Introduction

STATE FORMS MANAGEMENT FOR STATE OF INDIANA EMPLOYEES

[Image: two IARA forms, for illustration only.]

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[Image: hand checking off boxes on a form with a pink highlighter]

Let's start simply, with a question you may never have asked yourself before: what is a form?

Whether printed, electronic, or web-based, it's a tool we use for

- collecting and transmitting information

- establishing a record of something we did

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According to Indiana Code 5-15-5.1-1, it's: "…every piece of paper, transparent plate, or film containing information printed, generated, or reproduced by whatever means, with blank spaces left for the entry of additional information to be used in any transaction involving the state."

In everyday terms: if it's used by a state agency to

- collect information

- that will then become an agency record (take our Records Management Basics course to find out about those)

then no matter what format it's in, it's a State Form.

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STATE FORMS MAY BE… (FORMATS)

[Image: small tilted image of a State Form, for illustration only]

- Paper, including nonstandard shapes like
  envelopes, checks, certificates, decals,

and booklets.

- Electronic file types, such as PDF, MS Word, or MS Excel.

- Database screens, but only if they are used to submit new information to your agency. (Not screens used just for staff data-entry of information you already have.)

- Web-based, whether they are built into your website, or created with external tools like Formstack, Microsoft Forms, or SurveyMonkey.

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STATE FORMS ARE NOT… (NON-FORMS)

[Image: pile of posters, publications, logos, and brochures]

- Publications

- Brochures

- Business cards

- Mailing labels

- Logos

- Instruction sheets

- Posters and artwork

- ANYTHING that doesn't collect information

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HOW WILL I KNOW I'M LOOKING AT A STATE FORM?

Great question!
If a form is an officially-approved State Form, it will have:

- [Image: the Indiana State Seal] The State Seal

- [Image: a # sign in large blue text] A State Form Number, written as "State Form #####"   or simply "SF #####" (With # standing in

for the assigned ID number.)

- [Image: "R3 / 7-19" in large blue text] A Revision Code after the SF Number, such as: (R3 / 7-19), which stands for "Revision 3, approved July, 2019"

- The 1st approved version of a form will just show the origination date: (7-19) instead of revision date.

- The 1st approved revision of a form won't have a revision number: (R / 7-19).

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WHO APPROVES STATE FORMS?

Your new best friend if you manage forms for your agency, State Forms Management.
A division of the Indiana Archives and Records Administration (IARA), Forms Management:

- designs agency forms for those agencies who can't or don't wish to

- reviews forms designed by your agency and revisions to all forms

- approves the final version of each State Form

- assigns State Form Numbers

- posts the electronic version on the State Forms Catalog so your users can download it any time it's needed

- tracks the history of each State Form, preserving a permanent copy of all versions

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WHO DOES MANAGE FORMS FOR OUR AGENCY?

Your Agency Forms Coordinator is the employee designated by your agency's director to work with your staff and with Forms Management on creating, tracking, updating, and deactivating your agency's State Forms.

They may not be the person who designs your forms, but all requests to have those designs approved, updated, or deactivated need to go through your Forms Coordinator, in order to keep track of what's going on, avoid

duplication of effort, and make sure all forms you're using comply with state and federal laws and business design standards.

You can locate your Forms Coordinator's contact information from the navigation bar on any page of IARA's website, under Services for Government.

[Image: the left navigation bar of IARA's website, with "Services for Government" highlighted, and a curved arrow pointing from the previous paragraph to the image.]

THE DUTIES OF A FORMS COORDINATOR INCLUDE - 1

[Image: two stylized 3-D cartoon figures, with one holding a form while the other signs it]

- obtaining final approval from Forms Management before using any new or newly-revised State Forms

- reviewing and signing all forms requests from agency staff before forwarding them to Forms Management

- assisting Forms Management by answering questions regarding the intended use of new forms

- reporting all changes to existing forms

and…

THE DUTIES OF A FORMS COORDINATOR INCLUDE - 2

- reviewing and approving/rejecting design proofs

- informing Forms Management of any forms which can be deactivated because you don't use them anymore

- keeping watch for home-grown "unauthorized" forms in your agency and on your agency's website, and submitting them to Forms Management for approval

- educating agency staff on using and updating State Forms!

