DOJ SETTLEMENT AGREEMENT – PROCESS DOCUMENT
Settlement Agreement Library Protocol

DATE CREATED 6/30/2020	**CREATED BY: DBHDS Settlement Agreement Director**
VERSION NO. 002	**PROCESS OWNER: DBHDS DS Project Manager**
DATE OF LAST REVISION 6/27/2023	**LAST UPDATED BY: DBHDS DS Project Manager**

OVERVIEW: The Settlement Agreement Document Library requires periodic reviews and updates per Settlement Agreement Provision IX.C, compliance indicators 54.1-54.4. The following protocol uses a variation of the DBHDS Process Document template to outline the Department of Behavioral Health and Developmental Services' (DBHDS) processes for maintenance of records for the Settlement Agreement Document Library.

I. INTRODUCTION

PURPOSE	This document outlines the process for maintenance of records for the Settlement Agreement Document Library. DBHDS created and will maintain a document system known as the **Settlement Agreement Document Library** (Library)**.** The Library is a repository of all information necessary to demonstrate continued compliance with the Settlement Agreement, even after the Agreement is terminated. The Library is maintained on the DOJ Settlement Agreement website and is accessible to the US Department of Justice, the Independent Reviewer, interested stakeholders and the general public. DBHDS Departmental Instruction 316 authorizes the creation of the DOJ Library website.
SCOPE	The objectives of this process are to outline the steps and responsible parties that ensure that pages and associated documents on the Library are up to date.
DOCUMENT MANAGEMENT	All process documents will need to utilize approved process templates provided by DBHDS. Process documents will be saved as .pdf documents before being distributed. All process documents will be stored in a centralized document library. Any revisions or updates to the document will need to be approved and documented for effective revision and/or document management. Naming conventions for versioning will be strictly enforced.
PROVISION	IX.C	
COMPLIANCE INDICATORS	54.1	The Commonwealth maintains a written index that identifies the records sufficient to document that the requirements of the Settlement Agreement are being implemented and the entities responsible for monitoring and ensuring that the records are made available ("Record Index").
	54.2	The Record Index specifies the following components for each record: • Identification and documentation of record locations • Timeframe for collecting and updating records as specified in the Settlement Agreement or as determined by DBHDS •Identification of a custodian of the records who is

		responsible for oversight of the collection, storage, and updates • A process to monitor/audit record completion.
	54.3	The Record Index and all associated documents are timely available to the Independent Reviewer upon request.
	54.4	Records will be maintained in accordance with applicable Library of Virginia Records Retention and Disposition Schedules or longer, as necessary to demonstrate compliance with the Settlement Agreement.

GLOSSARY OF TERMS/ROLES & RESPONSIBILITIES:

Archive page: Each parent page contains an Archive page, which can be accessed by the end user via selecting the Archive toggle button on the parent page. Documents no longer in effect, as well as reports more than four fiscal years old, are moved from the parent page (or reporting page) to the Archive page. The retention schedule for documents on the Library is 10 years. See an Archive page example here.

DBHDS Settlement Agreement Team: For the purposes of the Library effort, this includes the DS Project Manager, DS Director of Transition Network Supports Office, and Settlement Agreement Coordinator. The DBHDS Settlement Agreement Team has responsibility for monitoring and updating the Library. The DBHDS Settlement Agreement Team is also responsible for maintaining the internal Library Kanban Board and associated internal document repositories.

Library Kanban Board: The internal Microsoft Planner application that has parent page tasks and report production tasks assigned to parent page owners and report owners in a Kanban visualization format. The DBHDS Settlement Agreement Team, Parent page owners, and Report owners track updates to the Library using the Library Kanban cards and lanes within the board itself.

Library of Virginia Records Retention Schedule: Under Code of Virginia § 42.1-85, the Library of Virginia (LVA) has the authority to issue regulations governing the retention and disposition of state and local public records. In keeping with the Code's mandate, LVA has developed records retention and disposition schedules outlining the disposition of public records. The retention schedule for documents on the Settlement Agreement Library is 10 years.

