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| District of Columbia Department of Health <h2>Standard Operating Procedure Development</h2> | | PROCEDURE 200.100 Implementing Office: Office of the Director Training Required: Yes Originally Issued: July 17, 2013 Revised/Reviewed: <p style="text-align: center;">FEB 27 2020</p> (Second Revision) |
| Approved by:  LaQuandra S. Nesbitt MD, MPH; Agency Director | Review by Legal Counsel:  Phillip Husband, Esq.; General Counsel | Effective Date: FEB 27 2020 Valid Through Date: <p style="text-align: center;">FEB 27 2023</p> |

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| I. Authority | Reorganization Plan No. 4 of 1996; Mayor's Order 1997-42; This document shall supersede and replace all earlier versions of this SOP. |
| II. Reason for the Policy | Documenting business processes in standard operating procedures (SOPs) is a best practice. Having well-developed SOPs adds value across the enterprise, including: <ul style="list-style-type: none"> • Improving efficiency and effectiveness; • Providing clear guidance on and requirements for implementing DC Health processes; • Aiding in training all persons working for, or assigned to, DC Health; • Promoting consistent and uniform results; • Documenting how to comply with applicable laws, rules and regulations governing DC Health's operations; • Documenting best practices within the relevant subject matter; • Providing managers with the tools necessary to ensure that tasks are being uniformly and consistently performed; • Anticipating problems before they occur, and addressing problems promptly as they manifest. <p>A protocol is needed to draft, vet, and approve SOPs, as well as distribute these documents to Department personnel.</p> |

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| <p>III. Applicability</p> | <p>This procedure applies to all DC Health employees, contracted staff, volunteers, interns, and summer youth employees. These individuals are collectively referred to herein as “employees” or “DC Health employees.”</p> |
| <p>IV. Policy Statement</p> | <p>The SOP process is part of the portfolio of the Office of the Chief Operating Officer. The Chief Operating Officer (COO) is the accountable manager over this process. He/she will name an employee to serve as the SOP Agency Lead.</p> <p>An SOP may be initiated to document any business process in the Department’s portfolio. An SOP is intended to organize, standardize, and communicate the steps in a business process, the associated rules and standards (e.g. required timeframes), and the individuals accountable for steps in the process.</p> <p>An SOP has binding authority over DC Health employees. A DC Health SOP’s authority does not extend to another DC government agency, or a third party with a contract or grant agreement to perform services on DC Health’s behalf.</p> <p>An SOP is divided into the following sections:</p> <ul style="list-style-type: none"> • Authority: This section lists all federal/District laws and regulations, Mayor’s orders, personnel issuances from the District of Columbia Department of Human Resources (DCHR), and any other legally enforceable documents that define requirements for the process being documented, and/or establish that DC Health can legally undertake the actions enumerated within the SOP; • Reason for the Policy: This section briefly describes the business process being documented, and how governing the process through the SOP adds value and/or solves a problem; • Applicability: This section lists the groups of people who are subject to the terms of the SOP; • Policy Statement: This section lists the DC Health unit, or units, responsible for executing the business processes in the SOP, as well as all rules and standards associated with the business process (e.g. mandatory |

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| | <p>deadlines, mandatory reporting requirements, accountable parties for tasks);</p> <ul style="list-style-type: none">• Definitions and Acronyms: This section provides an explanation and/or description of terms used within the SOP that have specialized or particular meanings, and spells out any acronyms used in the document;• Procedures: This section describes, in detail and in sequence, all of the steps and activities necessary to implement the SOP;• Contacts: This section list the titles and contact information for all managers accountable for the proper execution of the business processes documented in the SOP;• Related Documents, Forms and Tools: This section lists any forms, applications, or reference documents listed in the body of the SOP. <p>Any Program Manager may contact the Agency Lead to request an SOP be developed for their program. The Agency Lead has the discretion, with the COO's approval, to expand the scope of the SOP to include other programs where the requested SOP overlaps with other needs across the Department. This includes expanding to an agency-wide scope.</p> <p>A new SOP shall begin with a mapping meeting. The Program Manager is responsible for identifying employees who should attend the mapping meeting. Employees with knowledge and experience in the business process being documented should be included. For an SOP revision, the mapping meeting is optional.</p> <p>The Agency Lead is responsible for scheduling and facilitating the mapping meeting. Within seven (7) calendar days of the mapping meeting, the Agency Lead will send a draft process map and draft SOP to all members of the workgroup. The Agency Lead will clearly indicate any content gaps, questions, or concerns that require additional input from the workgroup.</p> <p>The workgroup is responsible for reviewing the document, and providing feedback to the Program Manager within 14 calendar days of receipt.</p> |
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The Agency Lead is responsible for routing the Program Manager’s validated draft to the Office of General Counsel (OGC) for informal review. The General Counsel, or designee, will, at a minimum, review the document to ensure the authority section is drafted correctly, and the draft content is within DC Health’s legal authority. The reviewing attorney has the discretion to make any additional suggestions or observations to improve the quality of the document, e.g. the definitions selected for key terms, or the enforceability of the SOP.

Following informal review, and the resolution of questions or issues raised by the reviewing attorney, the draft SOP is subject to approval by the COO prior to advancing to final signatures. If the SOP applies to only one administration, the Senior Deputy Director of that administration must approve the draft SOP.

To ensure that an SOP is operationally feasible, the COO may order a draft SOP to be vetted through the Deputy Directors of Operations (DDOs) of all, or select, administrations in advance of approving the document to advance to signatures.

An SOP is only official and binding once both the DC Health General Counsel and the Director, or designee, signs it.

