



Illinois Department of Corrections

Administrative Directive

Number: 01.03.101	Title: Processing Forms	Effective: 3/1/2021
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Authorized by:	<i>[Original Authorized Copy on File]</i>	Rob Jeffreys Acting Director
Supersedes:	01.03.101 effective 2/1/2020	

Authority: 730 ILCS 5/3-2-2	Related ACA Standards: 5-ACI-1A-01, 05, 12, 14
Referenced Policies: 01.03.100, 01.03.110	Referenced Forms: DOC 0001 – Form Request

I. POLICY

The Department shall develop and maintain local and Statewide forms in accordance with this directive.

II. PROCEDURE

A. Purpose

The purpose of this directive is to establish a written procedure for form design, utilization, approval, revision and rescission.

B. Applicability

This directive is applicable to all facilities, offices, program and parole services within the Department.

C. Facility Reviews

A facility review of this directive shall be conducted at least annually.

D. Designees

Individuals specified in this directive may delegate stated responsibilities to another person or persons unless otherwise directed.

E. Definitions

Automated form - a form that can be completed on the computer (on-line) using specific software such as Microsoft Word, Adobe PDF or Excel.

Chief Administrator - the Director, Assistant Director, Chief or the Deputy Director of the respective district.

Executive staff - the Director, Assistant Director, staff who report directly to the Director and other staff so identified by the Director.

External form - a form that originates within the Department of Corrections but is transmitted to or requests information from entities outside of the Department.

Form - a standard document, printed or reproduced by any means, that includes blanks for insertion of details or information, and that is intended for use on an on-going basis. It does not include letterhead or memoranda paper, business cards, desk memos or templates such as audit instruments designed for use by an office or unit in expediting daily functions.

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Local form - a form that is unique to the operation of a specific facility and that is used by more than one office in the facility or that is in an offender's master file.

Statewide form - any form that may be used by more than one facility, office, program or parole service within the Department; any external form; and any form that is referenced in an Administrative Directive.

F. General Provisions

1. The Agency Forms Coordinator shall be responsible for the integrity and accuracy of Statewide forms developed in accordance with the forms directives, including the development and maintenance of a forms database.
2. The Chief Administrative Officer shall:
 - a. Be responsible for the integrity and accuracy of all local forms and the development and maintenance of a listing of forms used at the facility.
 - b. Establish a written procedure for the design, utilization, approval and maintenance of forms, both local and Statewide, and the development and maintenance of a local forms listing.
3. All forms shall:
 - a. Have a unique form title that is brief and descriptive;
 - b. Be designed for maximum user efficiency;
 - c. Be non-duplicative of other departmental forms;
 - d. Not be personalized for a particular person, office or division except for the completion of blank identifier fields on the form or unless otherwise approved by the Agency Forms Coordinator or Chief Administrator based on agency need;
 - e. Bear all required notices on external forms;
 - f. Include the distribution in the lower left corner of the form, where applicable;
 - g. Bear a non-duplicative sequential form number assigned by the Local or Agency Forms Coordinator, as appropriate, in accordance with Administrative Directive 01.03.100; and
 - h. Bear an effective or revised date.
4. Statewide forms shall be reviewed by administrative, executive and legal staff.
5. Statewide forms shall be approved by the Agency Forms Coordinator; local forms shall be approved by the Local Forms Coordinator.
6. Any external form seeking mandatory information from outside entities, such as business, agriculture or local governments, shall contain a conspicuous notice (see examples in Attachment A) on the first page of the form stating:
 - a. The authorization for the use of the form such as statutory reference; and
 - b. The penalties, if any, for failure to respond or provide any requested information.

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G. New or Revised Forms

1. The requestor of a new or revised form shall complete all applicable fields of a Form Request, DOC 0001.

NOTE: Revisions to all forms that have not been assigned a Statewide or local number in accordance with Administrative Directive 01.03.100 shall be considered new forms. The old form number that the new draft will replace shall be included in the justification section on the DOC 0001.

