

**DRINKING WATER & POLLUTION CONTROL PROJECT AUDITS**  
**Event Date – February 2014**  
 The role of the auditor was to conduct a thorough evaluation of all financials on all completed drinking water and pollution control projects funded with State Revolving Fund (SRF) monies. Prior to Lean ~1,100 out of 2,160 accounts remained open.

A new approach was needed to tailor the level of audit to the level of account risk, and to streamline the closeout process to eliminate the backlog of open accounts and reallocate unspent project funds.

**GOALS AND KEY PERFORMANCE INDICATORS (KPIs)**

- Eliminate the backlog by March 2016.
- Return unspent funds to the State Revolving Fund (SRF).

**STATUS**

KPI Total as of June 2016	
Funds Returned	\$3,139,497
Accounts Closed	930

- Project has been on hold due to staff losses and retirements but will pick back up in September following refill of positions.
- During the quarter ending 6/30/2016, 6 of the "legacy" backlog accounts were closed in the month of April prior to the departure of FED's auditor. It should be noted that while the legacy backlog is on hold until the auditor position is refilled, other accounting staff have been closing out newer accounts as part of the programmatic shift to an "audit-as-we-go" approach. 18 such closeouts have been completed.



**PETROLEUM CLEANUP FUND**  
**Event Date – February 2014**  
 The lead-time to issue reimbursement checks to our customers (tank owners and their consultants) was too long. Redundancy in the review and appeal process duplicated efforts and increased the length of time it took to receive a reimbursement from the State.

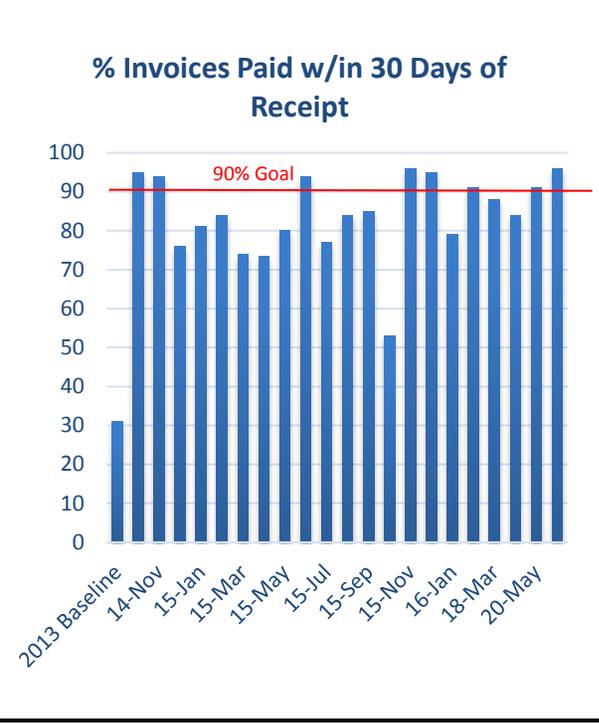
An innovative approach was needed to both free-up staff time involved in reimbursement activity and money owed to the public and consulting community.

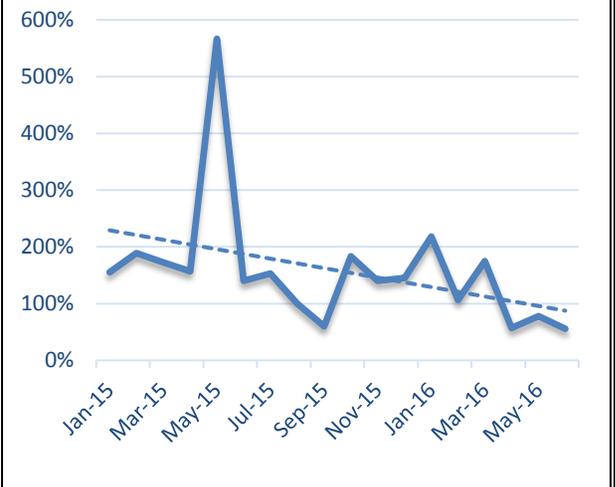
**GOALS AND KEY PERFORMANCE INDICATORS (KPIs)**

- 90% reimbursement w/in 30 days of claim receipt date.

**STATUS**

- For April, May and June, 84%, 91% and 96% of claims were paid respectively within 30 days of receipt. ANR internal processing time average was 23 days, 25 days and 22 days respectively.
- A recent challenge was that a staff retirement shifted the AST funding assistance program to our PCF administrative support person. A mini-lean event was held to streamline the AST assistance process.
- Final internal design and testing of our "Great State" online claim submission process stalled during this past quarter due to other priorities, e.g., PFOA response, recruitment, legislative engagement, etc.
- We have blocked off time and created a plan to finalize internal design and begin external testing in July and August. We now have additional capacity to bring the project to completion with recruitment offsetting loss of a staff member and PFOA response beginning to slow down.



