



POLICY STATEMENT

Procedure Management
Number:1004
Effective Date: 11/5/2019
Review Due Date: 11/5/2021

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Director

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Overview

Background

Court Services and Offender Supervision Agency (CSOSA or Agency), recognizes the need to issue procedures in a uniform and timely manner.

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

- Coordinated through the Office of Policy Analysis (OPA);
 - Evaluated to prevent the issuance of duplicative or conflicting procedures;
 - Tied to a policy statement;
 - 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 procedure determinations.
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Summary of Changes

This updated policy implements:

- Coordination of all procedure development and existing procedure updates through OPA;
 - Use of a four (4)-stage process to plan, develop, review, and maintain procedures;
 - 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.

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Overview, Continued

- 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.

Supersedes

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

References

OI-OD-1004.1 – Procedure Management Operational Instruction

Administrator

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

Policy

Policy

- Agency procedures are developed separately from policy statements.
 - Agency procedures are issued in the form of operational instructions.
 - Operational instructions are tied to a policy statement.
 - Operational instructions are prepared by Agency components and issued under the Director's or Associate Director's (AD) signature.
 - Operational instructions are permanent documents; they remain active until rescinded or superseded.
 - Operational instructions are reviewed by relevant stakeholders.
 - Operational instructions are prepared using a standard format.
 - Operational instructions 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.
 - Operational instructions are reviewed and recertified biennially.
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Exception

Procedures can be issued as guidance memorandums for an interim period of up to 6 months, to be rescinded at the time of operational instruction issuance.

Guidance memorandums do not undergo the formal review process. They are developed by the issuing AD and reviewed only by the Immediate Office of the Director.

Waiver

The Director, or his/her designee, may waive or truncate the process to issue operational instructions.

Definitions: Stages of an Operational Instruction

Stage 1: Planning

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

- The CPC prepares the initial draft operational instruction (OI) and submits it to the policy analyst.
 - The policy analyst reviews and provides feedback to the CPC on the initial draft OI.
 - OPA assures Employee Labor Relations (ELR) involvement.
 - OPA policy analysts complete a peer review of the initial draft OI.
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Stage 3: Review

- The initial draft OI is submitted simultaneously to the relevant stakeholders; then the Supervisory Policy Analyst, and the Immediate 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 OI.
 - A final OI is submitted to the Director or AD for review, signature, and implementation.
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Stage 4: Maintenance

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

Employee	Reads, seeks clarity and adheres to Agency OIs.
Supervisor	<ul style="list-style-type: none">• Enforces OIs.• Reviews new and existing OI updates with staff.
Component Policy Coordinator (CPC)	<ul style="list-style-type: none">• Initiates new OI development or existing OI update.• Prepares an initial draft OI.• Collaborates with OPA in reviewing and revising the initial draft OI.• Maintains all records created during OI development.• Establishes procedures to review the component's OIs to ensure they remain current.• Submits an annual report on the status of component's OIs to OPA by May 31st.
Office of Policy Analysis (OPA)	<ul style="list-style-type: none">• Serves as the central point of contact for all OI initiatives.• Reviews and provides input on initial draft OIs.• Steers the review and approval of draft OIs.• Manages the filing and archiving of finalized Agency OIs, including working files.• Manages the biennial review and re-certification of all Agency OIs.• Submits an annual report on the status of all Agency's OIs to the Director by June 30th.
Employee Labor Relations (ELR)	<ul style="list-style-type: none">• Determines if the proposed OI impacts the Union and provides the required notice.• Serves as the central point of contact for all Union correspondence and engagement.
Office of General Counsel (OGC)	<ul style="list-style-type: none">• Reviews the initial draft OI for legal sufficiency.• Reviews the final OI for legal sufficiency when there are substantive updates due to Union review or collective bargaining.

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Roles and Responsibilities, Continued

**Office of
Information
Technology
(OIT)**

- Manages SharePoint tracking tool.
 - Posts signed OIs.
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**Associate
Director (AD)**

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

- Approves OIs governing the Agency.
- Signs OIs initiated by the OD.
- Waives all or specific steps in the OI/Guidance Memorandum review and approval process.

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