



DISTRICT OF COLUMBIA DEPARTMENT OF CORRECTIONS

PROGRAM STATEMENT

OPI: DD
Number: 1112.1A
Date: October 20, 2011
Supersedes: D.O. 1112.1 (11/6/62)
Subject: Procedures for Official
Forms Management

1. **PURPOSE AND SCOPE.** To provide procedures for all D.C. Department of Corrections (DOC) forms which become permanent record, including all paper and electronic forms. This Program Statement (PS) applies to all components of DOC.

2. **POLICY.** In order to assure a continuing and effective control over the Official DOC Departmental Forms, the Office of Internal Control, Compliance and Accreditation (OICCA) shall be responsible of coordinating Forms Management.

3. **PROGRAM OBJECTIVES.** The expected results of this program are:
 - a. Forms will be developed that facilitate DOC programs.
 - b. Forms and information will be readily accessible by staff.
 - c. Forms management will be in accordance with the District of Columbia and records management requirements.

4. **DIRECTIVES AFFECTED**
 - a. **Directive Rescinded**
 - 1) DO 1112.1 Forms Maintenance and Control (11/6/62)
 - b. **Directives Referenced**
 - 1) PS 1110.2D Directives Management System

5. **AUTHORITY**

- a. D.C. Code § 1-1401 et seq., Office of the Chief Technology Officer
- b. D.C. District Personnel Manual, Chapter 31A, Records Management and Privacy of Records

6. **STANDARDS REFERENCED.** None

7. **DEFINITIONS.**

- a. *Office of Internal Controls, Compliance and Accreditation (OICCA)* – Provide oversight for the Directives Management System in accordance with *PS 1110.2D, Directives Management Systems*.
- b. *Office of Primary Interest (OPI)* – The OPI refers to the organization component of DOC that has the primary responsibility for revising, and rescinding a specific directive/program statement.
- c. *Annual Review Process* – The process whereby OPI completes an “Annual Review Form” that indicates the current status of the directive/program statement and forwards it to OICCA.

8. **RESPONSIBILITIES**

- a. *OICCA* – shall meet at least annually with Management and Department Heads to review all Official Departmental Forms for style, function and timeliness. The results of the annual review shall be reported to the Director at the end of each fiscal year. OICCA shall also:
 - 1) Maintain standards for the design and creation of all DOC forms,
 - 2) Provide assistance to all management staff in matters involving the creation of forms; and
 - 3) Maintain and operate the Lotus Notes Program Statement database.
- b. *Management/Supervisors* – are responsible for ensuring that all forms initiated within their divisions, which meet the aforementioned criteria for Official Departmental Forms, are submitted for review to OICCA and approved by the Director for implementation.
- c. *Director* – The Director shall be the approving authority of all Official Departmental Forms.

9. **USE OF DEPARTMENTAL FORMS**

- a. Official forms will be referenced in Program Statements as an “Attachment”.
- b. All forms shall be reviewed and approved through the review process and

placed in electronic format on Lotus Notes.

- c. Official forms may not be modified, nor local forms produced as substitutes.
10. **ELECTRONIC FORMS.** All applicable forms have been converted to simple WordPerfect or Adobe templates that will serve as a source of forms for staff and made available on Lotus Notes under their respective Program Statements. The forms can be opened, viewed, and printed.
11. **CLEARANCE AND APPROVAL OF OFFICIAL FORMS.** The Office of Primary Interest (OPI) initiates the clearances process by completing the Annual Review form. The OPI will submit the sample form to OICCA who designs the final form and prepares the revised form to be presented to the OPI for final review. OICCA will submit the final draft to the Director for approval.

Forms may not be referenced in Program Statements unless they have gone through the review, clearance and approval process. When a form is referenced in a PS, only the number and title is required. For example, PS 1112.1, *Retention and Disposal*.

12. **MODIFICATION OF OFFICIAL FORMS.** A form that is already referenced in a Program Statement may be modified through the review process. The OPI shall submit an Annual Review/Change Notice form to modify/change the requested form. Once the review is received from the OPI, OICCA will issue a Change Notice form to the Director for final approval.
13. **CANCELLATION OF OFFICIAL FORMS.** The OPI may request to cancel a form for which it is responsible. To cancel a form, the OPI shall submit an Annual Review/Cancel form to OICCA. OICCA will issue a Cancellation Notice to the Director for final approval. OICCA is responsible for deleting references to that form in policies.
14. **OTHER AGENCY'S ELECTRONIC FORMS.** DOC may deem it necessary to use other agency's electronic forms as attachments to policy. Management may request the use of other agency electronic forms to use as an **attachment only** by submitting a request to OICCA through the review process. OICCA shall review the request and the attachment to ensure the form coincides with the departmental policy and District Government laws and regulations. OICCA will submit the form to DOC Office of the General Counsel (OGC) and the Director for final approval and implementation.



Thomas Faust

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