



POLICY STATEMENT

Policy Statement 1000

Policy Area: OGC

Effective Date: **NOV 25 2003**

Approved: *Paul A. Quander, Jr.*

Paul A. Quander, Jr., Director

POLICY AND PROCEDURE MANAGEMENT

I. COVERAGE

This Policy Statement and its appended procedures apply to all Court Services and Offender Supervision Agency ("CSOSA" or "Agency") policy and procedure issuances, including those Policy Statements prepared for the joint signatures of the Director of CSOSA and the Director of the District of Columbia Pretrial Services Agency ("PSA"). Agency staff with specific responsibilities under these procedures include the Director, Associate Directors or delegates, the Agency's Records Manager, and staff designated as policy coordinators.

II. BACKGROUND

As a new agency formed from previously separate components, CSOSA recognizes the importance of establishing uniform standards for developing, issuing, and maintaining Agency policy and procedures. Uniform standards ensure that: (1) Agency staff will know where to find current and related information on policy and procedures; (2) policy and procedures will be presented in a readily understandable and consistent format; (3) issuance of duplicative or conflicting policy and procedures will be precluded; and (4) future Agency decision-makers will have adequate information regarding the basis for previous policy and procedure determinations.

Policy and procedures necessarily work together. This Policy Statement is intended to clarify this working relationship by addressing how policy and procedures are to be developed, reviewed, and issued. Policy establishes objectives and expectations. When appropriate, policy also assigns broad responsibilities, delegations of authority, and reporting requirements. Some procedures are so closely tied to the achievement of objectives and expectations that they need to be presented together with the statement of policy. Procedures which provide direction or instruction in the general implementation of policy, which require coordination within the Agency, or which establish deadlines must be appended to Policy Statements. Procedures which have been specifically delegated by policy for issuance by a particular office or staff position or which address the routine staff actions within an Agency unit or office are to be developed at the unit or office level for issuance in a unit or office manual or as an Operational Instruction.

III. POLICY

Agency senior staff and managers shall issue policy and procedures and disseminate other information pertaining to policy and procedures in accordance with the procedures appended to this Policy Statement.

More specifically, these procedures:

- Require that Agency policy must be issued in the form of Policy Statements;
- Require that Agency procedures be appended to Policy Statements or issued in the form of a unit or office manual or Operational Instructions;
- Establish standards for the development and clearance of policy and procedures;
- Standardize the format for the various types of policy and procedures;
- Establish requirements for maintaining the administrative record documenting the development and issuance of policy and procedures;
- Require annual reviews of existing policy and procedures to determine any need for revision; and
- Provide for the waiver of policy by the Director in specific instances.

IV. AUTHORITIES, SUPERSEDURES, REFERENCES, AND ATTACHMENTS

A. Authorities.

5 U.S.C. § 301; Section 11233(b)(2) of the National Capital Revitalization and Self-Government Improvement Act of 1997, Pub. Law 105-33, 111 Stat. 712; D.C. Code § 24-1233(b)(2), D.C. Code § 24-103.

B. Policy Supersedures.

None

C. Procedural or Other References.

PSA Policy Management

D. Attachments.

Appendix A. General Procedures

Appendix B. Policy Statement Format

Appendix C. Sample Union Notification

Appendix D. Sample CSOSA Director's Approval Routing

Appendix E. Sample CSOSA/PSA Directors' Approval Routing

Appendix F. Policy/Procedure Checklist

APPENDIX A
GENERAL PROCEDURES

A. Policy and Procedures Issuances.

- (1) Agency policy is to be issued as a Policy Statement.
 - (a) A Policy Statement is prepared by an Agency component for issuance under the Director's signature (or under the signatures of the CSOSA Director and the PSA Director if the policy is also to be applicable to PSA);
 - (b) A Policy Statement remains in effect until it is rescinded, modified or superseded by another Policy Statement.
- (2) Procedures may be appended to a Policy Statement, or may be issued in a unit or office manual or as an Operational Instruction.
 - (a) Procedures which pertain to *what* must be done to implement policy should be appended to a Policy Statement. These procedures provide a functional explanation of policy, and typically are general in nature, require coordination between Divisions within the Agency, or establish deadlines. In cases where additional implementing procedures are anticipated, the Policy Statement needs to identify the office or position title responsible for issuing the additional implementing procedures as an Operational Instruction.
 - (b) Procedures which have been specifically delegated by policy for issuance by a particular office or staff position or which pertain to *how* staff routinely implement policy are to be issued in an Operational Manual or as an Operational Instruction.
 - (c) An Operational Manual or an Operational Instruction is prepared by an Agency component for issuance under an Associate Director's signature (or as delegated by a Policy Statement or by the Associate Director).
 - (d) Procedures appended to a Policy Statement or in an Operational Manual or Management Instruction remain effective until they are rescinded or superseded by another Policy Statement, Operational Manual, or Operational Instruction.

