

**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.

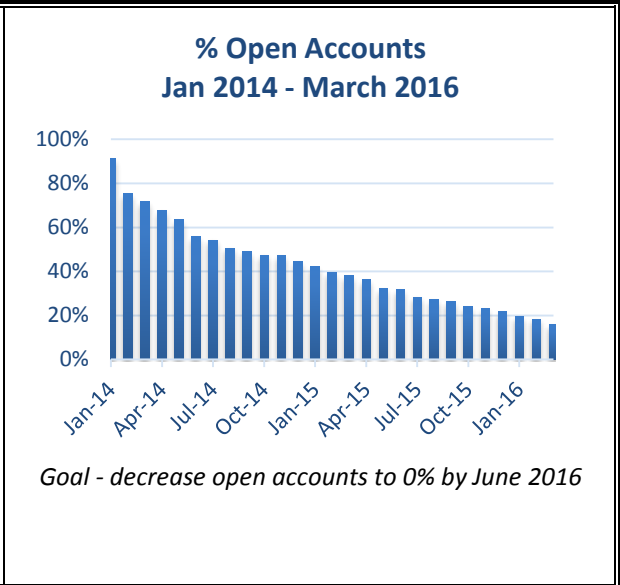
**GOALS AND KEY PERFORMANCE INDICATORS (KPIs)**

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

**STATUS**

KPI Total as of March 2016	
Funds Returned	\$3,135,033
Accounts Closed	924

- At the end of March 2016, the percentage of projects closed is 84% with 173 accounts left to close by June 2016.
- An added bonus of SRF closeouts has been the recovery and return of \$3,135,033.68 in SRF Funds.



**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.

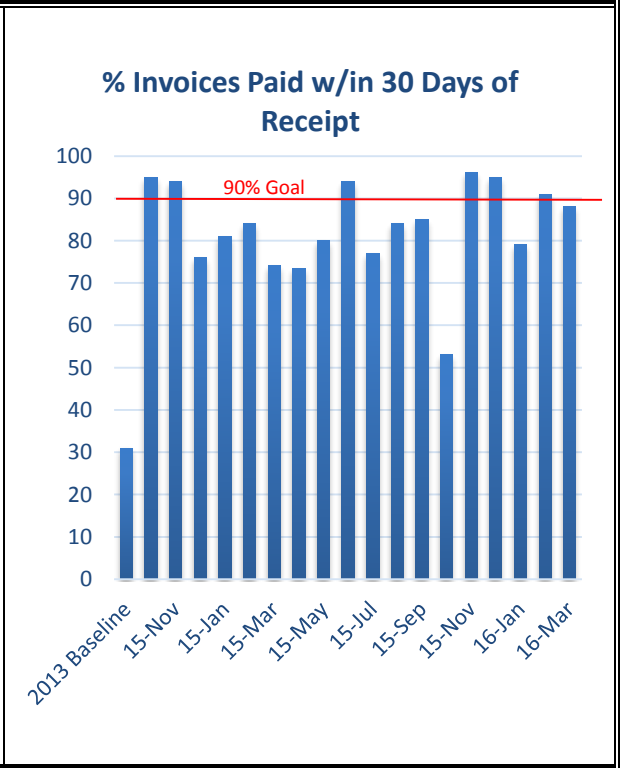
An innovative approach was needed to both free-up staff time involved in reimbursement activity and money owed to the public and consulting community.

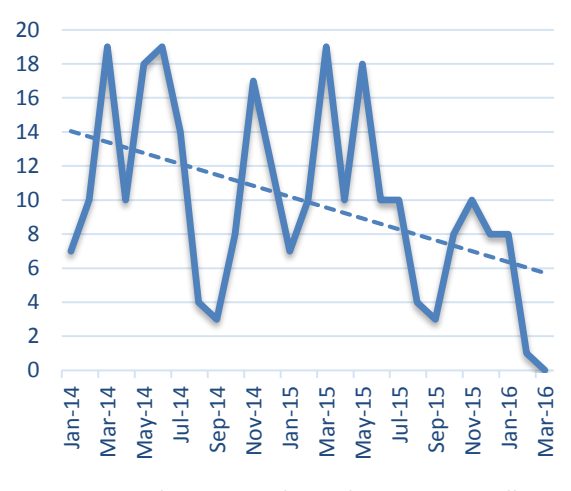
**GOALS AND KEY PERFORMANCE INDICATORS (KPIs)**

