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*Susanne R. Young, Secretary*

**MEMORANDUM**

TO: Governor Phil Scott, Jason Gibbs and Susanne Young  
CC: Dru Roessle, Justin Kenney, and Paul Keegan  
FROM: Susan A. Zeller, CPO  
RE: Submission of Targeted Action Plans and PIVOT Update  
DATE: June 20, 2017

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The *PIVOT Phase 2a –Targeted Action Plans Submission & PIVOT Update Report*, is hereby submitted for the Governor’s review and approval. The report is also available at:

[http://spotlight.vermont.gov/sites/spotlight/files/Performance/PIVOT/TAP\\_Gov\\_Submission\\_PIVOT\\_Update\\_June2017\\_FINAL.pdf](http://spotlight.vermont.gov/sites/spotlight/files/Performance/PIVOT/TAP_Gov_Submission_PIVOT_Update_June2017_FINAL.pdf).

Targeted Action Plan (TAP) projects are categorized as Statewide or Agency Projects. Included are 3 Statewide Improvement Projects:

- Statewide Permit Improvement,
- Open Data/Data Dashboard, and
- New Budget Construct (with GMET).

Despite not including a Statewide Project for Purchasing and Contracting, the Agency Project list includes selections for Contracting improvement by: Agency of Administration (BGS, FIN, plus Attorney General’s Office); Agency of Human Services; and Department of Public Safety. The AOA Contracting project will have impact on improving contracting processes for all agencies. Many of the contracts processed by BGS, and all the contracts sent for review to FIN, the AGO and the Secretary of Administration are for other agencies. Therefore, improvements in these processes will benefit all Agencies. Process improvements made now to the manual systems can be built into the centralized system AOA is in the process of procuring. Until AOA implements a statewide e-procurement & contract system, the processes will remain primarily manual and decentralized. In addition, AHS and AOT have selected improvement projects for their Grant Processes. Improvements in grant processes will impact numerous non-profit partners and municipalities.

A summary list of all TAP projects begins on PAGE 10, followed by the individual TAP proposals, in the same order as the summary list. In addition to the 3 Statewide Projects, there are 41 Agency Improvement Projects

In accordance with the established PIVOT timeline, we respectfully request approval of the Targeted Action Plan proposals by June 30, 2017. Once we receive Executive approval to proceed on these project proposals, project initiation Phase 2b will begin.

Should you have questions and comments, or if you would prefer a presentation of this material by the PIVOT Development Team, please let me know.

# PIVOT Phase 2a –Targeted Action Plans Submission & PIVOT Update Report

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*This report is available on-line at:*

[http://spotlight.vermont.gov/sites/spotlight/files/Performance/PIVOT/TAP Gov Submission PIVOT Update June2017 FINAL.pdf](http://spotlight.vermont.gov/sites/spotlight/files/Performance/PIVOT/TAP_Gov_Submission_PIVOT_Update_June2017_FINAL.pdf)

# **I. PIVOT History and Phase 1**

## **A. History**

Executive Order 07-17 directed all State Agency Secretaries and Department Commissioners to utilize their powers, duties, and programs to establish: growing the Vermont economy; making Vermont an affordable place to live, work, and do business; and protecting vulnerable Vermonters, as cornerstones of their strategic and operational goals (Outcomes).

Executive Order 04-17 created the Program to Improve Vermont Outcomes Together (PIVOT), led by the Chief Performance Officer (CPO), and directs all executive branch agencies and departments to:

- modernize government resulting in efficient and effective services and programs that produce results now and into the future;
- adopt continuous improvement as both a culture and a toolbox which includes proven results and process improvement tools such as Lean and Results-Based Accountability;
- drive continuous improvement with strategic outcomes (goals) contained in a living Strategic Plan;
- monitor said strategic outcomes by using results-based indicators and programmatic performance measures to inform the level of success in achieving the strategic outcomes;
- use tools such as Lean for process improvement by focusing on customer value - added activities, elimination of unnecessary steps and bottlenecks, and build capacity in programs and activities.

For purposes of this report, “Agency or Agencies” refers to Executive Branch Agencies and Independent Departments included in the Governor’s Cabinet. Elected Offices, Boards and Commissioners were not included, except for the Natural Resources Board, due to critical role in State permitting. Lottery was excluded due to the open cabinet position and uncertainty surrounding the potential reorganization included in E. O. 07-17.

## **B. PIVOT Planning & Development**

The CPO requested the State’s three dedicated performance improvement staff be reassigned to PIVOT on a part-time basis. In addition to the CPO, these individuals form the four-person PIVOT Development Team (PDT). The PDT developed a “quick start” program, intended to: train and gain buy-in from extended cabinet-level leadership; train and energize line-level staff in the basics of performance improvement, utilizing Results-Based Accountability and Lean; and drive PIVOT through the lenses of the Governor’s three Strategic Outcomes. Establishing the Strategic Outcomes allowed the PDT to jump start the initiative, working immediately to develop actionable improvement ideas and returning to further strategic planning work later in the process.

To fully understand how to modernize Vermont State Government and improve operational efficiency, PIVOT first needed to inventory and understand: what services the State provides; what programs the State delivers those services through; and what activities/processes are used by the State to manage those programs. PIVOT was divided into several planned phases:

- ✓ PIVOT Phase 1 – Inventory Matrix Version 1.0; (completed)
- ✓ PIVOT Phase 2a – Targeted Action Plan (TAP) Development & Submission; (completed)
- PIVOT Phase 2b – TAP Project initiation through implementation;

- 
- PIVOT Phase 3 – Inventory Matrix Version 2.0;
- PIVOT Phase 4 – Statewide Steering Committee & 5-year Statewide Strategic Plan.

### C. **PIVOT Phase 1 – SPA Matrix**

Agencies were asked to “inventory” their areas of responsibilities. This inventory, referred to by its acronym “SPA” Matrix, segregates their areas into three categories:

**SERVICE DOMAINS:** Broad areas of service for which your agency or department is responsible.

**PROGRAMS:** How your department manages the delivery of service (name, purpose, budget, staff).

**ACTIVITIES:** Processes used by programs to deliver services.

A great deal of knowledge and a fuller understanding of the breadth of services was gained in completing this Phase. Agencies had previously taken a holistic view of all they are responsible to manage, report and deliver.

## II. **PIVOT Phase 2a Submission**

### A. **PIVOT Phase 2a –Targeted Action Plan (TAP) Preparation/Submission**

Based on the knowledge gained producing the SPA Matrices, each Agency then developed proposals for 3 - 5 actionable improvement projects, called Targeted Action Plans (TAP). Each TAP proposal describes: how it aligns and support the Governor’s three top strategic Outcomes (E.O. 01-17); how we are doing now; what doing better looks like; current challenges; what is proposed; scope and implementation plan; and how progress will be monitored. A summary list of the 44 Statewide and Agency Improvement TAP projects begins on page 10, followed by the individual TAP proposals, in the same order as the summary list.

