



**DEPARTMENT OF CORRECTIONS
Institutions**



Title:	Forms Control	DOC Policy: 10.1.3
Effective:	02/7/20	Supersedes: 07/01/99
Applicability:	All employees, volunteers, and contract service providers	
Directives Cross-Reference:	10.4.1 Directives Development	
Attachments:	Accessibility Check CD 1574 Forms Management Proposal	

I. PURPOSE

The purpose of this policy is to establish the method of adoption, review, revision, and storage of forms to ensure the control and standardized use of forms throughout the Department of Corrections (DOC).

II. DEFINITIONS

- A. Department of Corrections Form (department form): Any document used throughout the department as a standard, or to provide consistency of functions as directed through DOC rules, policies, or procedures.
- B. Division Forms Control Liaison: A person appointed by a division Assistant Director to serve as a liaison between the division and the DOC Forms Control Coordinator. Division forms control liaisons will coordinate the creation of new forms or revisions submitted by their division.
- C. Forms Control Coordinator: The person appointed by the Director or designee to administer the provisions of this policy, working with division forms control liaisons, and maintaining the department’s forms database.
- D. In-House Form: Any document that is specific to a functional unit, but is not a standard department practice or directive.
- E. Info Hub: An internal site where information and resources can be found, including department-wide forms.

III. POLICY

A. General Guidelines for Department Forms

1. Any form that is a Department of Corrections form will be assigned a CD number by the Forms Control Coordinator and will be registered in the Department of Corrections forms database.
2. Any form that is adopted and registered by the department will be used by all functional units to meet the operational functions or directives for which the form was designed.
3. Department forms will be standardized and designed to assist staff in daily procedures or practices, maximize multiple functions and eliminate duplications.
4. Department forms that apply to a specific functional unit will not be assigned a CD number and will not be registered in the department's forms database. Any form that is used for a specific functional unit will be designated as an in-house form, as outlined in Section III B, of this policy.
5. The assigned CD number on a department form is to be placed in the lower right-hand corner followed by the month and year of the form's approval date or revision date.
6. A department form will include the DOC shield logo, which will be placed at the top left-hand corner. All forms will include the bold main title "*Name of the Form*" at the top of the page that best describes the purpose of the form.
7. A department form will not include the name of a functional unit in the title or subtitle(s).
8. Only Rockwell (heading or subheading), Gill Sans (heading or subheading), or Calibri (body text) typefaces shall be used when revising or creating a department form. A combination of these three font styles may be used on a form. Main title font size is to be 12-16 pt., with the body text to be 9-12 pt. Calibri font.
9. A department form may list a standardized distribution on the lower left-hand side of the form.
10. All department forms submitted to the Forms Control Coordinator for approval that will be shared on the internet must be processed through an accessibility check and

all errors removed to meet ADA standards prior to submission. See Attachment Accessibility Check.

B. In-House Forms

1. In-house forms are forms that relate to specific functional unit procedures or are deemed essential by the functional unit manager.
2. Functional units may decide to develop and maintain an in-house numbering system, which will be used in lieu of a CD number for in-house forms only.
3. If an in-house form is developed, it shall not include any modifications of a Department of Corrections form. If the form exists as a department form, it shall not be redesigned as an in-house form.

C. Forms Adoption and Revision

1. A request for a new or revised department form may be submitted for consideration by any employee, contractor or volunteer to their division forms control liaison.
 - a. Prior to submitting the form request, the facilitator will distribute the draft form request to identified areas of the division which will use or be impacted by the form to allow for review and comment.
 - b. The facilitator will review and incorporate recommended changes and submit the form request to the division forms control liaison.
2. Upon receipt of the form request, the division forms control liaison will review the request to confirm that it meets the format standards as defined in this policy, and if necessary, return it to the facilitator for correction. The division forms control liaison will also confirm that all identified areas and impacted staff have been contacted for their review and comments.
3. The division forms control liaison will forward the form request to the division Assistant Director or designee, for final approval.
4. Once the form is approved by the Assistant Director or designee, the division forms control liaison will send the form request to the Forms Control Coordinator for approval. All form requests shall be submitted in electronic format and will contain the final draft form and a completed Forms Management Proposal form.
5. The Forms Control Coordinator will update the information in the department's forms database and assign a new CD number if the request is for a new form.

