



Policy Statement 1000

Policy Area: Policy and Procedure Management

Effective Date: January 25, 2005

Approved:

A handwritten signature in black ink, appearing to read "Susan W. Shaffer".

Susan W. Shaffer, Director

POLICY STATEMENT

POLICY AND PROCEDURE MANAGEMENT

I. COVERAGE

The procedures in this Policy Statement apply to all D.C. Pretrial Services Agency ("PSA" or "Agency") policy issuances. Agency staff with specific responsibilities under these procedures include the PSA Director, PSA Deputy Director, Office Directors, and component staff.

II. BACKGROUND

In order to address the need to issue policy in a uniform and timely manner, this Policy Statement provides for the issuance of policy. It establishes standards for developing, issuing, and maintaining policy for the D.C. Pretrial Services Agency. The procedures in this Policy Statement are intended to provide Agency senior staff, managers and supervisors with an organized, uniform method for issuing policy and disseminating other information that pertains to policy. These procedures ensure that Agency staff will get the information they need in a readily understandable format, know where the information is filed, and know how and where to find related information. These procedures are also intended to prevent the issuance of duplicative or conflicting policy. "Policy" and "directive" are collective terms used herein to describe both Policy Statements and Management Instructions.

III. POLICY

Policy Statements are prepared and issued to Agency components under the Director's signature.

Management Instructions are prepared by Agency components and, after concurrence by the PSA Director, issued under the signature of an Office Director and affects only that area.

Policy Statements and Management Instructions are considered to be permanent policy; that is, they remain effective until rescinded or superseded.

1. Development and Clearance

Policy Statements must undergo a formal review by Agency components before issuance. This review must include the Offices of Finance and Administration; Human Resources and Strategic Planning, Analysis and Evaluation; Information Technology; and Operations. Policy Statements must be submitted electronically to the Agency Policy Coordinator for review and distribution to the PSA Deputy Director, Office Directors, and the Office of the General Counsel. The comment period is typically ten business days. However, the comment period may change based upon the urgency and/or complexity of the Policy Statement. All comments must be submitted electronically to the originating official, with a cc to the Agency Policy Coordinator. The originating official is responsible for consolidating comments into a single document and forwarding it to the Agency Policy Coordinator for review and submission to the PSA Director.

Management Instructions undergo a series of input and review processes during development, as prescribed by each Agency component. Typically, all levels of staff (i.e., line, supervisory, management, executive and Office of the General Counsel) input is sought during the initiation, planning, execution, and implementation processes. After clearance at the Office Director level, Management Instructions must be submitted electronically to the Agency Policy Coordinator for review and distribution to the PSA Director and PSA Deputy Director.

2. Issuance

- a. After being signed by the PSA Director or the Office Director, as appropriate, Policy Statements and Management Instructions must be submitted to the Webmaster, Office of Information Technology (IT) for posting on PSA's intranet. The PSA Director (or designee) or the Office Director, as appropriate, will broadcast a message informing Agency staff of the posting. Posting Policy Statements and/or Management Instructions on the intranet serves as official notice to Agency staff of the directive. Further distribution to staff may be made by electronic or hard copy as deemed appropriate by the PSA Director, PSA Deputy Director, Office Directors, Managers, or Supervisors. As deemed necessary by the PSA Director, Deputy Director, or Office Directors, as appropriate, staff may be required to sign an acknowledgement of receipt of certain directives. Acknowledgements of receipt, when required, will be maintained by each Agency component.

3. Maintenance

All signed, original Policy Statements and Management Instructions must be sent to the Agency Policy Coordinator, who maintains the Central Repository. The Agency

component responsible for preparing the Policy Statement and/or Management Instruction must retain the file folder(s) containing all relevant documentation on the need for issuing the policy, all working drafts of the policy as it was developed, along with submitted comments and documentation on the resolution of, or response to, comments.

4. Review

Although Policy Statements and Management Instructions may be reviewed as often as necessary, each Policy Statement and Management Instruction will be reviewed annually, at a minimum. Upon review, the Agency component responsible for initial development must certify to the Agency Policy Coordinator whether the directive is current, and assign a target date for revising any directive that is not certified to be current. The Office Director (or designee) must submit an annual report on the results of these reviews (not later than July 31 of each year) to the Agency Policy Coordinator, who will then submit a comprehensive report to the PSA Director (or designee) on or before October 1 yearly.