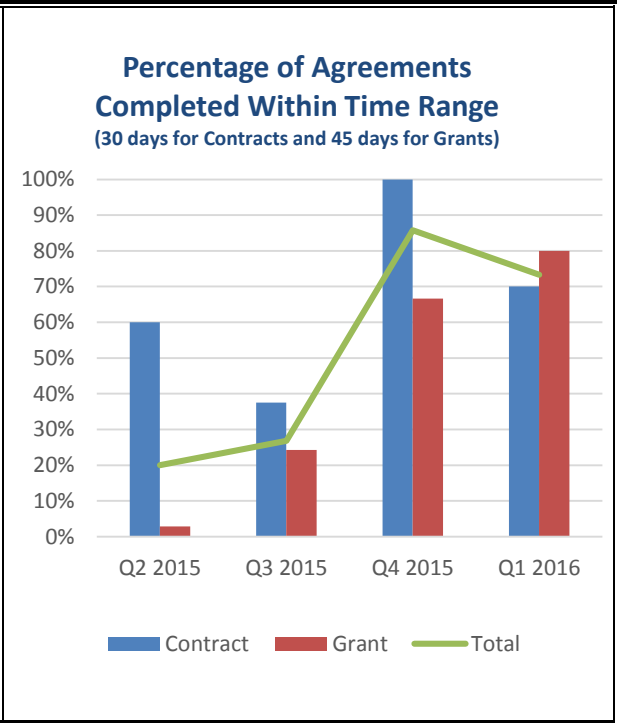
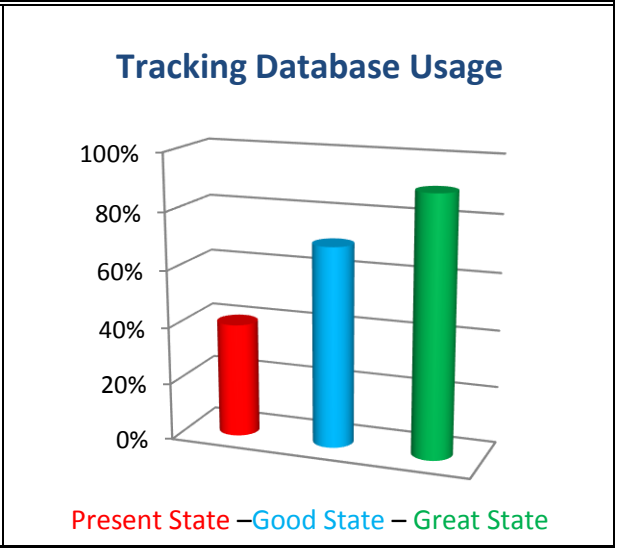
- 90% reimbursement w/in 30 days of claim receipt date.

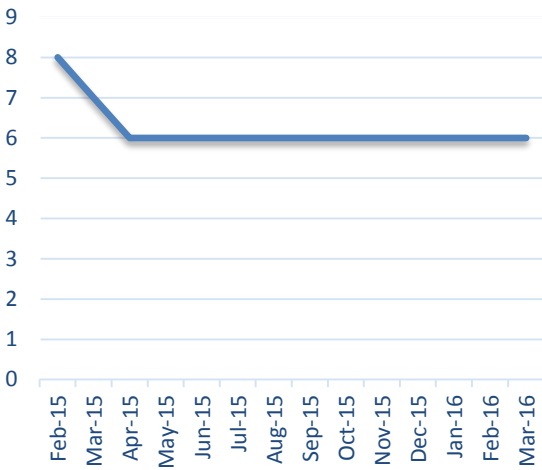
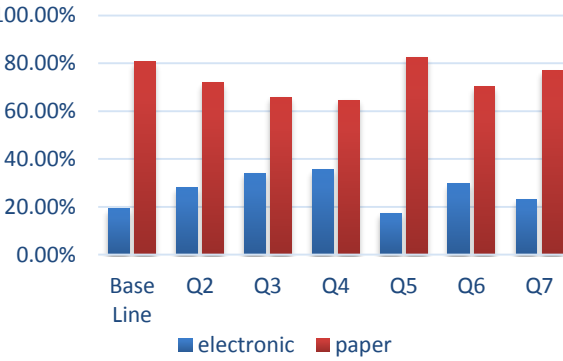
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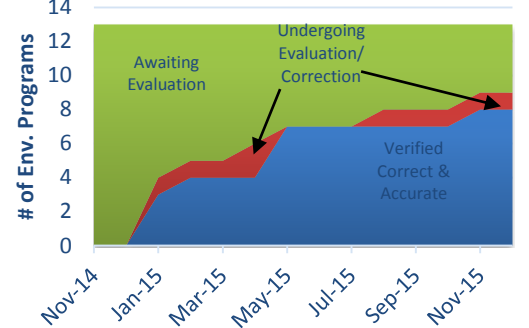
- For January, February and March, 79%, 91% and 88% of claims were paid respectively within 30 days of receipt. Though January was below target, it had the highest volume of paid claims measured to date, 122% above average.
- For January, February and March, ANR internal processing times averaged 25 days, 16 days and 25 days respectively. The median processing time in February was only 12 days, the shortest time measured to date.
- We anticipate reductions in processing performance over the next couple of months due to our intensive PFOA response. Though our metrics for February and March were good, we have some processing backlogs that will affect metrics once the claims are paid. Changes in personnel resources are being made to assist with performance of normal duties.
- During January, we were unable to finalize internal design and testing of our "Great State" online claim submission process and begin external stakeholder testing. We hope to start getting back on track in April.



