



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.

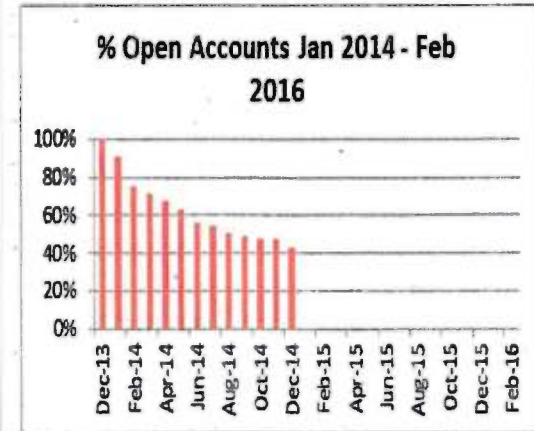
GOALS AND KEY PERFORMANCE INDICATORS (KPIs)

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

STATUS

Totals as of December 2014	
Funds Returned	\$970,311.88
Accounts Closed	610

- On track to eliminate backlog by March 2016. Process changes resulted in a 55% reduction in the backlog or 490 open accounts as of end of Dec 2014.
- For December, \$33,362.85 was returned to the SRF.
- New "Audit as We Go" method, implemented a front-end spot-check audit process to prevent addition of accounts to the backlog.



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.

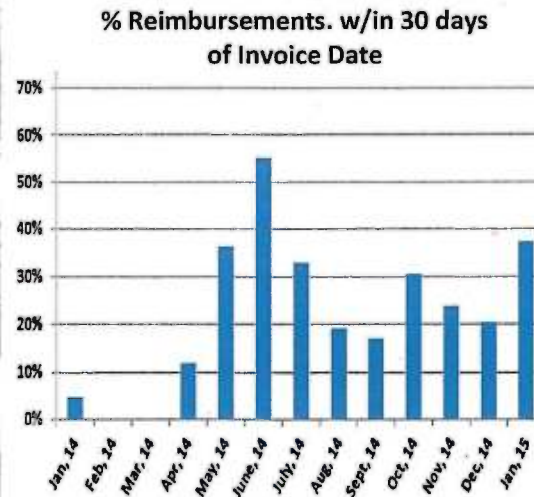
An innovative approach was needed both to free-up staff time involved in reimbursement activity and money owed to the public and consulting community.

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 January, 83% of claims were paid within 30 days of receipt vs. 2013 baseline of 33%.
- 38% of claims were paid w/in 30 days of invoice date vs. 4% baseline; see chart. Majority of process time is now external – from invoice date to DEC claim receipt. Current efforts focus on rolling out online submission to help customers reduce external time.
- For January, internal processing time average was 22 days, a reduction of 53% from 2013 baseline of 47 days.
- On 1/7/15 we rolled out payment via direct deposit, saving time and effort by eliminating extra steps for mailing and obtaining client signature on two-party checks.



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.

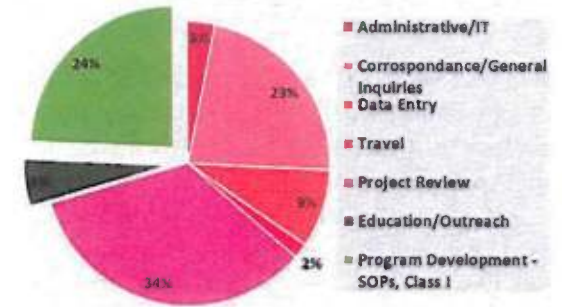
GOALS AND KEY PERFORMANCE INDICATORS (KPIs)

- Shift staff time to proactive wetland protection: “Good State” - >25% staff time vs. baseline of 19%; and “Great State” - >50% of time.
- 100% appropriate documentation for all permits and site visits are entered into database versus the 2013 baseline of 60%.

STATUS

- For January, 29% of staff time was spent on proactive wetland protection – up 53% from benchmark; shown on chart in **light and dark green**.
- Due to database improvements and better tracking, the number of documented site visits increased from 60% to 98% from 2013 to 2014, respectively.
- Permit and application statuses now searchable online.
- Piloting enhanced DEC compliance tracking by linking our database to DEC enforcement database.

