



OPERATIONAL INSTRUCTION

Policy Management
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Hyun-Ju Erin Park
Director, Office of Policy Analysis

Introduction

Policy Statement (PS) 1000 provides overall guidance to ensure that Court Services and Offender Supervision Agency (CSOSA or Agency) issues policies in a uniform and timely manner. This operational instruction (OI) provides designated policy staff with procedures to operationalize two core tenets of PS 1000:

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

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Policy Statement Format

Introduction Policy statements are formatted using a unique numbering system and major headings.

Numbering System The Office of Policy Analysis assigns a range of numbers to each component and maintains a list of numbers already in use. Policy Statements are assigned a unique number based on the component and sequence within the assigned range.

The table below outlines the range of numbers assigned to each component.

Range of Numbers	Component
0000-0999	Office of Human Resources (OHR)
1000-1099	Office of the Director (OD)
1100-1199	Office of the General Counsel (OGC)
1200-1299	Office of Legislative, Intergovernmental, and Public Affairs (OLIPA)
1300-1399	Office of Equal Opportunity (EEO) Office of Alternative Dispute Resolution (ADR)
1400-1499	Office of Research and Evaluation (ORE)
1500-1599	Office of Professional Responsibility (OPR)
2000-2999	Office of Information Technology (OIT)
3000-4999	Office of Community Supervision and Intervention Services (OCSIS)
5000-5399	Office of Administration (OA)
5400-5599	Office of Administration- Facilities (OA-F)
5600-5799	Office of Administration – Procurement (OA-P)
5800-5999	Office of Administration – Security (OA-S)
6000-6099	Office of Financial Management (OFM)
7000-7199	Office of Behavioral Interventions (OBI)

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Policy Statement Format, Continued

Major Headings Policy Statements include the major headings described in the table below.

Major Heading	Content
Header	<ul style="list-style-type: none"> • Designation: Policy Statement • Agency and Issuing Component • Title of Policy Statement • Number of Policy Statement • Date of Issuance • Date of Recertification (if any)
Background/Purpose	A brief discussion on why the policy is necessary.
Summary of Changes	<p>A list of changes in the policy.</p> <p>Note: This heading is only needed if the policy is a revision.</p>
Coverage	Describes Agency components or employees affected by the policy.
Authorities	A list of any law, statute, rules, and regulations or governing authority for the policy.
Supersedes	Number and title of the policy being superseded (if any) by the new or updated policy.
References	Any associated policies, procedures, and other pertinent reference documents.
Administrator	The Agency component responsible for the content and administration of the policy.
Policy	A comprehensive summary of the policy. Staff should be able to read this section and know in general terms what the policy requires.
Definitions	A list of unique terms that, by being defined, would add to the reader's understanding of the underlying policy.
Roles and Responsibilities	A list of Agency positions/offices and specific responsibilities under the policy.

Phase 1: Planning

Introduction

Phase 1: Planning lays the groundwork for policy development.

- Proposed policies are coordinated through the Office of Policy Analysis (OPA) and evaluated in the context of all Agency policies, posted, and pending, to prevent the issuance of a duplicative or conflicting policy.
 - The component policy coordinator (CPC) and the policy analyst (PA) partner to develop a policy work plan: a roadmap for policy development and means to measure progress.
 - Agency components substantively impacted by the policy are identified and engaged. This includes determining whether the proposed policy is joint with the Pretrial Services Agency for the District of Columbia (PSA).
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Process for Planning

Beginning each performance year, OPA policy analysts solicit input from Agency Associate Directors (ADs) and CPCs to develop policy and operational instructions priorities for their component. The policy analysts reconcile ADs' priorities lists with the carry over list from the previous performance year and submit the reconciled lists to the Supervisory Policy Analyst (SPA). SPA reviews and compiles the reconciled lists and submits a summary priorities list to the OD for review and final decision. The priorities list is completed within 45 days of the beginning of each performance year.

Phase 2: Development

Introduction

Phase 2: Development covers the drafting, review, and revision of the proposed policy.