<p><b>WETLANDS PERMITTING</b>  <b>Event Date – February 2014</b>          Wetlands staff did not have effective or efficient tools for general project management and standard tasks, eating away at time for important wetland protection work.</p> <p>Innovative technology and standardized methods were needed to streamline tasks and to organize project data, allowing a shift in staff time to higher value wetland protection efforts such as outreach and technical assistance.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>Shift staff time to proactive wetland protection:             <ul style="list-style-type: none"> <li>“Good State” - &gt;25% staff time vs. baseline of 19%; and</li> <li>“Great State” - &gt;50% of time.</li> </ul> </li> <li>100% appropriate documentation for all permits and site visits are entered into database versus the 2013 baseline of 60%.</li> <li>Increase time spent on proactive site visits:             <ul style="list-style-type: none"> <li>“Good State” ~50% of site visits,</li> <li>“Great State” ~80% of site visits.</li> </ul> </li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>A live report of active permits and investigations can now be derived from the database. Work is almost finished on a reporting feature for inquiries needing follow up.</li> <li>Permit compliance reporting forms are now being generated and given to permittees upon issuance. With this addition we are now experiencing a compliance rate of 95%.</li> <li>Application resubmittal rates are on the decline, meaning that staff can spend more time on proactive site visits and wetland protection.</li> </ul>	<p><b>Application Resubmittal Rate</b></p>  <table border="1"> <caption>Application Resubmittal Rate Data</caption> <thead> <tr> <th>Month</th> <th>Resubmittal Rate (%)</th> </tr> </thead> <tbody> <tr><td>Jan-15</td><td>150</td></tr> <tr><td>Mar-15</td><td>180</td></tr> <tr><td>May-15</td><td>550</td></tr> <tr><td>Jul-15</td><td>150</td></tr> <tr><td>Sep-15</td><td>100</td></tr> <tr><td>Nov-15</td><td>180</td></tr> <tr><td>Jan-16</td><td>150</td></tr> <tr><td>Mar-16</td><td>220</td></tr> <tr><td>May-16</td><td>50</td></tr> </tbody> </table>	Month	Resubmittal Rate (%)	Jan-15	150	Mar-15	180	May-15	550	Jul-15	150	Sep-15	100	Nov-15	180	Jan-16	150	Mar-16	220	May-16	50
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**GRANTS AND CONTRACTS**

**Event Date – May 2014**

Efficient and effective processing of grants and contracts has been a challenge, given the individual requirements, types and signoffs needed. DEC previously had over 60 staff managing approximately 225 active grants and contracts at any given time. The former process involved 67 steps and required 72 hours of hands-on time, 394 days of desk time per grant/contact. The inefficient process strained the capacity of both our fiscal staff and our technical staff who could be doing higher priority work.

Our new process has reduced the number of staff managing the administrative work of an agreement down to 5 and reduced the steps down to 38 steps.

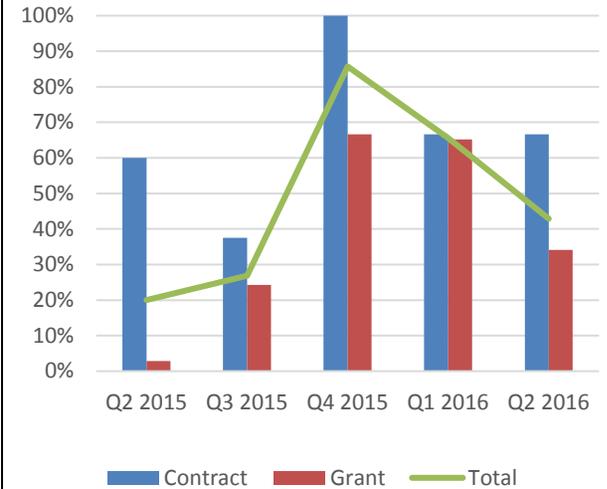
**GOALS AND KEY PERFORMANCE INDICATORS (KPIs)**

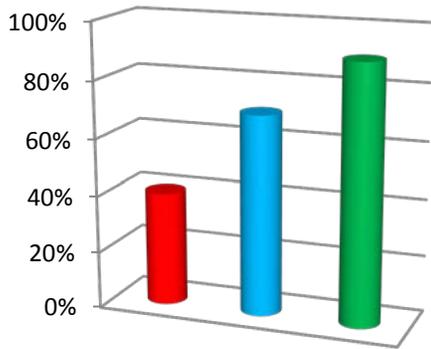
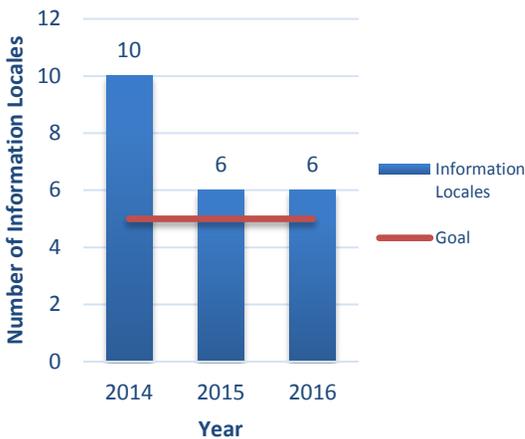
- Average number of days from invoice date to date of payment is less than 30 days (currently 28).
- Executed contract within 30 days of vendor award notification and 45 for grants (currently 32 day average for contracts and 74 for grants).

