

2009 Innovations Awards Program APPLICATION

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ID # (assigned by CSG): 09-MW-12OH

Please provide the following information, adding space as necessary:

State: Ohio

Assign Program Category (applicant): Corrections (Use list at end of application)

1. Program Name

Ohio Department of Rehabilitation and Correction Policy Review Process

2. Administering Agency

Ohio Department of Rehabilitation and Correction

3. Contact Person (Name and Title)

Terry Collins, Director
Ohio Department of Rehabilitation and Correction

Julie Walburn, Chief
Bureau of Internal Audits and Standards Compliance

4. Address

Ohio Department of Rehabilitation and Correction
770 West Broad Street
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5. Telephone Number

(614) 752-1159
(614) 752-1670

6. FAX Number

(614) 752-1748

7. E-mail Address

Terry.Collins@odrc.state.oh.us
Julie.Walburn@odrc.state.oh.us

8. Web site Address
www.drc.ohio.gov

9. Please provide a two-sentence description of the program.

The Ohio DRC Policy Review Process is a policy management system designed and implemented to foster communication among all levels of the agency. The innovative, yet simple, system allows for input into policy development from both internal and external stakeholders, provides for an analysis to examine the impact of policy change prior to implementation, and efficiently controls the frequency of policy revisions, where possible, in order to ensure stable operations.

10. How long has this program been operational (month and year)? Note: the program must be between 9 months and 5 years old on March 2, 2009 to be considered.

The Policy Review Process was developed as a result of an Executive Leadership project whose members are up and coming staff members assigned to research and develop solutions to departmental issues. This project was completed in the Fall of 2006, with the actual implementation of their proposal in January 2007.

11. Why was the program created? What problem[s] or issue[s] was it designed to address?

In assigning this issue for examination by an Executive Leadership team, agency leaders were concerned that the previously existing policy review process prevented "buy-in" to the agency mission and goals by not allowing all the individuals tasked with doing the work the opportunity to routinely provide input into the processes that defined their jobs. In addition, the previous system did not ensure collaboration between all effected policies prior to implementing policy change, requiring frequent readjustment to policy directives after experiencing unintended consequences caused by failure to properly communicate or consider the overall impact of the revision on all areas of the operations.

The Ohio Department of Rehabilitation and Correction had policies and processes in place which required the annual review of all policies and processes annually as required by national standards prior to 2007. In the former system, all of approximately 600 agency policies were reviewed in December of the year. The policy or manual owner reviewed, and if they determined it necessary, made revisions to the policy or manual. Input from other areas or staff was encouraged; however, there was no means to efficiently or easily obtain their input, nor was it required. When changes were made to policies, there was no mechanism to analyze the impact of the proposed change, clearly explain the actual changes to field staff or the reason for the change. The impact of the policy and its changes were not documented, nor were they often explored.

The inefficient mechanism led to numerous requests to change policy within a year. There were times when a policy changed as many as three times within a year, leading to operational instability throughout the more than 40 facilities/offices managed by the Department. Agency leaders realized that not only was this an ineffective use of resources, the revisions led to confusion and controversy in the actual operation of the department.

In addition to the internal policy process, the Department also aimed to address public access to agency policy directives. Routinely, members of the public requested hard print departmental policies through written request or telephone communication with staff, causing a delay in the delivery of the requested policies and an expense to the agency and the requestor. In addition to the systemic approach to policy revision, the department elected to make all non-security policies accessible to interested parties via its internet website to improve efficiency and transparency of department operations for all stakeholders.

12. Describe the specific activities and operations of the program in chronological order.

The Director of the Ohio Department of Rehabilitation and Correction is authorized to create policies pursuant to Ohio Revised Code 5120.01. Department policies are "owned" by the division/office/bureau of the agency which controls the process the policy addresses. In 2008, the department policy process managed approximately 450 policies. Each of these policies are assigned a quarter for review. It is during this quarter that owners may revise or delete the policy.