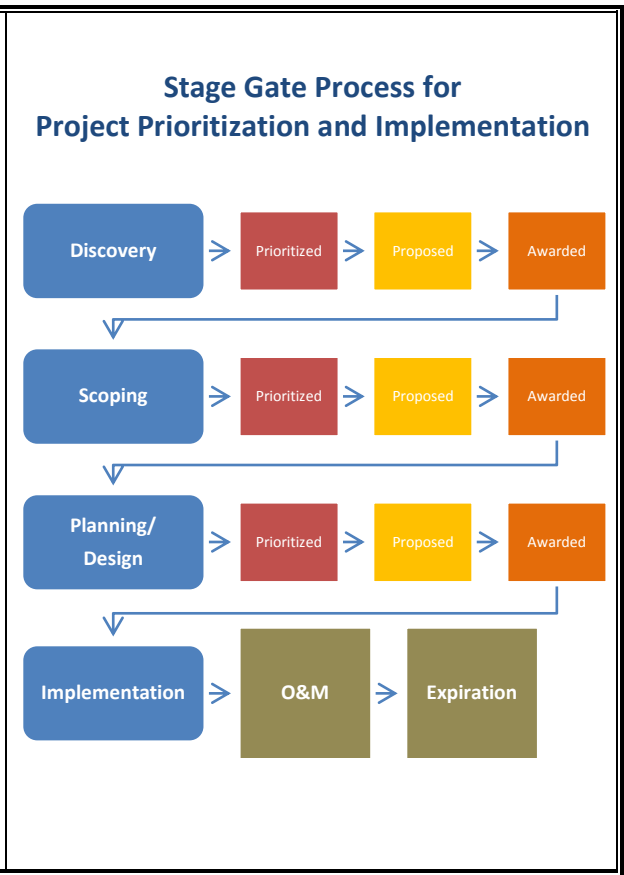
<p><b>WETLANDS PERMITTING</b>  <b>Event Date – February 2014</b>          Wetlands staff did not have effective or efficient tools for general project management and standard tasks, eating away at time for important wetland protection work.</p> <p>Innovative technology and standardized methods were needed 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” &lt;50% of site visits,</li> <li>“Great State” &lt;80% of site visits.</li> </ul> </li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>A new application was launched in February and the old application was phased out on March 1, 2016. Over 30 consultants attended an information webinar detailing the changes to the form. There have been no application resubmittals needed since the March 1 roll out, saving time for us and applicants to work on other tasks (see graph).</li> <li>We are now able to generate standard letters automatically from our database, reducing the time spent by staff doing that manually.</li> </ul>	<p><b>Application Resubmittals</b></p>  <table border="1"> <caption>Application Resubmittals Data</caption> <thead> <tr> <th>Month</th> <th>Application Resubmittals</th> <th>Trendline</th> </tr> </thead> <tbody> <tr><td>Jan-14</td><td>7</td><td>14</td></tr> <tr><td>Mar-14</td><td>19</td><td>13</td></tr> <tr><td>May-14</td><td>18</td><td>12</td></tr> <tr><td>Jul-14</td><td>3</td><td>11</td></tr> <tr><td>Sep-14</td><td>3</td><td>10</td></tr> <tr><td>Nov-14</td><td>17</td><td>9</td></tr> <tr><td>Jan-15</td><td>7</td><td>8</td></tr> <tr><td>Mar-15</td><td>19</td><td>7</td></tr> <tr><td>May-15</td><td>18</td><td>6</td></tr> <tr><td>Jul-15</td><td>10</td><td>5</td></tr> <tr><td>Sep-15</td><td>3</td><td>4</td></tr> <tr><td>Nov-15</td><td>10</td><td>3</td></tr> <tr><td>Jan-16</td><td>8</td><td>2</td></tr> <tr><td>Mar-16</td><td>0</td><td>1</td></tr> </tbody> </table>	Month	Application Resubmittals	Trendline	Jan-14	7	14	Mar-14	19	13	May-14	18	12	Jul-14	3	11	Sep-14	3	10	Nov-14	17	9	Jan-15	7	8	Mar-15	19	7	May-15	18	6	Jul-15	10	5	Sep-15	3	4	Nov-15	10	3	Jan-16	8	2	Mar-16	0	1
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<p><b>GRANTS AND CONTRACTS</b>  <b>Event Date – May 2014</b>        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.</p> <p>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.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>• Average number of days from invoice date to date of payment is less than 30 days (currently 28).</li> <li>• Executed contract within 30 days of vendor award notification and 45 for grants (currently 32 day average for contracts and 74 for grants).</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>• The average number of days from invoice date to date of payment has been consistently below our 30 day target.</li> <li>• KPIs for the grants and contracts are consistently off our initial targets. An A3 problem solving event was conducted in late November 2015 to look at potential solutions. The 2016 Q1 data show substantial improvements in the grants time most likely due to implementation of the A3 event plan.</li> <li>• Improvements to the Document Management System have recently restarted and development is currently underway. The enhancements will provide Grant Management Specialist a single entry point for all data related to the grants and contract process - an improvement over the multiple systems in use now.</li> </ul>	<p><b>Percentage of Agreements Completed Within Time Range</b>        (30 days for Contracts and 45 days for Grants)</p>  <table border="1"> <caption>Percentage of Agreements Completed Within Time Range</caption> <thead> <tr> <th>Quarter</th> <th>Contract (%)</th> <th>Grant (%)</th> <th>Total (%)</th> </tr> </thead> <tbody> <tr> <td>Q2 2015</td> <td>60</td> <td>5</td> <td>20</td> </tr> <tr> <td>Q3 2015</td> <td>38</td> <td>25</td> <td>28</td> </tr> <tr> <td>Q4 2015</td> <td>100</td> <td>65</td> <td>85</td> </tr> <tr> <td>Q1 2016</td> <td>70</td> <td>80</td> <td>75</td> </tr> </tbody> </table>	Quarter	Contract (%)	Grant (%)	Total (%)	Q2 2015	60	5	20	Q3 2015	38	25	28	Q4 2015	100	65	85	Q1 2016	70	80	75