## III. **PIVOT Next Phases**

### A. **PIVOT Phase 2b - Targeted Action Plan (TAP) Project Initiation and Implementation**

**Note: Resource Challenged:** Training additional “Green Belt” facilitators is critical to TAP Project Initiation. Our goal, by the end of August, is to have at one or more Green Belt facilitator trained for each Agency. The lack of experienced Green Belts will impact the pace at which we can initiate individual projects. Although we currently have 80+ Green Belt facilitators, the majority are in DEC and AOT. We cannot reasonably expect to “borrow” sufficient Green Belts for facilitation in other Agencies without adversely impacting the host department’s work.

PIVOT Team Leads and Team Members are responsible for completing their full-time job duties, in addition to working on PIVOT. The three PDT non-AOA members working directly with the CPO have been spending approximately 60% of their time on the statewide PIVOT effort.

The PDT was already extremely challenged for this phase without the recent announcement that Paul Keegan, AOT Lean Project Manager is leaving the State as of June 28, 2017. This is a blow and I am not certain how we will make up for this loss of a highly trained and key Team member. All four members of the PIVOT Development Team were key to project initiation – attending and assisting new Green Belts in project initiation and planning. Therefore, we must at a minimum, continue to maintain the 2 PDT members level of effort on PIVOT, if not increase their efforts to PIVOT, despite the negative impact on AHS and ANR resulting from their reassignment. The loss of 25% of our planning, training and support staffing will additionally slow Phase 2b.

Project initiation includes assigning individuals to fill project roles, determining which type of event best fits the project, and preparing a Project Charter. Project Roles include: Trained Facilitator (Green Belt), Project Sponsor, Project Champion, and Project Team Members. The time commitment required and the make-up of the Teams depends on how complex the project scope is, and how many subject matter experts and stakeholders need to be involved to help ensure successful completion.

## **B. PIVOT Phase 3 – SPA Matrix Version 2.0**

In preparation for the PIVOT Strategic Phase 4, we will ask cabinet agencies to update the SPA Matrices to include additional information, such as:

- Alignment of Strategic Outcomes to Service Domains;
- Alignment of Service Domains to Programs;
- Adding primary IT System assignments to Activities.

## **C. PIVOT Phase 4 – 5-year Statewide Strategic Plan**

Beginning in September, and led by the CPO, each Agency will begin developing a 5-year Statewide Strategic Plan (Plan). The Plan will align with the Strategic Outcomes, including the Governor's top three. Agencies will focus on strategies for their core Service Domains areas of responsibilities. Completion of the Strategic Plan is tentatively targeted for release with the FY 2019 Governor's Budget Recommendations. Our approach is for the Plan to be graphically represented, as shown in the figure shown below, rather than the traditional lengthy narrative format. This, too, will promote a shorter timeframe for development.

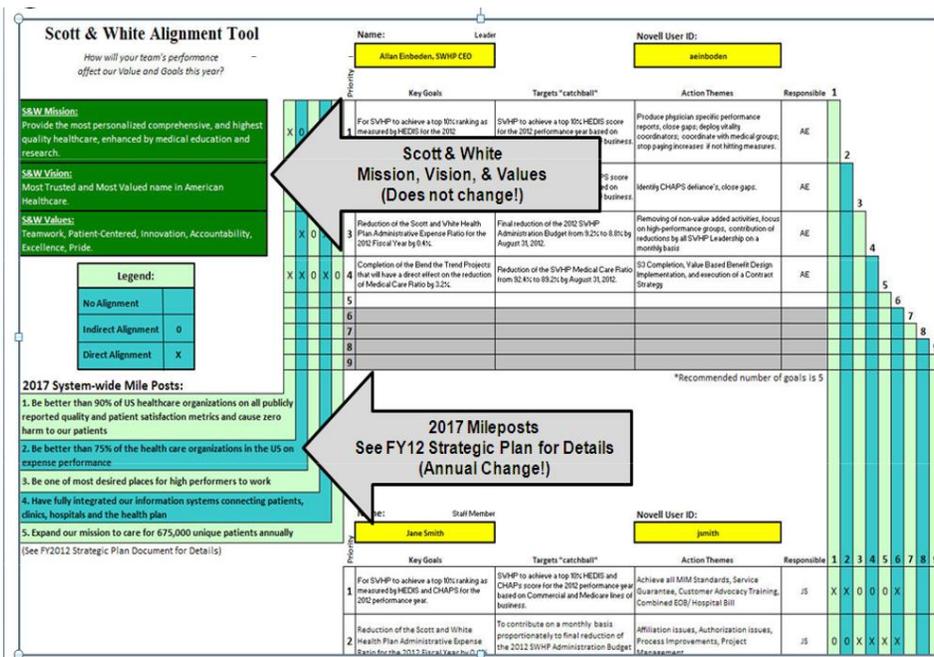


Figure 1 - Example Only

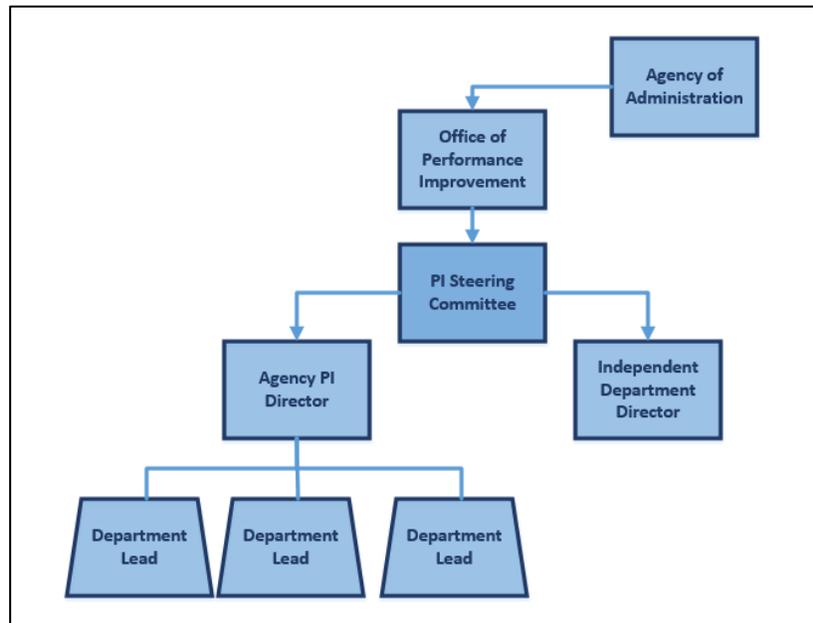
## D. Performance Improvement Steering Committee

Key to embedding continuous improvement into government management and operations is the formation of a Performance Improvement Steering Committee (Committee) to advise and assist agencies and departments in making VT government services smarter, simpler, cheaper, faster and better, by providing a clearing house for executive branch improvement projects and consulting resource to project improvement teams. Under the guidance of the Committee and by employing the improvement methods of Results-Based Accountability and Lean, VT's state agencies and departments can continue the work begun with PIVOT of removing inefficiencies, improving customer service, improving Vermont's economy and affordability, and achieving measurable results.