B. Development.

- (1) Policy may be required in response to new legislation, regulations, decisions of the Agency's Director and senior staff, annual review, or in response to operational needs. Procedures need to be developed or adjusted in accordance with new or revised policy. The Associate Director for each Agency component must designate a policy coordinator who is responsible for monitoring the component's progress in developing and reviewing

- policy and procedures. The name of the policy coordinator must be provided to the Director's Chief of Staff.
- (2) Once the determination is made to develop or revise policy or procedures, the Agency component responsible for the policy must determine the type of issuance to be used, document the start date, and estimate a target date for completing the issuance.
 - (a) Policy is to be issued as a Policy Statement. It is important to append to the Policy Statement the general procedures necessary for implementing the policy. By appending the procedures to the Policy Statement, the component is ensuring that the general procedures will receive maximum review by the other Agency components. In cases where additional implementing procedures are anticipated, the Policy Statement needs to identify the office and/or position title responsible for issuing the procedures as an Operating Instruction.
 - (b) Unit or office manuals and Operational Instructions are intended to address procedures specifically delegated by policy for issuance by a particular office or staff position and or routine staff work procedures. Unit or office manuals and Operational Instructions should be organized in such a way as to make revisions of specific procedures a simple process.
 - (3) The Agency component shall then prepare draft policy and/or procedures (using Microsoft Word electronic files whenever practicable) for Agency or Division review as appropriate. Appendix F of Policy Statement 1000 contains a policy/procedure checklist recommended for use in the development and maintenance of policy and/or procedures. Where an existing policy/procedure is being revised, revisions shall be indicated by use of the 'Tracking Changes' tool provided in Word.
 - (4) The Agency component shall request assistance from appropriate PSA components for the development of any policy and/or procedure which is to be prepared for the joint signatures of the Director of CSOSA and the Director of PSA.
 - (5) The Agency component is responsible for evaluating the impact of proposed policies and procedures on the resources and various offices of the Agency. Accordingly, the component needs to coordinate early with any component for which a substantive impact is anticipated (for example, training, budget, facilities, security, and information technology).

C. Format.

- (1) Policy Statements.
 - (a) Policy Statements are to be issued in a consistent format (see Appendix B of Policy Statement 1000). Each Policy Statement will be identified by a unique number.

Policy Statements prepared by the Office of Human Resources, which tracks the part numbers of Office of Personnel Management (OPM) regulations, may include a decimal in the number (for example, PS 650.1 and 650.2) because OPM regulations may require more than one policy issuance for any particular part number. Revisions of existing Policy Statements will be identified by the effective date for the new Policy Statement. Each Policy Statement must use a keyword (or keywords) to identify the issuing component for the policy. For example, this first issuance of CSOSA's Policy Statement on Policy and Procedure Management is identified as PS 1000, effective mm/dd/yyyy, and the Policy Area is identified in the headings on the first page as Office of the General Counsel. The next revision of this PS would have a later effective date. For consistency, the range of numbers is assigned as follows:

0000-0999	Office of Human Resources
1000-1999	Director's Office, Office of Legislative, Intergovernmental and Public Affairs, Office of Equal Opportunity, and the Office of the General Counsel
2000-2999	Information Technology
3000-3999	Community Justice Programs
4000-4999	Community Supervision Services
5000-5999	Management and Administration

An Agency component may choose to organize its assigned range to reflect the subject matter of the policies it prepares. For example, Management and Administration may assign 5000 through 5099 to General Administrative, 5100 through 5199 to Financial Management, 5200 through 5299 to Procurement, and so forth.