Throughout the year, staff and public have the ability to submit comments to the policy regarding changes they recommend. Internal staff may access the policies through the department intranet policy page. It is also on this page where staff can access information regarding the policy process as well as follow policies through the revision stages. Next to each policy is a "submit comment" link. If the stakeholder wishes to make a recommended change, they use this link to send the comment to the policy coordinator via a dedicated email account. External stakeholders may also submit recommendations for change through the dedicated email account as well or by submitting comments directly to Julie Walburn, Bureau Chief via email or by phone. All of this is explained at the top of the internet page for departmental policies. (Appendices A and B)

In the quarter a policy is reviewed and if the policy has received a comment, the comment is sent to the policy owner along with instructions to review the policy for possible revision. Policy owners review the policy and all comments received to determine whether a revision or deletion is merited. If no comments are received, then the annual policy review is considered complete and no further action is taken.

If it is determined a revision is necessary, the policy owner makes changes following a prescribed method of documentation. Once the changes are made, the policy owner completes a "DRC Policy Impact Analysis" statement. This form requires the policy owner to clearly document the changes made in the policy and ensures the owner has communicated with all pertinent areas regarding changes which may affect the different areas (i.e. Security, Human Resources, Programming, Labor Relations, Administration, etc...). The policy owner also must document any impact on forms, training, technology, as well as the fiscal impact the policy changes may have on the department.

After all this is completed, the policy and impact statement are forwarded to the Policy Coordinator of the Bureau of Internal Audits and Standards Compliance (BIASC). The Policy Coordinator arranges the Central Office Policy Review Team to consider the revisions. The Central Office Policy Review Team is a group of individuals who represent the different areas possibly affected by the policy changes. This group has fluid membership depending upon the policies being reviewed. The Central Office Policy Review Team is always led by the Bureau Chief of BIASC. The purpose of this group is to openly discuss the policy

revision and its impact on departmental operations. The team comes to consensus on what changes will be submitted for field review. (Appendix C)

The Field Policy Review stage of this process involves announcing the proposed revision widely to all staff and posting the revised policy on the intranet for field staff review and comment. Draft policies are open for comment for 14 days. During this time any staff may comment on the proposed revision. Their comments are received via the policy review email account. If substantive comments are received, the comment is sent back to the policy owner to decide whether further revision is warranted. Once the policy owner has made the necessary revisions, the policy is sent back to the Policy Coordinator, who prepares the document for the Director's consideration. After review, the Director ultimately approves the policy for implementation or disapproves the policy for further consideration. If approved, the Policy Coordinator announces the approved policy directive and posts the signed directive on the intranet and internet.

Understanding that staff cannot always predict or effect the forces that make policy change necessary, the department developed a variance process so policies can reflect the needed language without actually going through the revision process. The variance process is initiated when a policy owner becomes aware of a necessary change which cannot wait for the annual revision date. The policy owner will complete a "DRC Policy Variance Request" form. This form will document the change and why it is necessary. The form must be approved by the BIASC Bureau Chief, Deputy Director of the area and the Director to be official. The official variance is posted on the intranet with the policy.

13. Why is the program a new and creative approach or method?

This program is unique in the efficient and comprehensive approach to ensure input from all stakeholders and consider the impact of policy change prior to implementation. The department now receives policy input from both internal and external stakeholders. The process has fostered communication between all stakeholders in an unprecedented manner. True and meaningful impact analysis has allowed the agency to fully consider all intended, and sometimes unintended, consequences policy change will have on the agency, which has been especially crucial during the challenging fiscal climate. The process further allows for a systemic and well-organized method for policy distribution and publication. The process has significantly decreased the number of policy revisions which occur during a year; thus, increasing staff member's ability to consistently implement policy requirements.

14. What were the program's start-up costs? (Provide details about specific purchases for this program, staffing needs and other financial expenditures, as well as existing materials, technology and staff already in place.)

This program was implemented as an improvement strategy for an existing policy review system. As such, most of the resources utilized in the new system were preexisting. The policy coordination was already being done through a position in the Bureau of Internal Audits and Standards Compliance and the technology needed to support the system already existed.

One additional cost incurred was the cost of adding one email account. This cost is valued at \$6.00 per month. It is important to note that if other states wish to implement this process, it

will be necessary to have a staff member available to post information on intranet and internet sites. This position, equipment and technology was pre-existing in the Ohio Department of Rehabilitation and Correction, therefore it was not an additional cost for this program.