The Committee will be Chaired by the State Chief Performance Officer (CPO), within the Agency of Administration. The Committee is composed of two units: the PI Core Team (the PIVOT Development Team (PDT)), and the PI Lead Team (PI Leads from each agency and independent department). The Steering Committee purpose is to:

- Organize government modernization efforts to produce efficient and effective services, now and into the future; foster the adoption of continuous improvement as both a culture; manage scarce resources;
- Oversee training program about the use of tools such as RBA for strategic outcome and programmatic results improvement and Lean for process improvement, by focusing on customer value, added activities, elimination of unnecessary steps and bottlenecks, and building capacity in programs;
- Assist agencies and departments with the utilization of proven improvement tools such as Results-Based Accountability and Lean;
- Drive continuous improvement with strategic outcomes (goals) contained in a living Statewide Strategic Plan;
- Monitor strategic outcomes by using results-based indicators and programmatic performance measures to inform the level of success in achieving the strategic outcomes;

- Provide advice and assistance to the Chief Performance Officer in meeting legislatively required performance reporting and the development of an Outcomes Dashboard.



*Figure 2 - Statewide PI Steering Committee Org*

Each state agency and independent department of the executive branch has an assigned Agency Lead. Departments within agencies have assigned Department Leads who coordinate efforts with their Agency Leads. This ensures communication and coordination throughout state government. Leads identify improvement opportunities, present those opportunities to the Committee and upon approval, engage staff in improvement projects, and ensure that changes are implemented and sustained. Agency and Independent Department Leads take the lead on managing continuous improvement efforts within their agency/department. They play a significant role in developing a comprehensive strategic plan, creating performance measures and other relevant metrics, vetting and coordinating logistics of Lean events, and monitoring progress towards short and long-term goals. They also coordinate and manage an Agency Working Group.

The framework for coordination of cross-agency projects is adapted from the Star Point System, developed by Proctor & Gamble. The PIVOT Point structure will create a “dual-operating system” which will take responsibility for crossing over functional areas and linking them together for PIVOT. An example of the PIVOT Steering Committee Coordination framework follows.

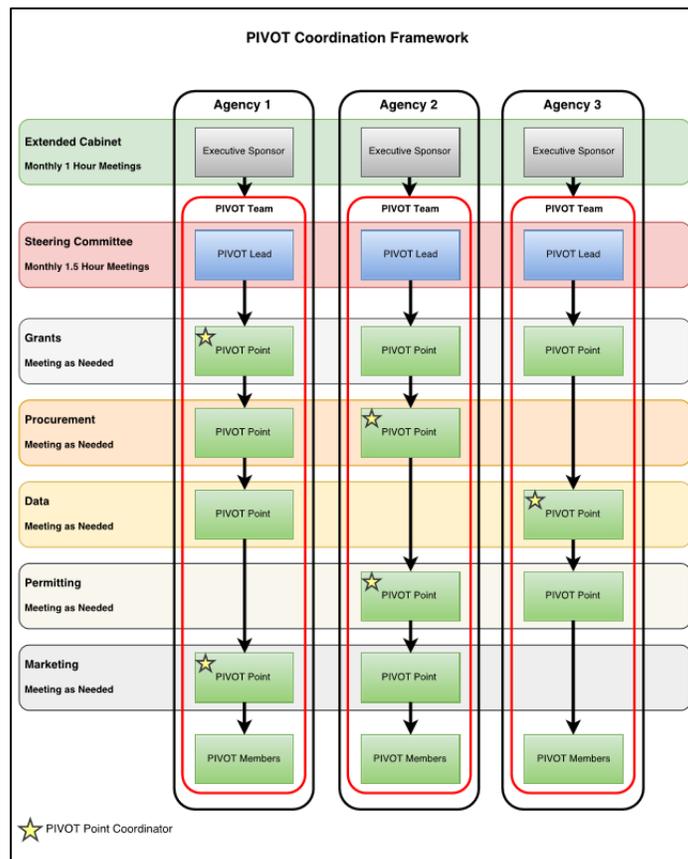


Figure 3 - Cross-Agency Coordination Framework

## IV. Communication

Within the Steering Committee, the Core Team will be responsible for organizational and communication responsibilities within the Committee and to the Governor’s Office; the Lead Team will be responsible for communications within their home agencies and departments. Membership is subject to approval by the employee’s appointing authority and the CPO, and is subject to change.

## V. Year 2 and Beyond

Annually, based on the Strategic Plan, agencies will continue to prepare and submit TAPs for approval, train staff and practice continuous improvement. Coordination of PIVOT will be overseen, managed and pushed forward by the Steering Committee, under the Leadership of the CPO.

## VI. Conclusion

**Resource constraint remain the primary challenge to the long-term success and institutionalization of PIVOT.** The primary purpose of RBA and Lean is to improve results and build capacity. Efficiency and modernization efforts take time, training and follow-up. The resource needs, especially for staff/management time does not end, for example, at the completion of a Lean event. Once process improvements are identified they must be implemented, monitored, measured and verified at set intervals (30 days, 60 days, 90 days).

Any problems or unanticipated consequences must be addressed and rectified. Data must be reviewed and reported. It takes capacity to gain capacity in the near term.

In the long term, it will require on-going resources to continue training, running events, and managing data to make better decisions. If PIVOT and a true continuous improvement culture is to be embedded into the State workforce, dedicated resources will need to be assigned across the State, along with expanded central planning and performance improvement capacity. It is our belief that the necessary positions should come from the reassignment of existing positions and the implementation of career-ladder job specifications for performance improvement and planning. We would be happy to discuss a long-term statewide Performance Improvement plan.

## **VII. Acknowledgement**

The PIVOT Development Team wishes to recognize and thank the PIVOT Team Leads and PIVOT Team Members for their hard work, as well as the Extended Cabinet, for their support to date. We would especially like to express our sincere appreciation to Governor Phil Scott, not only for his support, but for understanding a gubernatorial mandate would provide the emphasis and support needed to enable us to jump-start PIVOT, accomplish actionable proposals within 6 months, plan for the preparation of a Statewide Strategic Plan, and begin to incorporate continuous improvement thinking by breaking down traditional silos.

