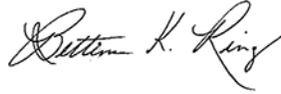## Policy and Procedure 1-1
Governing Documents and Change Management

Issued By: Bettina K. Ring, State Forester

Effective Date:	December 6, 2016
Codes/Mandates:	Code of Virginia: § 42.1-85. Records Management Program
References:	Library of Virginia Records Management
	Library of Virginia File Retention Schedules
	Library of Virginia General Schedules for State Agencies
	Library of Virginia GS-101 Administrative Records
	Policy Procedure Template.dotx
	Form Instructions Template.dotx
	Document Template.dotx
Forms:	Form 1.1 Change Request

CONTENTS

PURPOSE

To provide an overview of the documents governing the agency and its business. To manage the change process for initiating and updating all policy and procedures, forms, other governing documents and business processes within VDOF.

The objective of the change management process is to introduce changes to the business in a standard format; provide an approval process; maintain an audit path for changes made; ensure compliance with file retention requirements; minimize the chance of negative impact to service as a result of a change; minimize conflicts resulting from changes; ensure adequate review of changes prior to implementation; ensure consistent communication about changes to employees, and ensure compliance with all agency and program requirements.

POLICY

It shall be the policy of VDOF to adhere to all policies and mandates as required by the *Code of Virginia*, Governor's office, Secretary's office and other governing agencies. VDOF will ensure that all internal policy and procedures, instructions and direction comply with these principal policies and mandates.

The Virginia Department of Forestry will manage changes made to policy and procedures, forms, other governing documents and business processes in a manner that will make the most efficient use of staff and financial resources. The change management process is established to ensure changes are well thought out, impacts are considered and changes are made in the best interest of the agency.

DEFINITIONS

"Agency" and **"VDOF"** means the Virginia Department of Forestry.

"Change Management Group" is the group responsible for implementing the change management process.

"Change Management Review Panel" is the panel responsible for reviewing changes proposed through the change management process.

"Commonwealth" means the Commonwealth of Virginia.

"Content editor" means an agency employee, typically a program support technician or administrative staff support member within a workgroup, who is familiar with the subject matter, and formatting and editing of documents.

"Content manager" means an agency employee, typically the supervisor of a workgroup or a senior member within that group, who is a subject matter expert on the programs and services carried out by the group.

"Change" means any event that results in a modification to a business process (addition, modification or removal of policy and procedures; forms and form instructions; other governing documents, and business processes).

"Governing document" means a document that directs the behaviors, operations or activities of the agency. Such documents include but are not limited to the Code of Virginia; state and federal mandates; policy and procedures; forms and form instructions; job manuals; instruction manuals; planning documents, and any other document directing the activities of the agency.

PROCEDURES

Governing Document Overview

The following are the types of guiding documents governing the agency and its business:

Guiding Documents	
Document Type	**Description**
Code of Virginia	The laws as approved by the General Assembly. *Code of Virginia* books are located in the executive assistant's office at Headquarters and area available on-line.

Guidance Documents	Written documentation completed by a state agency to provide the agency's interpretation and explanation of the laws for the benefit of agency employees, as well as the public. Documents will be accessible to all employees statewide and available to the public.
Executive Orders	Mandates from the Governor's office as a direct result of the power invested in the Governor by the *Code of Virginia*. Master documentation is located in the executive assistant's office at Headquarters.
Executive Memorandums	Agency standards and expectations from the Governor's office as result of the administrative authority given to the Governor by the *Code of Virginia*, which empowers the Governor to manage the business of the Commonwealth of Virginia. Master documentation is located in the executive assistant's office at Headquarters.
Other Agency Policies	Policies directed by other state agencies with lead authority on particular subject matter. {For example, Department of Human Resource Management has lead authority on personnel practices.} Master documentation is located in the applicable Headquarters director's office.
VDOF Policy and Procedures	Further interpretation of any of the above documentation by the State Forester. VDOF policy and procedures may not be less restrictive than any of the above documentation, but may be more restrictive as decided by the State Forester. Agency policy and procedures provide further guidelines necessary for explaining how VDOF employees will carry out the activities of the agency in accordance with the documentation above. VDOF procedures will be accessible by all VDOF employees statewide**.** Master files of policy and procedures are held by the executive assistant at Headquarters.
Other Governing Documents	These are additional documents, such as job manuals, instructional manuals, planning documents, etc., which guide the activities of the agency. Master files of these documents are held by the appropriate content manager.

