare functions, or a PDF with comments.
    iii. A copy of the format in which you revised the form (typically Word). This can be locked or unlocked. If you lock it, Forms will not know your password so be sure to make a note of it.
    iv. Copies of all final formats you wish to appear in the Forms Catalog (typically PDF). This can be locked or unlocked. If you lock it, Forms will not know your password so be sure to make a note of it.
2. If you have admin access to the Forms Catalog you can upload your revised form when you are ready (for more information on admin access please see State Forms Online Catalog).
3. If you do not have admin access, Forms Management will review your State Form header to ensure it complies with State Form Standards and either upload or send back for corrections.

## REVISING MULTIPLE EXISTING STATE FORMS

Only use this option for the same changes to multiple State Forms.

1. Submit the following to fmd@iara.in.gov:
    i. A completed State Form 53963.
    v. A redlined (marked up) copy of the current version of all forms (the version currently in the Forms Catalog) showing where revisions were made. You can submit these in any format including a scan of a marked up paper copy, Word using the Track Changes and Compare functions, or a PDF with comments.
    ii. Copies of the format(s) in which you revised the forms (typically Word). These can be locked or unlocked. If you lock them, Forms will not know your password so be sure to make a note of it.
    iii. Copies of all final formats you wish to appear in the Forms Catalog (typically PDF). These can be locked or unlocked. If you lock them, Forms will not know your password so be sure to make a note of it.
2. If you have admin access to the Forms Catalog you can upload your revised forms when you are ready (for more information on admin access please see State Forms Online Catalog).

3. If you do not have admin access, Forms Management will review your State Form's headers to ensure they comply with State Form Standards and either upload or send back for corrections.

## REACTIVATING A STATE FORM

The Indiana Archives and Records Administration maintains a copy of all deactivated State Forms under record series 82-443. If you need to reactivate a State Form your agency previously deactivated, follow these steps.

If you need a scan of the last revision in the form folder for reference, please indicate this via email when you submit the 36040.

1. If you have admin access to the Forms Catalog **and DO NOT have any revisions to the form:**
    i. Submit State Form 36040 for to reactivate the State Form.
    ii. Forms Management will then request that the form folder be retrieved from either the Records Center or the Indiana Archives. Please allow 3-5 business days for this.
    iii. You can reactivate your form in the Forms Catalog when you are ready.
    iv. Let fmd@iara.in.gov know you have reactivated the form so they can update the form folder.
2. If you have admin access to the Forms Catalog **and DO have revisions to the form:**
    i. Submit one State Form 36040 for the revisions following the Revising a single existing State Form procedures.
    ii. And submit one State Form 36040 to reactivate the State Form.
    iii. Forms Management will then request that the form folder be retrieved from either the Records Center or the Indiana Archives. Please allow 3-5 business days for this.
    iv. You can reactivate your form in the Forms Catalog when you are ready.
    v. Let fmd@iara.in.gov know you have reactivated the form so they can update the form folder.
3. If you do not have admin access to the Forms Catalog **and DO NOT have any revisions to the form:**
    i. Submit State Form 36040 to reactivate the State Form.
    ii. Forms Management will then request that the form folder be retrieved from either the Records Center or the Indiana Archives. Please allow 3-5 business days for this.
    iii. Forms Management will reactivate your form in the Catalog for you and let you know when it is finished.
4. If you do not have admin access to the Forms Catalog **and DO have revisions to the form:**
    i. Submit one State Form 36040 for the revisions following the Revising a single existing State Form procedures.
    ii. And submit one State Form 36040 to reactivate the State Form.
    iii. Forms Management will then request that the form folder be retrieved from either the Records Center or the Indiana Archives. Please allow 3-5 business days for this.
    iv. Forms Management will reactivate your form in the Catalog for you, upload your revised version, and let you know when it is finished.

## DEACTIVATING A STATE FORM

If you need to deactivate a State Form because you no longer have a use for it, because it does not meet the definition of a State Form, or for another reason, follow these steps:

1. Submit a completed State Form 36040.

2. Attach the most recent revision you have for this State Form.
3. If you have admin access to the Forms Catalog, you can deactivate your form in the Forms Catalog when you are ready. If you do not have admin access, Forms Management will deactivate your form in the Catalog for you and let you know when it is finished.
4. Let fmd@iara.in.gov know you have deactivated the form so they can update the form folder and send it to the Records Center in accordance with record series 82-443.

