



OPERATIONAL INSTRUCTION

OI-OD- Procedure Management
Number: 1004.1
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Overview

Introduction

Policy Statement (PS) 1004 provides overall guidance to ensure that the Court Services and Offender Supervision Agency (CSOSA or Agency) issues procedures in a uniform and timely manner. This operational instruction (OI) provides designated staff with procedures to operationalize two core tenets of PS 1004:

- Operational instructions are prepared using a standard format (see Appendix A).
- Operational instructions are developed and maintained using a 4-phase process that includes planning, development, review, and maintenance.

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Operational Instruction Format

Introduction Operational instructions are formatted using a unique numbering system and major headings.

Numbering System The Office of Policy Analysis (OPA) assigns a range of numbers to each component and maintains a list of existing numbers. Operational instructions are assigned a unique number based on the policy and the sequence of operational instructions tied to the policy. Operational instructions contain the acronym for the issuing component.

The numbering format of an operational instruction is as follows:

- OI-[acronym of component]-[policy number].[sequential number]

Numbering Example Policy Statement 1000: Policy Management

Operational instruction tied to PS 1000: OI-OD-1000.1

The next operational instruction in sequence would be numbered:
OI-OD-1000.2.

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Operational Instruction Format, Continued

Major Headings Operational instructions include the major headings described in the table below:

Major Heading	Content
Header	<ul style="list-style-type: none"> • Designation: Operational Instruction • Agency and Issuing Component • Title of operational instruction • Number of operational instruction • Date of Issuance • Date of Recertification (if any)
Introduction	<ul style="list-style-type: none"> • A brief discussion on why the operational instruction is necessary and its referencing policy.
Summary of Changes	<ul style="list-style-type: none"> • A list of changes in the operational instruction. <p>Note: This heading is only needed if the operational instruction is a revision.</p>
Procedures	<p>Below is a list of items to consider when considering procedures; not all are applicable.</p> <ul style="list-style-type: none"> • Rules/Exceptions • Steps/Actions • Deliverables • Timeframes/Timelines • Training Requirements • Performance Evaluation • Other component coordination
Appendices	<ul style="list-style-type: none"> • A list of any forms or supporting documents, including definitions for the operational instruction.

Phase 1: Planning

Introduction

Phase 1: Planning lays the groundwork for procedure development by the Agency component or program office.

Beginning each performance year, OPA policy analysts solicit input from Associate Directors (ADs), Program Directors (PDs), and Component Policy Coordinators (CPCs) to develop policy and operational instruction priorities for each component and program office. The policy analysts reconcile the priorities lists with the carry-over list from the previous performance year. The reconciled lists are submitted to the Supervisory Policy Analyst (SPA). SPA reviews and compiles the reconciled lists and submits a summary priorities list to the Office of the Director (OD) for review and final decision. The summary priorities list is completed within 45 days of the beginning of each performance year.

Planning Process

- Proposed procedures are coordinated through the OPA and evaluated in the context of all Agency procedures, posted and pending to:
 - prevent duplicative or conflicting procedures;
 - integrate inter-related procedures; and
 - align procedure development with the Agency’s goals and priorities.
 - The component policy coordinator (CPC) and the policy analyst (PA) partner to develop an operational instruction work plan: a roadmap for the procedure development and means to measure progress.
 - The CPC, with PA support, identifies and engages the subject matter experts (SMEs) and the Agency components substantively impacted by the procedures. This includes determining whether the proposed operational instruction is joint with other CSOSA components or the Pretrial Services Agency (PSA) for the District of Columbia.
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Phase 2: Development

Introduction

Phase 2: Development includes drafting, reviewing, and revising the proposed operational instructions.

- The PA and CPC work collaboratively with the operational instruction workgroup and/or subject matter experts (SMEs) to prepare an initial draft of operational instruction. The CPC is primarily responsible for preparing the initial draft of operational instruction.
 - The OPA team reviews the initial draft operational instruction and, as needed, refines the document before it enters the SharePoint Policy & OI Tracking System (SPTS) for review by the stakeholders.
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Development Process

The table below outlines the process for Phase 2: Development.

Stage	Does What	Duration
1	<u>PA</u> <ul style="list-style-type: none"> • Obtains bi-weekly updates from CPC. • Addresses any barriers to meeting timelines for deliverables. 	On-going
2	<u>CPC</u> Develops and submits the initial draft OI.	56 days
3	<u>PA</u> <ul style="list-style-type: none"> • Collaborates with CPC to review and revise the initial draft OI. • Submits the initial draft OI to the OPA team for review. <p>Note: Joint OIs will include PSA's PA in the review and revision process.</p>	28 days
4	<u>OPA Team</u> Conducts a review of the initial draft OI.	14 days
Phase 2 Calendar Days: 98 Days		

Phase 3: Review

Introduction

Phase 3: Review begins with the initial draft operational instruction entering the SPTS and ends with a signed operational instruction.

- The initial draft operational instruction is submitted simultaneously to the stakeholders, then the SPA, followed by the Office of the Director for review.
- The PA works collaboratively with the CPC to ensure all issues are resolved to the extent practicable.
- ELR provides notice to the Union and takes steps subject to the applicable provisions of the Collective Bargaining Agreement (CBA).
- The initial draft operational instruction is reviewed and revised, and a final operational instruction is submitted to the Director, initiating component's Associate Director (AD), or program office's Program Director (PD) for review and signature.

