

## **UMBC FORMS MANAGEMENT POLICY**

### **I. Authority and Purpose**

The Forms Management Officer of the University of Maryland Baltimore county (UMBC) is charged by the Vice President for Administration and Finance with the responsibility for the establishment, implementation, and periodic review of our Forms Management Plan to ensure cost-effective practices in accordance with the State Government Article, Title 10, Sections 604-608 (1984), of the Annotated Code of Maryland. For purposes of this legislation, the University of Maryland System is a department of the State of Maryland, and UMBC is an agency of the UM System.

### **II. General Policy**

It is the policy of UMBC to require administrative and academic departments to obtain the approval of the Forms Management Officer, with the assistance of the Forms Management Committee, before new forms are placed in service and to keep the Officer advised of changes in the use of current forms.

### **III. Forms Management Committee**

#### **A. GENERAL**

The Forms Management Committee shall be a standing Committee reporting to the Vice President for Administration and Finance and chaired by the Forms Management Officer, the Director of Procurement. The purpose of the Committee shall be to assist the Forms Management Officer in the review and monitoring of the forms management practices of UMBC, including the periodic review of forms that are in use on the campus. The Forms Management Committee is also responsible for reviewing this policy from time to time. Proposed changes should be directed to the Forms Management Officer.

#### **B. REPRESENTATIVES**

The following departments shall have designated representatives on the Committee:

1. Officer of the Comptroller
2. Admissions and Registrations
3. The Office of Human Resources
4. The University Center
5. The Library

In addition, a faculty or staff representative may be selected on an as needed basis by the Vice President for Academic Affairs, Vice President for Administration and Finance, Vice President of Student Affairs and Vice President of Research. A student representative may be appointed on an annual basis by the Student Government Association (SGA).

#### **C. MEETINGS**

The Forms Management Committee shall meet at least once annually and at other times as deemed necessary by the Forms management Officer. The meeting schedule shall be maintained by the Department of Procurement.

### **IV. Statutory Requirements**

The Forms Management Officer, with the assistance of the Forms Management committee, shall:

- A. Maintain an inventory of forms in use.

- B. Maintain a register of forms approved by the Forms Management Officer.
- C. Approve only those forms needed for the effective and efficient operation of the department or independent unit.
- D. Maintain a forms identification system.
- E. Maintain an economical system for preparing, reproducing, and using approved forms.
- F. Periodically review all approved forms and eliminate those that are no longer needed.

**Procedures – UMBC Forms Management Plan**

I. New Procedure/Authority

The State Forms Management Law provides for a decentralized program within which the primary responsibility for implementation lies with the individual agency. The Forms Management Officer is responsible for the preparation of the consolidated annual Forms Management Activities Report which is submitted to the Legislature each year.

II. Departmental Responsibility

Each department is to clarify, as specifically as possible, what it is and is not counting as a form within the broad definition of a form. The definition and clarification of a form are to be included in each department’s Forms Management Plan. Any later changes in the definition should be made through an amendment to the departmental plan.

III. Definition of a Form

A “Form” is defined as a document with a standard format for the systematic and repetitive collection, maintenance, or transmission of information. (State Government Article, Title 10-604). It is usually a document, which provides pre-printed or pre-reproduced recurring data and instructions, while usually providing spaces for the entry of variable data in a standardized fashion.

While the above definition can lend itself to a broad interpretation, it is clear that it includes at the minimum the most common understanding of a form, i.e., a document which contains a fixed arrangement of captioned spaces designed for entering and extracting prescribed information. All such forms are to be controlled by the University, including those purchased from commercial suppliers, those reproduced internally on office duplicating machines or generated by word/data processing equipment, and forms used in the smallest as well as largest quantities.

IV. Clarification and Examples

- A. As an agency of the UM System, UMBC may design a program suitable to its special situation and needs. A certain degree of discretion is given to each agency to define a form within the given broad definitions. Given this discretion, the Forms Management Officer has determined that the following should **not** be counted as forms:

Form Letter	Parking Passes	Brochures
Labels	One-time Forms	Certificates
Tags	Envelopes	ID Cards & Passes
Letterhead	Tab Cards	Checks
Licenses	Inter-Office Memos	Menus
Telephone Message Pads	Personalized Scratch Pads	Tests

Intra-departmental leave request slips

- B. Guidelines in the Counting of Forms: Each department is required to count only those forms whose usage it originates. Do not count or report forms that are not originated within your department.

**Example 1** – campus-wide time sheets would be reported by the Department of Human Resources since they distribute the forms to each department for usage. Each individual department would not report these as a department form. Note also that if this is a personnel form that is originated by the State or by System Administration, the UMBC Department of Human Resources would not report it as a form since System Administration would report it as an “inter-system” form which they originate.

**Example 2** – The Department of Admissions would report Student Registration Forms since they are originated for use by the Department of Admissions. Note that the department would report this as a “public use” form that they originate.

#### V. Procedures for Approval of Forms and Form Numbers

##### A. REQUEST FOR APPROVAL

All UMBC departments must obtain the approval of the Forms Management Officer for their departmental forms currently in use and any departmental forms developed for use in the future.