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<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>• Finished work on refresher training schedule</li> <li>• Finished work on program interviews</li> <li>• Significant progress on mandatory use policy</li> <li>• Completed improvements to Grand List search functions.</li> </ul>	<p><b>Tracking Database Usage</b></p>  <table border="1"> <caption>Tracking Database Usage</caption> <thead> <tr> <th>State</th> <th>Usage (%)</th> </tr> </thead> <tbody> <tr> <td>Present State</td> <td>45</td> </tr> <tr> <td>Good State</td> <td>70</td> </tr> <tr> <td>Great State</td> <td>88</td> </tr> </tbody> </table>	State	Usage (%)	Present State	45	Good State	70	Great State	88												
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<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>The table relationship page was updated to show new data tables in an effort to make querying/ reporting easier.</li> <li>Nine views added to database so the new tables can be queried with Microsoft Access.</li> <li>Pages for managing Permit Conditions and Condition Items are complete.</li> <li>A view was created to feed data directly into the ENB.</li> <li>Basic architecture completed to allow display of documents for a permit.</li> <li>Upload features completed so a document can be associated with a permit and viewed from the website.</li> </ul>	<p><b>AQCD Facility Information Locales</b></p>  <table border="1"> <caption>AQCD Facility Information Locales</caption> <thead> <tr> <th>Month</th> <th>Number of Locales</th> </tr> </thead> <tbody> <tr><td>Feb-15</td><td>8</td></tr> <tr><td>Mar-15</td><td>6</td></tr> <tr><td>Apr-15</td><td>6</td></tr> <tr><td>May-15</td><td>6</td></tr> <tr><td>Jun-15</td><td>6</td></tr> <tr><td>Jul-15</td><td>6</td></tr> <tr><td>Aug-15</td><td>6</td></tr> <tr><td>Sep-15</td><td>6</td></tr> <tr><td>Oct-15</td><td>6</td></tr> <tr><td>Nov-15</td><td>6</td></tr> <tr><td>Dec-15</td><td>6</td></tr> <tr><td>Jan-16</td><td>6</td></tr> <tr><td>Feb-16</td><td>6</td></tr> <tr><td>Mar-16</td><td>6</td></tr> </tbody> </table>	Month	Number of Locales	Feb-15	8	Mar-15	6	Apr-15	6	May-15	6	Jun-15	6	Jul-15	6	Aug-15	6	Sep-15	6	Oct-15	6	Nov-15	6	Dec-15	6	Jan-16	6	Feb-16	6	Mar-16	6
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<p><b>RECEIPTS PROCESSING</b>  <b>Event Date – October 2014</b>          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.</p>	<p><b>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</b></p> <ul style="list-style-type: none"> <li>Shift from receiving paper checks to electronic payments; electronic receipt pre-event baseline 15%, “good” state goal 50% and “great” state goal 95%.</li> <li>Develop standard operating procedures across the department by creating a department policy and individual division procedures. (Accomplished)</li> <li>Reduce time from receipt to deposit from 21 days to 3 days.</li> <li>Minimize data entry (duplication) from input of information.</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>We continue to work with programs to encourage entities to pay via ACH which is the only form of electronic payment that is accepted department wide. Unfortunately, due to the nature of ACH, it is often difficult to reconcile accounts receivable with the actual funds received and accounted for at the Treasury. This is one of the reasons why electronic payments have been somewhat stagnant over the past three quarters. The issue is actively being addressed.</li> <li>Three random audits occurred in this quarter.</li> </ul>	<p><b>Percentage of Receipts Received Electronically vs. Paper</b></p>  <table border="1"> <caption>Percentage of Receipts Received Electronically vs. Paper</caption> <thead> <tr> <th>Quarter</th> <th>Electronic (%)</th> <th>Paper (%)</th> </tr> </thead> <tbody> <tr><td>Base Line</td><td>20</td><td>80</td></tr> <tr><td>Q2</td><td>30</td><td>70</td></tr> <tr><td>Q3</td><td>35</td><td>65</td></tr> <tr><td>Q4</td><td>38</td><td>62</td></tr> <tr><td>Q5</td><td>18</td><td>82</td></tr> <tr><td>Q6</td><td>30</td><td>70</td></tr> <tr><td>Q7</td><td>25</td><td>75</td></tr> </tbody> </table> <p><i>Good State Goal – 50% electronic payment          Great State Goal – 95% electronic payment</i></p>	Quarter	Electronic (%)	Paper (%)	Base Line	20	80	Q2	30	70	Q3	35	65	Q4	38	62	Q5	18	82	Q6	30	70	Q7	25	75						