- (b) Policy Statements are to contain the following major headings: (1) Coverage; (2) Background; (3) Policy; and (4) Authorities, Supersedures, References and Attachments.
- (i) The Coverage section should describe Agency components or employees affected by the policy. For example, this section may specify that the policy applies both to CSOSA staff and to PSA staff, or the section may indicate that the policy applies only to CSOSA staff involved in the referral and placement of offenders with mentors in the community. This section should identify the position titles of agency staff with specific responsibilities under the Policy Statement. Further details as to assignments of responsibilities, delegations, or reporting could be presented in a separate appendix to the Policy Statement. This heading may also address the scope of the policy (for example, this heading may be used to emphasize that the policy on the internet and electronic mail use applies to personal use of the Agency's e-mail system). The intent is that staff will be able to determine easily whether or how the policy impacts their duties and responsibilities.

- (ii) The Background section should contain a brief discussion on why the policy is necessary. For example, this section may describe the nature of the problem addressed by the policy, the definition of an essential concept, or the anticipated results of implementing the policy. A lengthy listing of definitions, however, is better presented in a separate appendix to the Policy Statement.
- (iii) The Policy section should contain a comprehensive summary statement of the policy. Staff should be able to read this section and know in general terms what the policy requires.
- (iv) The Authorities, Supersedures, References, and Attachments section should contain citations to authorizing laws, regulations, Critical Success Factors, superseded policies, associated policies, procedures, other pertinent reference documents, and appended material which needs to be presented in full. For example, general procedures needed to implement the policy and CSOSA regulations on the topic covered by the Policy Statement are to be carried in appendixes to the Policy Statement.

(2) Unit or Office Manuals and Operational Instructions.

- (a) For consistency, unit or office manuals and Operational Instructions need to identify themselves as policy documents by using a format similar to the one used for Policy Statements. For example, an Operational Instruction will have “Operational Instruction” instead of “Policy Statement” in the headers. Unit or office manuals and Operational Instructions must be numbered to ensure ease of reference.
- (b) Agency components, however, may structure the unit or office manual or the Operational Instruction in accordance with their needs. Each component shall develop formats suitable for its use.

D. Clearance.

Policy and procedures must undergo formal review before issuance. When formal review includes other Agency components, the components are responsible for completing their review within the deadline given for the review. An Agency component which is not able to complete its review within the deadline must contact the issuing component to determine if an extension to the deadline is possible.

The responding component’s Associate Director is responsible for ensuring that the component’s substantive comments are consolidated into a single response. This response must be transmitted electronically to include one of the following replies:

- Concur
- Do not concur

If the responding component does not concur, the responding component must clearly identify the basis for non-concurrence and, if possible, present an acceptable alternative.

(1) Policy Statements

- (a) Because Policy Statements are prepared for the Director's signature, the formal review must include all Agency components. If the policy is being prepared for the signatures of both the CSOSA Director and the PSA Director, the formal review shall also include PSA.
- (b) Clearance will be done electronically. This will enable Agency components to review the policy simultaneously. Agency components ordinarily will be given two weeks to complete their review of a draft issuance. The date of the draft Policy Statement should be clearly identified in the document. The draft issuance is to be sent to the Associate Directors, the General Counsel, the EEO Director with a cc copy to the Director's Chief of Staff. Other staff may be cc'd at the discretion of the issuing component.
- (c) Any substantive comment must be returned electronically (for example, as part of the message or as an attached file). Editorial or stylistic comments also should be submitted electronically in the same response, but may be submitted separately on paper if the electronic response so notes. If a reviewing component is unable to return comment by the given deadline, the reviewing component's policy coordinator must contact the issuing component in order to minimize delay in processing comments.
- (d) The issuing Agency component shall attempt to resolve all comments from the various reviewing components. The component shall ordinarily be given one week to resolve comments.
- (e) If the response to comments results in a significant change to the draft policy, the issuing Agency component must recirculate the revised draft so that the reviewing components will be able to comment on the changes. The comment period for recirculated drafts ordinarily should be one week. This version must also indicate changes from the version originally circulated using the 'Track Changes' tool in Word.
- (f) When the issuing Agency component is ready to move the policy forward for the Director's approval, the component must prepare a folder for this routing and include documentation for all concurrences. See Appendix D for a sample routing slip for the Director of CSOSA. See Appendix E for a sample routing slip for the Directors of

CSOSA and PSA. If the component is unable to resolve a non-concurrence comment, the component must include a statement in the documentation as to the reasons for rejecting the comment. This folder shall also include a cover sheet to be used for documenting union notification (see Appendix C).