[End of Report – Attachments Follow]

**PIVOT TARGETED ACTION PLAN STATUS REPORT**

| Project #                 | Sponsor Agency/ Dept. | Cross-Agency Members                            | Project Name   | Project Goals  | Vermont has a growing economy | Vermont is affordable | Vermont protects the most vulnerable |
|---------------------------|-----------------------|---|--|--|-------------------------------|-----------------------|--------------------------------------|
|                           |                       |   |  |  |                               |                       |                                      |
| <b>STATEWIDE PROJECTS</b> |                       |   |  |  |                               |                       |                                      |
| S.1                       | ANR                   | ANR, ACCD, AAFM, AOT, NRB, DPS-FS, PSD, AOA-CPO | Statewide Permit Improvement: Phase 1                          | <ul style="list-style-type: none"> <li>&gt; Turn the focus of process to align with the customer's focus;</li> <li>&gt; Develop improved business processes across all permits and across agencies.</li> </ul>   | X                             | X                     |                                      |
|                           |                       |   | Future: Statewide Permit Improvement: Phase 2                  |  |                               |                       |                                      |
|                           |                       |   | Future: Statewide Permit Improvement: Phase 3                  |  |                               |                       |                                      |
| S.2                       | ADS-AOA               | ADS, AOT, AOE, CMO, AHS, AOA-CPO                | Open Data Portal and Outcomes Dashboard                        | <ul style="list-style-type: none"> <li>&gt; Redesign Open Data Portal;</li> <li>&gt; Develop Outcomes Dashboard template for use by all agencies</li> <li>&gt; Expand datasets</li> <li>&gt; Develop data governance policies and procedures</li> </ul>  |                               | X                     | X                                    |
| S.3                       | AOA                   | AOA, ADS, AHS, GMET                             | New Budget Construct   | <ul style="list-style-type: none"> <li>&gt; Develop Outcomes-based budget construct;</li> <li>&gt; Provide improved budget transparency &amp; accountability</li> <li>&gt; Track spending and performance measure for Programs</li> <li>&gt; Breakdown siloed budgeting</li> </ul>   |                               | X                     |                                      |
| <b>AGENCY PROJECTS</b>    |                       |   |  |  |                               |                       |                                      |
| 1.1                       | AOA-LIB               | AOA-LIB & VDOL                                  | Job Helpers  | <ul style="list-style-type: none"> <li>&gt; Expand help to citizens for resumes and job application on-line at local libraries;</li> <li>&gt; Coordinate efforts with VDOL for maximizing regional coverage.</li> </ul>  | X                             |                       |                                      |
| 1.2                       | AOA-BGS               | AOA-BGS, FIN, AGO                               | Streamline Contract process within AOA (BGS, FIN) and with AGO | <ul style="list-style-type: none"> <li>&gt; Correct usage and understanding of procurement tool;</li> <li>&gt; Streamline communication (internal and external);</li> <li>&gt; Create realistic expectation;</li> <li>&gt; Identify workflow for emergencies;</li> <li>&gt; Faster turnaround with AGO and AOA.</li> </ul> | X                             |                       |                                      |
| 1.3                       | AOA-CO                |   | Billing Process Improvement                                    | <ul style="list-style-type: none"> <li>&gt; Standardize process across customer base</li> <li>&gt; Improve efficiency and reduce staff time</li> </ul>   |                               | X                     |                                      |
| 2.1                       | ADS                   |   | Skype for Business - Web/Audio Conferencing                    | <ul style="list-style-type: none"> <li>&gt; Standardized system;</li> <li>&gt; Flat fee vs. usage charges</li> <li>&gt; Elimination of travel time and mileage reimbursement</li> </ul>  |                               | X                     |                                      |
| 3.1                       | AAFM                  |   | Permits - Large Farm Operating Rules                           | <ul style="list-style-type: none"> <li>&gt; Reduce time to permit</li> <li>&gt; Improve compliance</li> <li>&gt; Better communications with permittees</li> </ul>  | X                             | X                     |                                      |
| 3.2                       | AAFM                  |   | Multi-Year Licensing   | <ul style="list-style-type: none"> <li>&lt; Change from annual to Multi-year (3) licensing, certification, registration, etc.</li> <li>&lt; Reduction of administrative time by 2/3.</li> </ul>  | X                             | X                     |                                      |
| 3.3                       | AAFM                  |   | Credit-Card Payment Acceptance                                 | <ul style="list-style-type: none"> <li>&lt; Improve customer service (no checks)</li> <li>&lt; Save customers money (no postage)</li> </ul>  | X                             | X                     |                                      |
| 3.4                       | AAFM                  |   | Grant & Contract Management System                             | <ul style="list-style-type: none"> <li>&lt; Improved turn-around time for vendors/grantees</li> <li>&lt; Reduced administrative time</li> </ul>  | X                             | X                     |                                      |
| 4.1                       | ANR                   |   | Electrify Current Use Forest Management                        | <ul style="list-style-type: none"> <li>&lt; Increase inspection visits from 56% to 100%</li> </ul>   | X                             | X                     |                                      |

**PIVOT TARGETED ACTION PLAN STATUS REPORT**

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|-----------|-----------------------|---------------------------|--|---|-------------------------------|-----------------------|--------------------------------------|
|           |                       |                           |  | < Increase management plan harvest compliance to 95%  |                               |                       |                                      |
| 4.2       | ANR                   |                           | Create World-Class VT Outdoor Recreation Experience                                    | < Inventory outdoor assets;<br><br><Create a collaborative group for planning and development<br>< Create marketing strategy, policy, expanded funding opportunities, etc.  | X                             | X                     |                                      |
| 4.3       | ANR                   | ANR, ACCD, AAFM, AOT, AOA | Share Clean Water Project Success w/Dashboard  | < Enhance transparency for \$50 million spending<br><br>< Collaborate with AOT, AAFM, AOA, ACCD for content   | X                             |                       |                                      |
| 5.1       | ACCD                  |                           | Create Cross-Sector Marketing Strategy   | < Share marketing resources across departments<br>< Create system and workflow to allow resource sharing<br>< Increase capacity to handle peak demand and knowledge sharing   | X                             |                       |                                      |
| 5.2       | ACCD                  |                           | Information Governance Initiative  | < Document Data governance<br>< Create easy access to data<br>< Allow for better decision making using data   |                               | X                     |                                      |
| 5.3       | ACCD                  |                           | Program* Workflow & Automation (*Program = grants, tax credits, contracts, incentives) | < Eliminate guesswork with documentation<br>< Consistency between programs<br>< Better coordination and expectations management<br>< Better outcomes for customer through improved communication  | X                             |                       |                                      |
| 6.1       | AOT                   |                           | Oversized/Overweight Permits - Phase 1   | < Increase single trip applications accuracy from 50% - 75%, year 1<br>< Decrease number return single trip application by 25%<br>< Eliminate duplicate single trip applications<br>< Standardize envelope size, routes and tracking<br>< Build staff capacity to work on other permits |                               | X                     |                                      |
| 6.2       | AOT                   |                           | DMV Cashiering System (Point of Sale)  | < Timely categorization of revenue<br><br>< Streamline operational functions across all locations and units<br>< Reduce staff time, improve accuracy, reduce risk of fraud<br>< Enhance system security, internal controls and financial reporting                                      |                               | X                     |                                      |
| 6.3       | AOT                   |                           | VTrans "Master Grant" Grant Process Reform   | < Single Master Grant agreement per Grantee for multiple grants<br>< Compliance standard across each funding stream<br>< Reduce administrative workload for VTrans and grantee.   | X                             |                       |                                      |
| 7.1       | VDOL                  |                           | Culture Shift  | < Customer service best practices<br>< Clear protocols and procedures<br>< Modernize systems<br>< Valued staff  | X                             |                       | X                                    |
| 7.2       | VDOL                  | DVR, AOE, LIB             | WIOA Implementation  | < Integrated system of training in regional job centers<br>< Leverage partners for better resource usage  | X                             |                       | X                                    |
| 7.3       | VDOL                  |                           | UI Modernization   | < Better meet federal data reporting<br><br>< Improved customer service   | X                             |                       | X                                    |