6. When a form has been deemed as obsolete, the division forms control liaison will notify the Forms Control Coordinator so that the department's forms database can be updated. The Forms Control Coordinator will notify the Info Hub Design Team to coordinate the removal of the form from the Info Hub.

D. Forms Databases

1. The Department of Corrections forms database will be maintained by the Forms Control Coordinator.
2. The database will include numeric and alphabetic indexes as well as a hard copy and printing instructions for each department form.
3. Any revisions to forms or requests for new forms will be submitted to and approved by the Forms Control Coordinator.
4. The Forms Control Coordinator will update the database and file the electronic and master copy. Hard copies will be maintained by division forms control liaisons.
5. Each division forms control liaison will maintain a division database of their in-house forms.

E. Location of Forms

1. All department forms will be available to staff on the Info Hub. It is the responsibility of the Forms Control Coordinator to update the Info Hub with new, revised, or repealed forms and communicate such with the Info Hub Team.
2. Department forms are not to be saved to local desktops.

F. Forms Orders

1. All orders for a department form(s) should be done on an as needed basis and processed as follows:
 - a. Submit a complete and signed CD 633 and a current copy of the department form to the OCE Print Shop at: oceprintshop@oce.oregon.gov.
 - b. OCE Print Shop will only print current versions of department forms that match the master list on the Info Hub. If a form submitted for print does not match the Info Hub, OCE Print shop will provide proofs to the Forms Control Coordinator for approval.

2. Department forms may be digitally copied if only a small numbers of copies are needed and it will not alter the format in any way.

IV. IMPLEMENTATION

This policy will be adopted immediately without further modification.

Certified: signature on file
Michelle Mooney, Rules Coordinator

Approved: signature on file
Heidi Steward, Deputy Director

Microsoft Word 2013 for Windows

Creating Accessible PDF Documents

The goal of accessibility is for all users to have the same experience, including people with disabilities. Creating a PDF that is accessible primarily involves ensuring that the format and structure of the document is defined so that it is presented the way the author intended, and that text alternatives via “tags” are provided for any non-text elements. An accessible PDF essentially looks the same, but is more accessible to a person using a screen reader.

Principles of Accessible Design for PDFs

- [Creating and Editing Headings](#)
- [Adding Alternative Text to Images and Shapes](#)
- [Creating Tables and Adding Alternative Text](#)
- [Editing Hyperlinks](#)
- [Creating Lists](#)
- [Creating Columns](#)

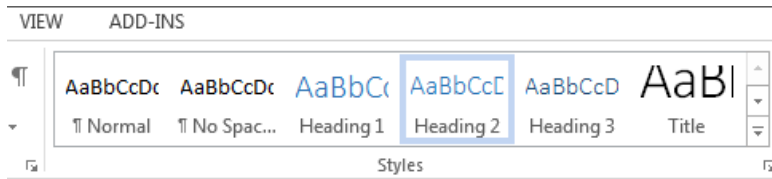
Microsoft Word provides an Accessibility Checker for identifying and repairing accessibility issues. The checker's **Inspection Results** classifies accessibility issues into three categories:

- **Errors:** content that makes a document very difficult or impossible for people with disabilities to access.
 - *Example: an image with no alt text.*
- **Warnings:** content that in most—but not all—cases makes the document difficult for people with disabilities to access.
 - *Example: a link with text that is not descriptive of its function.*
- **Tips:** content that people with disabilities can access, but that might be better organized or presented.
 - *Example: skipping from a first-level heading to a third-level heading.*

See [Using the Accessibility Checker](#) below.

Creating and Editing Headings

1. Select the **Home** tab from the ribbon.
2. In your document, select the text to convert to a heading.
3. Click on the appropriate heading level in the **Styles** in-ribbon gallery; e.g., **Heading 1**.
4. Headings 1, 2, or 3 can also be assigned using **Control** + **Alt** + **1**, **2**, or **3**, respectively.



Notes

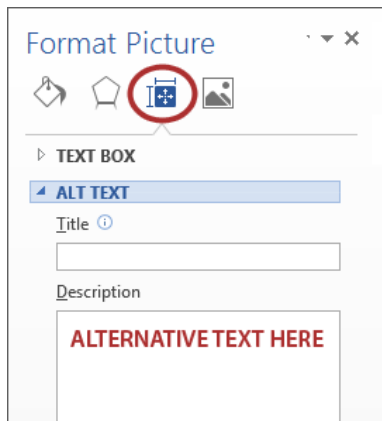
Word documents with a true heading structure provide at least two benefits:

- The document retains this structure when correctly exported to PDF.
- The document's readability is increased for all users.