(2) Unit or Office Manuals and Operational Instructions.

- (a) Unit or office manuals and Operational Instructions are to undergo formal review within the Agency component.
- (b) The Associate Director is responsible for determining appropriate review procedures and signatory authority within the component for these unit or office manuals and Operational Instructions.
- (c) If the procedures in the manuals or Operational Instructions affect the responsibilities and/or procedures of other Agency components, then the issuing office must provide the offices affected and the Office of the General Counsel with an opportunity for review and comment. Any review required outside the component should be done electronically, if practicable. The Agency component may provide outside components with a paper copy at the discretion of the Associate Director.
- (d) The Agency component must keep the General Counsel and the Director's Chief of Staff apprised of procedures under development. If the General Counsel and/or the Chief of Staff so request, the Agency component shall provide the General Counsel and/or the Chief of Staff with a copy of the draft procedures for review and comment.

E. Union Notification, Promulgation, and Distribution.

(1) Union Notification.

- (a) The adoption of or changes to policies and procedures may be subject to bargaining over impact and implementation issues. The Office of Human Resources (OHR) is responsible for determining whether the policy must be reviewed by the union and serves as the point of contact for providing necessary notice to the union on policy issuance. See Appendix C for a sample union notification form.
- (b) The Agency component preparing the policy issuance must contact OHR to ensure that any necessary union notifications are made and that there are no labor-management issues left unresolved before routing the policy to the Director or Associate Director (or any other CSOSA official with signatory authority) for signature.

- (c) Editorial changes to policy or procedural issuances (for example, updates to material listed in Authorities, Supersedures, References) do not require formal union notification.

(2) Promulgation and Distribution.

- (a) Once the policy or procedure issuance has been signed, the Director's Office (or the Associate Director when appropriate) shall determine the effective date for the issuance. In most cases, the effective date will be the date the issuance was signed. In certain instances (for example, when notice must be given to the public through regulations), the effective date may be a different date.
- (b) After being signed, the issuance must be submitted in both paper and electronic form to the Office of Information Technology for posting on CSOSA's intranet and/or internet. A broadcast message will then be sent informing Agency staff of the posting. Posting policy and procedure issuances on the intranet serves as official notice to Agency staff of the issuance's applicability. Further distribution to staff may be made electronically or by paper copy, as deemed appropriate by the Director or by the Associate Directors. Any issuance which has been signed by the Director of CSOSA and the Director of PSA shall also be submitted to PSA's Information Technology Division.

F. Maintenance and Review.

- (1) Agency components are responsible for maintaining the administrative record for the policies and procedures which they have in development.
 - (a) The component responsible for issuing the policy or procedure must maintain a folder containing documentation on the need for issuance, all significant working drafts, comments and documentation on the resolution of or response to comment from Agency review, and any background information pertinent to the component's decision to issue the policy or procedure. A copy of supporting statutes and regulations relied upon should also be maintained.
 - (b) Each Agency component's policy coordinator must have access to any electronic or paper file for policies or procedures being prepared by the component.
 - (c) The Associate Director is responsible for verifying that policies and procedures prepared by the component are current. Each policy or procedure should be reviewed once a year (by the anniversary date of the issuance). The component's policy coordinator must submit an annual report on the results of these reviews to the Director's Office. This report must include target dates for the revision of any policy or procedure which is not certified as current.

(d) Any Agency policy or procedure issued before the effective date of this Policy Statement must be scheduled for reissuance in the new approved format in accordance with the clearance procedures of this Policy Statement.

(2) Once the policy or procedure has been signed, the Agency's Records Manager is responsible for maintenance of the administrative record for the policy or procedure (including the signed original). Accordingly the issuing component shall forward the administrative record to the Records Manager.

G. Policy Waiver.

The Director may waive policy in specific instances. For example, it may be necessary to issue or update a policy or a procedure more rapidly than is possible within the formal policy management procedures presented in this Policy Statement. The Director may determine to set aside application of one or more of the procedures for good cause. Any waiver must be documented in writing.