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<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 the Senate. Stakeholder outreach is ongoing.</li> <li>• We are working with 13 programs to re-establish the data flow of current Environmental Notice Bulletin (ENB) – see chart at right - and have created a project plan to determine functionality of a new public notice portal.</li> <li>• We are working with EPA to ensure notices for federally delegated permit programs meet minimum fed standards.</li> </ul>	<p><b>ENB Program Status</b></p>  <p><i>Goal - 100% blue chart, i.e., all 13 ENB programs are evaluated and corrected to ensure accuracy of Environmental Notice Bulletin.</i></p>
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<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>• Currently field testing first generation of selected checklists which will be available on the new DEC/FED website and LGTS Database. Training to follow in June of 2016 for Engineer/Clients.</li> <li>• Everything seems favorable to start the migration to the new set of Engineers Joint Construction Documents Committee (EJCDC) documents. FED is using a project in the Town of Hartford to pilot test the new set of documents with supplementary requirements. FED will accept in this transitional year both set of documents (current FED set and EJCDC) with the goal of having only one set of front end documents in 2017. FED Construction Section Chief is working on the modification to make EJCDC workable for all size projects.</li> <li>• US DOL is planning on conducting a wage survey with the assistance of FED in Fall of 2016.</li> </ul>	<p><b>Future State Projections</b></p> <table border="1"> <caption>Future State Projections Data</caption> <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>250</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>95%</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%	250	2017	75%	65%	100	2018	85%	75%	100	2019	95%	85%	100	2020	95%	95%	100
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<p><b>IDENTIFICATION &amp; PRIORITIZATION OF WATER POLLUTION RESTORATION PROJECTS</b></p> <p><b>Event Date – March 2015</b></p> <p>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>The Implementation Table database system is under construction, and tactical plan tables are being populated.</li> <li>A Clean Water Initiative Brown Bag seminar was delivered to statewide participants explaining the revisions to basin planning and restoration funding.</li> <li>MAPP and ERP has conducted stakeholder outreach on the modifications to the prioritization process and funding criteria with RPCs and Watersheds United Vermont.</li> <li>Significant outreach has occurred with municipalities, via RPC's on tracking tools being developed, and on the online implementation tables. Modeling to identify prioritized BMP implementation locations is now underway as well.</li> </ul>	<p style="text-align: center;"><b>Stage Gate Process for Project Prioritization and Implementation</b></p>  <pre> graph TD     subgraph Row1 [ ]         D1[Discovery] --&gt; P1[Prioritized]         P1 --&gt; PR1[Proposed]         PR1 --&gt; A1[Awarded]     end     subgraph Row2 [ ]         D2[Discovery] --&gt; P2[Prioritized]         P2 --&gt; PR2[Proposed]         PR2 --&gt; A2[Awarded]     end     subgraph Row3 [ ]         D3[Discovery] --&gt; P3[Prioritized]         P3 --&gt; PR3[Proposed]         PR3 --&gt; A3[Awarded]     end     subgraph Row4 [ ]         I[Implementation] --&gt; OM[O&amp;M]         OM --&gt; E[Expiration]     end     A1 --&gt; I     A2 --&gt; I     A3 --&gt; I   </pre>
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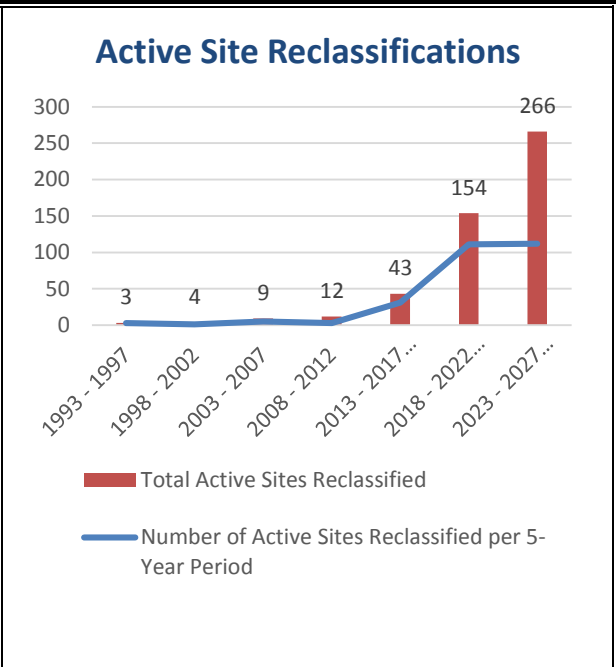
**GROUNDWATER RECLASSIFICATION**  
**Event Date – July 2015**  
 This Lean event was conducted with the goal of improving the process to reclassify contaminated groundwater to class IV. The current reclassification process lacks clarity, takes too long to complete (12 sites in 20 years averaging roughly 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.