- The PA and CPC work collaboratively with the policy workgroup and/or subject matter experts to prepare the initial draft policy.
 - The OPA policy analyst team conducts a review of the initial draft policy and further refines the document before it enters the SharePoint Policy Tracking System (SPTS) for review by the Associate Directors.
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Process for Development

The Stage/Description table below separates the actors and the activities within specific timeframes occurring during Phase 2: Development.

Stage	Who	Does What	Timeframe
1	PA	<ul style="list-style-type: none"> • Checks-in with the CPC on a bi-weekly basis to get updates. • Addresses any barriers to meeting timelines for deliverables. 	On-going
2	CPC	Provides content for the initial draft policy.	21 days
3	PA	<ul style="list-style-type: none"> • Develops the initial draft policy. • Collaborates with CPC to review and revise the initial draft policy. • Submits the initial draft policy to OPA team for review. <p>Note: If it's a joint policy, include PSA's CPC in the review and revision process.</p>	28 days
4	OPA Team	Conducts a review of the initial draft policy.	14 days
Phase 2 Calendar Days: 63 days			

Phase 3: Review

Introduction

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

- The initial draft policy is submitted simultaneously to the Agency Associate Directors; then the Supervisory Policy Analyst, and Office of the Director for review.
- The policy analyst works collaboratively to ensure all issues are resolved to the extent practicable.
- ELR provides notice to the Union and takes other steps subject to applicable provisions of the Collective Bargaining Agreement.
- The initial draft policy is reviewed and revised, and a final policy is submitted to the Director for review and signature.

Process for Review

The Stage/Description table below separates the actors and the activities within specific timeframes occurring during Phase 3: Review.

Stage	Who	Does What	Timeframe
1	PA	<ul style="list-style-type: none"> • Uploads the initial draft policy to SPTS and initiates the review and comment period by stakeholders. • Schedules a reconciliation meeting with all stakeholders. <p>Note: Reconciliation meeting occurs within 21 days of Stage 3: Review.</p>	21 days (Stages 1,2, 3)
2	Stakeholders	Review the initial draft policy and forward all comments three (3) days before the reconciliation meeting.	
3	PA	<ul style="list-style-type: none"> • Co-leads reconciliation meeting with CPC. • Facilitates cross-office dialogue to ensure that all feedback is considered. <p>Note: Issues not resolved at this level are forwarded to the OD.</p>	21 days (Stages 1,2, and 3)

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Phase 3: Review, Continued

Process for Review, continued

Stage	Who	Does What	Timeframe
4	PA	<ul style="list-style-type: none"> Revises the initial draft policy based on stakeholders' feedback. Submits the revised draft policy for a second (2nd) review by stakeholders. 	7 days
5	Stakeholders	<ul style="list-style-type: none"> Ensure the revised draft policy accurately reflects the feedback and agreements reached during the reconciliation meeting. OGC verifies that the appropriate authorities have been cited and completes a legal sufficiency review. 	10 days (Stages 5 & 6)
6	PA	<p>Submits the revised draft policy to SPA and OD for review.</p> <p>Note: If It's a joint policy, include PSA's Office of Planning, Policy and Analysis (OPPA) Director.</p>	
7	SPA	Review the revised draft policy and provide comments.	7 days
8	PA	Collaborates with CPC to revise the revised draft policy based on SPA and OD feedback.	10 days

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Phase 3: Review, Continued

Process: Final Approval and Signature

The Stage/Description table below separates the actors and the activities within specific timeframes occurring during the Final Approval and Signature process.

