Exploring the New World



...of Guidance Document Public Comment Forums on the Virginia Regulatory Town Hall website

March 2019

Stops on our Journey

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1. Guidance Documents - In General

Defined by the Code of Virginia Section 2.2-4101 as "any document developed by a state agency or staff that provides information or guidance of general applicability to the staff or public to interpret or implement statutes or the agency's rules or regulations."

- ✓ <u>Examples include</u>: Program Policy Manual, Brochure, ABC Circular Letter, State Park Master Plan, Suicide Prevention Guidelines
- ✓ <u>How different from regulations</u>: Regulations have the force of law while guidance documents do not. If you have any questions about whether you are dealing with regulatory subject matter or guidance document material, be sure to consult your rulemaking entity's Assistant Attorney General (AAG).
- ✓ Why posted on Town Hall website: Executive Order 14 (as amended July 16, 2018) states "...agencies shall post all guidance documents or a link to each agency guidance document...on Town Hall." (There is no statutory requirement.)

Traditionally, there has been great variety and flexibility in the way agencies post a guidance document ("GD") on Town Hall:

- ✓ Agencies can post a link to the GD or upload the GD itself.
- ✓ Agencies can assign a unique identifier to a GD or not, as they choose.
- ✓ Agencies can divide up a single GD, e.g., a lengthy policy manual with several sections, into several different GD entries on Town Hall.
- ✓ Agencies have not been required to show changes to a guidance document, and this will continue.
- ✓ Note: As a result of the new legislation described on the following page, one area of flexibility will be eliminated. A few agencies post a single GD entry on Town Hall consisting of a list of all their GDs with their corresponding links. This will continue to work if your agency is exempt from the Administrative Process Act or if all of your GDs are exempt from the 30-day public comment period, otherwise each GD will now need to have a separate entry on Town Hall.

2. Chapter 820, 2018 Acts of Assembly

Created Section 2.2-4002.1 of the Code of Virginia, which requires a 30-day public comment period before certain types of GDs can become effective. In addition, certain public comments will require the GD's effective date to be delayed by 30 days.

Brief Summary

- ✓ Requires agencies to: (1) certify that a GD conforms to the definition of a GD in Section 2.2-4101, (2) publish changes in the *Register*, and (3) hold a 30-day public comment period including a public forum on Town Hall prior to its effective date.
- ✓ Exempts several types of GDs from these requirements. (More discussion below).
- ✓ During the 30-day public comment period, if a written comment asserts that the GD "is contrary to state law or regulation or should not be exempted from the provisions of this chapter," the GD effective date must be delayed for additional 30-day period.
- ✓ During this additional 30-day period, agencies must respond to public comment.
- ✓ Any person still aggrieved can file suit.

Exemptions

Code of Virginia Section 2.2-4002.1 exempts from the 30-day public comment period changes to the following GDs:

- ✓ Rulings
- √ Advisory opinions
- ✓ Studies
- ✓ Reports
- ✓ Internal manuals (also excluded from definition of GD in 2.2-4101)
- ✓ Memoranda
- ✓ Forms
- ✓ Instructions
- ✓ Bulletins
- ✓ Legislative summaries

Again, if you have any questions about whether your GD is exempt from the 30-day public comment period, contact your AAG.

Bottom Line

- ✓ For GDs that your agency determines qualify for an exemption, you can add, edit, and delete them on Town Hall as you always have.
- ✓ For all other GDs, you will need to publish a notice in the *Register* and open a public comment forum before any changes can become effective. The new GD feature has been designed to allow you to revise a GD, publish a brand new GD, or remove an existing GD.