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

- Improve timeliness of reclassifications.
- Increase transparency.
- Complete 31 reclassifications by the end of 2017, bringing the total active site reclassifications since 1993 to 43 (up from 12).

**STATUS**

- Work on the GW Reclassification project was limited this quarter due to the PFOA response effort.
- 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.
- IT completed the database/mapping enhancements that now include a reclassification data layer.
- 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.



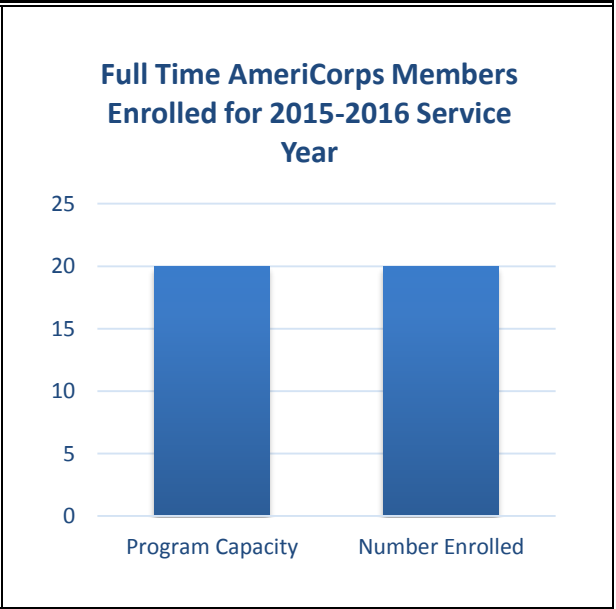
**ECO AMERICORPS**  
**Event Date – July 2015**  
 In June 2015 DEC Received funding to implement a statewide AmeriCorps program. The program is placing 20 AmeriCorps members focused on water quality focused positions with a variety of non-profit and governmental entities through the state. As a brand 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.

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

- 80% of member applications received complete (100% great).
- 100% of host site positions filled.
- 90% of members enrolled by 09/30/2015 (100% great).

**STATUS**

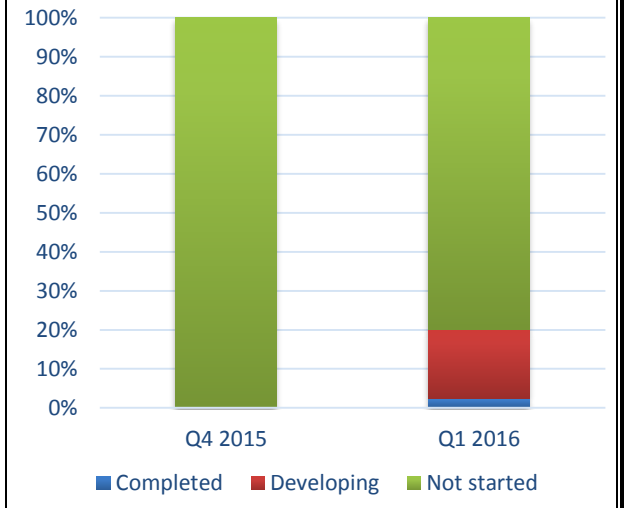
- One member has left service since the beginning of the service year which means we still have a 95% retention rate.
- We have successfully recruited and selected 19 of the 20 service sites for next year.





<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>• Met with Legal Counsel to discuss and draft language for H.562, which has now passed the House and is in the Senate Committee on Natural Resources and Energy.</li> <li>• Notified designers and operators of potential transfer.</li> <li>• Drafting final report summarizing activities and decisions.</li> <li>• Researching NEHA.org's national exam for installers as an option for custom examination.</li> <li>• Met with Lean team to work on IT and website needs.</li> <li>• Working to develop a policy that would lay out criteria for when to move existing and new licensing programs to the Office of Professional Regulation.</li> </ul>	<p style="text-align: center;"><b>Potential Delegation of Licensing and Certification Programs</b></p> <div style="text-align: center;"> <p>Wastewater and water supply designers</p> <p>Wastewater treatment facility operators</p> <p>Water system operators</p> <p>Well drillers</p> </div>
<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> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>• Met with ANR to discuss project review sheet process and plans for database &amp; e-filing project.</li> <li>• Developed KPI tracking spreadsheet.</li> <li>• Finalized and adopted Administrative Procedures Manual and Administrative Completeness Checklist.</li> <li>• Established standard notice period, including an earlier deadline for Agency comments.</li> <li>• Established target date for paperless application process and drafted plan for meeting goal.</li> </ul>	<p style="text-align: center;"><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>• Moving forward with improvements to the contracting process. Departments have elected to use appraisal services as a pilot project. A list of qualified bidders has been finalized and a RFP will follow shortly.</li> <li>• The State Lands Acquisition Committee (SLAC) charter has been drafted and changes are being made to the internal review process.</li> <li>• An Internal Joint Fiscal Office barrier has been completely removed.</li> <li>• A team has been formed to discuss the development of a new database.</li> <li>• A perennial summer intern has been leveraged through UVM.</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>
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<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%).</li> </ul> <p><b>STATUS</b></p> <ul style="list-style-type: none"> <li>• The Standard Operating Procedures team has been established and has prioritized procedures to document. The team is currently working on seven SOPs and has completed one in the last quarter.</li> <li>• The Team has met with the State Historic Preservation Office (SHPO) and with Disadvantaged Business Enterprise (DBE) experts at VTrans to discuss next steps in ensuring compliance with these regulations. Progress is being made on both of these SOPs.</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 July of 2016.</li> </ul>	<p><b>Standard Operating Procedures Completed (40 total SOPs planned)</b></p>  <table border="1"> <caption>SOP Completion Status Data</caption> <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>2</td> <td>18</td> <td>80</td> </tr> </tbody> </table>	Quarter	Completed (%)	Developing (%)	Not started (%)	Q4 2015	0	0	100	Q1 2016	2	18	80
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## Project Closeout Report

