Monthly Report	**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 October 2015	
Funds Returned	$1,602,738
Accounts Closed	832

- Process changes resulted in a 76% reduction in the backlog or 264 open accounts at the end of October 2015.
- For October, $3,667.03 was returned to the SRF Fund.
- Half week long LGTS Data Reconciliation took priority for October.
- AIS site audit was conducted, the first of many in the next year given the new CWSRF Federal Requirements.

**% Open Accounts
Jan 2014 - March 2016**

Goal - decrease open accounts to 0% by March 2016

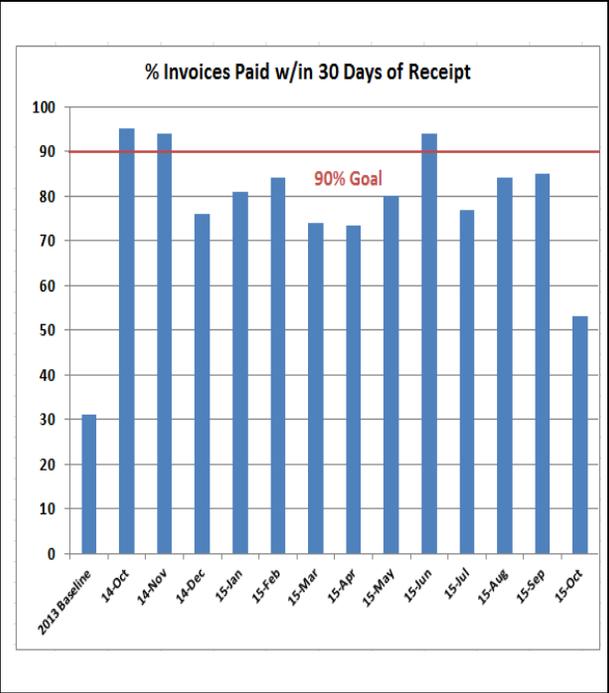| Monthly Report	**PETROLEUM CLEANUP FUND** **Event Date – February 2014** The lead-time to issue reimbursement checks to our customers (tank owners and their consultants) was too long. Redundancy in the review and appeal process duplicated efforts and increased the length of time it took to receive 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.
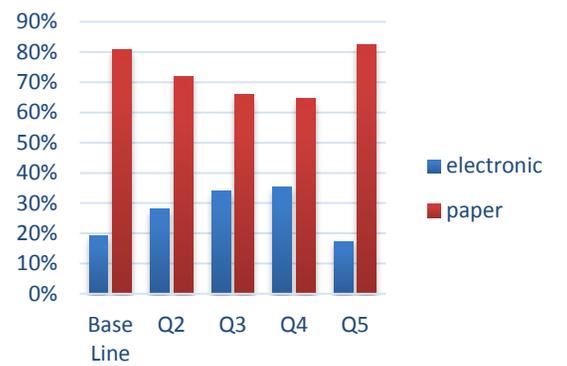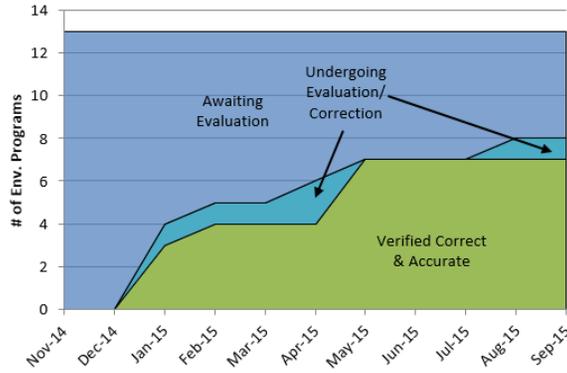- Reduce internal processing time by over 50%.