IV. PROCEDURES

1. Development of Policy Statements and Management Instructions

a. The need to develop a new Policy Statement or Management Instruction or revise an existing Policy Statement or Management Instruction may be required in response to new legislation, regulations, decisions of the PSA Director and senior staff, annual review, or in response to operational needs. The Office of the Director has the responsibility for monitoring and reporting on the progress in developing necessary directives. Therefore, the PSA Director's executive assistant will serve as the Agency Policy Coordinator.

b. Once the determination is made to develop or revise a Policy Statement or Management Instruction, the Agency component responsible for the Policy Statement or Management Instruction must determine and document the start date and estimate a target date for completion, and maintain this record in its files.

2. Process

a. The Agency component shall prepare draft Policy Statements or Management Instructions for Agency review using electronic files.

b. The Agency component is responsible for consulting at an early stage of the policy's development with PSA's other Offices, as appropriate, to assess and plan for any potential resource requirements, associated cost, and budget implications.

c. The Agency component is responsible for consulting, at an early stage of the policy's development, with a cross-section of Agency staff, as appropriate.

3. Format

a. Policy Statements and Management Instructions are to be issued in a consistent format (see Appendix A and Appendix B, respectively). Previously issued Policy Statements and Management Instructions need not be reissued solely to comply with this directive. Each Policy Statement and/or Management Instruction must be numbered by the originating component using a unique numerical prefix to identify it. Policy Statement and Management Instruction versions will be identified by the effective date, rather than a decimal number. Each Policy Statement and Management Instruction must use a keyword (or keywords) to identify its general subject. For example, this first issuance of PSA's Policy Statement on Policy and Procedure Management is identified as Policy Statement 1000 with its original effective date, and the Policy Area is identified in the heading on the first page as Policy and Procedure Management. The next revision of this Policy Statement would be numbered 1000, and reflect the new effective date. For consistency, the range of numbers is assigned as follows:

- (i) 1000-1999: Office of the Director
- (ii) 2000-2999: Office of Operations
- (iii) 3000-3999: Office of Finance and Administration
- (iv) 4000-4999: Office of Human Resources
- (v) 5000-5999: Office of Information Technology
- (vi) 6000-6999: Training and Career Development Center
- (vii) 7000-7999: Strategic Planning, Analysis and Evaluation
- (viii) 8000-8999: Forensic Toxicology Drug Testing Laboratory

b. For consistency, Policy Statements and Management Instructions must use the following major headings: Coverage; Background; Policy or Management Instruction, as appropriate; Procedures; and Authorities, Supersedures, References and Attachments. Identification of responsible staff, for example, may appear under the Coverage heading, while lists of definitions may be attached as Appendix A. Lists of definitions are alphabetized.

- (i) The Coverage section should describe Agency components or employees affected by the Policy Statement or Management Instruction. This heading may also address the scope of the directive (for example, this heading may be used to emphasize that the Policy Statement on internet and electronic mail use applies to personal use of the Agency's e-mail system). The intent is for staff to determine whether the directive impacts their duties and responsibilities.

(ii) The Background section must contain a brief discussion on why the directive is necessary. For example, this section may describe the nature of the problem addressed by the Policy Statement or Management Instruction or anticipated results of implementing the directive.

(iii) The Policy or Management Instruction section, as appropriate, must contain a comprehensive summary statement of the directive. Staff should be able to read this section and know in general terms what the directive requires.

(iv) The Procedures section must contain the general steps staff must follow to implement the directive. Detailed operational procedures should be included in an Agency component's Management Instructions issued under the respective policy area. Data entry and documentation in computer systems are addressed in attachments such as job aids.

(v) The Authorities, Supersedures, References and Attachments section should contain citations to authorizing laws, regulations, rescinded or associated directives, procedures, other pertinent reference documents, and appended material.