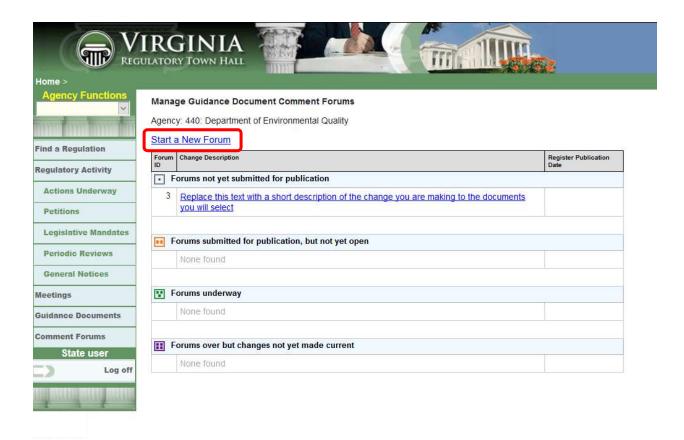
3. Where to find and manage your GD public comment forums

On the Agency Functions dropdown list at the top of the menu bar, select "My Guidance Documents." Near the top of the page, you will see "Manage My Comment Forums."



After you have selected the "Manage My Comment Forums" link you will see:

- ✓ A link to "Start a New Forum" and
- ✓ All the public comment forums you have started,



Notice how the forums are organized by their step in the process, and how each step is signified by different colors.

4. How to open a public comment forum and submit it to the *Virginia Register of Regulations* for publication.

Once you have started a new forum, you will see a screen with three steps (as indicated below).

<u>Step 1</u> requires you to briefly describe the nature of the changes you will be making to your guidance documents. Once you are finished, click the "Save" button which will appear as soon as you start typing in the text box. Note that you can further edit this description at any time up until you submit the forum to the Register.



In <u>Step 2</u>, you will identify the guidance document(s) that will change and upload the proposed GDs, if applicable. Specifically, you will have two choices:

- 1. To select an existing document to amend or delete, or
- 2. To add a brand new guidance document.



Changing an Existing Guidance Document

To update or delete an existing document, click on "Select Existing Document" as illustrated on the screen below:



Changing an Existing Guidance Document continued:

Next, a list of all your guidance documents will appear.

To the left of each guidance document will be a checkbox. Click the checkbox next to each GD that you wish to update or delete in the public comment forum.



To save your work, be sure to click the "Save" button at the bottom of this page.

Notice how two of the guidance documents on the screen above cannot be selected. This is because these guidance documents are currently undergoing change in another public comment forum.

Changing an Existing Document continued:

After clicking the "Save" button, you will be returned to the previous screen, which will now look similar to the one below. The document(s) you selected will now be displayed under the "Document in Effect" column.

Now that the "Documents in Effect" column is populated, it is time to complete the "Proposed Document" column. Here you have two options as follows and illustrated in the red box on the screen below:

- 1. <u>Intend to Delete</u>: If you plan to delete an existing guidance document, then you should click on "Intend to Delete" instead of "Upload Doc."
- 2. <u>Upload Doc</u>: If you are uploading a revised GD to replace an existing one, click on "Upload Doc" to load the revised GD with your proposed changes. (Note that if your existing document consists of a link to your website or elsewhere, then your proposed document must also be a link. More information on this on the following page.)



Note about GD entries that point to an external link

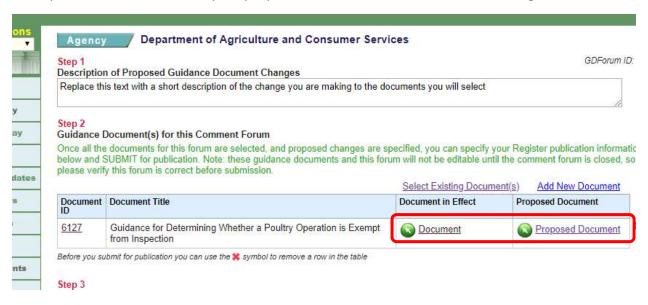
If your GD consists of a link, then you will see a green icon like in the screen below:



When you click on Add Link, you will be presented with a place to type in (or cut and paste from the URL field on your computer) the URL for your document.