STATUS
- For October, 53% of claims were paid within 30 days of receipt vs. 2013 baseline of 31%.
- For August, ANR internal processing time average was 29 days versus our 2013 baseline of 47 days, a 38% reduction.
- October was a very busy program month due to another major project, but we anticipate a strong rebound in November.
- Additional enhancements (e.g., auto screen resizing) were made to our consultant dashboard based on feedback. This new tool allows stakeholders to readily see the status of all proposed budgets and claim submissions.
- Internal testing of our online claim submission process has begun. Several opportunities continue to be identified and improvements will be made throughout November. Currently, the consultant must send claims to their client for review and signature, and then mail them to ANR.
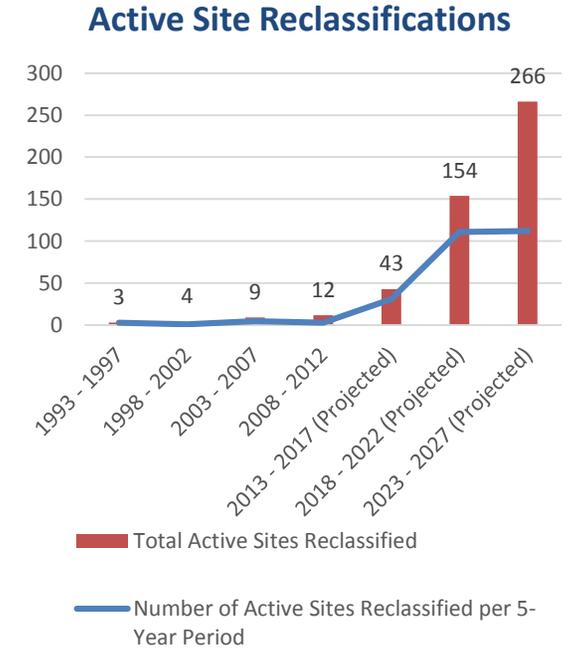
Monthly Report

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%.
- Increase time spent on proactive site visits:
  "Good State" <50% of site visits
  "Great State" <80% of site visits

STATUS

- Issues were found with the new star entry, which is used to georeference projects in the database. This was resulting in duplicative data entry on behalf of the wetlands ecologists and wasted time. The problem has been resolved and staff can now do this faster on the go. As a result, more projects will have stars added in real-time going forward.
- The generation of letter forms, which will give applicants a faster response time has been delayed for a few weeks.

Breakdown of Wetlands Staff Time
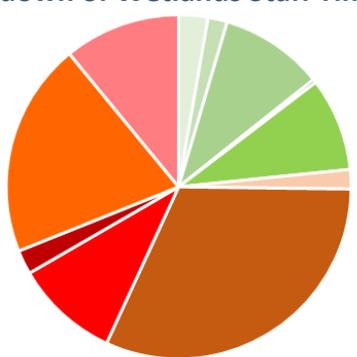
Outreach · Field Compliance · Bioassessment · Mapping · Development · Training · Project Review · Travel · Administrative/IT · Correspondence · Data Entry

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 29).
- Request for Proposal (RFP) posted on the Electronic Bulletin Board (EBB) within 10 days of assignment to a Grant Management Specialist (GMS) (currently 19 days).
- Vendor notification within 10 days of bid closing. (currently 27 days).
- Executed agreement date within 30 days of vendor award notification (currently 58 days).

STATUS

- The average number of days from invoice date to date of payment has been consistently below our 30 day target. Other KPI's, however, are not being met. We are meeting our KPI targets for processing contracts (under 30 days), but grant processing is taking much more time (70 days). The team is working on revising the KPIs and working with BTI to develop a list of potential solutions to the grant delays.

Days from Vendor Notification to Signed Agreement
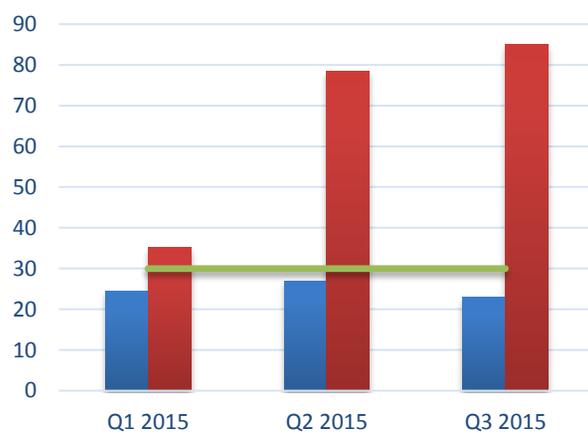
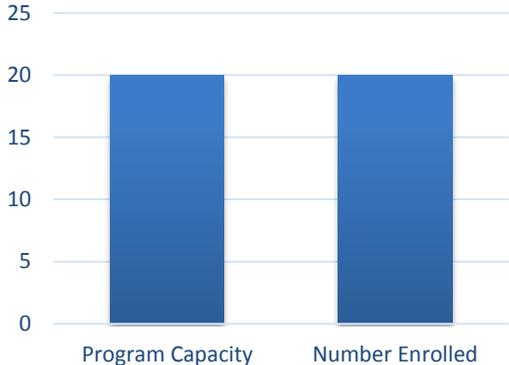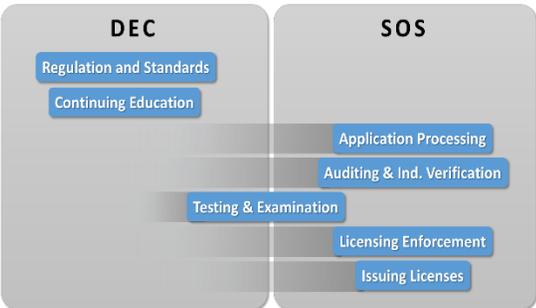Contract · Grant · KPI Target (30 days)

