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.
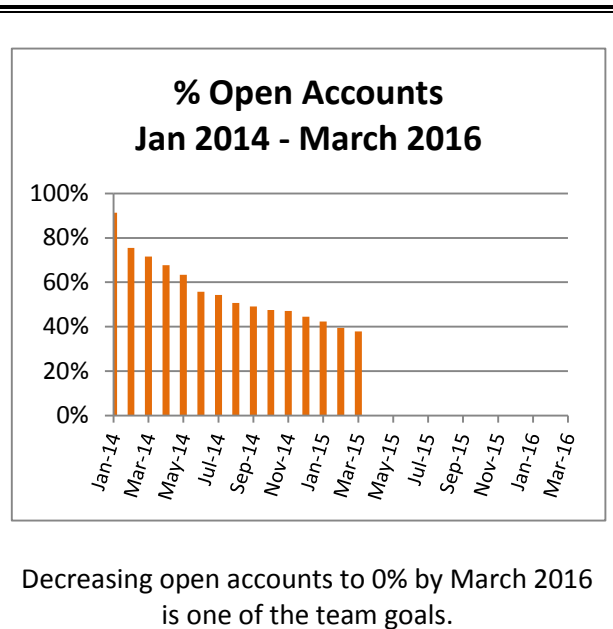
GOALS AND KEY PERFORMANCE INDICATORS (KPIs)
- Eliminate the backlog by March 2016.
- Return unspent funds to the State Revolving Fund (SRF).
- Launch frontend "Audit as We Go" process (Achieved)

STATUS

KPI Total as of March 2015	
Funds Returned	$1,331,799
Accounts Closed	683

- Process changes resulted in a 62% reduction in the backlog or 417 open accounts at the end of March 2015.
- For March, $71,303 was returned to the SRF Fund.
- New "Audit as We Go" method launched July 2014, implemented a front-end spot-check audit process to prevent addition of accounts to the backlog.

% Open Accounts
Jan 2014 - March 2016

Decreasing open accounts to 0% by March 2016 is one of the team goals.

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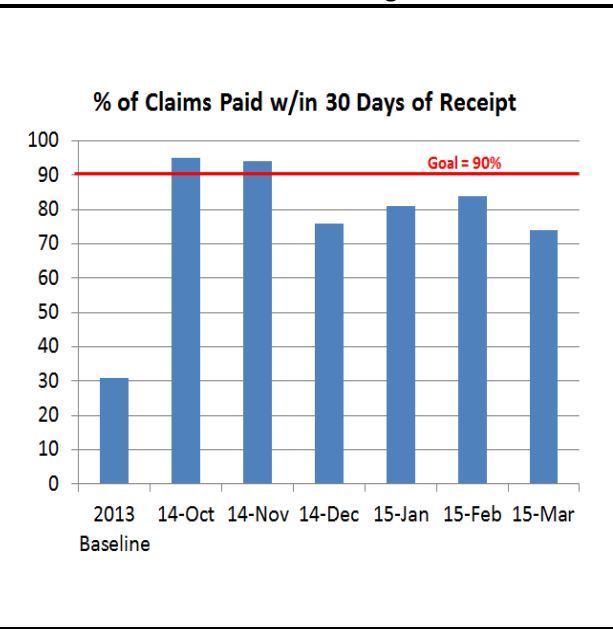
An innovative approach was needed both to free-up staff time involved in reimbursement activity and money owed to the public and consulting community.

GOALS AND KEY PERFORMANCE INDICATORS (KPIs)
- 90% reimbursement w/in 30 days of claim receipt date
- Reduce internal processing time by over 50% (Achieved)

STATUS
- For March, 75% of claims were paid within 30 days of receipt vs. 2013 baseline of 31%.
- For March, ANR internal processing time average was 24 days, a 50% reduction from 2013 baseline of 47 days.
- By end of May our goal is to reach GREAT state where online claim submission is possible. Currently, the consultant must send claims to their client for review and signature and mail the claim to ANR.
- The % of claims paid via direct deposit has been increasing since we released this option in January 2015. For our next report, we will begin reporting the actual %.

% of Claims Paid w/in 30 Days of Receipt
Goal = 90%

WETLANDS PERMITTING
Event Date – February 2014

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.

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.