4. Review and Clearance of Policy Statements

a. Review and clearance of Policy Statements will be done electronically. This will enable Agency components to review the directive simultaneously. The originating Office Director (or designee) will electronically submit the draft Policy Statement to the Agency Policy Coordinator. The Agency Policy Coordinator will review, log, and distribute the document, along with the due date for comments, to the remaining Office Directors. Agency components typically will have ten business days to complete their review of a draft issuance. The comment period may change depending upon the urgency and/or complexity of the directive. On or before the due date for comments, the Office Directors must send their responses electronically to the originating Office Director (or designee) with a cc to the Agency Policy Coordinator using one of the following:

- Concur
- Concur (comments attached)
- Do not concur (comments attached)
- Do not need to review

- b. Any substantive, editorial or stylistic comments must be included electronically using the Track Changes feature in Microsoft Word. The Office Director (or designee) is responsible for ensuring that the component's comments are consolidated into a single document before being forwarded to the Agency Policy Coordinator.
 - c. Each Agency component shall attempt to resolve any comments from the various reviewing components before routing the Policy Statement to the Agency Policy Coordinator for submission to the Office of the General Counsel. If an Agency component is unable to resolve a non-concurrence comment, the component must include a statement about the reason(s) for not accepting the comment and notify the Agency component who is in disagreement that a meeting with the Director or Deputy Director will be scheduled to resolve the matter.
 - d. The Office of the General Counsel (OGC) typically will have ten business days to complete review of a draft issuance. The comment period may change depending upon the urgency and/or complexity of the directive. On or before the due date for comments, OGC will send their comments electronically to the Agency Policy Coordinator, with a cc to the Office Director, using one of the following:
 - Concur
 - Concur (comments attached)
 - Do not concur (comments attached)
 - e. The Office Director (or designee) is responsible for ensuring that OGC's comments are incorporated into the document before being forwarded to the Agency Policy Coordinator for submission to PSA's Deputy Director, and to PSA's Director for review, approval and signature.
5. Review and Clearance of Management Instructions
- a. After review and clearance by the originating Office Director (or designee), Management Instructions are submitted electronically to the Agency Policy Coordinator. The Agency Policy Coordinator will review, log, and distribute the document to the PSA Deputy Director and Director. If the originating Office Director or the Agency Policy Coordinator deems it appropriate, the Agency Policy Coordinator will distribute the document to the other Office Directors and the Office of the General Counsel for review and comment.
 - b. The originating Office Director (or designee) will consolidate comments, as necessary, and resubmit the Management Instruction to the Agency Policy Coordinator for the PSA Director's concurrence.

6. Issuance and Distribution

- a. Once the Policy Statement or Management Instruction has been signed, the PSA Director (or Office Director, as appropriate) shall determine the effective date. In most cases, the effective date will be the date of signature. In certain instances (for example, when notice of a Policy Statement must be given to the public through regulation), the effective date may be sometime later. In these cases, the header would read "Interim Policy Statement, Effective Date Pending." After expiration of the public notice period, the Policy Statement would be reissued reflecting the Effective Date.
- b. After being signed by the Director or Office Director, as appropriate, Policy Statements and Management Instructions must be submitted to the Webmaster, Office of Information Technology (IT) for posting on PSA's intranet. The PSA Director (or designee) or Office Director, as appropriate, will broadcast a message informing Agency staff of the posting. Posting a directive on the intranet serves as official notice to Agency staff of its issuance. Further distribution to staff may be made electronically or by hard copy as deemed appropriate by the PSA Director, PSA Deputy Director, Office Directors, Managers or Supervisors. As deemed necessary by the PSA Director, Deputy Director, or Office Directors, as appropriate, staff may be required to sign an acknowledgement of receipt of certain directives. Acknowledgements of receipt, when required, will be maintained by each Agency component.

7. Maintenance and Review

The administrative record for Agency directives includes information contained in the supporting documentation used in the directive's development. The administrative record must be maintained even after the directive is rescinded. The administrative record, among other things, ensures that future Agency decision-makers will have adequate information regarding the basis for previous policy determinations.

- a. The Agency component responsible for preparing the Policy Statement and/or Management Instruction must retain the folder containing all relevant documentation on the need for issuing the directive, all significant working drafts of the directive as it was developed, along with submitted comments and documentation on the resolution of or response to comments. The signed, original directive shall be maintained in the Central Repository by the Agency Policy Coordinator.