Policy and Procedure Administration

Roles and Responsibilities

- ♦ Primary Oversight: chief of administration
- ♦ Policy and Procedure Document Management: executive assistant
- ♦ Form Management: public information specialist
- ♦ Form Instructions Management: executive assistant

Organization

- ♦ The follow section groupings are established for the organization of documents:

Section Number	Section
1-#	Administration
2-#	Facilities
3-#	Finance
4-#	Fire and Emergency Response
5-#	Fleet
6-#	Forest Health
7-#	Forest Management
8-#	Human Resources
9-#	Information Systems
10-#	Land Conservation and Ecosystem Services
11-#	Marketing and Utilization
12-#	Nurseries and Forestry Centers

13-#	Public Information and Outreach
14-#	Resource Information (FIA and Research)
15-#	State Forests
16-#	Telecommunications
17-#	Urban and Community Forestry
18-#	Water Resources
19-#	Other

Policy and Procedure Standards

♦ All policy and procedures will be approved and issued by the state forester.

♦ Policy and procedures will be clear and concise, and be able to be understood and implemented by employees at all levels.

♦ The policy statement will provide overall guidance about the agency's standard.

♦ The procedure section will provide a fixed, step-by–step sequence of activities or course of action that must be followed to correctly perform a task.

♦ Policy and procedures will be grouped by subject area utilizing the established standard numbering system: the section number with a dash (-) and a sequential number.

♦ Policy and procedures will be titled with the policy and procedure number and an appropriate name (e.g. Policy and Procedure 1-1 – Governing Documents and Change Management).

♦ Filename will consist of the prefix "PP" followed by the policy number_, followed by the title of the policy and procedure with dashes between words (PP_01-001_governing-documents-and-change-management.docx).

♦ Each policy and procedure document will have a table of contents, standard header and complete information entered into the *Document Properties* (i.e. keywords).

♦ A standard template will be used to maintain format consistency (Policy Procedure Template.dotx).

♦ The following header and footer information is required for each policy and procedure:

Policy and Procedure Section Number-#
Title

Issued By:	Bettina K. Ring, State Forester
Effective Date:	Month dd, yyyy
Codes/Mandates:	Code of Virginia: §
References:	Insert Hyperlinks to websites. This may be any pertinent reference (another agency policy or document; another VDOF Policy and Procedure; another VDOF document, or any reliable reference source)
Forms:	Form # and Title

Form and Form Instruction Standards

Forms are inherently a part of the guiding policy and procedure.

♦ Forms will be created, updated and published by the public information specialist in collaboration with the appropriate content manager.

- ➢ Employees are not permitted to create and distribute their own forms for use outside of their VDOF workgroup.
- ➢ Forms will be created to the agency standard format.

♦ Forms and form instructions will be clear and concise, and be able to be understood and implemented by employees at all levels.

♦ A standard template will be used to maintain format consistency on form instructions (Form Instructions Template.dotx).

♦ File name will consist of the prefix "f" followed by the form number_ (2 digit section.3 digit form number), followed by _inst (i.e. f18.030_inst.docx).