Adding Alternative Text to Images and Shapes

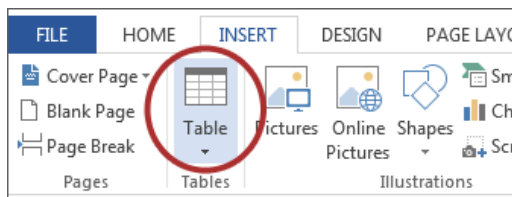
1. Right-click on the image (or shape) and select **Format Picture** (or **Format Shape**). A dialog box will appear.
2. Select the **Layout & Properties** icon and choose **Alt Text**.
3. Enter the appropriate alternative text only in the **Description** field, NOT the **Title** field. Alternative text provides a textual alternative to non-text content. It is especially helpful for people who are blind and rely on a screen reader to have the content read to them. The following link provides a helpful guide on choosing the appropriate alt text:

[Alternative Text](#)

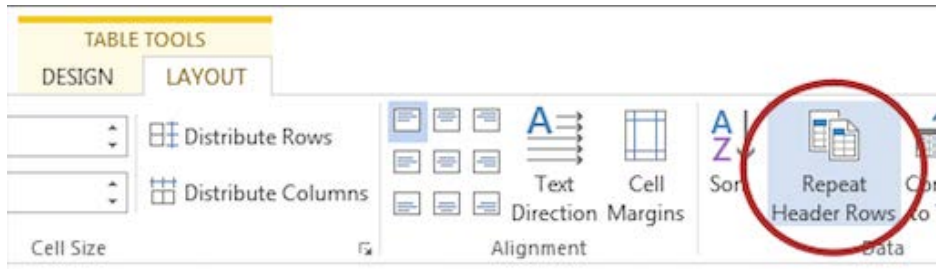


Creating Tables and Adding Alternative Text

1. Select the **Insert** tab on the ribbon, then select **Table > Insert Table**.



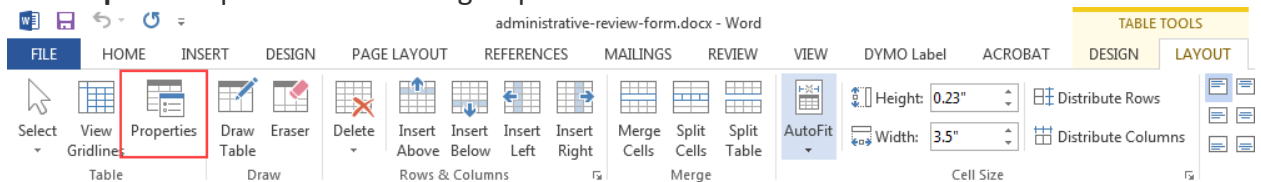
- If your table has a column header(s), select **Table Tools > Layout** on the ribbon, then choose the **Repeat Header Rows** option in the **Data** group.



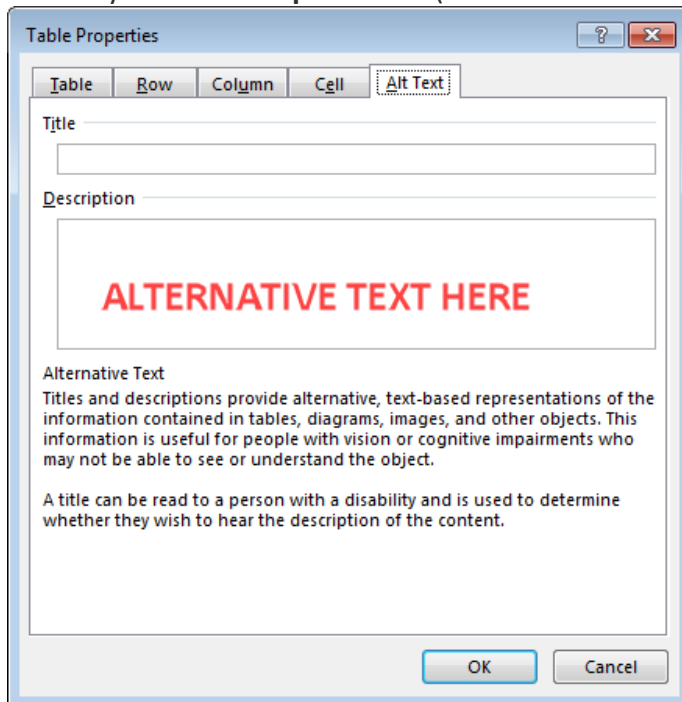
Important

Do NOT create tables "by hand" with spaces or the **Tab** key.