Quarterly Report (July – September)

SOURCE PROTECTION PERMITS
Event Date – May 2014

Drinking water source permitting involves a series of tests and technical determinations, including duplicative processes and notices that delay permitting.

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.

GOALS AND KEY PERFORMANCE INDICATORS (KPIs)

- Increase administratively and technically complete applications by 10%.
- Reduce hydrogeologist processing time by 42%.

STATUS

- On track to meet 2015 goal for average processing time.
- Baseline data being gathered on the current number of administratively and technically complete applications.
- Permit template generator completed which will lead to more timely, consistent and accurate source permits.
- Parallel review of source water plans and construction permits implemented. 13 projects are using the new process.
- The effort to reduce formal public notices required from two to one requires a legislative fix. Legislation pending.
- Permit application was updated, simplified, and posted on website. Stakeholder feedback requested.
- New FTP site is live and actively being used by consultants.

Source Permitting Processing Time
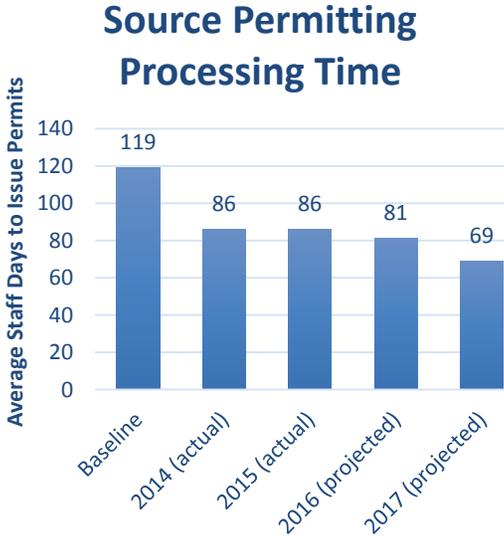
Average Staff Days to Issue Permits

Category	Value
Baseline	119
2014 (actual)	86
2015 (actual)	86
2016 (projected)	81
2017 (projected)	69

Monthly Report

STORMWATER GENERAL PERMIT
Event Date – May 2014

This project seeks to improve efficiencies in the processing of stormwater permit applications under General Permit 3-9015.

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.

GOALS AND KEY PERFORMANCE INDICATORS (KPIs)

- 90% of applications received administratively complete.
- 80% of applications received technically complete (no revisions required).

STATUS

- Automation of our public notice process has led to some time savings for administrative staff.
- The new database is currently live and is being tested.
- The new database will be fully operational by 1/1/16. The new database will alleviate multiple deficiencies that are present in the existing database, and will provide a functional platform for improving automation of data management. The next phase (Phase II) of the database project will use nForm to automate permit application and issuance processes. Automation of permit applications is expected to increase the rate of complete applications.
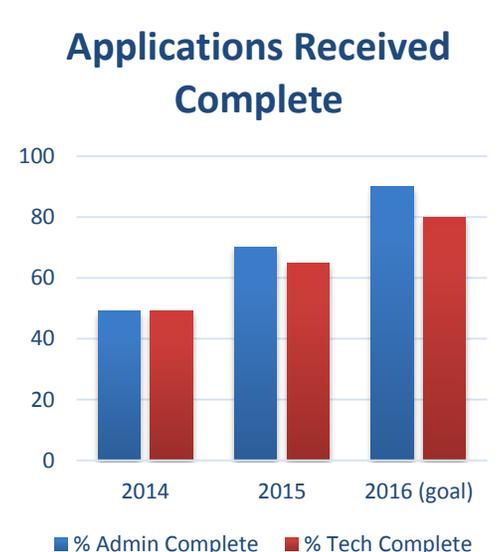
Applications Received Complete

Year	% Admin Complete	% Tech Complete
2014	50	50
2015	70	65
2016 (goal)	90	80

Quarterly Report (July – September)

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)

- 70% of staff utilize incident tracking database (good state).
- 90% of staff utilize incident tracking database (great state).