For convenient reference, all SOPs will be assigned a number. SOPs applicable Department-wide will be categorized by the administrative functions as follows:

- 100 – 199** DOH Organization, Vision, Mission and Performance Management
- 200 - 299** Administration Management, Customer Service and Government Affairs
- 300 - 399** Legal Affairs and Risk Management
- 400 - 499** Financial and Grants Management
- 500 - 599** Personnel (Human Resources) Management
- 600 - 699** Communications Management
- 700 - 799** Information Technology Management
- 800 - 899** Contracts and Procurement
- 900 - 999** Facilities, Vehicle and Property Management

Administration-specific SOPs will be categorized as follows:

- 1100 - 1199 Center for Policy, Planning and Evaluation
- 1200 - 1299 Community Health Administration
- 1300 - 1399 Health Emergency Preparedness and Response Administration
- 1400 - 1499 Health Regulation and Licensing Administration
- 1500 - 1599 HIV/AIDS, Hepatitis, STD and TB Administration
- 1600 - 1699 Office of Health Equity

The Labor Relations Advisor will relay each signed SOP to the leadership of all unions that represent employees covered by the document. The Department will observe a standard comment period of ten (10) business days following transmission of the SOP. The implementation of an SOP may only begin after the comment period has elapsed, and unions have received responses to any questions they relay to the Labor Relations Advisor.

After the union comment period has elapsed, and the Labor Relations Advisor has responded to all questions received by union leaders, the SOP will be posted on the Department website.

If a DC Health SOP conflicts with any part of a collective bargaining agreement (CBA), DC Health practice will conform to the language in the CBA for all employees in the corresponding bargaining unit.

An SOP will be subject to a scheduled revision no more than three years after its effective date. The Agency Lead will maintain a listing of all DC Health SOPs, and notify the Program Manager of the need for a scheduled revision a minimum of 90 calendar days in advance. The Program Manager may initiate an ad hoc revision of an SOP if the circumstances surrounding the business processes change .

Due to a number of factors including changes in leadership, the emergence of new technologies, new legislation, and broader advancements in the public health landscape, it is inevitable that some SOPs will become obsolete, or be merged into other SOPs. In such cases, the SOP must be formally rescinded. The Chief Operating Officer may rescind an SOP through a signed rescission order. The signed rescission order shall be posted with the rescinded SOP on the Department website.

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| | <p>Any employee in violation of any part of this SOP may be subject to commensurate disciplinary action.</p> |
| <p>V. Definitions & Acronyms</p> | <p>Business Process- A set of interrelated work activities that transform inputs into outputs.</p> <p>CBA- Collective bargaining agreement</p> <p>COO- Chief Operating Officer</p> <p>DCHR- District of Columbia Department of Human Resources</p> <p>DDO- Deputy Director for Operations</p> <p>IR- Informal review</p> <p>Mapping meeting- A session where personnel who work in the business process meet to establish the scope for the SOP, document the process(es), and plan language for the SOP.</p> <p>OGC- DC Health Office of General Counsel</p> <p>SOP- Standard Operating Procedure</p> |
| <p>VI. Procedures</p> | <p>Procedure A: SOP Development</p> <ol style="list-style-type: none"> 1. The Program Manager will contact the Agency Lead to initiate an SOP project. 2. The Program Manager will identify a workgroup composed of employees who work within the process being documented. 3. The Agency Lead will schedule the mapping meeting. For SOP revisions, the mapping meeting may be waived. 4. The Agency Lead will convene the mapping meeting, recording all process steps. 5. The Agency Lead will draft the initial process map, and first draft SOP document. The Agency Lead will clearly indicate any ongoing questions, or gaps in the process. |

6. The Agency Lead will forward all draft documents to the workgroup.
7. Workgroup members will review all draft documents, and submit all suggested changes to the Agency Lead. The Program Manager has the discretion to compile changes and submit a revised draft back to the Agency Lead.
8. The Agency Lead will incorporate all workgroup changes into a revised SOP draft.
9. The Program Manager will review the revised draft. Upon approval from the Program Manager, the Agency Lead will forward the draft SOP to OGC for IR.
10. The OGC attorney will review the document for legal sufficiency, and suggest any changes that will make the document more legally sound.
11. The Agency Lead will forward the document to the workgroup to address any questions or issues raised during IR.
12. The Agency Lead will forward the document to the COO for final review.
13. The Agency Lead will coordinate with the workgroup to incorporate any changes requested by the COO.
14. The Agency Lead will forward the approved draft to the DC Health General Counsel for final legal sufficiency and signature.
15. The Agency Lead will forward the draft signed by the General Counsel to the Director, or designee.
16. The Director, or designee, will sign the SOP.

Procedure B: Union Comment and Distribution

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| | <ol style="list-style-type: none"> 1. The Labor Relations Advisor will forward the signed SOP to representatives from affected unions. 2. The Labor Relations Advisor will respond promptly to any questions posed by union representatives. 3. The Labor Relations Advisor will inform the Agency Lead, the Human Resources Officer, and COO if any unions request Impact and Effects Bargaining. 4. The Labor Relations Advisor will refer any Impact and Effects Bargaining requests to the Office of Labor Relations and Collective Bargaining. 5. At the conclusion of the union comment period, the Agency Lead will distribute the signed SOP to all SDDs and DDOs. 6. The Agency Lead will forward the signed SOP to DC Health IT for web posting. |
| VII. Contacts | DC Health Chief Operating Officer |
| VIII. Related Documents, Forms and Tools | DC Health SOP Template |