♦ The following header and footer information is required for each form instruction document:

Virginia Department of Forestry
Policy and Procedures – Form Instructions

Form #
Form Title

Form
Form Title

Effective Date:	Month dd, yyyy
References:	Insert Hyperlinks to websites. This may be any pertinent reference (another agency policy or document; another VDOF Policy and Procedure; another VDOF document, or any reliable reference source)
Procedures:	Procedure title

f##.##_inst.docx   page 1 of 10

Other Governing Documents Administration

Other documents exist to help employees in doing their job and should be referenced in policy and procedure, and published with the policy and procedure, such as IFRIS manual, accounting system manual, Continuity of Operations Plan, Strategic Plan, etc. Use caution to not duplicate or contradict other documents, such as policy and procedure. These additional documents, such as job manuals, instructional manuals, planning documents, etc., which guide the activities of the agency will be published on the agency intranet and will be linked to and from the governing VDOF policy and procedure. These documents typically should not exist alone but as part of a larger policy and procedure as these generally direct activities of the agency in some manner.

Governing Document Standards

♦ The appropriate content manager holds the master files of these documents.

♦ Governing documents will be clear and concise, and be able to be understood and implemented by employees at all levels.

♦ Standard elements will be included on these documents produced by VDOF:

- ➢ document date
- ➢ page numbers
- ➢ file name
- ➢ agency name "Virginia Department of Forestry"
- ➢ agency shield logo

♦ *Document Properties* will be completed, clearly identifying the title, subject, author, manager, company, category and keywords.

♦ A document template is available to streamline the formatting of such documents (Document Template.dotx).

Change Management

All governing will be managed through this change management process.

Change Management Process Overview

Changes will be reviewed and vetted through a standard change management process.

- The content manager and associated director are responsible for the accuracy and relevance of their assigned policy and procedures; forms and form instructions, and any other governing documents.

- The content manager or associated director identifies the need for a change, performs the necessary research; involves the appropriate VDOF staff and agency components impacted; considers all ramifications of the change; determines implementation of the changes being proposed; ensures compliance with all applicable VDOF policy and procedures; ensures compliance with other agency mandates and requirements, and assesses how the process will flow following changes.

- Requests for changes (addition, modification or removal) to any governing document will be submitted on a Form 1.1 Change Request to the executive assistant at Headquarters.

- The executive assistant will review the request and direct the request appropriately.

  - Change requests are directed to the Change Management Group for review.
  - Form change requests are directed to the public information specialist for completion.
  - The executive assistant and public information specialist may complete administrative updates without further approval.

Approval

- The chief of administration or chief of operations may make the final recommendation for approval to the state forester.

- All changes shall require approval by the state forester.

Roles and Responsibilities

Content Manager

Content managers are responsible for:

- Receiving and evaluating requests for changes within his or her assigned areas
- Determining policy and procedure needs within assigned areas
- Determining other governing document needs within assigned areas
- Writing, editing or updating policy and procedure documents within assigned areas
- Determining form needs within assigned areas
- Writing form instructions for all forms within assigned areas
- Ensuring content validity and appropriateness of changes
- Performing the necessary research; involving the appropriate VDOF staff and agency components impacted; considering all ramifications of the change; determining implementation of the changes being proposed; ensuring compliance with all VDOF policy and procedures; ensuring compliance with other agency mandates and requirements, and assessing how the process will flow following changes
- Reviewing form changes associated with policy and procedure, or other governing document changes
- Ensuring accuracy, spelling, grammar, punctuation and format standards
- Proposing policy and procedure changes, additions or deletions
- Submitting requests to the appropriate director for review
- Reviewing assigned policy and procedures annually
- Reviewing assigned forms and form instructions annually

Content Editor

Content editors are responsible for:

- Editing or updating policy and procedure documents within assigned areas
- Editing form instructions for all forms within assigned areas
- Ensuring accuracy, spelling, grammar, punctuation and format standards
- Proposing policy and procedure changes, additions or deletions to the appropriate content manager
- Submitting requests to the appropriate content manager for review
- Editing and updating assigned policy and procedures annually
- Editing and updating assigned forms and form instructions annually

Director

The directors of the respective agency components are responsible for:

- Ensuring content validity and appropriateness of changes
- Reviewing form changes associated with policy and procedure, or other governing document changes
- Ensuring accuracy, spelling, grammar, punctuation and format standards
- Ensuring all content manager responsibilities have been completed
- Submitting approved documents to the executive assistant to facilitate review, consideration, approval and publishing

Change Management Group

The Change Management Group will be responsible for implementing the change management process. The objective of the Change Management Group is to ensure that change requests are managed, controlled and understood by staff to reduce risk to the organization, our customers and our cooperators.