STATUS

- Finished work on dashboard of open complaints.
- Finished work on the rebuild of program code and investigator access lists – now doing maintenance type updates.
- Significant progress on the dashboard concept of case status.
- Significant progress on improving grand list Search functions.

Tracking Database Usage
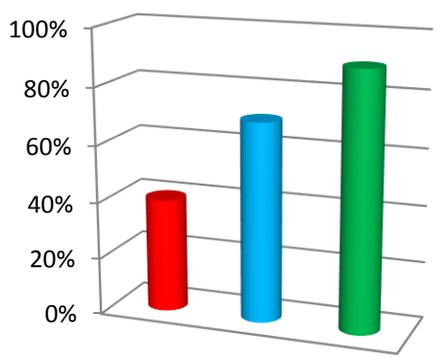
Present State – Good State – Great State

Monthly Report

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

- Basic front end .net database has been created.
- Test pages for searching and editing of facility information have been established.
- Existing facility data added to new database for testing purposes.
- Corrections made to designs of facility permitting and contacts data tables.
- Links established for connecting to SQL database with Access or Excel for queries and reports.

AQCD Facility Information Locales

Quarterly Report (July – September)	**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 have shifted to quarterly reporting rather than monthly which is a better indicator of our progress. • We continue to work with programs to encourage entities to pay via ACH by including a brochure in with our billings for those programs that we send bills out. • The random audit for September was the DWGW Essex Regional Office. There were 8.5 days between date of the check and deposit, and 5 days from date of receipt to date of deposit.	**Percentage of Receipts Received Electronically vs. Paper (check)** *Good State Goal – 50% electronic payment* *Great State Goal – 95% electronic payment*
Quarterly Report (July – September)	**PUBLIC NOTICE** **Event Date – October 2014** 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. 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 85 to 5 (94%), 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 introduced the public notice lean event bill (S.123) but did not take up the proposal this session. Stakeholder outreach is ongoing. • We are working with 13 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 fed standards.	**ENB Program Status** *Goal - 100% green chart, i.e., all 13 ENB programs are evaluated and corrected to ensure accuracy of Environmental Notice Bulletin.*

Monthly Report	**CONSTRUCTION PROCUREMENT** **Event Date – March 2015** 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.	**GOALS AND KEY PERFORMANCE INDICATORS (KPIs)** • Efficiency measures reduce overtime by 15% by December 2015. • DEC process time reduced by 15% by December 2016. • 10% increase of on-time projects by December 2016. • 10% increase of on-budget projects by December 2016. **STATUS** • Revising meeting schedules, developing checklists, and creating training documents. • Field-testing first generation of selected checklists. • Held a subcommittee meeting with USDA RD, FED representatives and engineering consultants to review the use of Engineers Joint Contract Documents Committee construction and engineering contract documents to streamline discrepancy between both funding programs.	**Future State Projections** —●— % Projects On Budget —●— % Projects On Time —●— Staff Overtime Hours
Monthly Report	**IDENTIFICATION & PRIORITIZATION OF WATER POLLUTION RESTORATION PROJECTS** **Event Date – March 2015** 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.	**GOALS AND KEY PERFORMANCE INDICATORS (KPIs)** • 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. • 50% of incoming projects by June 2016, 75% of incoming projects by 2017, and 100% of incoming projects by 2019 provide pollution reduction estimates. • Implementation tables for tactical basin plans are updated continuously. 50% of plans by April 2016 and 100% of plans by October 2016 updated. **STATUS** • Prioritization criteria are complete save for wetlands. • A new database has been built in pilot form that will house implementation tables. New ERP/CWIP staff are leading the visioning and initial user requirements analysis. • The database architecture integrates implementation actions, prioritization criteria, and tracking and reporting. Online implementation tables can be a reality in the coming months. • Outreach is now underway in two watersheds to implement the "great state" planning and implementation process. • This great work is proceeding notwithstanding the challenge of implementing all other components of Act 64, all of which is also priority for the Division.	Pipeline of Projects in DEC Database ● Priority level based on Implementation Table **Graphic describing Stage Gate criteria for project prioritization**

Monthly Report

VTRANS-ANR TITLE 19
Event Date – March 2015

Title 19 requires VTrans to consult with ANR on instream projects like culvert replacements, road embankments, and other instream work. Currently, Title 19 projects follow two VTrans pathways: a Maintenance and Operations Bureau (MOB Districts) pathway and a Project Delivery Bureau (PDB) pathway.