**PIVOT TARGETED ACTION PLAN STATUS REPORT**

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|-----------|-----------------------|----------------------|---|--|-------------------------------|-----------------------|--------------------------------------|
| 8.1       | DPS                   |                      | Policies & Procedures   | <ul style="list-style-type: none"> <li>&lt; Centralized digital policy &amp; procedure repository</li> <li>&lt; New Employee policy on-boarding</li> <li>&lt; Improve internal communications</li> </ul>   |                               | X                     |                                      |
| 8.2       | DPS                   |                      | Purchasing & Contracting  | <ul style="list-style-type: none"> <li>&lt; Streamline process</li> <li>&lt; Reduce number of approvals</li> <li>&lt; Centralized request system</li> </ul>  |                               | X                     |                                      |
| 8.3       | DPS                   |                      | New Hire On-Boarding  | <ul style="list-style-type: none"> <li>&lt; Reduce timeline by 50%</li> <li>&lt; Decrease hardcopy documents by 75%</li> <li>&lt; Produce single, measurable process flow</li> <li>&lt; Customer friendly documents</li> </ul>   |                               | X                     |                                      |
| 8.4       | DPS                   |                      | Intergovernmental Data/Document Sharing                           | <ul style="list-style-type: none"> <li>&lt; Open data system for public and internal data</li> <li>&lt; Document management system</li> </ul>  |                               | X                     |                                      |
| 9.1       | AOE                   |                      | School Finance data collection efficiency and quality improvement | <ul style="list-style-type: none"> <li>&lt; Collect both pre-audit and audited data more efficiently</li> <li>&lt; Reduce turn around time</li> <li>&lt; Eliminate within and between entity discrepancies</li> </ul>  |                               | X                     |                                      |
| 9.2       | AOE                   |                      | Technical Assistance Production Process                           | <ul style="list-style-type: none"> <li>&lt; Develop a formal process for generating technical assistance</li> <li>&lt; Train staff in use</li> <li>&lt; Achieve 80% technical assistance drafted, reviewed and published within established timeline</li> <li>&lt; Denial of unsuitable technical assistance upon first submission</li> </ul>  |                               | X                     |                                      |
| 9.3       | AOE                   |                      | English Learner (EL) Survey Process                               | <ul style="list-style-type: none"> <li>&lt; 75% surveys completed with no revisions or corrections</li> <li>&lt; Streamline the process with 75% surveys submitted electronically</li> <li>&lt; Improve accurate information received to 50% of the time</li> </ul>  |                               |                       | X                                    |
| 10.1      | AHS                   |                      | Universal Screening   | <ul style="list-style-type: none"> <li>&lt; Understanding/framework for assessing needs and risks at entry and exit</li> <li>&lt; Measure and monitor assessing screening practice</li> <li>&lt; Screening should lead to: earlier intervention; increased utilization of lower levels of care; increased % of referrals to assessment; decreased utilization of higher levels of care</li> <li>&lt; Holistic understanding of clients" needs</li> <li>&lt; Identify gaps in service system</li> </ul> |                               | X                     | X                                    |
| 10.2      | AHS                   |                      | Grants Management   | <ul style="list-style-type: none"> <li>&lt; • Clear and traceable strategy aligning grants to intended outcomes</li> <li>&lt; • Consolidate grants to individual providers to reduce administrative burden</li> <li>&lt; • Expectations for like-services and performance measures are consistent</li> <li>&lt; • Performance measure data, outcomes and quality reported in a consistent format with improved monitoring</li> </ul>   | X                             | X                     | X                                    |
| 10.3      | AHS                   |                      | Contracts & Procurement   | <ul style="list-style-type: none"> <li>&lt; RFPs reflect AHS strategy for improving outcomes</li> </ul>  | X                             | X                     | X                                    |

**PIVOT TARGETED ACTION PLAN STATUS REPORT**

| Project # | Sponsor Agency/ Dept. | Cross-Agency Members | Project Name                           | Project Goals   | Vermont has a growing economy | Vermont is affordable | Vermont protects the most vulnerable |
|-----------|-----------------------|----------------------|--|---|-------------------------------|-----------------------|--------------------------------------|
|           |                       |                      |  | <ul style="list-style-type: none"> <li>&lt; Clear deliverables in RFP that can be measured</li> <li>&lt; Subject matter expertise about service to be procured engaged in RFP development</li> <li>&lt; Clear points of accountability for reviewing &amp; approval of RFP and contract procurement</li> <li>&lt; Streamline process, clear functions, and roles for approval of contracts</li> </ul> |                               |                       |                                      |
| 11.1      | PSD                   |                      | Communication Planning                 | <ul style="list-style-type: none"> <li>&lt; Develop communication plan</li> <li>&lt; Set objectives, provide tools and tactics, define impact and track performance</li> <li>&lt; Improve transparency and public engagement</li> </ul>   |                               | X                     | X                                    |
| 11.2      | PSD                   |                      | Docket & Petition Work Flow            | <ul style="list-style-type: none"> <li>&lt; Create metrics to gauge performance</li> <li>&lt; Develop well-thought out process map &amp; define roles</li> <li>&lt; Ensure resources devoted align with importance of dockets (example: how much rate payer money is on the line, etc.)</li> </ul>  | X                             |                       |                                      |
| 11.3      | PSD                   |                      | Annual Report Tax Process              | <ul style="list-style-type: none"> <li>&lt; Improving staff time efficiency and elimination of duplicated effort</li> <li>&lt; better use of technology (ePSD) to provide immediate visibility for timing of receipt of payments.</li> <li>&lt; generate better reporting to be used in projecting trends and forecasting budgets</li> </ul>  | X                             | X                     |                                      |
| 12.1      | DFR                   |                      | Accounts Payable                       | <ul style="list-style-type: none"> <li>&lt; Eliminate Audit findings and customer complaints</li> <li>&lt; Eliminate misdirected payments</li> <li>&lt; Develop process to meet 3-day process time goal</li> </ul>  |                               | X                     |                                      |
| 12.2      | DFR                   |                      | Travel Expense Reimbursement           | <ul style="list-style-type: none"> <li>&lt; Employees do not follow Bulletin 3.4 policies</li> <li>&lt; Reduce administrative support needed</li> <li>&lt; Develop training policy for existing and new employees</li> </ul>  |                               | X                     |                                      |
| 12.3      | DFR                   |                      | Insurance Producer Licensing           | <ul style="list-style-type: none"> <li>&lt; Review existing process to determine improvements</li> <li>&lt; Inexperienced staff need to be part of process improvement</li> </ul>   |                               | X                     |                                      |
| 13.1      | DLC                   |                      | Point of Delivery Scan Gun Project     | <ul style="list-style-type: none"> <li>&lt; Establish policy and procedure for delivered inventory check-in</li> <li>&lt; Purchase and install automated check-in process through the use of scan guns.</li> <li>&lt; Reduce chances for inventory discrepancies</li> </ul>   | X                             |                       |                                      |
| 13.2      | DLC                   |                      | Shifting to Pallet Delivery            | <ul style="list-style-type: none"> <li>&lt; Reduce number of times cases are touched and moved and staff time to load trucks and deliver by palletizing</li> <li>&lt; Maximize delivery space by palletizing</li> <li>&lt; Retrofit delivery tracks to handle pallets</li> </ul>  | X                             | X                     |                                      |
| 13.3      | DLC                   |                      | Licensee Inspection Mobile Application | <ul style="list-style-type: none"> <li>&lt; Eliminate manual entry of licensee site inspections (currently manual paper based) with mobile application on inspectors smartphones and tablets.</li> </ul>  | X                             | X                     |                                      |