15. What are the program's annual operational costs?

The only cost associated exclusively with this program is an annual cost of \$72.00 for the Policy email account used by the Policy Coordinator.

16. How is the program funded?

The program is funded through Ohio General Revenue funds.

17. Did this program require the passage of legislation, executive order or regulations? If YES, please indicate the citation number.

No legislation or executive order was needed to implement this program. The only necessary regulation change included the departmental internal policy regarding Department Policy (DRC 01-COM-01)

18. What equipment, technology and software are used to operate and administer this program?

The Policy Coordinator uses a computer, email account, and the department web page developing software (Microsoft FrontPage) in the course of operating this program.

19. To the best of your knowledge, did this program originate in your state? If YES, please indicate the innovator's name, present address, telephone number and e-mail address.

To the best of our knowledge, this system originated in the Ohio Department of Rehabilitation and Correction. The group who developed the program were members of the PERM, Executive Leadership Program from the 2006 Executive Leadership class. The person who implemented and manages the program is:

Julie Walburn, Bureau Chief
Bureau of Internal Audits and Standards Compliance
Ohio Department of Rehabilitation and Correction
770 West Broad Street
Columbus, Ohio 43222
(614) 752-1670
Julie.Walburn@odrc.state.oh.us

20. Are you aware of similar programs in other states? If YES, which ones and how does this program differ?

A lot of states and state agencies have policy coordination programs as most have internal policies. However, no other system, to our knowledge, possesses a system with the same unique, efficient and comprehensiveness as the program Ohio DRC has implemented.

21. Has the program been fully implemented? If NO, what actions remain to be taken?

This program has been fully implemented.

22. Briefly evaluate (pro and con) the program's effectiveness in addressing the defined problem[s] or issue[s]. Provide tangible examples.

Pros for the program:

- ✓ Improved efficiency of an existing system;
- ✓ Utilized existing resources in a more effective manner;
- ✓ Allows department to incorporate more internal and external stakeholders input and thus improve the quality of policy;
- ✓ Fully considers the impact of policy revision on the agency prior to implementation;
- ✓ Decreases/eliminates contradicting information in policies;
- ✓ Increases communication between departments regarding policy and directives.

Cons for program:

- ✓ In writing, seems like a cumbersome process; however, implementation proves it is not.

23. How has the program grown and/or changed since its inception?

The program was implemented in stages with full implementation occurring in 2008 with the introduction of the internet access of the policies. The first stage was assigning a quarter for all policies and training of personnel on the new process. The second stage was introducing the Central Office Policy Review Team and Field Review Team concept to all staff. The third stage was adding the policies to the existing DRC internet website for public access.

24. What limitations or obstacles might other states expect to encounter if they attempt to adopt this program?

The implementation of this program was eased by the existing technology, software, and staffing resources the Ohio Department of Rehabilitation and Correction. If a department did not have these resources, then the implementation of this in another agency would be more difficult and more costly.

Attachments:

Appendix A – Snapshots of Intranet pages showing policy review information

Appendix B – Snapshots of Internet access to policies

Appendix C – Snapshots of Central Office Policy Review Team intranet page

Appendix D – Snapshots of Field Policy Review Team intranet pages

Appendix A (Snapshots of intranet pages showing policy review information)

DRC Policies Table of Contents - Microsoft Internet Explorer (provided by DRC of Intranet System)

http://intra.drc.state.oh.us/policy/default.htm

File Edit View Favorites Tools Help

DRC Policies Table of Contents

Main Web Applications Employee Information Organization Initiatives

[DRC Policies] [Operations Manuals] [Administrative Rules]
 [DPCS Division Policies] [Mental Health SOPs] [Medical Protocols]
 [Writing or Revising DRC Policies] [DRC Policy Review] [Central Office Policy Review]
 [New or Revised DRC Policies] [BIASC]

DRC Policy Directives

The Bureau of Internal Audits and Standards Compliance is pleased to be implementing a new policy review and implementation process, based off of a program proposal developed by the Policy Evaluation Review Management Team during the 2006 Executive Leadership Class. The details of the new process are specified in Department Policy 01-COM-01, Department Directives.

