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	<b>POLICY AND PROCEDURE</b>		<b>SUPERSEDES:</b>	1112.1B October 23, 2013	
			<b>OPI:</b>	OPP	
			<b>REVIEW DATE:</b>	August 23, 2018	
			<b>Approving Authority</b>	Quincy L. Booth Director	
	<b>SUBJECT:</b>	PROCEDURES FOR OFFICIAL FORMS MANAGEMENT			
<b>NUMBER:</b>	1112.1C				
<b>Attachments:</b>	None				

**SUMMARY OF CHANGES:**

Section	Change
Changes	<i>Minor changes throughout the policy.</i>

**APPROVED:**

*Signature on File*



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**Quincy L. Booth, Director**

\_\_\_\_\_  
**8/23/17**  
*Date Signed*

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<b>Attachments:</b>	NONE			

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 directive 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 Policy and Procedure (OPP) shall be responsible for 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  - a. **Directive Rescinded**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) PP 1112.1B            Procedures for Official Forms Management  
(10/23/13)
  - b. **Directives Referenced**
    - 1) SOP 1110.2G-16            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 Policy and Procedures (OPP)* – Provide oversight for the Directives Management System in accordance with *SOP 1110.2G-16, Directives Management Systems.*
  - b. *Office of Primary Interest (OPI)* – The OPI refers to the organization

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component of DOC that has the primary responsibility for revising, and rescinding a specific directive/policy and procedure.

- c. *Annual Review Process* – The process whereby OPI completes an “Annual Review Form” that indicates the current status of the directive/policy and procedure and forwards it to OPP.

## 8. RESPONSIBILITIES

- a. *OPP* – shall meet at least annually with Management and Department Heads to review all Official Departmental Forms for style, function and timeliness. OPP 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 meet the aforementioned criteria for Official Departmental Forms. All attachments to policies must be submitted for review to OPP and approved by the Director for implementation.
- c. *Deputy Director(s)*. The Deputy Director for Operations or Deputy Director for Management Support shall approve directives under their authority.
- d. Office of the General Counsel – All Attachments and official forms shall be reviewed and approved by the DOC General Counsel.
- e. *Director* – The Director shall be the final approving authority of all Official Directives and Departmental Forms.

## 9. USE OF DEPARTMENTAL FORMS

- a. Official forms will be referenced in directives 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.

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**10. ELECTRONIC FORMS.** All applicable forms have been converted to simple Microsoft Word or Adobe templates that will serve as a source of forms for staff and made available on Lotus Notes under their respective directive. 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 OPP who designs the final form and prepares the revised form to be presented to the OPI for final review. OPP will submit the final draft to the respective Deputy Director for approval, then to the General Counsel and then the Director for final approval.

Forms may not be referenced in directives unless they have gone through the review, clearance and approval process. When a form is referenced in a directive, only the number and title is required. For example, PP 1112.1 Attachment A.

**12. MODIFICATION OF OFFICIAL FORMS.** A form that is already referenced in a directive 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, OPP 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 OPP. OPP will issue a Cancellation Notice to the Director for final approval. OPP 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 OPP through the review process. OPP shall review the request and the attachment to ensure the form coincides with the departmental policy and District Government laws and regulations. OPP will submit the form to DOC Office of the General Counsel (OGC) and the Director for final approval and implementation.