**STATUS**

- The average number of days from invoice date to date of payment has been consistently below our 30 day target.
- KPIs for grants and contracts completion continued to decrease through quarter 2 of 2016 as expected. Quarter 2 is a high volume quarter for grant activity in the department with three large grant programs (Aquatic Nuisance Control, Solid Waste Implementation Plan, and Ecosystem Restoration grants). Comparing this quarter to the same quarter in 2015, there is an improvement in grants being completed within our target KPI from 3% in 2015 to 34% in 2016.
- The Financial Operations group has received approval to fill a new Grants Management Specialist position in line with the original implementation plan of 2-3 staff in this position. The additional position, along with the other improvements, will allow us to achieve our targeted KPI goals.
- Improvements to the Document Management System are under development with a target to be completed by September 2016. The enhancements will provide Grant Management Specialists a single entry point for all data related to the grants and contract process rather than the multiple systems in use now.
- Work has begun on developing training for grantees about applying for and receiving funding from the Department. We are on track to have this completed by August 2016.

**Percentage of Agreements Completed Within Time Range**  
 (30 days for Contracts and 45 days for Grants)



<p><b>DEC INCIDENT TRACKING</b>  <b>Event Date – July 2014</b>          The goal of this event was to better understand how the current Department-wide incident tracking system was performing and being used by DEC staff and then to make improvements to increase usage.</p> <p>Benefits include: quicker, coordinated complaint responses; increased assurance that complaints have been addressed; the creation of a record; and the ability to see trends or compliance issues across the Department.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>70% of staff utilize incident tracking database (good state).</li> <li>90% of staff utilize incident tracking database (great state).</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>Trainings have been scheduled for the year and shared with Divisions via Directors.</li> <li>Met with IT to refine the scope of additional database work for Phase 2.</li> <li>The development of a referral page is the last component of Phase which is covered by this Lean project.</li> <li>Project is expected to be closed out by September.</li> </ul>	<p><b>Tracking Database Usage</b></p>  <p>Present State – Good State – Great State</p>
<p><b>AIR QUALITY &amp; CLIMATE DIVISION FACILITY INFORMATION SHARING</b>  <b>Event Date – October 2014</b>          Three sections of the Air Quality &amp; Climate Division (AQCD) manage facility data for 200+ facilities independently of one another, yet rely on each other’s information to perform their own duties. The consolidation of the various locales of facility information into one shared database will allow AQCD staff to collect and analyze data more efficiently, resulting in increased work product and public service. The Lean process has given the AQCD the time, resources and a framework to complete such a large-scale consolidation.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>Decrease the number of data locations for permits, registration and compliance data by 50%.</li> <li>Increase amount of cross-referencing of information by sections, and decrease amount of time taken to complete cross references.</li> <li>Increase number of permits available online by over 600%.</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>List of most critical tables in the current Registration database created. Half of critical Registration MS Access forms are identified.</li> <li>Edits made to master page that controls the look and feel of the website.</li> <li>Edits made to Facility Search page to filter out unwanted search results.</li> <li>Edits made to all the webpages allowing an authorized user to edit data retained for a facility.</li> <li>Search parameters reworked for facilities with SIC codes allowing for searching from partial SIC code.</li> <li>Compliance area constructed and reviewed by AQCD Compliance staff. Compliance lookup tables provided and populated.</li> </ul>	<p><b>Information Locales Over Time</b></p> 

**RECEIPTS PROCESSING**

**Event Date – October 2014**

In 2014, we received over \$11 million in receipts. Receipts are handled inconsistently by several staff through mostly manual and paper processes, which on average were 21 days from receipt to deposit. We will reduce receivable processing time from 21 days to 3. We will accept different types of online payments and encourage vendors to submit their payments using alternate forms of electronic payments, including ACH/Wire payments.

