Court Services and Offender Supervision Agency
For the District of Columbia
Office of the Director

OPERATIONAL INSTRUCTION

OI-OD- Procedure Management
Number: 1004.1
Effective Date: 12/9/2019
Recertification Date: 11/5/2025
Review Due Date: 11/5/2027

X

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Overview

Introduction

Policy Statement 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 Policy Statement 1004:

Operational Instructions are:
- Prepared using a standard format (see Appendix A).
- Developed and maintained using a *4-phase* process that includes planning, development, review, and maintenance.

Supersedes

This Operational Instruction recertifies the OI-OD-1004.1 dated December 9, 2019, and is in effect until the next recertification date of November 5, 2027.

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Overview, Continued

Contents

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 numbers already in use. 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	For an OI that is tied to Policy Statement 1000 Policy Management: • Operational Instruction is numbered as OI-OD-1000.1 for the first OI. • Next OI in sequence would be numbered: OI-OD-1000.2. **NOTE:** Multiple OIs can be tied to a single PS.

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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	• Designation: Operational Instruction; • Agency, and component office; • Title of operational instruction; • Number of operational instruction; • Date of Issuance; and • Date of Recertification (if any).
Introduction	A brief discussion on why the operational instruction is necessary and the parent policy it is tied to.
Supersede	Number and title of the OI, effective date of the approved OI, and when the recertified OI is in effect until, if applicable.
Summary of Changes	A list of changes in the OI from the previous version. **NOTE:** This heading is only needed if the operational instruction is a revision.
Procedures	Below is a list of items to consider when thinking about procedures; not all may be applicable. • Rules/Exceptions; • Stage/ Description or Steps/Actions; • Deliverables; • Time frames; • Training Requirements; • Performance Evaluation; and • Other component coordination.
Appendices	Any forms or supporting documents.

NOTE: If an OI requires terms to be defined in addition to those included in the parent policy, insert the terms or definitions after the content table and before the procedures.

Phase 1: Planning

Introduction

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

- 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 interrelated 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 a policy/operational instruction development plan (PDP) that serves as a roadmap for 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 OI is joint with other CSOSA components or the Pretrial Services Agency (PSA) for the District of Columbia.

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Phase 1: Planning, Continued

Planning Process

The table below outlines the process for Phase 1: Planning.

<table>
<tr><th>Stage</th><th>Description</th><th>Duration</th></tr>
<tr><td>1</td><td><u>CPC</u>
Submits the CSOSA Policy/Operational Instruction development request to the OPA mailbox (OPA@csosa.gov) or the assigned PA to provide a rationale for a new/updated procedure as part of the annual OI priorities.</td><td></td></tr>
<tr><td>2</td><td><u>Supervisory Policy Analyst (SPA)</u>
<table><tr><th>If the OI is ...</th><th>Then...</th></tr><tr><td>Approved as a priority</td><td>the OI request is assigned to a PA.</td></tr><tr><td>not approved as a priority</td><td>the SPA reaches out to the CPC and guides the CPC on OPA's recommendation.</td></tr></table></td><td>7 Days</td></tr>
<tr><td>3</td><td><u>PA</u>
Communicates with CPC to determine next steps.

NOTES:
1. Joint OIs include PSA's PA.
2. If an OI workgroup is needed, CPC identifies the participants and schedules a kickoff meeting.</td><td>7 Days</td></tr>
<tr><td>4</td><td><u>PA & CPC</u>
• Co-facilitate the kick-off meeting.
• Gather requirements for the OI.</td><td rowspan="2">28 Days (Stages 4 & 5)</td></tr>
<tr><td>5</td><td><u>PA</u>
Develops and submits the annual component OI priorities to the SPA for review.</td></tr>
<tr><td colspan="3">Phase 1 Calendar Days: 42 Days</td></tr>
</table>

Phase 2: Development

Introduction

Phase 2: Development includes the drafting, review, and revision of all proposed operational instructions.

- The PA and CPC work collaboratively with the OI workgroup and/or subject matter experts (SME's) to prepare an initial draft OI. The CPC is primarily responsible for preparing the initial information-mapped draft OI.
- The OPA team conducts a review of the initial draft OI and, as needed, refines the document before it enters the SharePoint Policy & OI Tracking System (SPTS) for review by the stakeholders.