2. The requestor shall submit the DOC 0001 and a copy of the draft form, through chain of command, to the Local or Agency Forms Coordinator, as appropriate. The request may be submitted via email with both the DOC 0001 and the draft form included as attachments. The request should include the spacing requirements for fields if the form is to be automated and include instructions for use and distribution of the form. A recommended retention period may be included, if known, with the justification on the request.
3. Upon receipt of the DOC 0001 and the draft, the Local or Agency Forms Coordinator shall:
 - a. Ensure all provisions of Paragraph II.F.3. have been met.
 - b. Review the request and draft form for accuracy.
 - c. Determine which offices, facilities, program sites or parole service the form applies to and obtain appropriate approvals from executive staff, affected offices or facilities, and legal services.
 - d. When determined appropriate:
 - (1) Assign a local or Statewide form number in accordance with Administrative Directive 01.03.100;
 - (2) Finalize the draft format;
 - (3) Place Statewide forms in the DOC Forms Directory;
 - (4) Place local forms in the facility's local directory;
 - (5) Ensure affected offices, facilities, program sites and parole service are notified of, and are instructed on, the use of the form including whether any existing supply should be exhausted or discarded;
 - (6) Retain a copy of the DOC 0001 and final form;
 - (7) Update the Statewide forms database or local forms listing, as appropriate; and
 - (8) Send a copy of the approved form and DOC 0001 to the Records Retention Coordinator, including any recommendation for records retention.
 - e. Notify the requestor of any form not approved.

H. Rescission of Forms

Whenever it is determined that a form is no longer useful or the form is being combined with other forms, the form shall be rescinded.

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1. The requestor shall complete the DOC 0001 and process it in accordance with Paragraph II.G.1. and 2. A copy of the form to be rescinded shall be included with the request.
2. The Local or Agency Forms Coordinator shall:
 - a. Obtain appropriate approvals.
 - b. Notify all affected personnel when a form has been rescinded.
 - c. Provide an effective date for discontinuance of its use.
 - d. If applicable, remove the rescinded form from the computer system.
 - e. Maintain a copy of the DOC 0001 and the rescission notice.
 - f. Update the Statewide forms database or the local forms listing, as appropriate.

I. Automation of Existing Departmental Forms

1. Requests to automate an existing local or Statewide form shall be submitted on a DOC 0001 through chain of command to the Local or Agency Forms Coordinator, as appropriate. The requestor shall include field requirements.
2. The request shall be processed in accordance with applicable provisions of Paragraph II.G.
 - a. A full review is required for any form dated prior to April 1, 2001, and for any form that contains content changes.
 - b. A request to automate a form dated on or after April 1, 2001 with no other changes may be approved by the Local or Agency Forms Coordinator.
3. The form shall be automated in accordance with Administrative Directive 01.03.110.

J. Automation of Other Agency's Forms

1. Requests to automate another agency's form shall be submitted on a DOC 0001 through chain of command to the Agency Forms Coordinator.
 - a. The DOC 0001 shall contain the type of form; action requested; form number, effective date and title on the agency form; justification; and approval of the Chief Administrator.
 - b. A current copy of the other agency's form shall be included with the request along with the field and processing requirements.
2. The Agency Forms Coordinator shall:
 - a. Obtain approval from the appropriate Department Head (for example, the Chief of Personnel on personnel forms, the Chief Fiscal Officer on fiscal forms, etc.).
 - b. Ensure the form is automated in accordance with Administrative Directive 01.03.110.
 - c. Notify Local Forms Coordinators and other appropriate staff of the accessibility of the automated form.
3. The approving Department Head shall be responsible for ensuring the automated form is current and accurate. If changes are made to the other agency's form or if the form is rescinded, the

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responsible Department Head shall ensure a new DOC 0001 is processed to request revision or rescission of the automated form.

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Attachment A

Examples of Mandatory Disclosure Statements

IMPORTANT NOTICE

The Illinois Department of Corrections is requesting disclosure of information necessary to accomplish the statutory purpose as outlined in *(insert the statutory title and number)*. Disclosure of this information is MANDATORY. Failure to disclose this information may prevent this form from being processed.

IMPORTANT NOTICE

The Illinois Department of Corrections is requesting disclosure of information necessary to accomplish the statutory purpose as outlined in *(insert statutory title and number)*. Disclosure of this information is MANDATORY. Failure to provide any information could result in *(insert penalty)*.

Note: These notices may be typed in 6 point type.