APPENDIX B. POLICY STATEMENT FORMAT

Court Services and Offender Supervision Agency
for the District of Columbia

POLICY STATEMENT

Policy Statement xxxx
Policy Area: Component
Effective Date: mm/dd/yyyy
Approved: _____

Paul A. Quander, Jr., Director

SUBJECT

I. COVERAGE

II. BACKGROUND

III. POLICY

IV. AUTHORITIES, SUPERSEDURES, REFERENCES, AND ATTACHMENTS

- A. Authorities.
- B. Policy Supersedures.
- C. Procedural and Other References.
- D. Attachments.

Appendix A. General Procedures

Appendix B. ...

APPENDIX A
GENERAL PROCEDURES

A. Heading

(1) Subordinate heading

(a) ...

(i) ...

B. ...



**Court Services and Offender Supervision Agency
for the District of Columbia**

Workplace Violence Program

AFGE Local 727 has been given advance notice and the opportunity to bargain over the impact and implementation of the attached procedures. All bargaining requirements have been concluded.

Frank Jacquette
Assistant Director for
Employee & Labor Relations

Date

Policy Statement

For the Director's Approval

Concurrence	Date
1. Thomas H. Williams	
2. Barbara Matthews-Beck	
3. George E. Pruden, II	
4. Debra Fulton	
5. Adrienne Poteat	
6. Beverly Hill	
7. Paul A. Quander, Jr.	

Drug Testing Protocol

This Policy Statement was prepared by Community Supervision Services. The Policy Statement establishes procedures for using drug tests to monitor offender compliance with conditions of parole, probation, and/or community supervision.

The Policy Statement was circulated within CSOSA for review. All comments were resolved. Documentation for the review is attached. If approved by the Director, the Policy Statement will then be submitted to the union in order to give the union the opportunity to bargain over the impact and implementation of the procedures in the Policy Statement.

Policy Statement

For the Directors' Signature

Concurrence	Date
1. Jim Williams	
2. Barbara Matthews-Beck	
3. George E. Pruden, II	
4. Debra Fulton	
5. Adrienne Poteat	
6. Linda Christian	
7. Peter Krauthamer	
8. Susan W. Shaffer	
9. Beverly Hill	
10. Paul A. Quander, Jr.	

Federal Tort Claims Act Procedure

This Policy Statement was prepared by the Office of the General Counsel. The Policy Statement establishes tort claim procedures and advises staff on the extent to which the Agency could be held liable for employee acts or omissions.

The Policy Statement was previously issued under the signature of CSOSA's Director only. The Policy Statement has been reformatted and will now carry the signatures of the Directors for CSOSA and PSA. The Policy Statement has also been amended to reflect the role of PSA's Deputy Director in the approval process for claims filed against PSA and to use the current name for PSA's Office of Finance and Administration.

Because these changes do not have an impact on the conditions of employment, the reformatted Policy Statement does not need to be submitted to the union.

APPENDIX F POLICY/PROCEDURE CHECKLIST

DEVELOPMENT STAGE

- Prepare folder for policy/procedure administrative record
- Document the reason for policy (law, regulation, judicial order, senior staff decision, other).
- Determine appropriate issuance
 - Procedures suitable for inclusion with Policy Statement.
 - Procedures suitable for unit or office manual or Operational Instruction.
- Establish deadline for completion.
- Obtain number for issuance.
- Identify other policy/procedures affected or suitable for reference.
- Request PSA assistance (if appropriate).
- Assess training needs.

REVIEW STAGE

- Division or office clearance.
- CSOSA clearance (electronic)
 - PSA review (if appropriate).
 - Document comments.
 - Resolve comments.
 - Recirculation completed (if appropriate).

UNION NOTIFICATION

- Route through Director to OHR (use routing slip in Appendix D or Appendix E)
- Be available to assist OHR with negotiations

PROMULGATION AND DISSEMINATION

- Route for Director's signature (through Director's Chief of Staff)
- Include clearance documentation
- Submit electronic file and paper copy of signed document (via Records Manager) to IT

MAINTENANCE AND REVIEW

- Paper copies of background information, drafts, comments, etc. on file.
- Electronic copy of final signed document and prior working drafts clearly identified and ready for transfer to IT and the Records Manager.
- Schedule review by Division policy coordinator before anniversary date of issuance.