This Lean project seeks to standardize and clarify both pathways given the site context, leverage technology for improved efficiencies, improve tracking of Title 19 projects at the District level, and reduce re-do loops. This project will also develop low-risk criteria for specific project types in an effort to reduce review time by ANR staff.

GOALS AND KEY PERFORMANCE INDICATORS (KPIs)
- 100% of Title 19 projects have full documentation by March 30, 2016.
- 80% of Title 19 projects come through PDB without loop backs by March 30, 2016.
- 25% reduction in Title 19 consultation times by March 30, 2017 (pending programmatic agreement).

STATUS
- A field audit of MOB projects is scheduled for Monday, November 9th. Representatives of VTrans and ANR River Management are planning on attending. We expect to be able to report back on results of the field audit by the December monthly report.
- No commitments were completed since last month.
- The group still needs to schedule meeting(s) to discuss PDB low-risk criteria.

Current State

Project identified as Title 19

↓
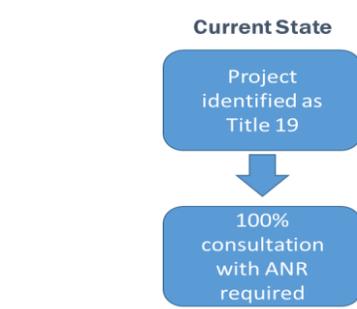
100% consultation with ANR required

Future State
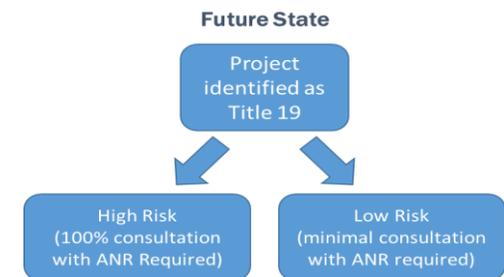
Project identified as Title 19

High Risk (100% consultation with ANR Required)   Low Risk (minimal consultation with ANR required)

Monthly Report

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
- A subcomittee of the Groundwater Coordinating Committee met 2/3 times per week during the month of October to revise/provide comments on the GW Rule. The new Class IV reclassification procedures were included in the rule as an appendix. The subcommitte revised the procedures in the rule to detail how relcassification should be conducted.
- We met with IT to discuss database/mapping enhancements; a work order will be needed.
- We are now in a holding pattern regarding revising the checklist, fact sheet and standard letter until the revisions are accepted or denied. Proposed changes are being presented to management on 11/12/15.

Active Site Reclassifications

Chart showing values 3, 4, 9, 12, 43, 154, 266 across periods 1993-1997, 1998-2002, 2003-2007, 2008-2012, 2013-2017 (Projected), 2018-2022 (Projected), 2023-2027 (Projected)

■ Total Active Sites Reclassified
— Number of Active Sites Reclassified per 5-Year Period

Monthly Report	**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** • Program is filled to capacity with 20 members serving with 20 different host sites. • Enrollment paperwork is complete for all active members. • 3 out of 12 member trainings have been completed.	**Full Time AmeriCorps Members Enrolled for 2015-2016 Service Year** *Bar chart: Program Capacity = 20, Number Enrolled = 20 (y-axis 0 to 25)*
Monthly Report	**Licensing and Certification (L&C)** **Event Date – July 2015** There is an opportunity to think of licensing and certification at a department level. While there are no fewer than six L&C programs, many share a number of key attributes: renewal processes; continuing education tracking; fee processing requirements; and some share the same customers. 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.	**GOALS AND KEY PERFORMANCE INDICATORS (KPIs)** • % of programs with consolidated data management system. • Number of programs moved to delegation. **STATUS** • Met with Division Director and program staff regarding new installer licensing program. • Met with Licensed Designer staff to review revenue vs. labor current and future states. • Drafting responses to questions for Licensed Designer and installer programs. • Drafted financial summaries for all programs.	**Potential Delegation of Licensing and Certification Tasks** *Diagram — Licensing Tasks:* **DEC:** Regulation and Standards; Continuing Education; Testing & Examination **SOS:** Application Processing; Auditing & Ind. Verification; Licensing Enforcement; Issuing Licenses