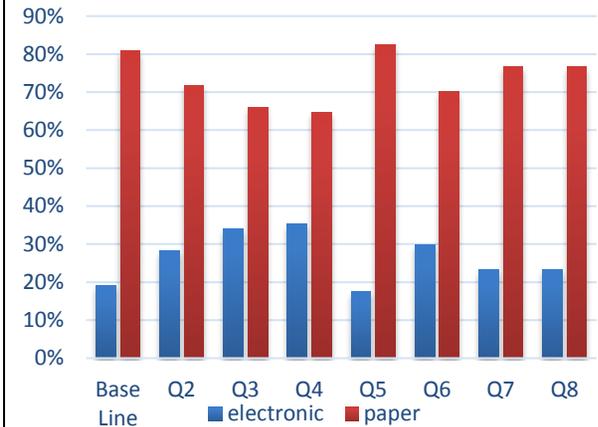
**GOALS AND KEY PERFORMANCE INDICATORS (KPIs)**

- Shift from receiving paper checks to electronic payments; electronic receipt pre-event baseline 15%, “good” state goal 50% and “great” state goal 95%.
- Develop standard operating procedures across the department by creating a department policy and individual division procedures. (Accomplished)
- Reduce time from receipt to deposit from 21 days to 3 days.
- Minimize data entry (duplication) from input of information.

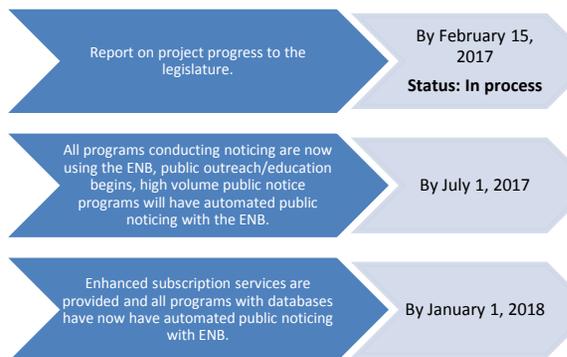
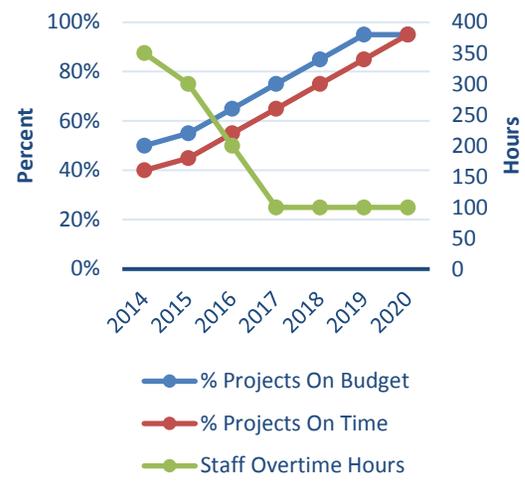
**STATUS**

- We are noticing a cyclical nature to our deposits that illustrates that some programs are utilizing the avenues of electronic payments more than others. As more programs convert to online systems, we will continue to see an increase in the % of electronic payments vs. checks.
- We have seen a consistent attainment of the goal of reducing the time from receipt of a payment to when it is deposited. On average it is about 5 days. Considering we are still largely paper checks, that is an incredible improvement from the 21 days we began with.
- As programs begin to transition on ANR Online, this will continue to be improved and duplication will be reduced.

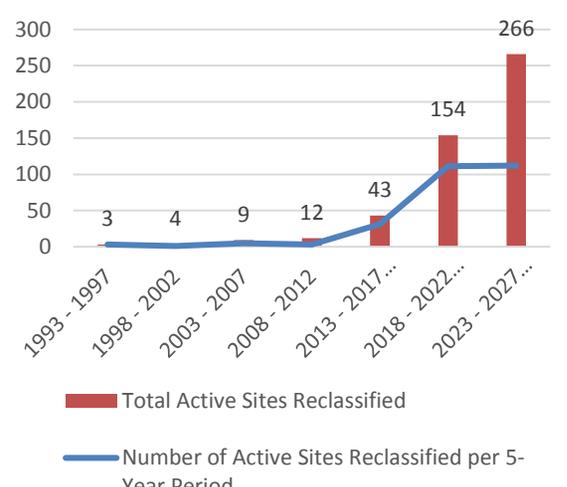
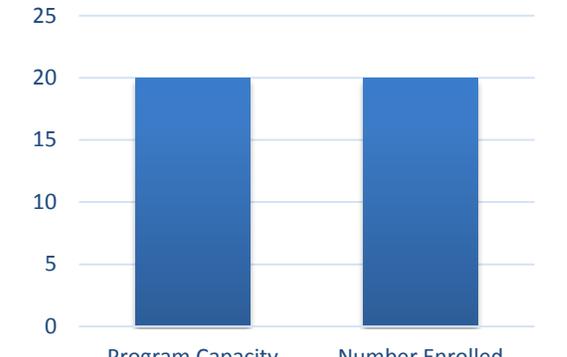
**Percentage of Receipts Received Electronically vs. Paper**



*Good State Goal – 50% electronic payment  
 Great State Goal – 95% electronic payment*