- Add alt text to the table by selecting **Table Tools > Layout** on the ribbon, then choose the **Properties** option in the **Table** group.

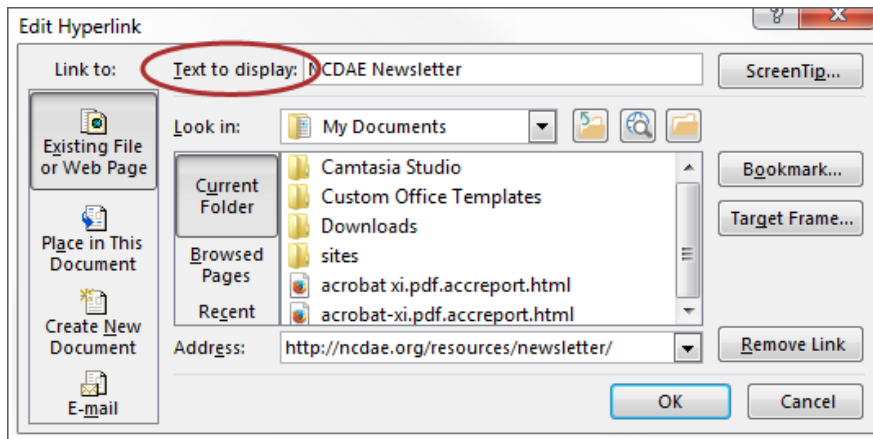


Select the **Alt Text** tab in the **Properties** window, and enter the appropriate alternative text only in the **Description** field (NOT in the **Title** field).



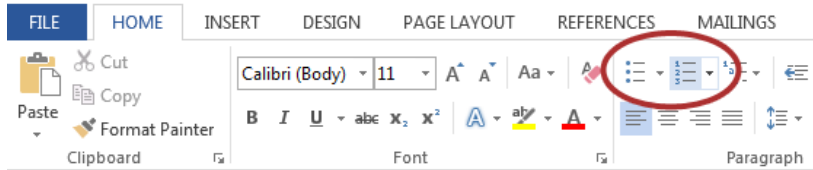
Editing Hyperlinks

1. Select a hyperlink, right-click, and select **Edit Hyperlink** or **Ctrl + K**.
2. Change the text in the **Text to display** field to a more meaningful description. Every link should make sense if the link text is read by itself. Screen reader users may choose to read only the links. Certain phrases like "click here" and "more" must be avoided.



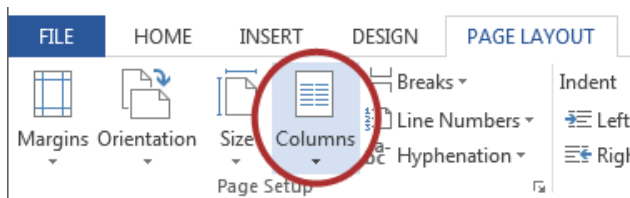
Creating Lists

1. Select the **Home** tab on the ribbon.
2. Choose the **Numbered List** or **Bulleted List** option from the **Paragraph** group.



Creating Columns

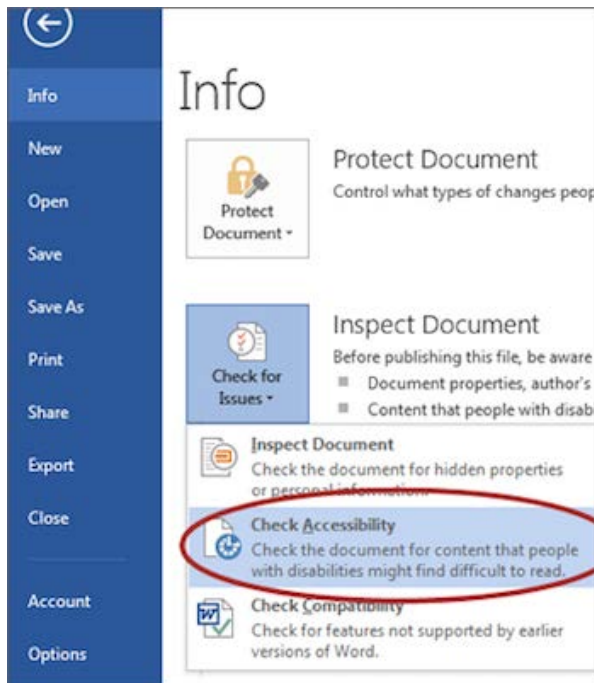
1. Select the **Page Layout** tab on the ribbon.
2. Select **Columns** in the **Page Setup** group.