Development Process

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

Stage	Does What	Duration
1	PA • Obtains bi-weekly updates from CPC. • Addresses any barriers to meeting timelines for deliverables.	On-going
2	CPC Develops and submits the initial draft OI.	56 days
3	PA • Collaborates with CPC to review and revise the initial draft OI. • Submits the initial draft OI to the OPA team for review. **NOTE:** Joint OIs will include PSA's PA in the review and revision process.	28 days
4	OPA Team Conducts a review of the initial draft OI.	14 days
Phase 2 Calendar Days: 98 Days		
Cumulative (Phase 1 & 2) Calendar Days: 140 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 OI is submitted consecutively to the stakeholders, then the SPA, followed by the Immediate Office of the Director for review.
- The PA works collaboratively with the CPC to ensure all issues are resolved to the extent practicable.
- Office of Human Resources, Employee and Labor Relations (OHR-ELR) provides notice to the Union and takes steps subject to the applicable provisions of the Collective Bargaining Agreement (CBA).
- The initial draft OI is reviewed and revised, and a final OI is submitted to the Director, the initiating component's Senior Executive Service (SES) member, or the 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	PA Uploads the initial draft OI to the SPTS and initiates the review and comment period by stakeholders.	30 days (Stages 1 and 2)
2	Stakeholders Review the initial draft OI and forward all comments by the due date.	
3	PA • 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. **NOTE:** Issues not resolved at this level are forwarded to the SPA for review and disposition.	10 days
4	Stakeholders Ensure the revised draft OI accurately reflects the feedback and agreements reached during the reconciliation meeting.	14 days
5	PA 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	SPA Reviews the revised draft OI and provides comments.	10 days
7	PA • 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. **NOTE**: Joint OIs will include PSA's Chief of Staff.	10 days

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Phase 3: Review, Continued

Final Approval and Signature Process

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

Stage	Description	Duration
8	<u>OD</u> Reviews and provides comments on the final draft OI.	14 days
9	<u>PA</u> • 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> • 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, the initiating component's Senior Executive Service (SES) member, or the program office's PD for review and signature. **NOTE:** Joint OIs include PSA's Director or PSA's equivalent of the component SES member or PD.	10 days (Stages 11 & 12)
12	<u>Agency Director/SES member/ Program Office's PD</u> • Determines the effective date of the OI. • Signs the OI.	
Phase 3 Calendar Days: 132 Days		
Total Calendar Days: 272 Days		

Phase 4: Maintenance

Introduction

Phase 4: Maintenance begins after the OI has been posted. It includes the maintenance of 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 OI is signed by the Agency Director, the initiating component's SES member, or the program office's PD, and an effective date has been established, it is forwarded to OPA.

The assigned PA:

- Notifies the Agency Director, the initiating component's SES member, or the program office's PD seven (7) calendar days in advance of posting the operational instruction;
- Forwards the signed OI to the OIT for posting on the Agency's intranet and internet, if warranted; and
- Sends an e-mail notification through agency-wide email distribution to inform employees about the posting.

Maintenance of Records

Administrative records created during operational instruction development are maintained by the CPC. 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 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 OI records to ensure that future Agency decision-makers will have the documentation that formed the basis for the existing procedure. The files are maintained following PS 1111 Records Management.

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Phase 4: Maintenance, Continued

Biennial Review

Operational Instructions are reviewed biennially. OIs with substantive changes go through the formal review and approval process (Phase 2). OIs with non-substantive changes are directed to the Office of the Director, initiating component's SES member, or program office's PD for review and approval.

The CPC:

- Establishes component-specific procedures to ensure that the component's OIs are reviewed and remain current;
- Conducts reviews of component OIs following established procedures; and
- Certifies OIs as being current and establishes target dates for revising OIs that are not certified to be current using the biennial certification form.

Appendix A: Operational Instruction Template

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Court Services and Offender Supervision Agency
For the District of Columbia

Office of X

OPERATIONAL INSTRUCTION	Title: Number: Effective Date: Review Due Date:
	X *SES Member/ Program Director Name*

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. Time frames/Timelines
   e. Training Requirements
   f. Performance Evaluation
   g. Other component coordination

IV. APPENDICES – [Any forms or supporting documents, including definitions for the OI].