Library Page Updates Form: The unique internal Microsoft Form application that is used by Parent page owners to provide information on updates to Parent pages to the DBHDS Settlement Agreement Team.

Internal document repositories: These are the file folders within the internal SharePoint (Microsoft Teams) application that DBHDS uses to store content that has been (or will be) posted to the Library.

Parent page: Overarching page that is specific to the alphanumeric filing reference(s) of the 2012 Settlement Agreement. A Parent page contains language from the Settlement Agreement, information about the related provision(s), and additionally may contain details on authorizing authority, processes/protocols/standards, guidelines/charters/plans, instruments & tools, and other relevant information or resources as outlined in the court order surrounding specific requirements for the Library. Parent pages may also contain an Archive (example here) and/or Reporting page (example here) button that links to separate pages related to the parent page. See an example of a parent page here. Parent page owners review Parent pages twice per fiscal year.

Parent Page Owner: The DBHDS subject matter expert who has detailed business knowledge about the provision(s) and compliance indicator(s) (if relevant) included within the Parent page. The Parent page

owner reviews and provides updated documents and information to the DBHDS Settlement Agreement Team to make updates to the Library.

Record Index Reference Tool: Referred to in the relevant compliance indicators as the "Record Index", this is the Microsoft Excel file that contains the names of reports, their associated locations, office owners, and frequency of updates on the Library. The Record Index Reference Tool also contains the names of parent pages, associated locations, office owners, and frequency of reviews/updates by owners on the Settlement Agreement Document Library. Lastly, the Record Index Reference Tool contains the name of every document and hyperlink posted on the Library, along with associated pages where the document/link is available. The Record Index Reference Tool is available on the Settlement Agreement Document Library on the Library Record Index page. The process to monitor/audit record completion is included in this process document.

Report: A document that provides information related to the Commonwealth's compliance progress with provisions and compliance indicators (if relevant) of the Settlement Agreement. See an example of a report here. Report owners provide reports to the DBHDS Settlement Agreement Team on individualized schedules based on the business needs and/or regulatory/Settlement Agreement compliance requirements of the business area.

Report page: Most Parent pages contain a Report page, which can be accessed by the end user via selecting the Report toggle button on the Parent page. The most recent four fiscal years' worth of reports are kept on a Parent page's Report page. Reports beyond four fiscal years are transferred to the associated Archive page, which is maintained in accordance with the Library of Virginia's Records Retention Schedule. See a Reporting page example here.

Report Owner: The DBHDS subject matter expert who has responsibility for providing a report to the DBHDS Settlement Agreement Team to be posted to the Settlement Agreement Document Library.

Settlement Agreement Document Library: The public facing website (Library) that houses content specific to the US v. Commonwealth of Virginia's Settlement Agreement, CIVIL ACTION NO: 3:12cv059-JAG. See 5/6/2019 court order surrounding specific requirements for the Library.

Word Press: Web content management system that DBHDS uses to publish web content to the Library.

II. CHANGE CONTROL

PROCESS DESCRIPTION	This process outlines the steps that are required to ensure that Parent pages contain current content. This process also outlines the steps needed to ensure that reports are posted at the appropriate frequency and in a timely manner to the Library. Additionally, the process outlines use of Archive pages and the maintenance of the Record Index Reference Tool. Lastly, this process outlines how Reports to the Court from the Independent Reviewer are posted to the Library.
INPUT/TRIGGER	Parent pages: Parent pages are minimally reviewed twice per fiscal year by the Parent page owner(s) for updates. The internal due dates for review are 11/1 and 5/1. Using the internal MS Planner application, the Library Kanban Board automates an email to the Parent page owner(s) and the DBHDS Settlement Agreement Team to complete the Library Page Updates Form one week in