## STATE FORMS TRAINING

For training materials, visit iara.in.gov and navigate to the State Forms Program under Services for Government where you will find a list of all training materials currently offered by Forms Management.

If you are a new Forms Coordinator and have questions not answered by the training materials on our website, please reach out to fmd@iara.in.gov.

## REVISION FREQUENCY

It is a best practice for agencies to avoid revising a State Form shortly before legislative changes that affect the form may go into effect, and then revising it again when the changes go into effect. For example, making minor revisions to a State Form in April and then again in July would not be considered a best practice. It would be better to make all revisions in July.

## FORMS IN MULTIPLE LANGUAGES

It is a best practice to assign a separate State Form number to each translation of a form. If you have a Spanish, Burmese, and English translation of the same form, each version should receive its own form number. When developing a new form in multiple languages, fill out one State Form 36040 for each, with the title in the correct language(s). When adding a new translation of an existing form, fill out a new State Form 36040 for the new translation, with the title in the correct language(s).

# STATE BOARD OF ACCOUNTS (SBOA) APPROVAL

State Board of Accounts (SBOA) approval is required for some forms that have a financial impact. This does not apply to forms owned by the Indiana Department of Revenue or the Department of Local Government Finance.

If you are not sure whether your form requires SBOA approval, e-mail Formapproval@sboa.IN.gov and note "Form Question" in the subject line.

If SBOA approval is required, the agency is always responsible for submitting their proposed updates to SBOA.

- Except in cases where a legal deadline is approaching, SBOA approval should be obtained *before* submitting your State Form 36040 to Forms Management.
- Include SBOA's response with your SF 36040 so Forms Management is aware of their determination.
- Upon approval, SBOA will e-mail an approval letter to you and to Forms Management.
- SBOA approval is part of the form's permanent record, so approval must be received before the form can be finalized.
- Please be aware that if the State Form involves money paid by the State, it may also need to be approved by the Auditor of State.
- If your form requires SBOA approval, the approval statement provided by SBOA should be displayed on the form beneath the State Form number and revision code, but above the agency and / or division name.

Requesting approval from SBOA is the responsibility of the agency requesting the design / analysis and the following steps should be followed:

**New State Forms**

1. Agency requests a new State Form number from Forms Management by emailing fmd@iara.in.gov and explaining they need a new State Form number to provide to SBOA.
2. Agency submits SF 56162 with a copy of the proposed form to SBOA for review.
3. Once SBOA has given approval, agency follows the instructions under Creating a New State Form.

**Revised State Forms**

1. Agency submits SF 56162 with a marked up copy of the current form (the version currently available in the Forms Catalog) to SBOA for review.
2. Once SBOA has given approval, agency follows the instructions under Revising a Single Existing State Form.

# INSTRUCTIONS FOR COMPLETION OF STATE FORM 36040

## PART ONE – Agency Information

All requests must be approved by the requestor, the Forms Coordinator, and the agency supervisor before submission to IARA.

- **Name of agency.** Include a division name with agency name, if applicable. This facilitates IARA's research to see if the form already exists.
- **Printed name of requestor and Date.** The requestor is the person within the agency requesting that the form be created/revised.
- **Printed name of agency Forms Coordinator and Date.** This is your agency's assigned Forms Coordinator.
- **Printed name of agency supervisor and Date.** All State Form requests submitted to the Forms Catalog require approval of the agency supervisor. The agency supervisor can be that of the requestor, a division head, or the agency head. This confirms to IARA that the agency design has been *vetted* by the agency prior to submission to IARA. Please encourage the supervisor to read and review the changes prior to submission.