Wetlands provide 10 functions that benefit the public and natural environment, such as water storage for flood water and storm runoff. This small program is responsible for protecting over 200,000 acres of wetlands in Vermont.
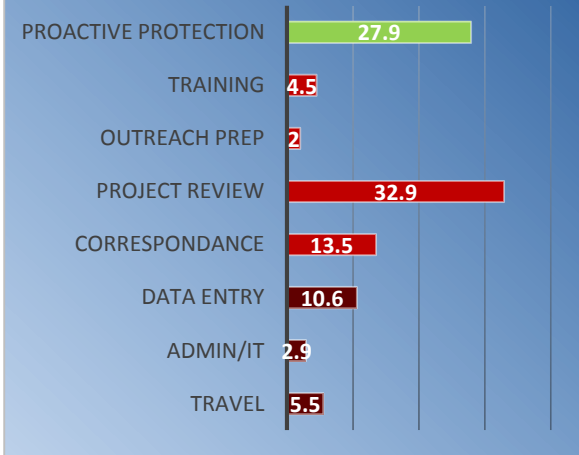
GOALS AND KEY PERFORMANCE INDICATORS (KPIs)

- Shift staff time to proactive wetland protection: "Good State" - >25% staff time vs. baseline of 19%; and "Great State" - >50% of time.
- Reducing application resubmittals by 50%.
- 100% appropriate documentation for all permits and site visits are entered into database versus the 2013 baseline of 60%, providing a record on this changing resource.

STATUS

- For 2015 year to date, ~30% of staff time was spent on proactive wetland protection. Includes: Class I review, bioassessment, wetlands mapping, and inspections.
- Due to database improvements and better tracking, the number of documented site visits increased from 60% to 98% from 2013 to 2014, which improves records of previous decisions leading to greater public certainty and program consistency.
- Clarification in permitting process is underway, including development of standard operating procedures that will lead to a faster and clearer overall application process for landowners.

2015 Wetlands Staff Time

PROACTIVE PROTECTION	27.9
TRAINING	4.5
OUTREACH PREP	2
PROJECT REVIEW	32.9
CORRESPONDANCE	13.5
DATA ENTRY	10.6
ADMIN/IT	2.9
TRAVEL	5.5

28% v 50%+ goal of time on proactive wetland protection.

GRANTS AND CONTRACTS

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.

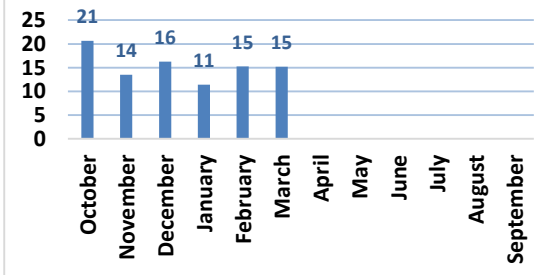### GOALS AND KEY PERFORMANCE INDICATORS (KPIs)

- Average number of days from receipt of invoice to date of payment is less than 30 days. (Accomplished)
- Request for Proposal (RFP) posted on the Electronic Bulletin Board (EBB) within 10 days of assignment to a Grant Management Specialist (GMS).
- Vendor notification within 10 days of bid closing.
- Executed Agreement date within 30 days of vendor notification of award.
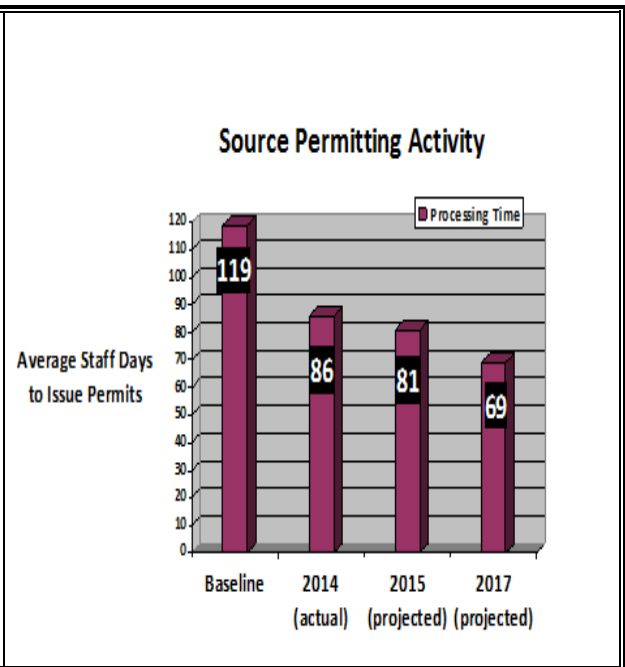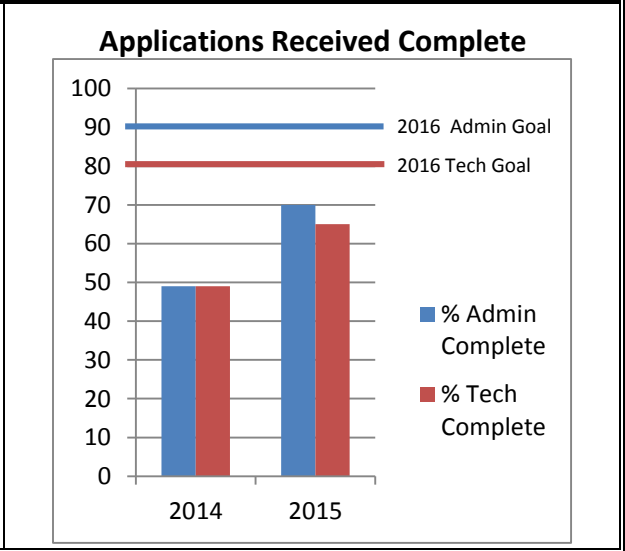
STATUS