January 2015 - Wetlands Staff Time



29% v 50%+ goal of time on proactive wetland protection. Activities to increase proactive wetland protection in 2015 include site visits, bioassessment, and wetlands mapping.

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 60+ staff managing ~225 active grants and contracts at any given time. The 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)

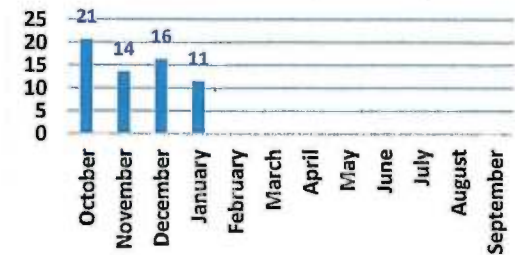
- Average number of days from receipt of invoice to date of payment is less than 30 days. (Achieved)
- Request for Proposal (RFP) posted on the Electronic Bulletin Board (EBB) within 10 days of assignment to a Grant Management Specialist (GMS). (Achieved)
- Vendor notification within 10 days of bid closing.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

STATUS

- The average time from the date we receive an invoice to the time the payment is made is currently 15.4 days vs. our goal of 30 days
- Average time for RFP to be posted on the EBB is currently 9.2 days vs. our goal of 10 days.
- Average time for vendor notification from date of bid closing is currently 21.7 days vs. our goal of 10 days.
- Average time for Executed Agreement from date of vendor notification is currently 20 days vs. our goal of 30 days.

Average Days From Receipt of Invoice to Payment

(Goal is less than 30 days- Achieved)



November 1, 2014 to January 31, 2015



<p>SOURCE WATER PROTECTION PERMITS Event Date – May 2014</p> <p>Drinking water source permitting involves a series of tests and technical determinations, including duplicative processes and notices that delay permitting.</p> <p>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. Increased capacity is used for higher value tasks, such as technical assistance to municipalities.</p>	<p>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</p> <ul style="list-style-type: none"> • Reduce hydrogeologist processing time by 42%. • Increase % of administratively complete applications by 10%. • Increase % of technically complete applications by 10%. <p>STATUS</p> <ul style="list-style-type: none"> • Parallel review of source water plans and construction permits has been implemented. • Legislation proposed to reduce formal public notices required from two to one. • Permit application updated and simplified. • Electronic mailbox developed and now available for online submittals. 	<p>Source Permitting Activity</p> <table border="1"> <caption>Source Permitting Activity Data</caption> <thead> <tr> <th>Year</th> <th>Average Staff Days to Issue Permits</th> </tr> </thead> <tbody> <tr> <td>Baseline</td> <td>119</td> </tr> <tr> <td>2014 (actual)</td> <td>86</td> </tr> <tr> <td>2015 (projected)</td> <td>81</td> </tr> <tr> <td>2017 (projected)</td> <td>69</td> </tr> </tbody> </table>	Year	Average Staff Days to Issue Permits	Baseline	119	2014 (actual)	86	2015 (projected)	81	2017 (projected)	69		
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<p>STORMWATER GENERAL PERMIT Event Date – May 2014</p> <p>This project seeks to improve efficiencies in the processing of stormwater permit applications under General Permit 3-9015.</p> <p>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.</p>	<p>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</p> <ul style="list-style-type: none"> • 90% of applications received administratively complete. • 80% of applications received technically complete (no revisions required). <p>STATUS</p> <ul style="list-style-type: none"> • 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 March 2015. • Time spent on processing public notices was reduced from 0.5 to 0.1 hours per application via automation. • As of January 2015 all program records are in electronic format. 	<p>Applications Received Complete</p> <table border="1"> <caption>Applications Received Complete Data</caption> <thead> <tr> <th>Year</th> <th>% Admin Complete</th> <th>% Tech Complete</th> </tr> </thead> <tbody> <tr> <td>2014</td> <td>50</td> <td>50</td> </tr> <tr> <td>2015</td> <td>70</td> <td>65</td> </tr> <tr> <td>2016</td> <td>90</td> <td>80</td> </tr> </tbody> </table>	Year	% Admin Complete	% Tech Complete	2014	50	50	2015	70	65	2016	90	80
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2014	50	50												
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CED/DEC INCIDENT TRACKING

Event Date – July 2014

The goal of this event was to better understand how the current incident tracking system was performing and being used by DEC staff and then to improve all aspects of said tracking system.