The Change Management Group will review all requests for the establishment of new or changes to policy and procedures; forms and form instructions, and other governing documents. The group will consult subject matter experts when necessary based on the proposed changes.

The Change Management Group will consist of:

- chief of administration
- chief of operations
- executive assistant
- public information specialist

All members of the Change Management Group are responsible for:

- Performing a review and evaluation of change requests
  - The Change Management Group will review change requests for the following:
    - Necessity
    - Practicality and reasonableness
    - Impact on agency budget and staff
    - Impact on other programs
    - Compliance with other policy and procedures or governing documents
    - Compliance with agency mandates
    - Implementation concerns
- Assessing the impacts and determining if the change request has been thoroughly researched and vetted, were impact groups consulted and what feedback is necessary
- Soliciting feedback from appropriate impact groups or persons if necessary
- Soliciting feedback from the Change Management Review Panel
- Evaluating feedback
- Recommending approval, change or denial of the change request for implementation

Executive Assistant

The executive assistant is responsible for:

- Reviewing and editing for accuracy, spelling, grammar, punctuation and format standards
- Reviewing policy and procedure for compliance with record retention requirements
- Facilitating the change management process
- Forwarding form changes to the public information specialist
- Publishing final approved policy and procedures, and other governing documents
- Completing and publishing administrative changes to policy and procedures, and form instructions
- Maintaining a spreadsheet/database of all policy and procedures, forms and form instructions to track and manage these guiding documents, track responsibilities, review date and change history.
- Maintaining master permanent files for policy and procedures, and form and form instructions.

Public Information Specialist

The public information specialist is responsible for:

- Completing proposed form changes
- Publishing approved form changes
- Publishing final approved policy and procedures, and other governing documents on the Intranet

Chief of Operations

The chief of operations is responsible for:

- Reviewing change requests for compliance with existing internal regulations and policies
- Reviewing change requests for operational impacts
- Reviewing change requests for operational budget impacts
- Final recommendation of approval to the state forester for policy and procedures
- Final approval of other governing documents

Chief of Administration

The chief of administration is responsible for:

- Reviewing change requests for compliance with existing internal and external regulations and policies
- Reviewing change requests for budget impacts
- Reviewing change requests for information system impacts
- Consulting appropriate legal authorities as it relates to legal issues
- Final recommendation of approval to the state forester for policy and procedures
- Final approval of other governing documents

Change Management Review Panel

The Change Management Review Panel will consist of:

- deputy state forester
- forester representative
- technician representative
- senior area forester representative
- program support technician representative
- Selected other directors, program staff, state forest staff, nursery staff, regional staff and/or field staff chosen based on the subject matter of the proposed changes

All members of the Change Management Review Panel are responsible for:

- Performing a complete review and evaluation of change requests
- Assessing the impacts related to implementation of the change request
- Soliciting feedback from coworkers
- Evaluating feedback

- ◆ Suggesting approval, change or denial of the change request for implementation

The Change Management Review Panel will review change requests for the following:

- ◆ Necessity
- ◆ Practicality and reasonableness
- ◆ Impact on staff
- ◆ Impact on other programs
- ◆ Implementation concerns

State Forester

The state forester is responsible for:

- ◆ Final approval of policy and procedures

Change Request

A Form 1.1 Change Request describing in detail the change to be implemented.