**Project Title:** Stormwater General Permit 3-9015 Processing

**Background:** This project sought to identify waste in the application review process associated with operational permits under Stormwater General Permit 3-9015. General Permit 3-9015 is a high-volume program and applications contain a large volume of information. The program also has a range of requirements regarding ongoing operational fees, annual reporting, permit renewal, public notice, and permit transfer requirements that result in program undertaking thousands of discrete actions each year to service these applications and permits. This Lean event sought to identify waste in these processes, and create a prioritized implementation plan to automate these processes.

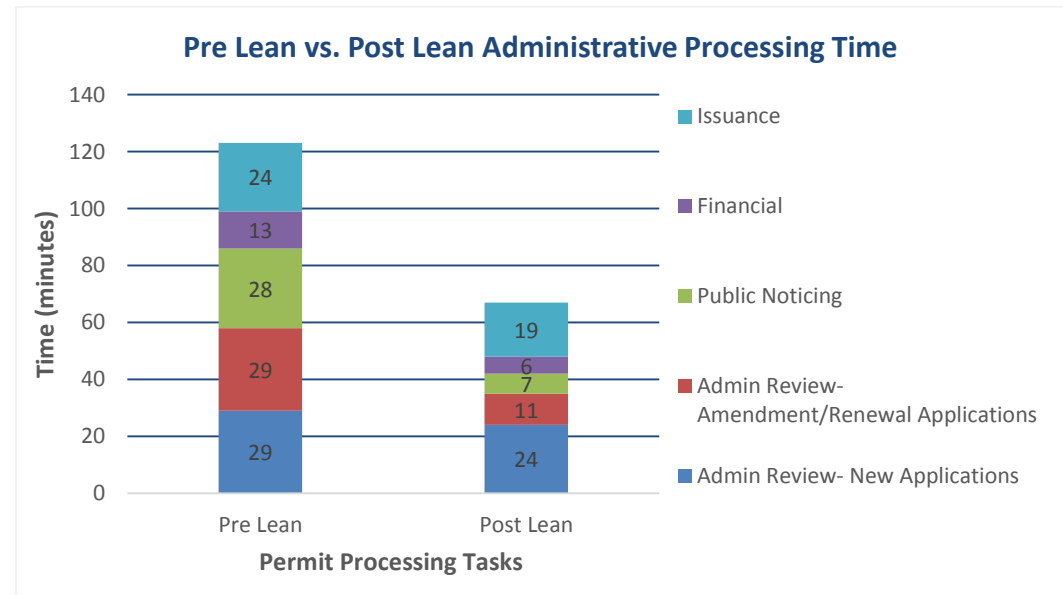
**Key Changes:** The Stormwater Program, working with BOSS and IT, developed a new stormwater database that corrected multiple deficiencies, and establishes a platform to allow for moving to use of electronic permit applications that upload directly to the database. Additionally:

- Technical application form and guidance materials were improved to ensure that key information is provided in a consistent format.
- A database now provides for automatic generation of operating fee statements (bills). The program issues more than 2,000 bills per year, the majority of which previously were custom generated.
- The public notice process is now done automatically based on the project information entered into the database.
- A large percentage of applications are for renewals and amendments. Prior to the database update, all project information had to be manually updated for each renewal or amendment. We are now able to copy the previous record, resulting in substantial time savings.
- Permit authorizations, including receiving water, discharge point and plan sheet information, are generated automatically based on project information in the database, rather than custom drafted by technical staff.

**Key Performance Indicators:** The key indicators for this project are the time spent on admin review of new applications, admin review of permit renewals, public noticing, permit issuance, and management of permit fees.

**Results:** The Stormwater Program has a new database. Our processes associated with public notice, generating permit authorizations, and billing have been largely automated. Time spent on the administrative review of applications, public noticing, billing, and permit issuance has declined 46%, on average.