+ Brief Explanation of the Policy Process

- Agency policies and operations manuals will continue to be reviewed annually but are now divided into four manageable quarters, as listed below. Except for exceptional, unavoidable situations, revisions will be strictly limited to the assigned quarter of review. Throughout the calendar year, you may submit feedback on any policy or operations manual by clicking on the [Submit Comment](#) linked listed below. Comments will be held until the assigned quarter. Because comments will be held, this is not the appropriate venue to seek immediate clarification on a policy matter.
- Please refer to the New DRC Policy Process Flowchart for a visual explanation of the new system.
- You may also refer to the Department Policy Review Page for further information on the DRC Policy Process.

New and Revised Policies and Operations Manuals

Notice of new and revised policies and operations manuals will be posted on the new and revised policy page prior their effective date. Please be sure to check back often to determine if new policies or manuals have been issued.

There have been **14** new policies issued within the last thirty days.

DRC Policies Table of Contents - Microsoft Internet Explorer (provided by DRC of Intranet System)

http://intra.drc.state.oh.us/policy/default.htm

File Edit View Favorites Tools Help

DRC Policies Table of Contents

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Table of Contents

ORGANIZATION DESIGN AND CONTROLS - Chapters 01 - 20

- + Communications - 01.COM
- + Re-Entry Initiatives - 02.REN

Policy Number	Effective Date	Policy Name	Policy Review	Quarter
02-REN-01	01/09/06	Offender Reentry Assessments and Planning ORV, LORCI and CRC Variance	Submit Comment	4th
02-REN-02	05/05/07	Reentry Programs 02-REN-02 - All Institutions	Submit Comment	1st
- + Office of Victim Services - 03.OVS
- + Community Justice Initiatives - 04.CMJ
- + Office of Information and Technology Systems - 05.OIT
- + Research - 06.RES
- + Offender Records - 07.ORD
- + Management Audits - 08-MAU
- + Investigations - 09.IHV
- + Workplace Safety and Environmental Mandates - 10-SAF
- + Central Office Operations - 11.COP

CAPITAL AND FISCAL - Chapters 21 - 30

- + Facilities Maintenance - 21.CAM

Appendix B (Snapshots showing internet access to policies)

DRC Home Page - Microsoft Internet Explorer provided by DRC

http://www.drc.ohio.gov

Ohio.gov Department of Rehabilitation and Correction


Agency Policies | Organization | Facilities | Offender Information | Programs & Services | Information

Administrative Rules
DRC Policies

Welcome to the Ohio Department of Rehabilitation and Correction

DRC News

- Ohio Prisons Handling Peanut Butter Recall - January 22, 2009
- Adult Sex Offender Program Certification
- Notice to Visitors Regarding DRC's "Tobacco Free" policy effective March 1, 2009
- DRC Monthly Fact Sheet
- Employee Excellence Awards
- DRC Annual Report - Fiscal Year 2008



Director Terry J. Collins

Message from the Director

Welcome to the Ohio Department of Rehabilitation and Correction (DRC) website. Our website was created with family members, victims and victim survivors, employees, media, and students in mind. The information provided on our Web pages gives an overview and a glimpse into who we are as a state agency.

Currently we are faced with numerous challenges as our inmate population continues to climb, reaching new records almost weekly. As of November 3, 2008, we have over 51,260 inmates housed in the 32 prisons here in Ohio. There are some 37,000 offenders living in our communities who are under some form of supervision with our agency.

Our department takes great pride in the fact that "rehabilitation" is part of our name. Part of the mission of this agency is to provide opportunities for offenders to have educational, vocational and social programming which will enable them to become successful re-entry citizens to the neighborhoods where we live. This greatly adds to the current and upcoming from

Related Links

- Offender Search
- FAQs
- Victim Services

DRC Policies and Procedures - Microsoft Internet Explorer provided by DRC

http://www.drc.ohio.gov/web/drc_policies/drc_policies.htm

Ohio.gov Department of Rehabilitation and Correction

Agency Policies | Organization | Facilities | Offender Information | Programs & Services | Information

Ohio Department of Rehabilitation and Correction DRC - Policies

It is the policy of the Ohio Department of Rehabilitation and Correction to develop and maintain current and meaningful policies and operations manuals. Department policies are public information and are available for viewing.