Types of Changes

There are three types of change requests:

Routine Change: Changes submitted in advance of implementation dates, adhere to and are managed through the standard change management process.

Emergency/Regulatory Change: Changes as a result of regulation changes with immediate implementation dates. These changes typically are outside of agency control and require the agency to comply with external requirements. Review and approvals are required but the change request will be handled on an expedited basis. If the change is not immediate, the request will be handled as a routine change through the standard change management process.

Administrative Change: Changes that do not have significant impact on business processes and only require content manager approval as they are often driven by outside forces without option or involve the correction of typos or formatting. An example might be a rate change as a result of external requirements or fixing a typo or format problem.

Submission and Review Process

Requests are to be submitted a minimum of 30 days prior to the proposed implementation date for routine change requests. Other changes as described in *Types of Changes* section may be handled on an expedited basis.

1. The content manager will:

   - ➢ Download the current, published document and, using track changes, will make proposed changes.
   - ➢ Create a new document using appropriate templates for any NEW submissions.
   - ➢ Consult all appropriate agency components, persons, impact groups, etc.
   - ➢ Complete any research necessary to ensure the change is thoroughly vetted.
   - ➢ Complete and submit the Form 1.1 Change Request to submit with the document and any other supporting documentation to the appropriate director via email.
     - For NEW requests, send Word file.
     - For UPDATES, send Word file with track changes turned on so all changes are marked with track changes and can easily be identified and changes accepted if approved.
     - For REMOVALS, send Word file with track changes turned on and removal changes marked for deletion.

2. The appropriate director will review and comment. If approved, the director will submit the Form 1.1 with the document to the executive assistant along with any other supporting documentation to facilitate the change review process.

3. The Change Management Group may convene a meeting to discuss requests or may handle requests through email correspondence. The Change Management Group will:

> ➢ Perform an initial review and evaluation.
> ➢ Assess the impact areas, groups and persons and ensure appropriate persons were consulted.
> ➢ Solicit feedback from additional impacted groups or persons (Leadership Roundtable if applicable).
> ➢ Bring in appropriate subject matter experts via email or meeting as necessary.
> ➢ Administrative changes do not require action by the Change Management Group.
> ➢ Make their final recommendation for approval decision or may request more information if necessary.

4. If the Change Management Group recommends approval of the change, the chief of administration or chief of operations must provide final approval recommendation to the state forester for policy and procedure changes.

> ➢ The chief of administration or chief of operations must approve other governing documents.

5. The state forester must give final approval on policy and procedure changes.

6. The executive assistant will:

> ➢ Add the state forester signature on policy and procedure documents
> ➢ Publish the final document on the agency's Intranet.
> ➢ Notify the agency about the changes posted via *The Branch*.

7. The public information specialist will:

> ➢ Publish the final forms on the agency's Intranet.
> ➢ Publish the final documents on the agency's Intranet in a backup capacity to the executive assistant

Master Policy and Procedure Files

The executive assistant as the designated agency records officer is responsible for ensuring file retention requirements are met.

- File retention for "Directives – Series 100315" is permanent to be held within the agency. (Defined as: This series documents the issuances of directives by the agency head outlining policy to lower levels of authority.)

- File retention for "Policy and Procedure Records: Agency Record Copy – Series 100350" is permanent to be held within the agency. (Defined as: Documents policy or procedural guidance issued or approved by the agency head.)

- File retention for "Records Management Files: Approved Forms Masters and Supporting Documentation – Series 100366" is 0 years after superseded, obsolete or rescinded. (Defined as: Documents the development, design, approval and use of forms.)

- File retention for "Office Instructions or Procedures – Series 100342" is 0 years after superseded, obsolete or rescinded. (Defined as: Documents the internal guidelines, policies or instructions for the operation of an office

Authority

This policy and procedure is issued by the Virginia state forester.

Interpretation

The state forester, deputy state forester, chief of administration and chief of operations are responsible for the interpretation of this policy and procedure within their respective areas of responsibility.