	advance of the internal due date listed on the corresponding Kanban card. Automated email prompts are provided until the corresponding Kanban card is marked as "Complete".
	Reports: Using the internal MS Planner application, the Library Kanban Board sends an email to the report owner(s) and the DBHDS Settlement Agreement Team to upload the required report to the internal document repository one week in advance of the internal due date listed on the corresponding Kanban card. Automated email prompts are provided until the corresponding Kanban card is marked as "Complete".
	The instructions for using the MS Planner application has been reviewed with Parent page and Report owners prior to Version 002 of this process document. The instructions (SA Library Parent and Reporting Page Kanban Instructions) will be provided to new Parent page or report owners as a prerequisite to the triggers described above.
OUTPUT/MEASURE OF SUCCESS	For both parent pages and reports, the terminal measure of success is the required relevant updates appearing live on the Library. In other words, updates as indicated by Parent page owners are accessible to the public on the website, and required Reports are also public on the website. Lastly, the Record Index Reference Tool is available on the website and updated minimally every 6 months.
BOUNDARIES	The process for Parent page updates commences with an email prompt generated by the MS Planner application (Library Kanban Board) to inform the parent page owner that review and updates are needing using the Library Page Updates Form. The process ends when the updates indicated by the Parent page owner are present on the publicly facing Library webpage and the updated information is included in the Record Index Reference Tool.
	The process for Report updates commences with an email prompt generated by the MS Planner application (Library Kanban Board) to inform the report owner that the report is due in the Internal Document Repository. The process concludes once the report is present on the publicly facing Library webpage and the updated information is included in the Record Index Reference Tool.
POINTS OF CONTROL	The process for both Parent page updates and Report uploads can be blocked if the owner(s) do not complete their requirements. This can be mitigated by the DBHDS Settlement Agreement Team providing prompts to the owner(s) to produce required information/documents until completion.
	The process for updating the website can be blocked if the DBHDS Settlement Agreement Team has a staff absence or vacancy. This is mitigated by having multiple team members assigned to each Kanban card on the internal MS Planner application (Library Kanban Board).

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VERSION	DATE	DESCRIPTION OF CHANGE IMPLEMENTED	COMPLETED BY
001	6/30/202	Initial process	DBHDS SA Director
002	6/27/2023	1. moved process to variation of DBHDS Process Document 2. updated introduction section 3. updated definitions and roles/responsibilities section 4. updated change control section 5. updated entirety of process to reflect automation using MS Planner, Forms, SharePoint for internal document repository, and use of Record Index Reference Tool	DBHDS Project Manager, Developmental Services

III. PROCESS FOR PARENT PAGES (INCLUDING ARCHIVES)

OVERVIEW

STEP#	PROCESS STEPS	SOURCE OF RECORD	APPROVAL REQUIRED	APPROVER
1	Library Kanban Board generates email to Parent page owner and DBHDS Settlement Agreement Team one week in advance of semi-annual review dates (11/1 and 5/1) for each Parent page, which is assigned a distinct Kanban card.	Record Index Reference Tool for office/page owners, Library Kanban Board	n/a	n/a
	Performed by: Parent page owner			
2	Parent page owner follows instructions that are on the Kanban card from step 1 to complete the Library Page Updates Form for updates to the parent page. Parent page owner uploads any documents to be posted into the internal document repository that is linked on the Kanban card.	Record Index Reference Tool for office/page owners, Library Kanban Board	n/a	n/a
	Performed by: Parent page owner			
3	DBHDS Settlement Agreement Team reviews Library Page Updates Form results using Excel download option. Instructions from the Parent page owner, and any associated documents, are updated on the relevant page and submitted to be posted using the Word	Record Index Reference Tool for office/page owners, Library	n/a	n/a

	Press application. This includes moving outdated documents to the "Archive" page and updating the "Archive" page according to the Library of Virginia's Retention Schedule of 10 years. (Note: Any changes made to documents on the Parent page or archives are also updated on the Record Index Reference Tool. The Record Index Reference Tool is uploaded semi-annually to the "Library Record Index" page of the Library.) Once this component is complete, the DBHDS Settlement Agreement Team moves the associated Kanban card to the "Submitted on Word Press" lane of the Library Kanban Board.	Kanban Board		
	Performed by: DBHDS Settlement Agreement Team			
4	Updates are pushed through to the Settlement Agreement Library website by DBHDS Information Technology team members at least once per week.			
	Performed by: DBHDS Information Technology			
5	The Project Manager reviews any updates that were in the "Submitted On Word Press" lane approximately one week after updates are submitted. Once verified that updates are accurate and live, the Project Manager moves the associated Kanban card to the "Library Live/Completed" lane of the Library Kanban Board and marks as complete. If updates are not live/have errors, the Project Manager reassigns the task to the DBHDS Settlement Agreement Team and repeats this step until the task is finished, then moves the card to the "Library Live/Completed" lane.