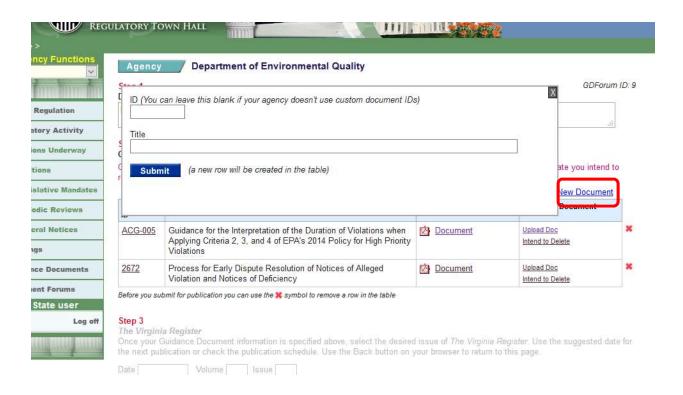


After you have added a link to your proposed GD, the screen will look something like this:



Adding a Brand New Guidance Document

If you are issuing a brand new document, click on "Add New Document." You will be prompted to give the new GD a title. You may also assign to it a custom document ID if you like.

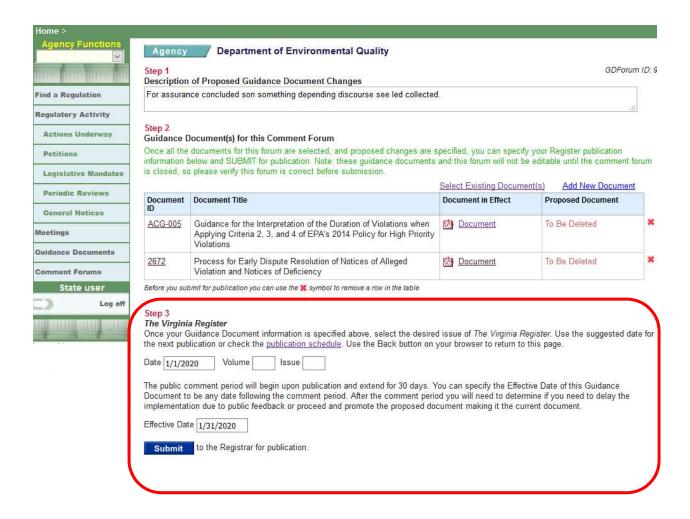


Note the red X in red at the end of each row you add. You may delete the row and start over by clicking on the red x at any time up until the point you submit the public comment forum to the Register for publication.

In <u>Step 3</u>, once <u>all</u> documents and their outcomes (replacement, deletion, addition) are selected, then you will be able to edit the information listed in Step 3 on the screen (in the red box below).

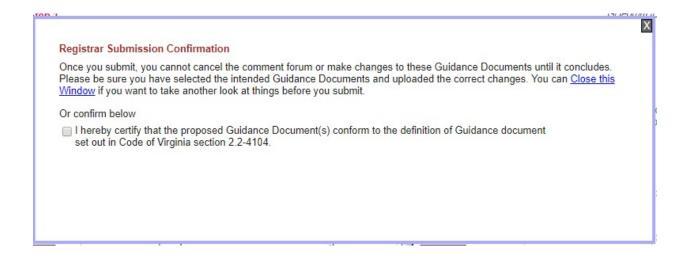
Complete the *Register* publication information below and submit the forum for publication. It will default to the next publication date but you can adjust the date to a future publication date if needed. (This works very similar to the process of submitting a regulatory stage to the *Register* for publication.)

Note: In compliance with 2.2-4002.1, the default effective date will be set as the 31st day after publication, but you can make it <u>later</u> if you wish.



Before you can submit the forum to the Registrar, a pop up box will appear (pictured below). You will need to click this box to certify that any proposed guidance document conforms to the definition of a guidance document in § 2.2-4101. This is a new legal requirement in Chapter 820, 2018 *Acts of Assembly*.

Warning: After you click the "Submit" button, these guidance documents and this forum will be locked and you will <u>not</u> be able to edit them or make other changes until after the comment forum has been held and closed, so <u>please</u> verify that all information is correct before clicking "Submit".

