



# **POLICY STATEMENT**

Policy Management  
Number: 1000  
Effective Date: 7/1/2019  
Review Due Date: 6/1/2021

**X RICHARD  
TISCHNER** Digitally signed by  
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Richard Tischner  
Director

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## Overview

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### Background

Court Services and Offender Supervision Agency (CSOSA or Agency), recognizes the need to issue policies in a uniform and timely manner. Policies need to be viewed as a living document, which are regularly reviewed, so they remain current and compliant with applicable laws, rules, and regulations, for the benefit of the workforce and the knowledge of the public.

This Policy Statement establishes standards for planning, developing, reviewing, and maintaining policies. The standards formalize a process in which policies are:

- Coordinated through the Office of Policy Analysis (OPA);
  - Evaluated to prevent the issuance of duplicative or conflicting policy;
  - Developed in a collaborative process that addresses all relevant stakeholders' input;
  - Organized so that critical information is readily accessible and staff know how and where to find any related information, and;
  - Maintained to ensure future decision-makers have adequate information regarding the basis for previous policy determinations.
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### Summary of Changes

This updated policy implements:

- Coordination of all policy development and existing policy updates through OPA;
  - Use of a four (4)-stage process to plan, develop, review, and maintain policies;
  - Specific timeframes for each of the four (4) stages, and;
  - Separation of procedures from policies.
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### Coverage

This Policy Statement and referenced Operational Instruction apply to all CSOSA staff and is inclusive of those Policy Statements prepared for the joint signatures of the Director of CSOSA and the Director of Pretrial Services Agency for the District of Columbia (PSA).

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## Overview, Continued

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- Authorities**
- 5 U.S.C. § 301
  - 5 U.S.C. § 552
  - Office of Management and Budget's *Final Bulletin for Agency Good Guidance Practices* (72 FR 3422, Jan. 25, 2007)
  - 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)
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**Guidance Disclaimer**

The contents of this guidance do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.

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**Supersedes**

This Policy Statement supersedes Policy Statement 1000, Policy And Procedure Management, dated November 25, 2003.

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**References**

OI-OD-1000.1 Policy Management Operational Instruction

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**Administrator**

The Office of the Director (OD) is responsible for the contents of this Policy Statement.

## Policy

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### Policy

- Agency policies are issued in the form of Policy Statements.
  - Policy Statements are prepared by Agency components and issued under the Director's signature.
  - Policy statements are permanent policy; they remain active until rescinded, amended or superseded.
  - Changes to authorities, applicable laws, rules, and regulations are to be updated promptly and does not require the policy to go through the normal stages of the review process outlined below.
  - Policy Statements are reviewed by all Agency Associate Directors or their designees.
  - Policy statements are prepared using a standard format.
  - Policy Statements are developed and maintained using a 4-stage process that includes planning, development, review, and maintenance.
  - Stakeholders have specific timeframes for each stage that they must follow.
  - Policy Statements are reviewed and re-certified biennially.
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### Waivers

The Director, or his/her designee, may waive or truncate the process to issue policies where good cause exists.

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; Congress may mandate changes within a specified period or allow changes that need to be implemented immediately.

## Definitions: Stages of Policy

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### Stage 1: Planning

- The Component Policy Coordinator (CPC) submits a request for policy development or existing policy update to OPA.
  - A policy/ operational instructions development plan(PDP) is formalized to establish completion dates and deliverables.
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### Stage 2: Development

- The CPC prepares the content for the initial draft policy and submits it to the policy analyst.
  - The policy analyst prepares the initial draft policy.
  - OPA assures Employee Labor Relations (ELR) involvement.
  - OPA policy analysts complete a review of the initial draft policy.
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### Stage 3: Review

- The initial draft policy is submitted simultaneously to the Agency Associate Directors; then the Supervisory Policy Analyst, and Office of the Director for review. If applicable, notice is provided to the Union.
  - ELR provides OPA clearance when it is appropriate to implement the policy.
  - A final policy is submitted to the Director for review, signature, and implementation.
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### Stage 4: Maintenance

- The Office of Information Technology (OIT) posts the signed policies to the Agency's intranet.
  - OPA maintains the central repository of all signed policies and associated working files.
  - OPA initiates the biennial review and re-certification of all posted policies.
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## Roles and Responsibilities

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**Employee**

Reads, seeks clarity and adheres to Agency policies and directives.

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**Supervisor**

- Enforces policies and directives.
  - Reviews new and existing policy updates with staff.
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**Component  
Policy  
Coordinator  
(CPC)**

- Initiates new policy development or existing policy update.
  - Prepares the content for an initial draft policy.
  - Collaborates with OPA in reviewing and revising the initial draft policy.
  - Maintains all records created during policy development.
  - Establishes procedures to review the component's policies to ensure they remain current.
  - Submits an annual report on the status of the component's policies to OPA by May 31<sup>st</sup>.
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**Office of Policy  
Analysis (OPA)**

- Serves as the central point of contact for all policy initiatives.
  - Prepares, reviews, and revises initial draft policies.
  - Steers the review and approval of initial draft policies.
  - Manages the filing and archiving of finalized Agency policies, including working files.
  - Manages the biennial review and re-certification of all Agency policies
  - Submits an annual report on the status of Agency policies to the Director by June 30<sup>th</sup>.
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**Employee Labor  
Relations (ELR)**

- Determines if the proposed policy impacts the Union and provides the required notice.
  - Serves as the central point of contact for all Union correspondence and engagement.
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**Office of  
General  
Counsel (OGC)**

- Reviews the initial draft policy for legal sufficiency.
  - Verifies that the initial draft policy cites the appropriate authorities.
  - Reviews the final policy for legal sufficiency when there are substantive updates due to Union review or collective bargaining.
  - Amends the CFR to reflect the new policy or existing policy update.
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## Roles and Responsibilities, Continued

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**Office of  
Information  
Technology  
(OIT)**

- Manages the SharePoint policy tracking tool.
  - Posts signed policies.
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**Associate  
Director (AD)**

- Designates a CPC for the delegated component.
  - Certifies CPC's annual report on the status of the component's policies.
  - Ensures policies routed for review and approval meet the established timeframes.
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**Office of the  
Director (OD)**

- Approves policies governing the Agency.
- Waives all or specific steps in the policy review and approval process when good cause exists.

**Note:** All waivers are reviewed by the OGC and ELR, if applicable.

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