Initially, in order to obtain approval for forms currently in use, each department must complete and submit a Forms Management Summary/Reporting sheet, along with two copies of each form included on the summary.

After receiving initial approval for forms currently in use, departments may use the same form for requesting approval of newly created forms. After receipt of a request for a new form, the Forms Management Officer will review the request as soon as possible. A written notification of approval will be forwarded to the department when a decision is made.

##### B. FORM NUMBERS

Once a form is approved for use, the Forms Management Officer will issue a form number. Each approved form will be identified by a departmental FAS code (list of all departmental codes is attached) and the assigned form number. For example, the Procurement FAS department code is 8008, so the first Procurement form would be numbered 8008-01. This number must be printed on the form (lower left side). Whenever a revision is made to a form in use, the revision must be noted by including “Rev.” and the date in the lower left-hand corner.

When the initial Forms Management Summary/Reporting Sheet is approved, form numbers will be assigned and a copy of the sheet will be returned to each department. Departments will be required to have the FAS departmental code and the form number printed on the form as they are reprinted. New forms will be assigned numbers upon approval.

##### C. DENIALS

Denials will be in writing, setting forth the reasons for the denial. Appeal of a negative decision may be made in writing to the Forms Management Officer within five business days. Appeals must contain all appropriate materials pertaining to the original request. The Decision of the Forms Management Officer is final.

#### IV. Procedures for Printing of New, Revised, or Reprinted Forms

##### A. To order printed forms, a department may do so in one of two ways.

1. For FY 01, Ridge Business Forms has been designated as the printing contractor for the University as the result of a competitive bid. This contract covers the printing of all forms, letterhead, stationery, business cards and other

like items. While this is not a mandatory contract, departments are encouraged to use it since the pricing is competitive, deliveries are made directly to the using department and individual purchase orders are not required for each order. To use the Ridge contract, departments should contact Ridge directly for order forms and ordering information.

When using this contract to order forms that require approval (either new or revised), the form must first be submitted to the Forms Management Officer for approval by attaching two copies of the form to the Ridge order form and submitting it to the Forms Management Officer. The quantity order should be approximately the number used over a one-year period. Once approved, a number will be assigned to the form and it will be sent on to Ridge for printing. Ridge has been instructed that they cannot process any form orders without the prior approval of the Forms Management Officer.

2. If a form is to be printed by a different vendor, an outside requisition for supplies and materials must be completed. As above, two copies of the form should be attached. The requisition must be approved by the department head or designee. The quantity ordered should be approximately the number used over a one-year period.
- B. Using either of the methods above, if the request is for a newly created form, the department must include a full description of the form including size, stock, number of copies, etc. as well as a description of the purpose of the form. The Forms Management Officer will review the request and if approved, assign a form number for printing.
  - C. The department should maintain a copy of the requisition or Ridge order form along with a sample of the form. When printed forms are delivered to the department, two original copies of the form must be sent to the Forms Management Officer and one copy should be attached to the department records along with the earlier approval of the form.

**FAS****DEPT# Department Name (per FAS)**

1033	Academic Computing
8007	Administrative Computing
1024	Administrative Sciences
3008	Admissions
1002	African-American Studies
1005	American Studies
1006	Ancient Studies
3015	Asst. Provost/Acad Advisement/Acad Outreach/Enrollment/Orientation
1003	Biology
9004	Bookstore
8002	Budget Office
3001	Campus Activities
1004	Chemistry
8001	Comptroller
1050	Computer Sciences
4000	Construction Planning
1028	Cont Educ/Summer & Winter Prog
3002	Counseling
5000	Ctr Educ Res & Dev (CERD)/Upward Bound
1010	Dance
1001	Dean of Arts & Sciences
1018	Economics
1014	Education
1029	Emergency Health Services
1040	Engineering
1007	English
3009	Financial Aid
9001	Food Services
2005	Gallery
1019	Geography
1034	Graduate School
1020	History
1038	Honor's Program
8004	Human Resources/Human Relations/Risk Management
1030	Info Systems Mgt (IFSM)
7002	Institutional Research
1026	Instructional Technology
1027	Interdisciplinary Studies
1070	Int'l Educ Services
2000	Library
1015	Mathematics
1041	MIPAR
1008	Modern Languages
1013	Music
1031	Nursing
1009	Philosophy
400x	Physical Plant
1016	Physics
1017	Physical Educ
3003	Placement
1025	Policy Sciences
1021	Political Science
7000	President

8008	Procurement
3004	Professional Practices (Ctr for Learning Through Work & Srvc)
1022	Psychology
6000	Public Safety
3010	Registration
9010	Residential Life
9004	Shuttle Bus (Commuter Affairs)
1032	Social Work
1023	Sociology/Health Sci & Policy/CIPAR
3100	Student Affairs/Spec. Servs.
3006	Student Health Services
3012	Student Support Services
9002	Student Union
3007	Supplemental Educ. Srvc (LRC)
8009	Tele-Communications/Mail
1012	Theatre
7004	Univ Relations
1100	Vice Provost
1011	Visual Arts
8000	VP Administration and Finance
3000	VP Student Affairs
1000	VP Academic Affairs/Provost
1039	Women's Studies