Stage	Who	Does What	Within
9	PA	Submits the final draft policy to the Immediate Office of the Director (OD) for review. Note: If it's a joint policy, include PSA's Deputy Director.	
10	OD	Reviews the final draft policy and provides comments.	10 days
11	PA	<ul style="list-style-type: none"> • Collaborates with CPC to revise the final draft policy based on OD feedback. • Submits the final policy to ELR. 	10 days
12	ELR	<ul style="list-style-type: none"> • Reviews final policy to determine bargaining obligations. • Provides notice to the Union. 	10 days
13	ELR	Notifies PA of clearance to implement the policy on the 31 st day after Union notice.	
14	PA	Submits the final policy to the Agency Director for review and signature. Note: If it's a joint policy, include PSA's Director.	10 days (Stages 14 & 15)
15	Agency Director	<ul style="list-style-type: none"> • Determines the effective date of the policy. • Signs the policy. 	
16	OGC	Amends CFR to reflect the new policy or existing policy update, if required.	
Phase 3 Calendar Days: 95 days			
Total (Phase 2, and 3) Calendar Days: 158 days			

Phase 4: Maintenance

Introduction Phase 4: Maintenance begins after the policy has been posted. It includes the maintenance of records created during the policy development process. It initiates the biennial review of all posted policies.

Posting of Policy Once a policy is signed by the Agency's Director and an effective date has been established, it is forwarded to OPA.

The assigned PA:

- Notifies the Agency's Senior Executive Leadership Team seven (7) calendar days in advance of posting the policy;
 - Forwards the signed policy to the OIT for posting on the Agency's intranet; and
 - Sends an e-mail notification through agency-wide e-mail distribution to inform employees about the posting.
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Maintenance of Records Administrative records created during policy development are maintained by the CPC. These include electronic and paper working files of policies in development.

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

OPA maintains the permanent file of all policy records to ensure that future Agency decision makers will have the documentation that formed the basis for the existing policy. The file is maintained in accordance with PS 1111: Records Management.

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Phase 4: Maintenance, Continued

Biennial Review Policy Statements are reviewed biennially between OPA and component offices through written notice via email. Policies with substantive changes go through the formal review and approval process (Phase 2). Policies with non-substantive changes go directly to the Office of the Director for review and approval.

The CPC:

- Establishes procedures to ensure that the component's policies are reviewed and remain current;
 - Conducts reviews of component's policies following established procedures;
 - Certifies policies as being current and establishes timelines for revising policies that are not certified to be current; and
 - Works with OPA to recertify policies biennially.
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Appendix A: Policy Statement Template

Page 1

Court Services and Offender Supervision Agency For the District of Columbia



POLICY STATEMENT	Policy Statement xxxx Effective Date: _____ Review Due Date: _____
	<u>X</u> Richard Tischner Director

SUBJECT/TITLE

- I. BACKGROUND/PURPOSE – [reason for issuance of agency policy (e.g., executive order, new law/regulation, directive emergency, etc.)]: The Court Services and Offender Supervision Agency (CSOSA or Agency) ...
- II. SUMMARY OF CHANGES: if this is an update to an existing policy, include any changes. If it is a new policy, no need for this section.
- III. COVERAGE- [Who does this policy cover? Example – This policy applies to all CSOSA employees, contractors, and interns effective xxxx.]
- IV. AUTHORITIES- [This should be a list of any law, statute, or governing authority for the policy.]
- V. SUPERSEDES – [This policy supersedes XXXX, dated XXXX. CSOSA policies are referenced as PS (number of the policy), *Title of Policy* is italicized.]
- VI. REFERENCES – [Any associated policies, procedures, and other pertinent reference documents.]
- VII. ADMINISTRATOR – [The Office of XX is responsible for the contest of this policy.]
- VIII. POLICY – [the policy statement provides a rationale for the policy, including the underlying philosophy of the policy and what the policy hopes to accomplish. This section may include a statement of how the policy relates to the agency’s core mission and values. Policy Statements range from 1-2 sentences to a paragraph in length, depending upon the subject matter.]
- IX. DEFINITIONS – [Listed alphabetically. List unique terms that by being defined, would add to reader’s understanding of the basic policy]

1. Define unfamiliar or technical terms
 2. Define terms with special means
- X. ROLES & RESPONSIBILITIES
- a. Employee Responsibilities
 - b. Supervisor Responsibilities
 - c. Management/Executive Responsibilities
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