**PIVOT TARGETED ACTION PLAN STATUS REPORT**

| Project #    | Sponsor Agency/ Dept. | Cross-Agency Members | Project Name                          | Project Goals  | Vermont has a growing economy | Vermont is affordable | Vermont protects the most vulnerable |
|--------------|-----------------------|----------------------|---------------------------------------|--|-------------------------------|-----------------------|--------------------------------------|
|              |                       |                      |                                       | < Automate mobile app to download data directly to system  |                               |                       |                                      |
| 13.4         | DLC                   |                      | Automated Approvals for Two Processes | < Automate approval processes for alcohol returns and professional tastings<br>< Make “mistake proof” forms requiring all needed data prior to submission<br>< Save time for staff, investigators, managers & customers<br>< Provide usable data | X                             | X                     |                                      |
| 14.1         | NRB                   |                      | Act 47 Executive Branch Workgroup     | < Develop systems to facilitate communications between NRB and Act 250 agencies/departments.   | X                             | X                     |                                      |
|              |                       |                      |                                       | < Develop united perspective on what Act 250 changes would look like and impact mutual goals   |                               |                       |                                      |
| <b>44.00</b> | <b>TOTAL PROJECTS</b> |                      |                                       |  |                               |                       |                                      |

## **STATEWIDE TARGETED ACTION PLANS**

**Agency/Department: ANR**

**Project Name: Permit Process Improvement – Knowing What Permits You Need and How to Get Them**

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT’S PRIORITIES**

As state government entities charged with implementing many of the permitting, licensing, and registration activities under the laws and regulations of the State of Vermont, the Agencies of Commerce and Community Development, Transportation, Agriculture, and Natural Resources, the Departments of Public Safety and Public Service, and the Natural Resources Board share a common goal of improving public interaction with the many permits and programs the State implements to achieve important policy goals. Under Governor Phil Scott, Vermont is committed to growing our economy while protecting vulnerable Vermonters and protecting our environment. The laws and rules that underpin our permitting, licensing, and registration programs aim to provide protection to the most vulnerable while ensuring sustainable economic development.

**II. HOW ARE WE DOING NOW?**

ANR issues over 12,000 permits per year to individuals, businesses, and municipalities. During a listening tour the Agency of Natural Resources (ANR) initiated post-inauguration to take the pulse of our customers, what we heard most often was frustration with the process not necessarily the outcome of interactions with state government. People didn’t know where to start, they wanted clear guidance about how to navigate the overlapping jurisdictions, they wanted consistent decision-making, and they wanted transparency so they knew where their application stood. Some complained about the strictness of the rules themselves, but for the most part, the complaints were about the process for implementing those laws and regulations.

**III. WHAT DOES DOING BETTER LOOK LIKE?**

In a broad sense, better looks like compliant projects moving forward more quickly. Better looks like greater certainty for individuals looking to invest in Vermont’s economy in line with our shared values. Better looks like a predictable, consistent, and clearly articulated process. We will be developing additional indicators and performance measures, but better means:

- Creating a strong “initial contact” value stream with which a high percentage of projects interact
- Seeing a high percentage of applicants submitting administratively and technically complete permit applications

#### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

While improvements have been made to various permitting programs and processes over the past few years, they have not been done systematically or leveraged across the Agency, let alone across state government. Programs run complex regulatory processes and our current model does not incentivize cross-program collaboration. One of the goals of this project is to create benefit for the programs to work on inter-agency improvements.

#### **V. WHAT DO YOU PROPOSE TO DO?**

We plan to take steps to improve the first step of the permitting process, which involves initial contact, with an eye towards the subsequent steps of consultation and application. ANR, in conjunction with the inter-agency partners identified above, will develop and implement improvements to how the public first contacts state government, which sets the tone for all future interactions as the public navigates complicated laws and regulations. Our aim is to provide clear guidance and a trajectory for individuals who choose to engage with the state. The entity initiating contact should come out of it not only with consistent information but also an understanding of the potential spectrum of the State's jurisdiction.

#### **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

This project tackles a manageable portion of the broader focus, "Doing Business with Vermont." Once we have made headway on step one, we will continue our progress along the other steps.

| <b>WHAT HAS TO GET DONE?</b>                              | <b>BY WHEN?</b>   |
|---|-------------------|
| Identify internal and external stakeholder advisory group | July 1, 2017      |
| Evaluate the current initial contact process              | September 1, 2017 |
| Develop and implement proposed solutions                  | Rolling           |
| Identify and track performance measures                   | Ongoing           |

#### **VII. HOW WILL YOU MONITOR PROGRESS?**

ANR, in conjunction with its partners, will develop indicators along with those identified in the above sections. We will use those indicators to track progress toward the end we seek.

**Agency:** Agency of Transportation (AOT)

**Department/Division:** Aviation; Department of Motor Vehicles; Policy, Planning & Intermodal Development - Permitting Services

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Vermont Agency of Transportation (AOT or VTrans) issues twenty-nine (29) permits across (3) departments/divisions. AOT supports strengthening Vermont's economy and making Vermont a more affordable place to live and do business by improving permitting processes across the Agency. Specifically, AOT will improve customer service through a predictable and efficient permitting process that supports maintaining a safe and resilient transportation system in a state of good repair, keeping people and goods moving, and supporting sound land development.