3. Choose the number of columns.

Using the Accessibility Checker

1. Select **File > Info > Check for Issues > Check Accessibility**.



The checker presents accessibility errors, warnings, and tips for making repairs. Clicking an item in the results highlights the corresponding item in the document and displays the **Additional Information** section:

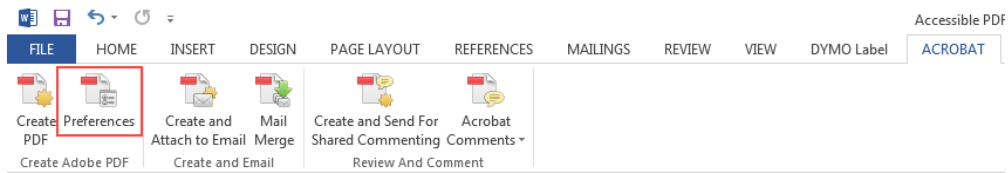
- **Why Fix:** explains why the issue impacts accessibility.
- **How to Fix:** suggestions for repairing the issue.

Converting to PDF

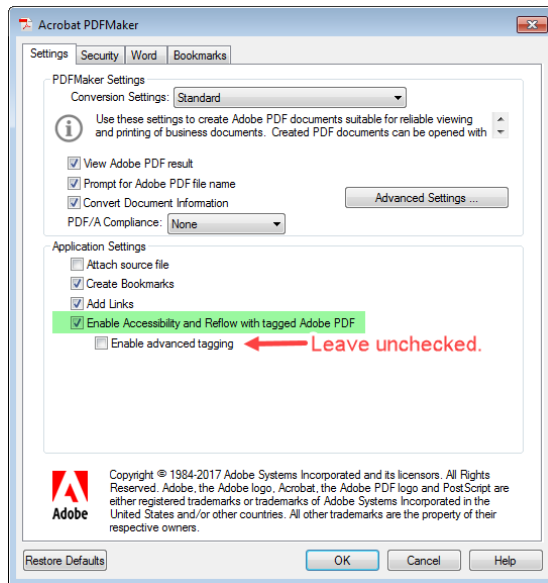
Users can create PDF files with the Adobe Acrobat add-in, or by using Word to save the document as a PDF file. The file must be exported correctly. Do **NOT** use the Print to PDF option, as the file will **not** be correctly tagged.

Adobe Acrobat Add-in

1. First, double-check that the proper **Application Settings** are enabled in Word. You only need do this once:
 - a. Select **Preferences** from the Acrobat ribbon.



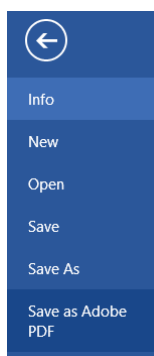
- b. Ensure that the **Enable Accessibility and Reflow with tagged Adobe PDF** setting is checked in the **Acrobat PDFMaker** dialog.



2. Then, to export a PDF, select **Create PDF** from the Acrobat ribbon:



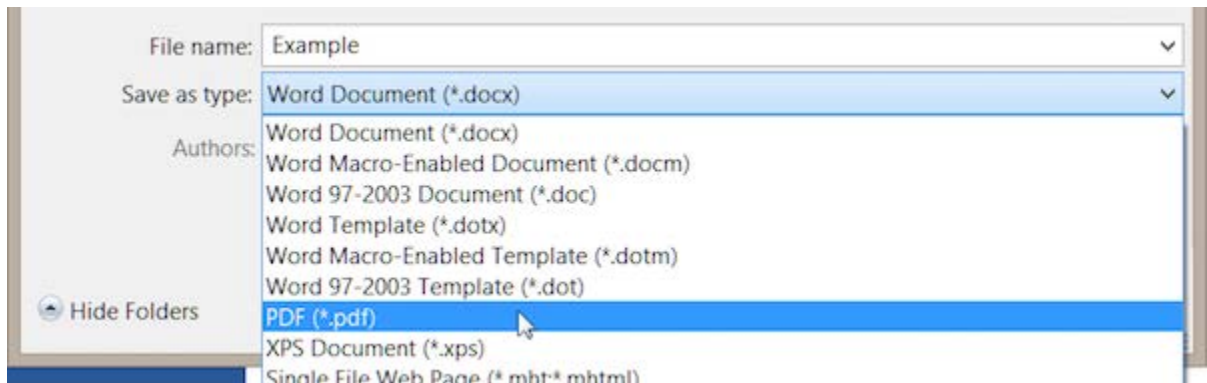
OR select **File > Save as Adobe PDF**.