- We have met our goal of processing invoices in less than 30 days. Our average remains at about 15.4 days.
- Our second GMS is starting on April 6th, which will allow us to move closer to our great state. Currently three other staff are juggling these responsibilities amongst other duties causing a delay in the process. Going forward, we will use our current data as a baseline.
- Currently our average time for RFP to be posted on the EBB is currently 17.2 days vs. our goal of 10 days.
- Average time for Executed Agreement from date of vendor notification is currently 27.7 days vs. our goal of 30 days.
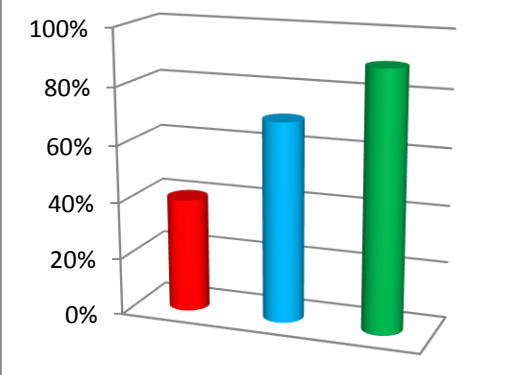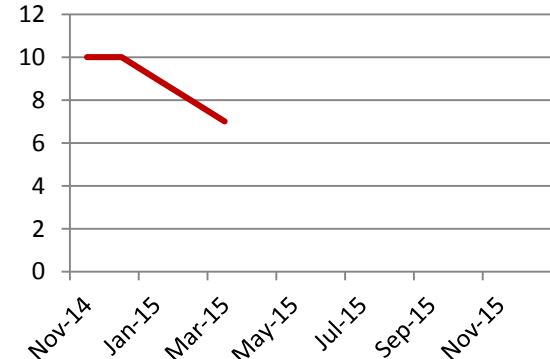