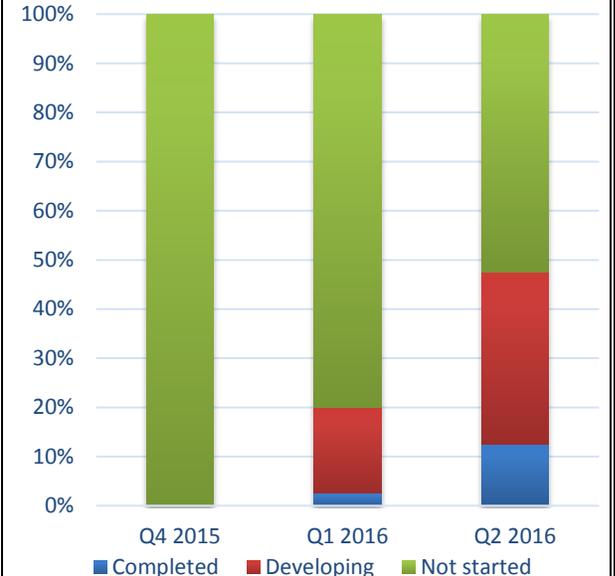
<p><b>PUBLIC NOTICE</b>  <b>Event Date – October 2014</b>        We currently have public notice processes for 85 different permits. Nearly all have unique federal or state-required processes that result in inconsistent notice and comment periods for even permits that address the same project. This can cause an applicant and the public to be confused as to how to effectively participate in the process.</p> <p>The inconsistent requirements increase DEC costs and create administrative inefficiency: staff is required to provide multiple/different notice types; and may be required to attend multiple public informational meetings for a project.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>Reduce the number of different public notice processes from 85 to 5 (94%), requiring a new subchapter to V.S.A. Title 10.</li> <li>Consolidate the number of webpages for notices from 5 to 1. An improved Environmental Notice Bulletin (ENB) will be the one-stop web location for public notices, and will include a subscription service.</li> <li>Enroll 250 interested parties in the online subscription service within 6 months of launch.</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>S.123 passed and was signed into Act 150.</li> <li>Department workgroup formed, tasks assigned and outlined, meeting monthly to ensure timelines are being met. The project scoping process is underway to develop the Environmental Notice Bulletin Version 2 (ENBV2).</li> <li>Legal counsel reviewed Act 150 with the Department Management Team and is continuing training with program managers.</li> </ul>	<p><b>ENB Major Project Milestones</b></p>  <p>Report on project progress to the legislature. <b>By February 15, 2017</b>  <b>Status: In process</b></p> <p>All programs conducting noticing are now using the ENB, public outreach/education begins, high volume public notice programs will have automated public noticing with the ENB. <b>By July 1, 2017</b></p> <p>Enhanced subscription services are provided and all programs with databases have now have automated public noticing with ENB. <b>By January 1, 2018</b></p>																																
<p><b>CONSTRUCTION PROCUREMENT</b>  <b>Event Date – March 2015</b>        The scope of this project covers the roughly 2.5 years of construction procurement process: putting contracts out to bid, award, execution of the contracts which includes billing and paying, change orders, and site visits through the end of the 1-year warranty period when loan repayment begins. The process starts with “60% design review” where our Facilities Engineering Construction Section coordinates with Clean Water and Drinking Water staff to ensure that the design/specs are biddable and constructible and meets design standards.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>Efficiency measures reduce overtime by 15% by December 2015.</li> <li>DEC process time reduced by 15% by December 2016.</li> <li>10% increase of on-time projects by December 2016.</li> <li>10% increase of on-budget projects by December 2016.</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>Continued field testing of first generation of selected checklists which will be available on the new DEC/FED website and LGTS Database. Training to follow in Winter 2016 thru Spring 2017 for Engineer/Clients.</li> <li>US Department of Labor is planning on conducting a wage survey with assistance of FED in Fall of 2016.</li> <li>Construction procurements implementation project has been severely affected by several retirements (not only in FED but in DWGWP), new FED staffing limitations and mentoring while several position that are still not yet filled.</li> </ul>	<p><b>Future State Projections</b></p>  <p>The chart shows three metrics from 2014 to 2020: % Projects On Budget (blue line), % Projects On Time (red line), and Staff Overtime Hours (green line). The left Y-axis represents Percent (0-100) and the right Y-axis represents Hours (0-400).</p> <table border="1"> <thead> <tr> <th>Year</th> <th>% Projects On Budget</th> <th>% Projects On Time</th> <th>Staff Overtime Hours</th> </tr> </thead> <tbody> <tr> <td>2014</td> <td>50%</td> <td>40%</td> <td>350</td> </tr> <tr> <td>2015</td> <td>55%</td> <td>45%</td> <td>300</td> </tr> <tr> <td>2016</td> <td>65%</td> <td>55%</td> <td>100</td> </tr> <tr> <td>2017</td> <td>75%</td> <td>65%</td> <td>100</td> </tr> <tr> <td>2018</td> <td>85%</td> <td>75%</td> <td>100</td> </tr> <tr> <td>2019</td> <td>90%</td> <td>85%</td> <td>100</td> </tr> <tr> <td>2020</td> <td>95%</td> <td>95%</td> <td>100</td> </tr> </tbody> </table>	Year	% Projects On Budget	% Projects On Time	Staff Overtime Hours	2014	50%	40%	350	2015	55%	45%	300	2016	65%	55%	100	2017	75%	65%	100	2018	85%	75%	100	2019	90%	85%	100	2020	95%	95%	100
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<p><b>IDENTIFICATION &amp; PRIORITIZATION OF WATER POLLUTION RESTORATION PROJECTS</b>  <b>Event Date – March 2015</b>          Finding and funding priority surface water remediation projects is critical to sediment and nutrient pollution reduction efforts. This project reimagined approaches by which remediation projects are identified, prioritized, and funded by the Watershed Management Division (WSMD). The project capitalizes upon recent process improvements in the tactical planning and ecosystem restoration programs. The result is a significantly increased likelihood that the most important projects are identified and funded 100% of the time, with the greatest level of efficiency.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>• Replace redundant business processes with one streamlined process. 50% (good) to 100% (great) of tactical basin plan pollution control projects follow new process by January 2016.</li> <li>• 50% of incoming projects by June 2016, 75% of incoming projects by 2017, and 100% of incoming projects by 2019 provide pollution reduction estimates.