Questions concerning Department policies should be directed to Julie Waibum at 614-752-1670 or by e-mail at Julie.Waibum@drc.state.oh.us.

Click link to view policy (must have Adobe Acrobat to open files)

Subject	Policy Number
Communications	
Department Directives	01-COM-01.pdf
Department Forms	01-COM-02.pdf
Correspondence Referred by Director's Office	01-COM-03.pdf
Monthly Staff Meetings	01-COM-04.pdf
Community and Criminal Justice Partnerships	01-COM-05.pdf
Institution Reporting Requirements	01-COM-06.pdf
Incident Reporting and Notification	01-COM-08.pdf
Media Policy	01-COM-09.pdf
Departmental Honor Guard	01-COM-10.pdf
Execution	01-COM-11.pdf
DRC Public Relations	01-COM-12.pdf

Related Links

- Legal Services
- Policies
- Administrative Rules

Appendix C (Snapshots of Central Office Policy Review Team intranet page)

Policy Review - Microsoft Internet Explorer provided by DRC Intranet

http://intra.drc.state.oh.us/policy/CO%20Prt%20policyreview.htm

File Edit View Favorites Tools Help

Policy Review

Main Web Applications Employee Information Organization Initiatives

[DRC Policies] [Operations Manuals] [Administrative Rules]
 [DPCS Division Policies] [Mental Health SOPs] [Medical Protocols]
 [Writing or Revising DRC Policies] [DRC Policy Review] [Central Office Policy Review]
 [New or Revised DRC Policies] [BIASC]

Central Office Policy Review Team

Under the new department policy process, a team of central office staff must review and approve of a draft policy revision prior to it being posted for review by field staff. The composition of the Central Office Policy Review Team, and the manner in which they conduct the review, is fluid, based on the subject matter under discussion.

At least one staff member from the areas listed under "Requested Representation on the Central Office Policy Review Team" must be responsible for reviewing the proposed policy draft and attending the review meeting to discuss any concerns with the policy draft. If the area has no concerns with the proposed policy draft, the Deputy Director/designee of that area may relay this in writing to the chairperson of the Central Office Policy Review Team. In only those cases is attendance at the scheduled meeting not necessary. Under very limited circumstances, written concerns may be accepted in lieu of personal attendance to the scheduled meeting but only after direct discussion with the chairperson of the Central Office Policy Review Team.

Attendance by the Policy Owner is strongly suggested. However, the Policy Owner may want to contact the PRT Chairperson the afternoon prior to the scheduled meeting to determine if attendance is necessary.

User Tip: You may click on the plus sign to close each quarter, to allow you to only look at the current quarter of review.

The following policies have been scheduled for review by the Central Office Policy Review Team on the dates listed below.

Date of Review	Policy for Review	Policy Name	Requested Representation on the Central Office Policy Review Team	Policy Owner
			Legal Services Legal Services - Yolanda Barnes	

Policy Review - Microsoft Internet Explorer provided by DRC Intranet

http://intra.drc.state.oh.us/policy/CO%20Prt%20policyreview.htm

File Edit View Favorites Tools Help

Policy Review

The following policies have been scheduled for review by the Central Office Policy Review Team on the dates listed below.

Date of Review	Policy for Review	Policy Name	Requested Representation on the Central Office Policy Review Team	Policy Owner
03/25/09	10-SAF-14 Draft	Injury Prevention Plan	Legal Services Legal Services - Yolanda Barnes Office of Prisons Parole and Community Services Office of Human Resources Chief Inspector's Office Bureau of Medical Services Bureau of Mental Health Services Bureau of Recovery Services Bureau of Classification Office of Policy and Offender Reentry Parole Board Corrections Training Academy Office of Administration Bureau of Labor Relations Ohio Penal Industries Bureau of Information Technology	Bureau of Internal Audits and Standards Compliance
	67-MNH-28 Draft	Offender Observation Aides	Office of Prisons Legal Services Bureau of Medical Services	Bureau of Mental Health Services
	72-REG-10 Draft	Native American Religious Services	Office of Prisons Legal Services	Religious Services Administrator
	310-SEC-37 (see Security Policy Page)	Key Control	Office of Prisons Legal Services	Security Administrators
			Legal Services Office of Prisons -- all sections Parole and Community Services -- all sections Office of Human Resources -- all sections	Bureau of Internal Audits and Standards Compliance