## PART TWO – State Form Information

- **Create, Revise, Deactivate, or Reactivate:**
    - For new State Forms, check your agency records to see if the form already exists. This ensures the form is not a duplicate.
    - For deactivations, provide the reason the form is being deactivated in Part 2 under the Comments section.
- **State Form title:** For existing forms, provide the title or a suggested title change. For new forms, provide the proposed title.
- **State Form number:** For new State Forms, leave blank. IARA will provide you with a State Form number after your 36040 is submitted. For revisions, provide the existing State Form number.
- **This State Form requires and has been granted the following approvals:** Please see State Board of Accounts Approval.
- **Who should be able to search for this form?** There are four levels of search access.
    - If the form should be searchable by everyone, select "General Public."
    - If the form should be searchable by all State employees (but not to the public), select "State Employees."
    - If the form should be searchable only by agency employees (not to the public or any other State employees), select "Agency Only."
    - If the form should not be searchable by anyone, select "Not Searchable" and provide an explanation in Part 2 under the Comments section.
- **File format(s) available in the State Forms Catalog.** Select all formats in which the form should be available. Please be sure to specify fillable or non-fillable. You can always check the currently available formats by going to the Forms Catalog and searching the form number. All available formats will be listed in the search results.

- **How is this State Form to be completed?** Check all that apply. This information helps maintain an accurate record of the form.
- **Type of signature.**
    - Wet = person must print and sign in ink
    - Digital = person can sign using Adobe's signature options
    - Text = a typed signature is sufficient and you do not require a wet or digital signature
- **Does the State Form request a Social Security Number?** Select Yes or No. If you select Yes, fill in the additional requested information.
    - If a form requests a mandatory Social Security Number, the form must include the statement: "This agency is requesting disclosure of your Social Security Number in accordance with IC 4-1-8-2; disclosure is mandatory and this record cannot be processed without it."
    - If a form requests a voluntary Social Security Number, the form must include the statement: "Your Social Security Number is being requested by this state agency to pursue its statutory responsibilities. Disclosure is voluntary and you will not be penalized for refusal."
    - Some agencies have their own slightly different statements; if your agency already has one in place, it is acceptable.
- **Does the State Form request confidential information?** Select Yes or No. If you select Yes, fill in the additional requested information.
- **Does the State Form ask for information about race?** Any list of races must include *Multiracial* as a choice per IC 5-15-5.1-6.5(c) unless the user may select all races that apply.

## PART THREE – For Indiana Archives and Records Administration Use Only

This section is for IARA use only – please do not fill it in.

# INSTRUCTIONS FOR COMPLETION OF STATE FORM 53963

Use State Form 53963 if you wish to make the same change to two or more existing State Forms.

## PART ONE - Agency Information

- **Name of agency.** Include a division name with agency name, if applicable. This facilitates IARA's research to see if the form already exists.
- **Printed name of requestor and Date.** The requestor is the person within the agency requesting that the form be created/revised.
- **Printed name of agency Forms Coordinator.** This is your agency's assigned Forms Coordinator.
- **Printed name of agency supervisor.** All State Form requests submitted to IARA require approval of the agency supervisor. The agency supervisor can be that of the requestor, a division head, or the agency head. This confirms to IARA that the agency design has been *vetted* by the agency prior to submission to IARA. Please encourage the supervisor to read and review the changes prior to submission.

## PART TWO – For Indiana Archives and Records Administration Use Only

This section is for IARA use only – please do not fill it in.

## PART THREE – Form Information

A. **Description of change** – provide a brief description of the change being made

B. **State Form Number** – fill in the State Form Number

C. **Title of Form** – fill in the existing title of the form

D. **Access** - Indicate the State Forms Catalog access level.
   a. P = General Public;
   b. S = State employees;
   c. R = Restricted to your agency;
   d. N = Not searchable.

E. **Format** - Indicate the desired format. Fillable PDF; Non-fillable PDF; Fillable Word; Non-fillable Word.

# STATE FORM BEST PRACTICES

The following are best practices for creating and revising Indiana State Forms. These are not requirements and are not mandatory but are recommended. When combined with the State Form Standards, these best practices help people quickly identify a State Form, provide Indiana State Forms with a uniform look and feel, and make State Forms easy to read and easy to understand.

It is best to design State Forms in Word and later convert to a PDF. State Forms should not be designed in Excel unless the final format will be in Excel OR the final format requires formula calculations.