</li> <li>• Implementation tables for tactical basin plans are updated continuously. 50% of plans by April 2016 and 100% of plans by October 2016 updated.</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>• Stage-gating is being implemented within a fully functional database and an implementation table for Basin 7 is being entered into system to test.</li> <li>• Modeling work is proceeding at pace. Tactical Basin Plan chapters will show suballocations of TMDL's developed and rolled out for public awareness (RPCs, Brown Bag, individual organizations).            This project should close out shortly.</li> </ul>	<p><b>KEY INDICATORS OF TACTICAL BASIN PLANNING</b></p>  <table border="1"> <caption>Approximate data from the chart</caption> <thead> <tr> <th>Year</th> <th>Actual # Plans Issued</th> <th>Projected # Plans Issued</th> <th>Cumulative Projects with Estimates</th> </tr> </thead> <tbody> <tr><td>2013</td><td>1</td><td>1</td><td>0</td></tr> <tr><td>2014</td><td>4</td><td>4</td><td>0</td></tr> <tr><td>2015</td><td>9</td><td>9</td><td>0</td></tr> <tr><td>2016</td><td>12</td><td>12</td><td>1000</td></tr> <tr><td>2017</td><td>13</td><td>13</td><td>2500</td></tr> <tr><td>2018</td><td>14</td><td>14</td><td>4000</td></tr> <tr><td>2019</td><td>15</td><td>15</td><td>5500</td></tr> <tr><td>2020</td><td>15</td><td>15</td><td>6000</td></tr> </tbody> </table>	Year	Actual # Plans Issued	Projected # Plans Issued	Cumulative Projects with Estimates	2013	1	1	0	2014	4	4	0	2015	9	9	0	2016	12	12	1000	2017	13	13	2500	2018	14	14	4000	2019	15	15	5500	2020	15	15	6000
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<p><b>GROUNDWATER RECLASSIFICATION</b>  <b>Event Date – July 2015</b>        This Lean event was conducted with the goal of improving the process to reclassify contaminated groundwater to class IV. The current reclassification process lacks clarity, takes too long to complete (12 sites in 20 years averaging roughly 15 months each) and often leads to improper submittal of information and materials. Roles and responsibilities of involved parties are not well defined, re-do loops are common, and the process lacks transparency. Finally, there is a concern that once a reclassification does occur, there is inconsistent portrayal, distribution and use of the mapped data.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>• Improve timeliness of reclassifications.</li> <li>• Increase transparency.</li> <li>• Complete 31 reclassifications by the end of 2017, bringing the total active site reclassifications since 1993 to 43 (up from 12).</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>• Work on the GW Reclassification project was limited this quarter due to the PFOA response effort.</li> <li>• The new Class IV reclassification procedures were revised in November/December and included in the draft Groundwater Rule as an appendix. The Rule is under review by management before heading to ICAR.</li> <li>• IT completed the database/mapping enhancements that now include a reclassification data layer.</li> <li>• We continue to be in a holding pattern for finalizing the checklist, fact sheet and standard letter until the Groundwater Rule revisions are accepted or denied.</li> </ul>	<p><b>Active Site Reclassifications</b></p>  <table border="1"> <caption>Active Site Reclassifications Data</caption> <thead> <tr> <th>Year Range</th> <th>Total Active Sites Reclassified</th> <th>Number of Active Sites Reclassified per 5-Year Period</th> </tr> </thead> <tbody> <tr> <td>1993 - 1997</td> <td>3</td> <td>3</td> </tr> <tr> <td>1998 - 2002</td> <td>4</td> <td>4</td> </tr> <tr> <td>2003 - 2007</td> <td>9</td> <td>9</td> </tr> <tr> <td>2008 - 2012</td> <td>12</td> <td>12</td> </tr> <tr> <td>2013 - 2017 ...</td> <td>43</td> <td>43</td> </tr> <tr> <td>2018 - 2022 ...</td> <td>154</td> <td>154</td> </tr> <tr> <td>2023 - 2027 ...</td> <td>266</td> <td>266</td> </tr> </tbody> </table>	Year Range	Total Active Sites Reclassified	Number of Active Sites Reclassified per 5-Year Period	1993 - 1997	3	3	1998 - 2002	4	4	2003 - 2007	9	9	2008 - 2012	12	12	2013 - 2017 ...	43	43	2018 - 2022 ...	154	154	2023 - 2027 ...	266	266
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<p><b>ECO AMERICORPS</b>  <b>Event Date – July 2015</b>        In June 2015 DEC received funding to implement a statewide AmeriCorps program. The program is placing 20 AmeriCorps members focused on water quality focused positions with a variety of non-profit and governmental entities through the state. As a brand new program with a unique federal grant management system, this Lean event focused on internal and external coordination, member training and administration, including grant reporting and compliance.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>• 80% of member applications received complete (100% great).</li> <li>• 100% of host site positions filled.</li> <li>• 90% of members enrolled by 09/30/2015 (100% great).</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>• Two members have now left service. 18 of 20 members remain and are expected to successfully complete their service. This results in a 90% retention rate.</li> <li>• We have successfully recruited all 20 of our watershed-related sites for the 2016-17 service year, and have also successfully recruited four additional service sites relating to Universal Recycling.</li> <li>• 18 of our 20 watershed-related members have been formally placed in the program. Two more have preliminarily accepted positions. We are currently in the process of identifying members for UR-related sites.</li> <li>• We expect to close this project out next quarter.</li> </ul>	<p><b>Full Time AmeriCorps Members Enrolled for 2015-2016 Service Year</b></p>  <table border="1"> <caption>Full Time AmeriCorps Members Enrolled for 2015-2016 Service Year</caption> <thead> <tr> <th>Category</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Program Capacity</td> <td>20</td> </tr> <tr> <td>Number Enrolled</td> <td>20</td> </tr> </tbody> </table>	Category	Value	Program Capacity	20	Number Enrolled	20																		