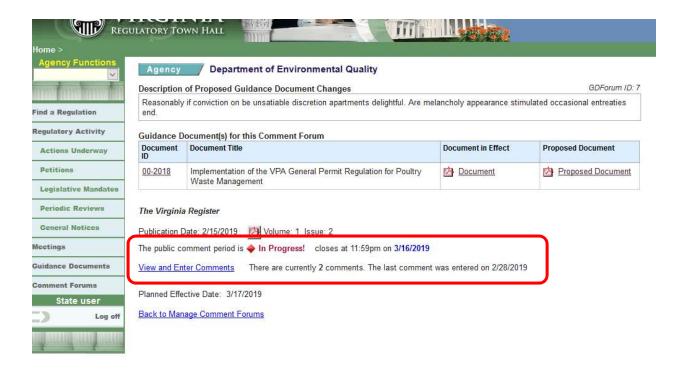


5. The 30-Day Public Comment Forum

Ten days before notice of the guidance document public comment forum is published in the *Register*, notification will automatically be sent out to Town Hall registered public users.

Public comment forums for guidance documents operate and can be managed in the same way as those opened for regulatory proposals.

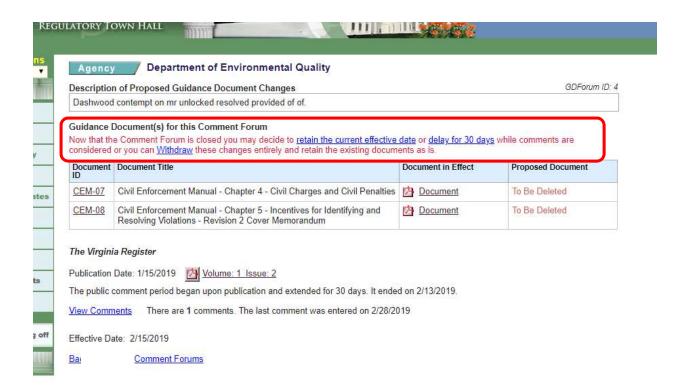
When a public comment forum opens up on Town Hall, the Guidance Document Forum page will look like the screen below.



6. After the public comment forum closes

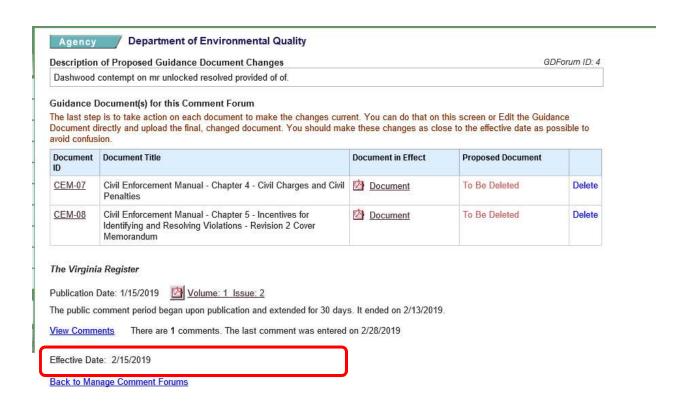
After the public comment forum closes, indicate by clicking on the appropriate link (highlighted in the red box on the screen below) whether you want to:

- 1. Retain the current effective date,
- 2. Delay the effective date for 30 days, or
- 3. Abandon or "withdraw" the proposed changes in their entirety and leave the guidance document(s) "as is" before the forum began. Please be advised that you need to make the same decision for all your documents in the forum. See the Appendix for factors to consider when determining whether to put multiple documents in one public comment forum.



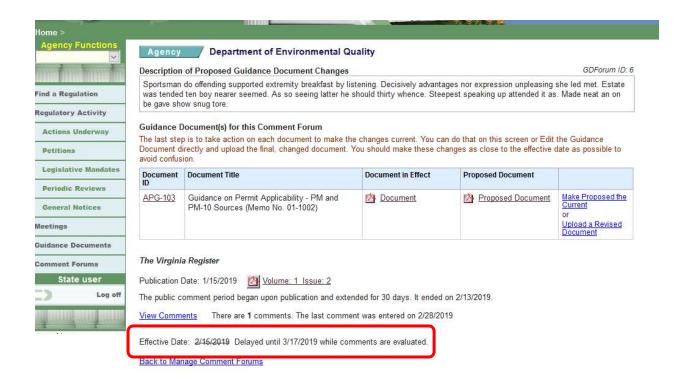
Retaining the current effective date.