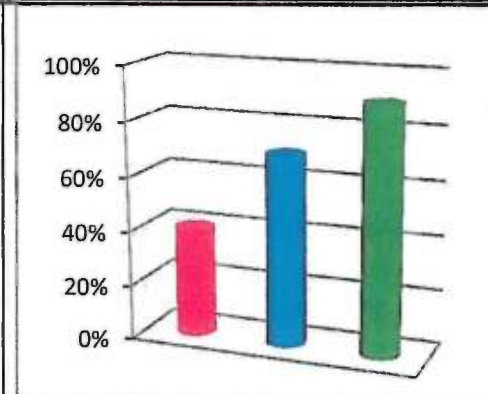
As the system is designed to be used department wide, this goal required bringing together representatives of all divisions in the department to efficiently assess performance and analyze usage

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

- Rebranded the incident tracking system as BEAR.
- 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 (AQCD) FACILITY INFORMATION SHARING

Event Date – October 2014

Three sections of the 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 allowing for more focus on increased work product and public service.

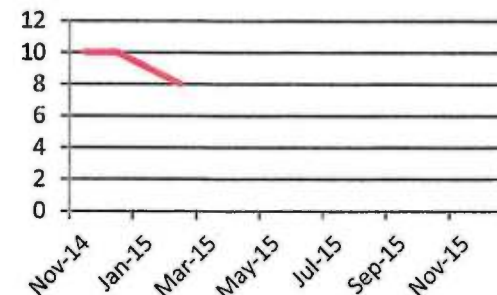
GOALS AND KEY PERFORMANCE INDICATORS (KPIs)

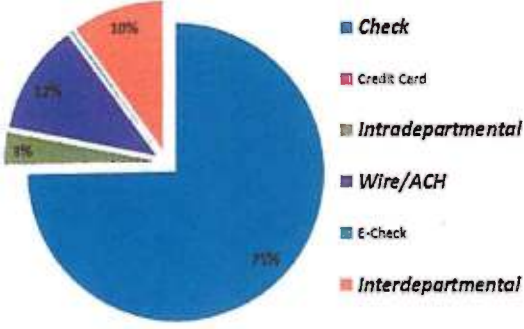

- Decrease the number of data locations for permits, registration and compliance data by 50%.
- Increase amount of cross referencing of information by sections, and decrease amount of time taken to complete cross references.
- Increased number of air permits available publicly.

STATUS

- The number of data locations has been reduced by 20% (from 10 to 8) for permits, registration and compliance.
- Continued work towards consolidation of facility information between the three involved AQCD sections to one location until the shared database components can be developed.
- Standard Operating Procedure completed.
- Program/ database needs being established by AQCD and IT personnel.

AQCD Facility Information Locales



<p>RECEIPTS PROCESSING Event Date – October 2014</p> <p>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.</p>	<p>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</p> <ul style="list-style-type: none"> 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 <p>STATUS</p> <ul style="list-style-type: none"> From November 1 to January 31, 2015, 25% 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. 	<p>Method of Receipts by % (Post Lean Event - Electronic Receipts = 25%)</p>  <p>November 1, 2014 to January 31, 2015</p>
<p>PUBLIC NOTICE Event Date – October 2014</p> <p>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.</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>GOALS AND KEY PERFORMANCE INDICATORS (KPIs)</p> <ul style="list-style-type: none"> 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. <p>STATUS</p> <ul style="list-style-type: none"> We have drafted our legislative proposal for reducing the number of public notice processes (from 84 to 5), and are working closely with the legislature on a legislative change. We are working with 12 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. We are working with EPA to ensure notices for federally delegated permit programs meet minimum fed standards. 	<p>Status of ENB Programs</p>  <p>Goal is a 100% green chart, i.e., all 12 ENB programs are evaluated and corrected to ensure accuracy of Environmental Notice Bulletin.</p>