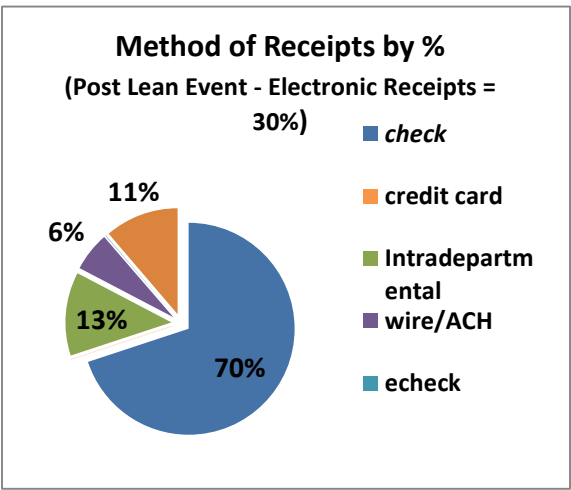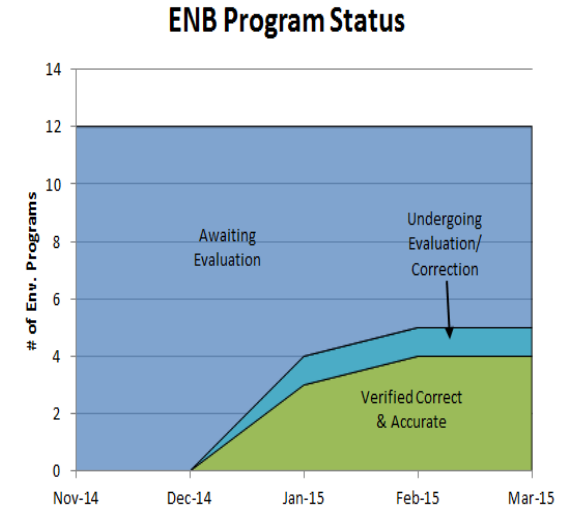**Average Days From Reciept of Invoice to Payment**
(Goal is less than 30 days)

October	November	December	January	February	March
21	14	16	11	15	15

November 1, 2014 to March 31, 2015

SOURCE PROTECTION PERMITS	GOALS AND KEY PERFORMANCE INDICATORS (KPIs)	
Event Date – May 2014	• Increase % of administratively and technically complete applications by 10%	
Drinking water source permitting involves a series of tests and technical determinations, including duplicative processes and notices that delay permitting.	• Reduce hydrogeologist processing time by 42%.	
	STATUS	
Standardized processes were developed to reduce re-work and increase the number of complete applications. Source protection plan approval was shifted to be done in parallel with construction permitting, allowing the applicant to move more quickly through the source permitting process.	• Parallel review of source water plans and construction permits has been implemented and five projects have started this process. • The effort to reduce formal public notices required from two to one is postponed. • Permit application was updated, simplified, and posted on website. We have received no stakeholder feedback. • Permit template generator being revised and getting closer to completion. • New FTP site is live and actively being used.	
STORMWATER GENERAL PERMIT	**GOALS AND KEY PERFORMANCE INDICATORS (KPIs)**	
Event Date – May 2014	• 90% of applications received administratively complete.	
This project seeks to improve efficiencies in the processing of stormwater permit applications under General Permit 3-9015.	• 80% of applications received technically complete (no revisions required).	
	STATUS	
Lean is used to identify strategies to increase the percentage of complete applications, automate billing functions, and reduce redundant data entry. Recovered staff resources resulting from the Lean process are dedicated to continuing investments in process improvement.	• For the above goals, there are no significant changes yet given focus has been on launch of new database. Further enhancements planned for submitting applications online once database completed. • Revised application forms to be introduced April 2015. • Time spent on processing public notices was reduced from 0.5 to 0.1 hours per application via automation, with time savings being redirected to the database project.	

CED/DEC INCIDENT TRACKING

Event Date – July 2014

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.

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.

GOALS AND KEY PERFORMANCE INDICATORS (KPIs)

- Upgraded database goes live by April 15th
- 70% of staff utilize BEAR database (good state)
- 90% of staff utilize BEAR database (great state)

STATUS

- Beta testing of upgraded database in progress.
- Improved case and citation status feedback/notification process by better integrating Outlook calendar and email tracking methods.
- Currently Working with Wetlands on directly connecting their compliance tracking database to BEAR
- Better integrating SPANs into system

Present State – Good State – Great State
Future state for database use

AIR QUALITY & CLIMATE DIVISION FACILITY INFORMATION SHARING

Event Date – October 2014

Three sections of the Air Quality & 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.

GOALS AND KEY PERFORMANCE INDICATORS (KPIs)

- Decrease the number of data locations for permits, registration and compliance data by 50%.
- Increase amount of cross-referencing of information by sections, and decrease amount of time taken to complete cross references.
- Increase number of permits available online by over 600%.

STATUS

- Significant IT progress has been made for the project including; the scoping and gathering of requirements for the data structure, the creation of permit tracking tables for the new database and notable progress on the database design itself.
- Per a newly established KPI, the Compliance Section continues to track inspection preparation time.