## **II. HOW ARE WE DOING NOW?**

AOT issues over 28,000 permits annually to individuals, businesses, and municipalities. AOT conducted internal outreach with managers and staff directly engaged with the permitting processes to determine the current state of the process and identify areas for improvement. The following themes emerged:

- **Initial contact** - Currently, AOT receives various forms of initial contact from its customer base. These forms of initial contact include telephone calls, email messages, website inquiries, in person communications, mail queries, enforcement responses, etc.
- **Consultation/pre-application notice** - Various forms of consultation occur including: letter or email exchanges, and in person meetings (i.e. office meeting, field visit).
- **Application** - Various forms currently exist for permit applications, including but not limited to hard print copy and/or online forms (fillable PDFs, Word Docs, etc.).

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

Simplify the permitting process for the customer through more uniform and consistent procedures (i.e. creating online ports of entry and single-trip permit opportunities and more accessible and consistent forms), improved permit turnaround time, and decreased process complexity.

## **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

Inconsistency, various forms of entry, not managing customer expectations, inconsistent enforcement, incomplete applications, manual processes are time-consuming and can lead to errors, and various forms of fee collection that lead to increased processing time.

## **V. WHAT DO YOU PROPOSE TO DO?**

- Discuss process improvement.
- Conduct LEAN events as needed for each permit type.

- Target opportunities to increase accuracy, timeliness, and predictability in administering permits.
- Develop standardization across the Agency.
- Leverage technology where possible to address errors.
- Establish performance metrics.
- Track performance quarterly.

## **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

Continue to review existing permitting processes; identify opportunities to increase accuracy, timeliness, and predictability in administering permits; evaluate feasibility of online fillable form with intelligent edits capabilities. A manual application process may still be required for some processes, but the overall goal will be to increase on-line applications, increase complete applications, and decrease time between permit application and issuance or denial of a permit.

## **VII. HOW WILL YOU MONITOR PROGRESS?**

- Create and manage an implementation plan to roll out across the Agency and meet monthly to discuss improvement trends.
- Use baseline data on existing process and measure it against the new process.
- Monitor performance (i.e. track time between initial contact, application submittal, complete application, and total time between initial application and issuance or denial of a permit).

**Agency/Department: Department of Public Safety**

**Project Name: Fire Safety Permit Process**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Department of Public Safety supports the state's economy and protects the vulnerable by performing plan reviews and inspections of building construction projects. These activities ensure that buildings are safe to prevent economic and life loss from fire and other peril. Compliance activities work best when the Department partners with stakeholders and provides these services efficiently.

## **II. HOW ARE WE DOING NOW?**

The Division of Fire Safety is charged with performing the plan review and inspection of all public buildings in Vermont in accordance with 20 V.S.A. Chapter 173. A construction permit must be issued before beginning any construction, addition, alteration, rehabilitation, demolition or installation of fixed building equipment. DFS issues over 3,000 permits for public building construction each year. The plan review process takes place after the completion of the project plans and specifications, but before work begins. Delays in permit processing may cause projects to experience a delayed start, which can complicate and add expenses to projects. Projects that start in a timely manner play an important role in boosting the economy and providing jobs to local workers, however, we cannot compromise building safety to expedite plan reviews and permit processing. The following contacts are typical of the DFS permitting process:

**Initial Contact** – Plan review staff generally have preliminary telephone and e-mail contact with project designers and planners to answer questions pertaining to Code requirements and the submittal process.

**Pre-Application/Preliminary Review** – Project stakeholders may meet with DFS plan review staff and inspectors prior to making a project submittal to perform a preliminary review of the project. This is an opportunity to make any final changes in the pre-submittal phase to achieve a Code compliant plan.

**Application and Review** – Final project plans and specifications are submitted and the permit fee is paid in the application phase. During the plan review, a plans examiner performs a

comprehensive evaluation of the project to verify compliance. In this phase, the plan examiner may have to request additional details or specifications that may be missing from the submittal. This plan examination may be performed as a field visit for smaller projects in existing buildings to expedite the review process. Once substantial compliance is determined, a Construction Permit is issued.

**Inspection** – Field compliance inspections are performed at various stages of a project to verify that the project is being built according to the approved plan. Final inspections are performed upon completion to grant building occupancy and close the Construction Permit.

There is a statutory charge in 20 V.S.A 2731 stating *“The Commissioner shall make all practical efforts to process permits in a prompt manner. The Commissioner shall establish time limits for permit processing as well as procedures and time periods within which to notify applicants whether an application is complete.”* We receive anecdotal feedback from project stakeholders that Vermont’s permit process is cumbersome and causes delays and added costs to projects, relating to an impression that we are not “business friendly”.

Current permit processing data indicates that the Division of Fire Safety issues 80% of all permits within 30 days of receipt of an application for a construction permit. In 2016, the average permit application processing time was 26 days. The data also shows that 3.4% of the permit applications received in 2016 were determined to be incomplete submittals that required additional information before permits could be issued. Approximately 20% of the permit applications received are issued greater than 30 days from the date that the application is filed.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

The following measures can be used as a mark of improvement:

- Issue construction permits for projects valued at less than \$200,000 within 14 days.
- Issue 90% of all construction permits within 30 days of receipt of the application (increase from 80%).
- Issue construction permits for pre-engineered fixed systems upon receipt of an application without delay.

### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

Current challenges that impair faster plan review time include:

- Small plan review staff with a heavy volume of applications to review.
- Plans that come in with missing or incorrect information delay the plan review process.

- No Division-wide formal process to identify, prioritize, and follow a plans review sequence that efficiently addresses turnaround times based on project priority or plan reviewer workload.

**V. WHAT DO YOU PROPOSE TO DO?**

- Receive approval to perform further analysis of this project.
- Conduct a LEAN analysis to identify areas for improvement.
- Develop a plan for improved performance based on LEAN analysis (work flow process change, policy revision).
- Conduct necessary training and change management events for Department stakeholders.
- Implement identified actions and track progress.
- Analyze performance measures to gauge favorable outcome.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

This project can be implemented once possible improvements are identified and DFS Staff are trained up on the changes in work flow, policies, and procedures. There will be significant enough data to evaluate the process for verification of improvement after 60, 90, and 120 days post implementation, which will allow for adjustments in the process to further improve outcome if necessary.

| WHAT HAS TO GET DONE?  | BY WHEN?                       |
|--|--------------------------------|
| Have project selected by PIVOT leadership.                     | July 15, 2017                  |
| Conduct LEAN event.  | July 16 – August 30, 2017      |
| Develop action plan and implementation logistics.              | September 2017                 |
| Division Staff training.                                       | October 1, 2017                |
| Implement identified actions and changes.                      | October 15, 2017               |
| Evaluation of performance measures.                            | December 15, 2017 then ongoing |
| Adjust action plan to increase positive outcomes as necessary. | After December 15, 2017        |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Progress will be tracked by analysis of plan review turnaround time from time of application submittal to construction permit issuance. This data will be extracted from the DFS FIRE

Database, which records and reports on applicable metrics. This data will be gathered and assembled into a report by a data management designee to be appointed by the Director of the Division of Fire Safety. The report will be presented to the Director of the Division of Fire Safety and to the DFS Regional Managers for evaluation of effectiveness. The data will show results on statewide and regional office performance.