## DESIGNING A NEW STATE FORM

When designing a new State Form there are three objectives:

1. Make it easy to enter data on the form.
2. Make it easy to read and use the data after it has been entered.
3. Avoid mechanical and clerical errors.

Step 1: Identify Basics

- Determine the purpose of the form and intended user(s).
- Establish a form title.
- List all the data elements that the form will contain.

Step 2: Outline Key Sections

- Identify the locations for ease of reading by the user of this form.
- Place instructions for completing the form in a clear and easy to see location.
- Look for ideas on other forms serving a similar function.

Step 3: Create a Draft

- Study the data for natural grouping so that the form can be organized into sections.
- Compare related agency forms performing similar functions. Look for new uses of old ideas.
- Share your draft with any other agency stakeholders who will use the form.

Step 4: Study the Draft for Appearance

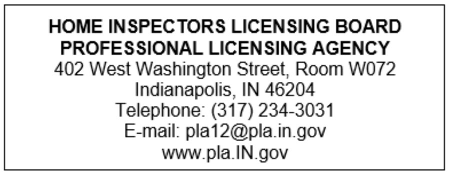
- Incorporate the State Form Standards.
- Consider adhering to the IARA Form Best Practices laid out in this section.
- Consider any agency branding. Forms should be easily distinguished from one another, yet ideally have a cohesive agency look or style.

Step 5: Finalize Draft

- The form is only complete when it contains the data to be entered on it. Consider a small test run to prove the final design.
- Gather final feedback and approvals from all agency stakeholders.

## GENERAL FORMATTING

- Instead of the agency name in the title block or in addition to, the agency may choose to place all their contact information in an **agency information box** in the upper right corner.
  - If Agency name blocks are used, they must appear in the upper right-hand corner of the form. The name of the agency must be 8-point Arial bold in all CAPITAL letters and appear centered in the box. If an address is needed, it will be 8-point Arial plain, centered under the agency name.



**HOME INSPECTORS LICENSING BOARD**
**PROFESSIONAL LICENSING AGENCY**
402 West Washington Street, Room W072
Indianapolis, IN 46204
Telephone: (317) 234-3031
E-mail: pla12@pla.in.gov
www.pla.IN.gov

  - Only use an agency name block if you require a return address or contact information as it may limit the use of the form to one specific division, and any time there is an agency name change or address change, it renders the form obsolete and necessitates redesign and reprinting.
  - Avoid using employee contact information as it limits the use of the form to one specific person, and any time there is a staffing change, renders the form obsolete and necessitates redesign and reprinting.
- The **title of the form** should clearly and concisely state the function of the form; the word "form" or "sheet" may not be included.
- If an agency wants to use their logo, they may not use it in place of the State Seal. Instead, the agency logo should be placed in the upper right corner. (Exceptions are granted for quasi-agencies.)
- Standard margins are two pica (.32"). Agencies may use different margins, but they must not be too large and must be consistent throughout the form. See tutorial.
- If there is a **distribution list** for the plies / copies of a form, it should be placed in the bottom margin and left aligned.
- If the form has multiple pages, they should be numbered. Page numbering is 8-point Arial plain, centered on the bottom margin. Format is Page # of ##.

## USING TABLES

Tables consist of rows, columns, and cells. The explanatory or instructional text within the rows, columns, and cells is called the “caption.” Some tables include headers to introduce new sections.

- Table rows are generally most effective when they are .32” high.
- If the row or cell does not have a caption, the height can be shorter than .32” with .22” being the average.
- Table cell headers are generally .16" high, use bold, 8–9-point font, and font is vertically and horizontally centered.
- When cells have an area below the cell caption for the user to fill in text, use 7-point font for the title of the cell and instructions.
- Instructions on a separate row have a height of .16" and generally 8-point font and are centered in the row.
- Text that comes after a checkbox is generally 8pt.
- When space permits, add a 2–6-point space before and/or after text in a cell or row, and add a 6–8-point space between tables.

- Avoid connecting all tables in a form as this may make it harder to revise later.