[Image: stylized 3-D cartoon figure unrolling a projection screen, on which the introduction screen of this course is projected]

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HOW TO DEVELOP OR REVISE A STATE FORM - 1

Step 1: Complete State Form 36040, Request for Approval of New / Revised Form

If your agency designed a new State Form or revised an existing one:
- Attach a printed sample.

- E-mail an electronic copy to Forms Management in the original authoring program/format.

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HOW TO DEVELOP OR REVISE A STATE FORM - 2

Step 1: Complete State Form 36040, Request for Approval of New / Revised Form.

If you'd like Forms Management to design a new State Form:

- Attach a mock-up, sketch, draft, or sample showing how you would like the new form to look.

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HOW TO DEVELOP OR REVISE A STATE FORM - 3

Step 1: Complete State Form 36040, Request for Approval of New / Revised Form.

If you'd like Forms Management to revise an existing State Form:

- Attach a printed sample of the current version of the form with the changes noted in red ink.

HOW TO DEVELOP OR REVISE A STATE FORM – 4

Be sure to check the appropriate box if you'd like to:

- Deactivate an existing State Form and remove it from the State Forms Online Catalog

- Reactivate a deactivated State Form and place it back on the State Forms Catalog

HOW TO DEVELOP OR REVISE A STATE FORM – 5

Step 1: Complete State Form 36040, Request for Approval of New / Revised Form.

If the form will be produced by a printing vendor:

1. Complete Part Three of SF 36040. (Otherwise leave that part blank.)

2. Fill in initial printing specifications as a guideline.

3. Forms Management will write up final specifications once the form is approved.

HOW TO DEVELOP OR REVISE A STATE FORM – 6

Step 1: Complete State Form 36040, Request for Approval of New / Revised Form.

Is State Board of Accounts (SBOA) approval required?

- If you're not sure, e-mail formapproval@sboa.IN.gov and note "Form Question" in the subject line.

- If yes, check the box and Forms Management will let you know how to submit the form to SBOA.

- Upon approval, SBOA will inform both you and Forms Management so the project can proceed.

HOW TO DEVELOP OR REVISE A STATE FORM – 7

Step 1: Complete State Form 36040, Request for Approval of New / Revised Form.

Is this form part of an existing Record Series / which one?

- If you don't know, consult your agency's Records Coordinator. (They're listed on IARA's website.)

- If THEY don't know, contact IARA's Records Management Division (rmd@iara.in.gov).

- If the answer is no, your Records Coordinator should contact Records Management so they can help fix that.

HOW TO DEVELOP OR REVISE A STATE FORM – 8

Step 1 [Image: "Complete State Form 36040, Request for Approval of New / Revised Form" crossed out with a large red X]

If you need the same change made to multiple State Forms (i.e. a change of address):

- Fill out State Form 53963, Request for Comprehensive Revision of Multiple State Forms, instead of SF 36040.

- Use it to submit all affected State Forms to Forms Management.

HOW TO DEVELOP OR REVISE A STATE FORM - 9

Step 2: Send Everything to Forms Management

- State Form 36040 or 53963

- Form design or details of form you want designed

- Form revision or markup of form you want revised

HOW TO DEVELOP OR REVISE A STATE FORM - 10

Step 2: Send Everything to Forms Management

- Interdepartmental mail: Archives and Records Administration, Forms Management Division | IGC South, Room W472

- Postal mail: Archives and Records Administration, Forms Management Division | 402 W. Washington St., Room W472 | Indianapolis, IN 46204

- E-mail: fmd@iara.in.gov

HOW TO DEVELOP OR REVISE A STATE FORM – 11

Step 3: Forms Management Handles This Part!

If your agency designed the form, Forms Management will:

- review the form

- make or ask you to make any necessary changes

- finalize the form (including placing it online)

- send a copy of the fully completed SF 36040 / SF 53963 to your Forms Coordinator

HOW TO DEVELOP OR REVISE A STATE FORM – 12

Step 3: Forms Management Handles This Part!