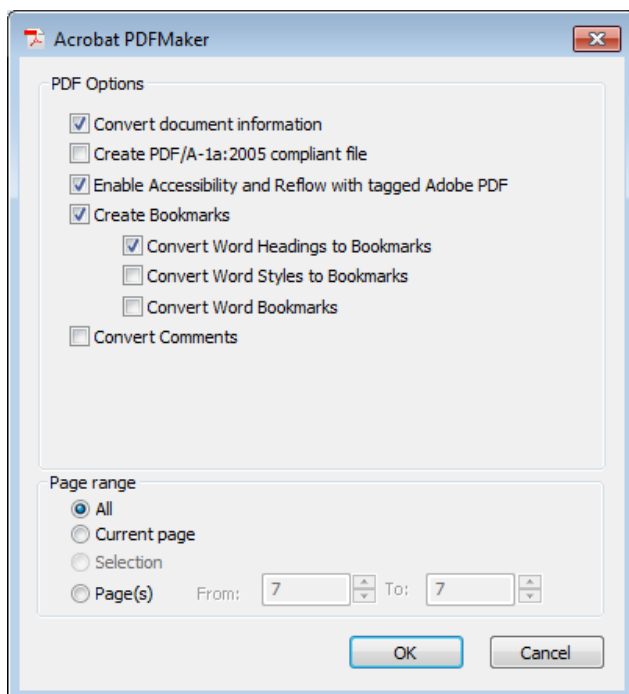
Saving to PDF with Word (without Adobe Acrobat add-in)

Accessible PDF files can be created without installing the Adobe Acrobat add-in:

1. Select **File > Save As**.
2. Under **Save as Type**, select **PDF**.



3. Before saving, select **Options** and ensure that the **Document structure tags for accessibility** option is selected.



Source: WebAIM. 2016, www.webaim.org.



Forms Management Proposal

Concept	Title of Form (New/Existing): Click or tap here to enter text.	
	Proposed Action: <input type="checkbox"/> Create <input type="checkbox"/> Revise Form Number: # <input type="checkbox"/> Discontinue Form Number: #	
	Reason for Action: Click or tap here to enter text. <input type="checkbox"/> Efficiency <input type="checkbox"/> Legislative Requirement <input type="checkbox"/> Organizational Change <input type="checkbox"/> Rule or Policy change	
	Attached to a rule/policy: <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, list all Policies, rules, and procedures: Click or tap here to enter text.	
	Does the form reference other agency forms? If so, please list all forms: Click or tap here to enter text.	
	End Users (Check all that apply): <input type="checkbox"/> Public <input type="checkbox"/> Staff <input type="checkbox"/> AIC <input type="checkbox"/> Outside Agencies <input type="checkbox"/> Business Partners	
	Submitted By: Click or tap here to enter text.	Title: Click or tap here to enter text.
	Signature:	Date: Click or tap here to
Forms Owner? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Final Approval	Concept: <input type="checkbox"/> Approved <input type="checkbox"/> Denied	
	Existing Stock will be: <input type="checkbox"/> Used <input type="checkbox"/> Destroyed	
	Comments: Click or tap here to enter text.	
	Creation/Revision Assigned to: Click or tap here to enter text.	
	Forms Owner: Click or tap here to enter text.	Title: Click or tap here to enter text.
	Signature:	Date: Click or tap here to
Form changes will be posted for agency use on the next regularly scheduled update. Exceptions to this can be requested by the Form Owner. Please explain the reason for the request, as well as any other special considerations.		
Agency Forms Coordinator Final Review		
Form Number: Click or tap here to enter text.	Date Posted for Agency Use: Click or tap here to enter text.	
Comments: Click or tap here to enter text.		