AQCD Facility Information Locales

RECEIPTS PROCESSING

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 was 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%.
- By March 5, 2015, develop standard operating procedures across the department by creating a department policy and individual division procedures.
- Reduce time from receipt to deposit from 21 days to 3 days.
- Minimize data entry (duplication) from input of information

STATUS

- From November 1 to March 31, 2015, 30% of receipts were electronic, up from baseline of 15%.
- We are actively working with programs to encourage entities to pay via ACH/Wire by including a brochure in with our billings for those programs that we send bills out. So far we have been able to include this flyer with 3 program billings.
- We have created the department policy and are in the process of creating the division procedures.

Method of Receipts by %
(Post Lean Event - Electronic Receipts = 30%)

- ■ check
- ■ credit card
- ■ Intradepartmental
- ■ wire/ACH
- ■ echeck

11%
6%
13%
70%

November 1, 2014 to March 31, 2015

PUBLIC NOTICE
Event Date – October 2014

We currently have public notice processes for 84 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.

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.

GOALS AND KEY PERFORMANCE INDICATORS (KPIs)

- Reduce the number of different public notice processes from 84 to 5 (94.1%), requiring a new subchapter to V.S.A. Title 10.
- 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.
- Enroll 250 interested parties in the online subscription service within 6 months of launch.

STATUS

- The Vermont Senate has introduced the public notice Lean event bill (S.123). The legislature is not likely to take this proposal up this session and will begin its discussion next legislative session.
- We are working with 12 programs to re-stablish 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.
- We are working with EPA to ensure notices for federally delegated permit programs meet minimum federal standards.

ENB Program Status

Goal is a 100% green chart, i.e., all 12 ENB programs are evaluated and corrected to ensure accuracy of Environmental Notice Bulletin.

IT Hours for DEC

Division	Discretionary Hours			Nondiscretionary Hours		
	Allocated	Used	Remaining	Allocated	Used	Remaining
A&I	281.0	160.5	120.5	281.0	120.5	160.5
AQC	540.0	51.5	488.5	568.5	84.5	484.0
CO	573.0	531.0	42.0	73.0	171.5	-98.5
DWGW	1297.0	219.5	1077.5	1901.5	238.0	1663.5
EAO	216.0	31.0	185.0	318.0	46.5	271.5
ENF	259.0	23.5	235.5	267.5	63.0	204.5
FED	475.0	48.0	427.0	719.0	69.0	650.0
GEO	65.0	0.0	65.0	84.5	35.0	49.5
LAB	123.0	29.5	93.5	173.0	48.5	124.5
Legal	0.0	0.0	0.0	0.0	4.5	-4.5
WMD	737.0	126.0	611.0	1389.0	268.5	1120.5

Division		1751.0	734.5	1016.5	2216.0	714.5	1501.5
WSM		1751.0	734.5	1016.5	2216.0	714.5	1501.5

Project Detail

Division	Project Name	Estimated	Used	Remaining	Phase	Rank	CO Rank	Project Type
A&I	Records Management System/SharePoint support	281.0	19.5	261.5	Planning	1	1	ECMS
AQC	AQCD LEAN Facility Information Sharing Database	320.0	51.5	268.5	Execution	1	2	Access
DWGW	Regional Office Tracking System: Compliance Tracking Module	24.0	5.0	19.0	Execution	1	3	Access
WSM	Stormwater	600.0	332.0	268.0	Execution	1	4	.Net/SQL
WSM	Wetlands Phase-II	454.0	225.0	229.0	Execution	2	5	.Net/SQL
WSM	Wetlands Phase-II (GIS)	40.0	5.0	35.0	Execution	2	5	GIS
ENF	Enforcer BEAR	80.0	23.5	56.5	Execution	1	6	.Net/SQL
WSM	SGA-DMS GUID Tool	60.0	21.0	39.0	Execution	3	7	.Net/SQL
CO	DEC Web	225.0	337.5	-112.5	Execution	2	8	Web Design
CO	ENB Loading Routine Cleanup	60.0	4.5	55.5	Execution	1	9	.Net/SQL
FED	LGTS	200.0	34.0	166.0	Planning	1	10	.Net/SQL
FED	Maintain SuperK	20.0	7.0	13.0	Planning			.Net/SQL
FED	National Inventory of Dams	20.0	0.0	20.0		4		Access
GEO	Digital image database	0.0	0.0	0.0				GIS
GEO	GEO Layers added to ATLAS	40.0	0.0	40.0		1		GIS