If Forms Management designed the form, they will:

- send a proof to the Forms Coordinator for approval

- make any changes required / send a new proof

- finalize the form (including placing it online)

- send a copy of the fully completed SF 36040 / SF 53963 to your Forms Coordinator

HOW TO DEVELOP OR REVISE A STATE FORM - 13

[Image: stylized 3-D cartoon figure wearing a number card on their chest, breaking through a banner as if they have won a race]

Step 4: There Is No Step 4!

That's it. That's the process.

However, there are two related things you'll need to know about:

- Online forms

- Having forms printed in bulk

ONLINE FORMS: WEB-BASED FORMS

[Image: screenshot of a Department of Natural Resources web-based form for SF 56719, Deer Hunt Registry Survey]

As mentioned earlier, web-based forms are still State Forms, whether they're hosted on your agency website or through an external provider.

If your agency plans to put a web-based form online, or if you discover that there is already one online that doesn't have a State Form Number, you'll need to get it approved as an official State Form.
How? Submit it using a State Form 36040, just like any other form, but contact State Forms Management before you do, to find out what additional information they'll need.

ONLINE FORMS: STATE FORMS ONLINE CATALOG - 1

[Image: screenshot of the search page for the forms.IN.gov State Forms Online Catalog]

The State Forms Online Catalog, located at forms.IN.gov, is a searchable repository of all State Forms except:

- those which physically can't be placed online

- those the agency has specifically requested not be searchable online

On the SF 36040, you choose who will be able to find the form in the Catalog: everybody, nobody (restricted access), only logged-in state employees, or only logged-in state employees from your own agency.

ONLINE FORMS: STATE FORMS ONLINE CATALOG - 2

[Image: screenshot of the search page for the forms.IN.gov State Forms Online Catalog, same image as previous page]

Per Administrative Code 60 IAC 3:

- All links to State Forms on your agency's website must go to the form's address within the State Forms Online Catalog.

- Forms Coordinators should review their agency websites periodically and ask their webmaster to correct any improper form links and remove outdated files.

- The URL for a correct link to a State Form should look like this: https://forms.in.gov/Download.aspx?id=[catalog ID#]

GETTING STATE FORMS PRINTED - 1

If your agency needs to have forms printed externally, you'll need to work with Post Masters, the State's printing contractor, through their Online Store at https://secure.in.gov/idoa/2455.htm.

[Image: Post Masters logo, showing an envelope, the business name, and the words "From Datastream to Mailstream" in all-caps.]

GETTING STATE FORMS PRINTED - 2

When you place an order:

- Your agency's account representative with Post Masters notifies Forms Management to send them the printing specifications.

- Post Masters sends a proof to you, and to Forms Management.

- Once the proof is approved by both parties, the forms are printed and delivered.

- Always check the completed order when you receive it, and if there are any printing errors, work directly with Post Masters to resolve them.

FORMS COORDINATOR HANDBOOK

[Image: Cover of the Forms Manager Handbook, which contains the title, then a large copy of the State Seal below it]

For more information on everything forms-related, make sure to download a copy of our full manual for agency forms management, which provides all the details about

- what we do

- why we do it

and

- how to get it done!

You can find it on the IARA Publications page, listed under Services For Government on our website, iara.IN.gov.

CONGRATULATIONS, STATE FORMS MANAGERS!

[Image: stylized 3-D cartoon figure wearing a graduation cap and holding up a diploma, in their left hand (right side of figure) with colored streamers and confetti behind them. Figure slowly animates up and right, as if jumping for joy]

If you have questions about State Forms or the process for submitting and approving them, you can contact Forms Management at fmd@iara.in.gov.

Closing Page: THANK YOU

[Image: panoramic photo of the State Forms file room at IARA, showing many (many, many) folders, each containing the full history of a State Form, filed by State Form Number]

Thank you for taking our course on State Forms Management for Indiana State Employees.

For more in-depth information (including additional training options), please visit our website at iara.IN.gov