## STYLE AND FONT

- **Instructions** on how to fill out the form should be italicized, which draws the user's attention to the instructions.
- A **date caption** should include the parenthetical instruction *(month, day, year)* or equivalent such as *(mm / dd / yyyy)*.
- An **address caption** should always include the parenthetical instruction *(number and street, city, state, and ZIP code)*. This may be edited to include PO Boxes and Rural Routes.
- **ZIP** is an acronym and should always be in all capital letters.
- **Ampersands (&)** should be avoided and instead spelled out as "and" (unless there are spatial limitations).
- **Contractions** should be avoided.
- **Numbers under 100** should be spelled out with the numerals in parentheses, e.g., twenty-five (25). Numbers 100 and over are acceptable as numerals only. Exception stands when policy or code or similar is cited.
- **Abbreviations, symbols, and undefined acronyms** should never be used because their meanings are not always clear to all users. Abbreviated words and symbols should always be spelled out (e.g., No. and # should be Number). An acronym may be used in the form after it has been spelled out and defined in its first occurrence, e.g., Indiana Archived and Records Administration (IARA). Exceptions can be made in instances of extremely limited space, but this is not recommended.
- Put a space before and after a slash. Like / this.
- Hyphens for words like "e-mail" are optional, depending on the agency's wishes.
- Harvard/Oxford commas are optional, depending on the agency's wishes.
- Be consistent with capitalization. If elsewhere two consecutive cell titles are not capitalized, do not start capitalizing the second word. As in, "Telephone Number" vs "Telephone number," unless it is a formal phrase like "Social Security Number."

## FILLABLE FIELDS

- **Fillable text field:**
    - Font size should be 9 or 10 point.
    - In Adobe, be consistent with font type.
    - In Adobe, ensure text wraps or scrolls as needed to make it easier to fill out your form.
- **Checkboxes:**
    - Checkboxes are preferred when there is a list of selections, primarily because users cannot circle a selection in a fillable form. Checkboxes should always be placed in front of their selections: ☐ Female ☐ Male
    - When providing the option, Yes always comes before No.
    - Place check boxes well over from the question or on the next line down.
    - 10-point size check boxes are the most common, and 10-11 point translates well to Adobe for fillable PDFs.

- When cells have multiple choice check boxes, you can use 8 point next to the check boxes but still use 7 point for the cell title. This is also the case for a "**From** **To** " construction. The **From** and **To** will be at least 8 point.

## INSTRUCTIONS

There are two categories of instructions for State Forms:

1. **General instructions** that are embedded in the form, including instructional text at the top or bottom of the form, instructional text in the header of a form table, and instructional text in parentheses accompanying cell titles.
2. Instructions that are on a page or pages distinct and separate from the form. These are often cover sheets, grant application instructions, and similar.

**General instructions** should be at the top of the form where the user can see them before they start using the form. Instructions should be in 8-point Arial italics with the word "*INSTRUCTIONS*" in all caps and should be started 2 pica from the left. Instructions should contain such information as:

- How to fill out the form
- When and where it is to be submitted, if a check is to accompany the form, to whom the check is payable, et cetra.
- When instructions are necessary, list as numbered items or sections. If instructions apply to a specific item, place them as near to the item as possible in the size type as the surrounding format. If the form instructions are very long and detailed, they may be placed at the end of the form.

Instructions that fall into the second category should not have the State Form header and do not need to use the table format.

## CONFIDENTIAL INFORMATION

If a form requests confidential information, defined by IC-4-1-6-1, it must include the statement: "This agency is requesting disclosure of confidential information in accordance with IC-4-1-6-2; disclosure is (mandatory / voluntary) and (this record cannot be processed without it / you will not be penalized for refusal)."

Some agencies have their own slightly different statements; if your agency already has one in place, continue to use this statement.

If your agency does not already have a statement in place or wishes to create a new statement, here are some example confidentiality statement templates:

- ***Short Version:*** CONFIDENTIAL! PER IC X-X-X-X.X
- ***Medium Version:*** This form seeks mandatory (OR voluntary) release of Confidential Information per IC X-X-X-X.X.
- ***Long Version:*** This form seeks mandatory (OR voluntary) release of Confidential Information per IC X-X-X-X.X. The completed form will be treated as a matter of public record (OR as a confidential record).