Appendix D (Snapshot of Field Policy Review Team intranet page)

Policy Review - Microsoft Internet Explorer provided by DRC Intranet browser

http://intra.drc.state.oh.us/policy/policyreview.htm

File Edit View Favorites Tools Help

Policy Review

Main Web Applications Employee Information Organization Initiatives

[DRC Policies] [Operations Manuals] [Administrative Rules]
 [OPCS Division Policies] [Mental Health SOPs] [Medical Protocols]
 [Writing or Revising DRC Policies] [DRC Policy Review] [Central Office Policy Review]
 [New or Revised DRC Policies] [BIASC]

Department Policy Review

This page provides the quarterly review schedule of all agency policies and manuals. All draft policies due to review by the Field Policy Review Teams are also posted on this page.

+ Brief Explanation Of the Policy Status Table

- Agency policies and operations manuals will continue to be reviewed annually but are now divided into four manageable quarters, as listed below. Except for exceptional, unavoidable situations, revisions will be strictly limited to the assigned quarter of review. Throughout the calendar year, you may submit feedback on any policy or operations manual by clicking on the policy number listed below. Comments will be held until the assigned quarter. Because comments will be held, this is not the appropriate venue to seek immediate clarification on a policy matter.
- During the assigned quarter of review, the "Draft Policies for Review" column will be updated to show any proposed revision to the directive. A notice of this update will be distributed to the Chairpersons of the Field Policy Review Teams. The proposed revision will be available for comment by the Field Policy Review Teams, and other interested parties, for a period of 14 days. Field Policy Review Teams may submit comment during this timeframe using the link provided in the "PRT Review", which will only become active when a policy draft is posted.

+ 2007 Comprehensive Policy Review

User Tip: You may click on the plus sign to close each quarter, to allow you to only look at the current quarter of review.

+ First Quarter of the Calendar Year

The following policies are open for comment and will be considered for revision during the first quarter of

Policy Review - Microsoft Internet Explorer provided by DRC Intranet browser

http://intra.drc.state.oh.us/policy/policyreview.htm

File Edit View Favorites Tools Help

Policy Review

User Tip: You may click on the plus sign to close each quarter, to allow you to only look at the current quarter of review.

+ First Quarter of the Calendar Year

The following policies are open for comment and will be considered for revision during the first quarter of 2009. Comments will be accepted until January 1, 2010.

Click on the Number to Comment on the Existing Policy	Existing Policy	Draft Policies for FIELD POLICY REVIEW	Deadline for Draft Review	Submit PRT Review of Draft
01-COM-05	Community and Criminal Justice Partnerships			
01-COM-06	Incident Reporting and Notification			
02-REN-02	Reentry Programs			
03-OVS-01	Crime Victims			
03-OVS-02	Victim/Offender Dialogue			
03-OVS-03	Victim Coordinators			
03-OVS-04	Victim Notifications			
03-OVS-05	Victim Awareness Programs	03-OVS-05 Draft	Mar. 24, 2009	PRT Review
03-OVS-06	Victim involvement in the Execution Process			
05-OIT-02	LEADS Access and Control			
05-OIT-13	Disaster Recovery Planning			
05-OIT-14	Information Technology Security Incident Response			
07-ORD-10	Unit Management Files			
07-ORD-11	Confidentiality of Medical, Mental Health and Recovery Services			
07-ORD-12	Bureau of Sentence Computation Legal File			
08-MAU-03	Bureau of Community Sanctions Program Audit Process			
10-SAF-17	Electrical Safety in the Workplace - New	10-SAF-17 Draft	Mar. 31, 2009	PRT Review
25-OPI-02	OPI Marketing and Sales			