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<p><b>LICENSING AND CERTIFICATION (L&amp;C)</b>  <b>Event Date – July 2015</b>          There is an opportunity to think of licensing and certification at a department level. While there are no fewer than six L&amp;C programs, many share a number of key attributes: renewal processes; continuing education tracking; fee processing requirements; and some share the same customers.</p> <p>This Lean event looked to explore how creating a shared database solution and potentially a shared process can benefit our staff, IT, the public, and provide a ready built tool for other DEC programs to proactively engage their professional communities with new training and outreach opportunities.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>• % of programs with consolidated data management system.</li> <li>• Number of programs moved to delegation.</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>• H.562 passed and is signed into Act 156. It transfers the Licensed Designer and Wastewater Operator program to OPR as of 1/1/2017 and requires a report be developed for consideration of transferring the licensed well drillers and public water system operators, due 12/15/16.</li> <li>• Met to develop a work plan to prepare for the potential transfer of programs in 2017. The team will need to complete the Sunrise review document OPR has created</li> <li>• Met to discuss future data needs and developing a policy for DEC on evaluating all licensing/certification programs to help determine who would be more appropriate to administer the license/certification.</li> <li>• Met with OPR staff and developed 5 subgroup teams to work on; 1) Data; 2) Exams and Training; 3) Outreach/Communications; 4) Rulemaking; and 5) Enforcement. The next meeting will be near the end of August and subgroup teams should meet prior to that meeting.</li> </ul>	<p><b>Licensing and Certification Programs Currently Being Transferred</b></p> <ul style="list-style-type: none"> <li>Wastewater and water supply designers</li> <li>Wastewater treatment facility operators</li> </ul> <p><b>Potential Licensing and Certification Programs for Transfer</b></p> <ul style="list-style-type: none"> <li>Public water system operators</li> <li>Well drillers</li> </ul>
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<p><b>Act 250 APPLICATION PROCESSING</b>  <b>Event Date – December 2015</b>          The Act 250 permit process is 45 years old, and happens across 9 districts throughout the state. The process and tools currently in use are dated and are applied inconsistently across the districts. Further, budgets are shrinking and staff are retiring, which means the same work will need to be done moving forward with fewer resources and less institutional knowledge. This project sought to standardize the Act 250 application process and identify efficiencies for the applicant and staff.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>• Increase the percent of applications deemed administratively complete.</li> <li>• Increase the number of applications deemed technically complete.</li> <li>• For majors, increase the number of items on recess order.</li> <li>• Decrease the number of days between date of receipt of last evidence to date of issuance of final decision.</li> <li>• </li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>• Ongoing weekly meetings occur with ACCD to finalize requirements gathering to further plans for consolidation of database and electronic forms.</li> <li>• Started Skills Matrix with Administrative staff.</li> <li>• Paperless will go live this September. One part-time employee is spending 95% of time toward roll-out.</li> <li>• Work started on updates for Application Guidance Documents.</li> <li>• KPI's are in development.</li> </ul>	<p><b>Major Tasks to be Completed</b></p> <hr/> <p>Consolidate databases and entry points</p> <hr/> <p>Improve front-end educational materials and give applicants the the tools to navigate the process more effectively</p> <hr/> <p>Develop standard operating procedures</p> <hr/> <p>Coordinate with Permit Specialists to develop project review sheets which include expanded jurisdictional determinations and a wider distribution</p>
<p><b>ANR LAND ACQUISITION</b>  <b>Event Date – December 2015</b>          Acquisition of land by ANR for recreational and conservation purposes is guided by a 1999 Land Conservation Plan. In general, the acquisition process has many steps and can be cumbersome, is often both time-sensitive while taking a significant amount of time, lacks transparency, and requires significant legal and survey resources. An opportunity existed to streamline the process, reduce unnecessary redundancy, explore opportunities for resources sharing, and improve the timeliness of acquisitions.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>• % of process participants who rate their overall satisfaction as “good” or better based on survey.</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>• A perennial Summer intern has been hired for the Forest Legacy program.</li> <li>• An updated internal project review process has been fully drafted.</li> <li>• The database has been updated, as has all the related forms. It now only needs formal adoption by the leadership team.</li> <li>• Met with SHPO to discuss Section 106 clearance which will be included in an MOA.</li> <li>• Moving forward with improving relations between Forestry and Lands.</li> </ul>	<p><b>Major Tasks to be Completed</b></p> <hr/> <p>Build centralized database</p> <hr/> <p>Develop contract and legal capacity</p> <hr/> <p>Develop standards</p> <hr/> <p>Improve program capacity</p> <hr/> <p>Streamline internal review process</p> <hr/> <p>Remove programmatic barriers</p>