# STATE FORMS ONLINE CATALOG

The State Forms Online Catalog at forms.IN.gov is the central online repository for State Forms and is maintained by Forms Management. The State Forms Online Catalog groups forms first by agency, then by division. To ensure accurate display of the forms, agencies should include the division to which the form belongs on the SF 36040 under *B. Name of agency*.

## STATE EMPLOYEE ACCESS

There are two levels of access to the Forms Catalog:

A. **Basic Access** – these users can access the front-end or public facing portal for the Catalog. They have access to forms that are set to General Public, State Employees Only, and Agency Employees Only. They do not have the ability to upload forms, edit form metadata, delete forms, or reactivate forms.

B. **Admin Access** – these users have all aspects of Basic Access, but can also upload forms, edit form metadata, delete forms, and reactivate forms. These users have completed the IARA State Forms Training and have been appointed by their agency leadership. If you are a Forms Coordinator and require Admin Access please email fmd@iara.in.gov. If you design and revise State Forms for your agency but are not a Forms Coordinator, please contact your agency's Forms Coordinator and they can help determine whether you need Admin Access or not.

## LOGGING INTO THE CATALOG

State employees can log into the Catalog using the same username and password they enter when logging into their State of Indiana workstation. For domain information, for security reasons please contact fmd@iara.in.gov.

## LINKING TO STATE FORMS

Agencies may obtain form URLs by searching for their forms on the Catalog, right-clicking on the desired link, and copying the shortcut. The resulting link must be used by agencies any time they make forms available on their websites, brochures, e-mails, etc.

Indiana Administrative Code 60 IAC 3, *Electronic Copies of Forms*, requires that agencies use direct links to the State Forms Online Catalog on their individual websites; agencies may not post form files (e.g. .pdf, .doc, .xls) directly to IN.gov pages. When copies of forms are posted on the internet independent of the State Forms Catalog, they are not connected to the central repository and will not update when the forms are revised. This results in additional work by agency web staff, as well as the ongoing availability of outdated copies of forms – which may contain outdated or incorrect information such as instructions, addresses, and fees.

To get a direct link to a State Form, search for it on the Catalog. When a dropdown list appears, right click the State Form you want a direct link to and select "Copy link address." Agencies may hyperlink to that address on their websites and other electronic platforms.

Forms Coordinators must instruct their webmasters to never post copies of State Forms onto the agency websites; webmasters should only post links to State Forms in the Forms Catalog onto the agency websites.

Web-based non-file forms such as HTML-created forms may be produced and published on IN.gov. However, web-based non-file forms are still considered to be State Forms and must go through the regular form approval process; in addition, the publishing agency must provide a link to Forms Management upon publication of the form.

## SEARCHING THE CATALOG

There are four levels of search available in the Catalog:

- **General Public** – There is no restriction as to who may search for the form. It will show in search results for all users.

- **State Employees Onl**y – Only State employees may search for the form; it will not show in search results for the public.

- **Agency Employees Only** – Only employees of your agency may search for the form; it will not show in search results for the public or to any other State employees.

- **Not Searchable** – The form will not be searchable in the State Forms Online Catalog by any user, except a Forms Management staff member. This option is most generally selected either because the form is sensitive in nature (e.g., certificates and licenses), because it is only printed by a vendor, or because it is only available as part of a specialized program/database.

# MAINTAINING EDITABLE COPIES OF YOUR AGENCY STATE FORMS

One of the essential duties of a Forms Coordinator is to maintain editable copies of your agency's State Forms. Each time your agency updates a State Form, it is crucial to save an editable copy to a secure, backed up location. An editable copy is defined as a digital file that can be revised and changed as needed by any agency personnel who work on creating or editing State Forms, as well as you the Forms Coordinator.

When planning how best to maintain editable copies there are 5 things to consider: File Format; Storage Location; Passwords for Locking/Unlocking; File Naming Conventions; Historic Copies of old Revisions.