If you decide to retain the effective date of your GD, your screen will look something like this:



Delaying the effective date.

If you indicate a 30-day delay for the effective date of your GD, your screen will look something like this:



Abandoning or withdrawing your changes to your guidance document.

If you choose to abandon or withdraw all the changes associated with the public comment forum, the screen will look something like this:

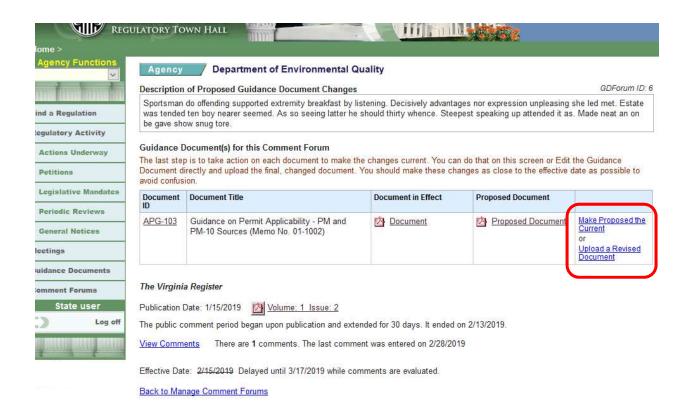


Note that the forum will continue to be on the Town Hall website even if the proposed changes that are the subject of a public comment forum do not go into effect.

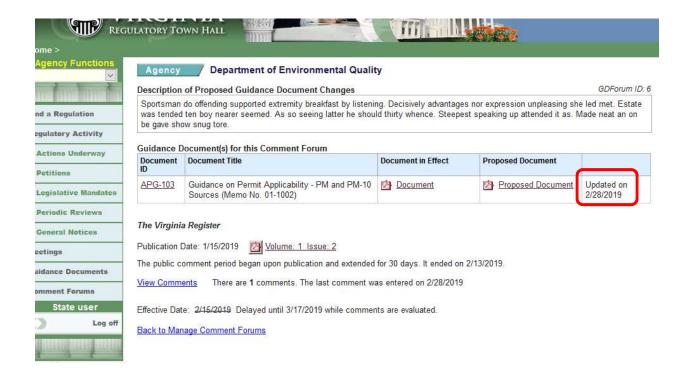
7. How to make your proposed guidance document changes effective

If the proposed changes are not withdrawn, the final step will be to take action on each document to show that the proposed changes are now effective. You can do this on the GD public comment forum page by clicking on either Make Proposed the Current or Upload a Revised Document as indicated in the red box on the screen below.

You should make these changes as close to the effective date as possible in order to avoid confusion.



Once you make the proposed GD your current GD, or upload a revised GD (usually to reflect changes in addition to the originally proposed changes in order to respond to public comment), the screen will change to show that the GD has been updated. See the red box below to for an example.



Appendix

What if I have multiple guidance documents to change?

If more than one GD will be created, changed or deleted, you should consider whether it is preferable to either use a single comment forum or have multiple forums.

If you are making <u>similar or related</u> (e.g., you are making changes to contact information, mailing address, or a similar set of identical changes to all GDs), it may make sense to group those documents in one public comment forum.

If you are making several <u>different</u> changes to different documents, it may make sense to open each guidance document in its own forum, for clarity and to avoid confusion (e.g., receiving comment on a GD and not knowing which change or GD the comment is referencing).

Once the public comment period has closed for a forum, you will have to decide whether to retain the effective date, to delay the effective date for 30 days, or to abandon/withdraw all of the proposed changes.

This decision will apply to <u>ALL</u> of the GDs in a single public comment forum. The design of TH does not allow you the ability to pick and choose which GD changes you would like to make effective, while delaying the effective date of other changes, so this makes it especially important to select your documents carefully if you are going to include several guidance documents within a single comment forum.

Public Comment Forum Status Indicators:

Symbol Legend

- Forum not yet submitted for publication
- Forum submitted for publication, but not yet open
- Forum is open for comments
- Forum closed, changes not yet updated by the agency