<p><b>FINANCIAL MONITORING AND COMPLIANCE</b>  <b>Event Date – December 2015</b>          The Administration and Innovation Division's Financial Operations group and the Facilities Engineering Division's Financial Management section have responsibilities for the monitoring, compliance and auditing of State and Federally funded grants, contracts, and loans. There are numerous requirements associated with these funding sources. The Department has been subject to a number of audit findings over the course of the past few years, which has had financial consequences for the Department. This appeared to be a good opportunity to examine overlap in the two programs and develop systems to reduce or eliminate audit findings in the future.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>Percentage of audits which result in corrective action plans.</li> <li>Percentage of entities receiving a high quality onsite monitoring visit every five years.</li> <li>Number of internal financial compliance checks per year for all outgoing grants, contracts, and loans.</li> <li>Percentage of Standard Operating Procedures (SOPs) completed (currently at 3% and starting from an unknown baseline).</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>The project is moving at a steady pace although it has been impacted by the loss of staff in the Facilities Engineering Division (FED).</li> <li>The Standard Operating Procedures team has been established and has prioritized procedures to document. The team is currently working on fourteen SOPs and has completed four in the last quarter.</li> <li>Training on the new Loan and Grants Tracking System (LGTS) database has continued including staff from both Facilities Engineering and Administration and Innovation where appropriate. Changes required for integration between LGTS and the State's VISION accounting system are under discussion with the database contractor.</li> <li>The spending authority for the federal share of the State Revolving Fund (SRF) Loans has been incorporated into the budget for SFY'17. This will eliminate administrative tasks by both DEC Financial Operations staff as well as Finance and Management staff beginning in fiscal year 2017.</li> </ul>	<p><b>Standard Operating Procedures Completed (40 total SOPs planned)</b></p>  <table border="1"> <thead> <tr> <th>Quarter</th> <th>Completed (%)</th> <th>Developing (%)</th> <th>Not started (%)</th> </tr> </thead> <tbody> <tr> <td>Q4 2015</td> <td>0</td> <td>0</td> <td>100</td> </tr> <tr> <td>Q1 2016</td> <td>18</td> <td>2</td> <td>80</td> </tr> <tr> <td>Q2 2016</td> <td>12.5</td> <td>35</td> <td>52.5</td> </tr> </tbody> </table>	Quarter	Completed (%)	Developing (%)	Not started (%)	Q4 2015	0	0	100	Q1 2016	18	2	80	Q2 2016	12.5	35	52.5
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### **Other Notable Projects Started This Quarter**

- Aboveground/Underground Storage Tank Financial Assistance Processing
- Permit Expediting Procedure
- PFOA Records Requests – Email Management

### **Previously Completed Projects**

- Stormwater General Permit 3-9015 Processing
- Public Water System Source Permitting Process
- VTrans/ANR Title 19 Consultation