## FILE FORMAT

Editable copies are most generally Word or Excel files. However, some agencies may choose to use Adobe products such as Illustrator or Acrobat to create and revise State Forms. The main things to consider when deciding which formats to use as your editable copies are:

1. Do all agency personnel who work with State Form creation and/or revision have access to the software they need to work with your editable copies?
2. Do all agency personnel who work with State Form creation and/or revision know how to use the software they need to work with your editable copies?
3. Are you using the simplest and easiest to provide software? Meaning, if you lost all your State Forms designers today, how hard would it be to provide new staff with software and the training they would need to work with your editable copies?

## STORAGE LOCATION

It is up to each agency where they store editable copies of State Forms. Keep in mind the following questions when determining the best storage location.

1. Who needs access to the location? Will the Forms Coordinator be the only one with access and hand copies out to agency personnel as needed? Or will all agency personnel who work on State Forms have access?
2. Is the location secure – meaning is it in a State supported or agency managed server or Cloud storage location?
3. Is the location backed up – do you know how you would recover your editable copies, and how long it would take to recover them in the event of a data loss or other disaster?
4. Are editable copies locked or unlocked?

## PASSWORDS FOR LOCKING / UNLOCKING

Agencies should also determine how to maintain passwords used to lock and unlock editable copies. Many agencies upload locked copies of their State Forms to the Forms Catalog in order to prevent unauthorized people from editing, tampering with, or disabling a State Form.

Some questions to ask are:

1. Will you use one password to lock and unlock all State Forms?
2. Will each person who works on your agency's State Forms have their own password?
3. Who will maintain a centralized back up list of all passwords, if anyone?
4. What will you do if you lose a password and cannot unlock a State Form?
5. Will you use a separate password for each State Form?

## FILE NAMING CONVENTIONS

Forms Management recommends adhering to the current file naming conventions, however if you feel strongly about creating your own conventions we recommend you document them clearly and train people to use them consistently.

The current naming conventions are:

1. Word version = State Form Number
2. PDF (non-fillable) = State Form Number
3. PDF (fillable) = State Form Number + fill-in (36040 fill-in)

## ELECTRONIC COPIES OF OLD REVISIONS

Agencies should also decide whether they will maintain electronic copies of old revisions, and if so for how long. Forms Management recommends keeping copies of at least the prior revision, just in case you need to revert. If you keep an electronic copy, reverting to the earlier version will be much easier than re-designing an editable copy from scratch. Forms Management will continue to maintain a paper copy of old revisions in the State Forms Library and may be able to provide a scan of that paper copy upon request.

If you do choose to maintain historic electronic copies of old revisions, it is a best practice to indicate the revision code in the file name. For example: 36040 (R16 7-23). This way no one will accidentally begin using it as an editable copy of the current revision.

# PRINTING STATE FORMS

Tandem holds the printing contract for the State through the Indiana Department of Administration, and all printing orders must be placed directly through their Online Store. The portal and login instructions can be found on the IDOA website: https://secure.in.gov/idoa/state-purchasing/printing-and-mailing-services/.

If you have any questions or need to request a login, please contact your agency's account representative.

When you place an order, your agency's account representative will request artwork and specifications so they can proceed with pricing.

- If IARA has already given you your artwork and specifications, please upload a copy via the Online Store at the time of your order.
- If IARA has not already given you your artwork and specifications, please request these from fmd@iara.in.gov. Please note that IARA may not have artwork or specifications for all State Forms. If this is the case, you are responsible for developing these items prior to ordering.

Before actual production of the print job, Tandem will send a proof to the agency's requestor to confirm that the artwork and specifications for the job are correct. The agency should review and approve the proof, then Tandem will proceed with production and delivery.

As soon as your agency's order is delivered, please check the print job and confirm that it is correct. If you find that it is not correct, contact Tandem directly to resolve the issue.

For more information about printing State Forms, please contact Tandem.

# REVISION HISTORY

| Date Revised | Revision Number | Person Revising |
|---|---|---|
| April 2022 | Second Revision | J. Swihart |
| June 2022 | Third Revision | M. Fukunaga |
| June 2023 | Fourth Revision | M. Fukunaga |
| August 2023 | Fifth Revision | M. Fukunaga |
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