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Phase 3: Review, Continued

Review Process The table below outlines the process for Phase 3: Review.

Stage	Description	Duration
1	<u>PA</u> Uploads the initial draft OI to the SPTS and initiates the review and comment period by stakeholders.	30 days (Stages 1 and 2)
2	<u>Stakeholders</u> Review the initial draft OI and forward all comments by the due date.	
3	<u>PA</u> <ul style="list-style-type: none"> • Schedules a reconciliation meeting with the stakeholders, as needed. • Facilitates cross-office dialogue to ensure all feedback is considered. • Collaborates with CPC to revise the initial draft OI based on stakeholders' feedback. • Submits the revised draft OI for a second (2nd) review by stakeholders. <p>Note: Issues not resolved at this level are forwarded to the SPA for review and disposition.</p>	10 days
4	<u>Stakeholders</u> Ensure the revised draft OI reflects the feedback and agreements reached during the reconciliation meeting.	14 days
5	<u>PA</u> Submits the revised draft OI to SPA for review. Note: Joint OIs will include PSA's Office of Planning, Policy, and Analysis (OPPA) Director.	10 days
6	<u>SPA</u> Reviews the revised draft OI and provides comments.	10 days
7	<u>PA</u> <ul style="list-style-type: none"> • Collaborates with CPC to revise the revised draft OI based on SPA feedback. • Submits the final draft OI to the Immediate Office of the Director (OD) for review. <p>Note: Joint OIs will include PSA's Chief of Staff.</p>	10 days

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Phase 3: Review, Continued

Final Approval and Signature Process

The table below outlines the final approval and signature process in Phase 3: Review.

Stage	Description	Duration
8	<u>OD</u> Reviews the final draft OI and provides comments.	14 days
9	<u>PA</u> <ul style="list-style-type: none"> • Collaborates with CPC to revise the final draft OI based on OD feedback. • Submits the final OI to ELR. 	14 days
10	<u>ELR</u> <ul style="list-style-type: none"> • Reviews the final OI to determine bargaining obligations. • Provides notice to the Union. • Notifies PA of clearance to implement the OI on the 31st day after Union notice. 	10 days
11	<u>PA</u> Submits the final OI to the Agency Director, initiating component's AD, or program office's PD for review and signature. Note: Joint OIs will include PSA's Director or PSA's equivalent of component AD or PD.	10 days (Stages 11 & 12)
12	<u>Agency Director/Initiating Comonent's AD/ Program Office's PD</u> <ul style="list-style-type: none"> • Determines the effective date of the OI. • Signs the OI. 	
Phase 3 Calendar Days: 132 Days		
Total (Phases 2 and 3) Calendar Days: 230 Days		

Phase 4: Maintenance

Introduction Phase 4: Maintenance begins after the operational instruction has been posted. It includes maintaining records created during the operational instruction development and review process. It initiates the biennial review of all posted operational instructions.

Posting of Operational Instruction Once an operational instruction is signed by the Agency Director, initiating component's AD, or program office's PD, and an effective date has been established, it is forwarded to OPA.

The assigned PA:

- Notifies the Agency Director, initiating component's AD, or program office's PD seven (7) calendar days in advance of posting the operational instruction;
 - Forwards the signed operational instruction to the OIT for posting on the Agency's intranet; and
 - Sends an e-mail notification through agency-wide email distribution to inform employees about the posting.
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Maintenance of Records The CPC maintains administrative records created during operational instruction development. These include electronic and paper working files of operational instructions in development.

The PA facilitates the transfer of the administrative records from the CPC to the OPA once the operational instruction is signed and posted or a decision is made to rescind the operational instruction.

OPA maintains the permanent file of all operational instruction records to ensure that future Agency decision-makers have the documentation that formed the basis for the existing procedure.

The file is maintained following PS 1111: Records Management.

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Phase 4: Maintenance, Continued

Biennial Review OPA coordinates with CPCs via e-mail to ensure that operational instructions are reviewed biennially. Operational instructions with substantive changes go through the formal review and approval process (Phase 2). Operational instructions with non-substantive changes go directly to the Office of the Director, initiating component's AD or program office's PD for review and approval.

The CPC:

- Establishes procedures to ensure that the component's operational instructions are reviewed and remain current;
 - Conducts reviews of component's operational instructions following established procedures;
 - Certifies operational instructions as being current and establishes target dates for revising operational instructions that are not current; and
 - Works with OPA to recertify operational instructions biennially.
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Appendix A: Operational Instruction Template



Court Services and Offender Supervision Agency For the District of Columbia

Choose an item.

OPERATIONAL INSTRUCTION

[Title]
Number: [Category]
Effective Date: [Publish Date]
Review Due Date: Click or tap to enter a date.
Approved: _____
Name, AD, Office Title

SUBJECT/TITLE

- I. INTRODUCTION – [information regarding what policy statement the OI is tied to]
 - II. SUMMARY OF CHANGES – [If this is an update to existing procedures, include any changes. If it is a new OI, no need for this section.]
 - III. PROCEDURES – [Below is a list of things to consider when thinking about procedures, not all of them will need everything in this list]
 - a. Rules/Exceptions
 - b. Steps/Actions
 - c. Deliverables
 - d. Timeframes/Timelines
 - e. Training Requirements
 - f. Performance Evaluation
 - IV. APPENDICES – [any forms or supporting documents for the OI]
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