**Next Steps:** The Stormwater Program is working to allow for the submittal of a range of permit application and reporting forms to be done electronically in order to achieve additional time savings. Pending adoption of a new Stormwater Manual, we will also direct efforts to allow for the electronic submittal of extensive technical supporting information. We are working with AID to explore the use of ANR online for these purposes.



## Project Closeout Report

**Project Title:** VTrans/ANR Title 19 Consultation

**Background:** Title 19 requires VTrans to consult with ANR on instream projects, e.g., culvert replacements, road embankments, and other instream work. The scope of this Lean project began with the identification of VTrans projects subject to Title 19 review and ended at final project inspection and included an analysis of the two consultation pathways that occur: a VTrans (Maintenance & Operations Bureau pathway and a VTrans Project Delivery Bureau pathway). In both of these pathways, a consultative project review by DEC Rivers occurs in conference with the District F&W Fisheries Biologist. Going into the event, the team was interested in establish guidance or procedures for determining the appropriate steps in both pathways, standardizing process time for Project Delivery Bureau (PDB) pathway, standardize tracking of process steps relevant to each Agency, improving management of documents and records, and developing a process around routine approvals by the DEC Rivers Program.

### Key Changes:

- Increased utilization of SharePoint to promote consistency, efficiency, and tracking of submittals and reviews.
- Reduction in feedback loops by developing a site where District staff can post culvert projects planned out a couple years and give Fisheries Biologists a chance to provide pre-design input.
- Development of interagency field audit protocol to be carried out over the course of the next two years.
- Evaluation of standard operating procedures.

**Key Performance Indicators:** The most available means for tracking success is the continued utilization of the SharePoint site.

**Results:** The development of the various SharePoint sites provides a new basis for determining the level of coordination that is occurring and how the timing of that coordination benefits projects and the process flow. It will take years of use to measure how this relates to the overall success of the process. There has been indication from the VTrans Districts of the willingness to participate in District audits and for ANR to provide further training to VTrans staff. All of this is working towards meeting the goals identified.

**Next Steps:** It is the opinion of both VTrans and ANR that what is left to accomplish is best approached through regular coordination through agreed upon goals and an associated work plan which includes increasing technical capacity within VTrans and DEC to:

- Produce plans and related project information that will ultimately minimize the time necessary for Title 19 consultations while ensuring compliance with the VT Stream Alteration Standards;
- Increase uniformity in Title 19 consultations between ANR regulators; and
- Work toward VTrans self-certification of instream projects and general permit authorization of floodplain projects. The goal is to not eliminate the consultation/authorization processes as required by statute, rather to build technical capacity within VTrans to reduce consultations and authorizations to a check-in/sign-off process.

## Project Closeout Report

**Project Title:** Public Water System Source Permitting Process

**Background:** The Drinking Water, Water Resources staff believed that multiple databases were interfering with efficient source permitting for public water systems, and a lack of process standardization led to inconsistent outcomes, which resulted in poor internal and external communication of source permitting decisions. In addition, the source permitting process is a very lengthy one, and while there are technical reasons for this, it was recognized that some efficiencies were possible to shorten the timeframe.

**Key Changes:** The public water system source permitting hydrogeologists developed or refined a number of new process tools to expedite the work of the staff. Permit application templates were refined and source permit application checklists and guidance were developed, to reduce the need for reiterative review processes to obtain complete information. Electronic data and document submittals into an FTP website were implemented to expedite permit processing.

A key change to reduce permitting time was to move the Source Protection Plan approval process out of the source permitting process, and have it run in tandem with the construction permit process. Another key change, which will be implemented once the Permit Process Improvement bill is passed, was to collapse public notice requirements (there are currently two imbedded into the source permitting process) into a public information letter and one formal public notice process. Collapsing formal public notice from two into one would save 30 days in the source permitting process.

**Key Performance Indicators:** The key indicators for this project are the time spent on:

- Admin review of new applications
- Public notice process
- “Touch Time” by the hydrogeologists

**Results:** The Source Permitting Program has a new electronic submission process, improved permitting and permit application tools, and the time associated with Source Protection Plan approval has been removed from the source permitting PEP time. Approximately 38 days have been saved with these efforts i.e. a 32% reduction in the time for the source permitting process. Further gains of at least 30 days will be realized if the permit process improvement bill is passed.

**Next Steps:** The Lean team identified some automated processes that would further reduce processing time. These included consolidating databases and using Web Forms for the various steps of the source permitting process, among others. We are working with AID to explore the use of ANR online for these purposes.

## Other Notable Projects

Since the start of the new year we've assisted with five different Lean projects ranging from a one-day problem solving session to a three-day value stream mapping event. The projects include:

- Encroachment and Shoreland Permitting with the Lakes and Ponds Program
- Conservation Easement Program with the Vermont Housing and Conservation Board
- Water Quality Monitoring with the Watershed Management Division
- Priority Setting A3 with the FPR Forestry Division
- Water Quality Monitoring Follow-up with Lakes and Ponds