- b. Although Policy Statements/Management Instructions may be reviewed as often as necessary, each Policy Statement/Management Instruction will be reviewed annually, at a minimum. Upon review, the Agency component responsible for initial development must certify to the Agency Policy Coordinator whether the directive is current, and assign a target date for revising any directive that is not certified to be current. The Office Director (or designee) must submit an annual report on the results of these reviews (not later than July 31 of each year) to the Agency Policy Coordinator, who will then submit a comprehensive report to the PSA Director on or before October 1 yearly.
- c. Previously issued Policy Statements and Management Instructions need not be reissued solely to comply with this directive.

V. AUTHORITIES, SUPERSEDURES, REFERENCES AND ATTACHMENTS

Authorities

None.

Supersedures

None.

References

Court Services and Offender Supervision Agency for the District of Columbia
Policy Statement 1000 (dated November 25, 2003) - Policy and Procedure Management

Attachments

Appendix A: Policy Statement Format
Appendix B: Management Instruction Format
Appendix C: Definitions

**APPENDIX A
POLICY STATEMENT FORMAT**



POLICY STATEMENT

District of Columbia Pretrial Services Agency

Policy Statement #

Policy Area:

Effective Date: DRAFT mm/dd/yyyy

Approved:

Susan W. Shaffer, Director

TITLE

- I. COVERAGE** (Agency department/staff policy statement applies to.)
- II. BACKGROUND** (Information regarding why the policy statement is necessary.)
- III. POLICY** (Overview statement.)
- IV. PROCEDURES** (Details.)
- V. AUTHORITIES, SUPERSEDURES, REFERENCES, AND ATTACHMENTS**
 - A. Authorities (e.g., Federal Code, D.C. Official Code/Statute, etc.)
 - B. Supersedures [e.g., previous versions of policy statements, or management instructions that are superseded (replaced/updated)].
 - C. References (Applicable PSA or CSOSA Policy Statements, Management Instructions, Strategic Plan, Annual Plan, etc.)
 - D. Attachments (e.g., forms, grids, definitions, etc.)
 - Appendix A (title)
 - Appendix B (title)
 - Appendix C (title), etc.

**APPENDIX B
MANAGEMENT INSTRUCTION FORMAT**



MANAGEMENT INSTRUCTION

District of Columbia Pretrial Services Agency

Management Instruction #

Area:

Effective Date: DRAFT mm/dd/yyyy

Approved:

NAME, Director, Office of XXX

TITLE

- I. COVERAGE** (Agency department/staff Management Instruction applies to.)
- II. BACKGROUND** (Information regarding why the Management Instruction is necessary.)
- III. MANAGEMENT INSTRUCTION** (Overview statement.)
- IV. PROCEDURES** (Details.)
- V. AUTHORITIES, SUPERSEDURES, REFERENCES, AND ATTACHMENTS**
 - A. Authorities (e.g., Federal Code, D.C. Official Code/Statute, etc.)
 - B. Supersedures [e.g., previous versions of procedure statements, or management instructions that are superseded (replaced/updated)].
 - C. References (Applicable PSA or CSOSA Policy Statements, Management Instructions, Strategic Plan, Annual Plan, etc.)
 - D. Attachments (e.g., forms, grids, definitions, etc.)
 - Appendix A (title)
 - Appendix B (title)
 - Appendix C (title), etc.

APPENDIX C

Definitions

Agency Policy Coordinator - An individual within PSA who is assigned the collateral responsibilities for review, tracking, routing for concurrence/approval, and maintaining the central repository of all original Agency Policy Statements and Management Instructions. The PSA Director's executive assistant serves as the Agency Policy Coordinator.

Directive - Collective term used to describe Policy Statements and Management Instructions.

Management Instructions – Provide detailed day-to-day instructions and/or procedures for PSA employees on specific tasks and actions. Management Instructions are considered permanent and mandatory procedures to be adhered to by any Agency employee who performs, supervises, supports or is regulated by that procedure. Management Instructions are issued under the signature of an Office Director, after concurrence by the PSA Director, and will be contained in an Operations or Procedures Manual.

Office Director – Collective term used to identify the Director of Finance and Administration, Director of Human Resources and Strategic Planning, Analysis, and Evaluation, Director of Information Technology, and Director of Operations.

Policy Statements – Provide guidance as it relates to a general principle, plan, action, or procedure to be undertaken by the Agency. Policy Statements are considered permanent, mandatory requirements or directions to be adhered to by any Agency employee who is regulated by that policy. They are only issued under the signature of the PSA Director.