The card is now completed for this 6 month period. Another card will | | | |

	automatically generate for the next 6 month due date, thus restarting the process.			
	Performed by: Project Manager			

PROCESS FOR REPORT PAGES (INCLUDING ARCHIVES)

OVERVIEW

STEP#	PROCESS STEPS	SOURCE OF RECORD	APPROVAL REQUIRED	APPROVER
1	Library Kanban Board generates email to report owner and DBHDS Settlement Agreement Team one week in advance of the unique due date for each report. Each report is assigned a distinct Kanban card based on the frequency of completion/due date.	Record Index Reference Tool, Library Kanban Board	n/a	n/a
	Performed by: Report owner			
2	Report owner follows instructions that are on the Kanban card from step 1 to upload the Report to the internal document repository.	n/a	n/a	n/a
	Performed by: Report owner			
3	DBHDS Settlement Agreement Team reviews internal document repository (which is hyperlinked on each Kanban card) and posts the report to the Library using the Word Press application. This includes moving outdated reports (beyond four fiscal years) to the "Archive" page and updating the "Archive" page according to the Library of Virginia's Retention Schedule of 10 years. (Note: Any changes made to documents on the Report page or archives is also updated on the Record Index Reference Tool. The Record Index Reference Tool is uploaded semi-annually to the "Library Record Index".) Once this component is			

	complete, the DBHDS Settlement Agreement Team moves the associated Kanban card to the "Submitted on Word Press" lane of the Library Kanban Board. **Performed by: DBHDS Settlement Agreement Team**			
4	Updates are pushed through to the Settlement Agreement Library website by DBHDS Information Technology team members at least once per week. **Performed by: DBHDS Information Technology**			
5	The Project Manager reviews any updates that were in the "Submitted On Word Press" lane approximately one week after updates are submitted. Once verified that updates are accurate and live, the Project Manager moves the associated Kanban card to the "Library Live/Completed" lane of the Library Kanban Board and marks as complete. If updates are not live/have errors, the Project Manager reassigns the task to the DBHDS Settlement Agreement Team and repeats this step until the task is finished, then moves the card to the "Library Live/Completed" lane. The Kanban card for each report is set up on unique recurring schedule based on the frequency of the report. Another card will automatically generate based on the frequency the report is due to the DBHDS Settlement Agreement Team thus restarting the process.			

PROCESS FOR COMPLIANCE REPORTING

1	Each Report to the Court by the Independent Reviewer will be posted in .pdf format to the Library Record	Independent Reviewer's	n/a	n/a

		Reports to the Court		
	Index page. The reports contain records of compliance, including the Independent Reviewer's Summary of Compliance table. Update the Record Index Reference Tool with the report name, hyperlink, and associated page when completed.			
	Performed by: DBHDS Settlement Agreement Team			

IV. CONTINUOUS QUALITY IMPROVEMENT (CQI)

CQI PROCESS		
STEP#	**PROCESS STEPS**	**PERFORMED BY**
#	(Describe the step required to perform action)	(Identify the role/job title of individual performing this task)
1	MS Planner provides the ability to convert Kanban cards into a MS Excel document. The data on completion of Kanban cards specific to this process, or lack thereof, can be reviewed at team meetings and individually with owners when needed. In addition to this, individual feedback is provided by the DBHDS Settlement Agreement Team to page and report owners based on completion of tasks by their due date.	DBHDS Settlement Agreement Team
2	DBHDS Information Technology has applications that can be used to determine if links are broken/inactive on the website (e.g. SiteImprove). This report is run continuously as an application, and DBHDS Information Technology provides report to the Project Manager/DBHDS Settlement Agreement Team if any broken links are discovered. Broken links are then repaired by the DBHDS Settlement Agreement Team.	DBHDS Information Technology