**Agency/Department:** Department of Public Service

**Project Name:** Permit Improvement

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Department of Public Service (PSD) represents Vermonters through ratepayer advocacy, ensuring the provision of safe, reliable and affordable energy and accessible and reliable telecommunications infrastructure, planning for energy efficiency and resource development, and managing regulated utility standards compliance including supporting consumers contacting the Department for a variety of reasons. Our work collectively demonstrates strategic links to economic development, affordability and protecting vulnerable constituents. Through the Department's Public Advocacy Division, its Planning and Energy Resource Division (PERD) and Consumer Affairs and Public Information (CAPI), PSD is a point of contact and a resource for people with questions about developing energy projects who are seeking Department support and whose projects may require Public Service Board approval such as a Certificate of Public Good.

## **II. HOW ARE WE DOING NOW?**

The Department is getting by with an ad hoc process but lacks standard procedures for managing communication with people making an initial contact about their energy project and the process of consultation prior to applying for a project. Roles are not defined and communication with and assistance to the public is inconsistent across and even within Divisions. Communications are logged in one division and inconsistently logged by others. Similarly, there is inconsistency for how or if such contacts are utilized for docket activities. Baseline data can be obtained through analysis of contacts logged by consumer affairs. Estimated baseline data could be obtained through informal surveying of the PA and PERD staff about communication contacts and of PA staff for the provision of technical assistance with applications.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

Doing better will show increased initial contacts and consults, staff will know what their role is and be able to provide consistent responses, clear guidance will be provided to the public, well documented communication history (tracking contacts) and our work will be supported internally through standard operating procedures that addresses what themes or topics should be handled by what Division and how.

#### **IV.WHAT ARE YOUR CURRENT CHALLENGES?**

Lack of clarity for roles and responsibilities

Training is needed to ensure consistent responses are provided to the public

Differing opinions about what the Department'

Resources may be needed to address managing communications history

#### **V.WHAT DO YOU PROPOSE TO DO?**

The Department plans to engage leadership in defining roles, responsibilities and visioning for the process. The Department will next engage in a Lean process improvement event to map out how to best improve its initial contact and consultative processes. We will implement changes and track performance.

The Department's work is part of the larger statewide Targeted Action Plan and we will work with other permitting agencies and departments. We will participate in this effort to "Lean" the process to be more customer focused and endeavor to better coordinate and communicate between agencies.

#### **VI.WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

The contact and consultative processes include recording contacts, triaging and assessing the contact to determine what is legally permissible to provide and by whom and developing clear operating procedures that support a litigated process.

| <b>WHAT HAS TO GET DONE?</b>          | <b>BY WHEN?</b>             |
|---------------------------------------|-----------------------------|
| Department leadership meeting         | July 30                     |
| Establish baseline data               | August 30                   |
| Lean event                            | September 15                |
| Develop standard operating procedures | November 30                 |
| Train staff                           | December 30                 |
| Implement and monitor performance     | January 1, 2018 and ongoing |

#### **VII.HOW WILL YOU MONITOR PROGRESS?**

Performance will be monitored by review and measurement of communication contacts across Divisions. The Department will conduct a brief call back survey at 6-months post implementation and once annually thereafter to a representative sample of those assisted. These responses, feedback from Department staff and analysis of contact data pre and post will be provided to leadership, who will engage in reflection for necessary correction, further refining or developing the procedures and/or celebrating our accomplishments.

## **AGENCY TARGETED ACTION PLANS**

**Agency/Department: Agency of Agriculture, Food and Markets**

**Project Name: Permit Process Improvement - Agriculture Act 250 – Bothfeld and Smith**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Vermont Agency of Agriculture's mission is to facilitate, support and encourage the growth and viability of agriculture while protecting the working landscape, human health, animal health, plant health, consumers and the environment. The service domains that the Agency engages in to support its mission statement are: Community Development; Economic Development; Energy Services; Environmental Conservation; Financial Assistance Services; Food and Nutrition Services; Public Health Services; Regulatory and Standards Compliance; Scientific Analysis.

The agricultural industries in Vermont have a significant economic development impact, but in particular in the state's rural areas. In order to generate wealth, and vitality, security and opportunity for all Vermonters, Vermont must invest and protect its infrastructure, leverage its brand to encourage a diverse economy that reflects and capitalizes on its rural character and entrepreneurial residents. In the agricultural industry, as part of Act 250, this is reflected both in protecting farmland which is the infrastructure that supports the industry (this is also reflected in Section 248), and encouraging innovative diverse business models and business growth in agriculture. The Agency's charge to provide support to Vermont constituents who work in those industries directly supports the three priorities of the Scott Administration. The agricultural industries in Vermont have a significant economic impact on the State, and the Agency's charge to provide support to Vermont constituents who work in those industries directly supports the three priorities of the Scott Administration.

## **II. HOW ARE WE DOING NOW?**

The Agency of Agriculture takes part in the Act 250 Permitting process and has responsibility for Criteria 9(b) – Primary Agricultural Soils. While not a performance measure, 9(B) is frequently called the most controversial or complicated review criteria. The Agency believes this is because it is typically the last criteria considered in the project development/design process after other criteria, that require individual permits, are both considered and addressed (wetlands, storm water, access, etc). Areas of concern include:

- A. Limited Agency Resources – one full time employee, one 1/8<sup>th</sup> of one legal staff member, two other staff members' at 1/8<sup>th</sup> time.
- B. No coordinated permit and Act 250 review timing.

1. Other state agencies are engaged and decisions involving design are complete, prior to the Agency of Ag being contacted.
  2. Multiple demands on land – agricultural soils impacts are addressed after other permits and associated mitigation decided impacting VAAFMM review often resulting in primary agricultural soil impacts with no land left to mitigate.
- C. Applicants concerned that “the state” is giving different answers on how land is used within different permits.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

- A. Coordinated Act 250 responses to applicant across all permitting agencies in state government
- Permits associated with Development but outside of Act 250 process
    - Defer to Act 250 or coordinate with Act 250 Criteria requiring a holistic look at the development and all criteria natural resources.
  - Main Permit Agencies/Departments in State Government and those that take part in Criteria for Act 250 coordinate response – State speaks with one voice to applicant
  - Improve timelines and better communication among state permitting agencies if permits start prior to Act 250 process
- B. Disallow partial findings in Act 250
- Partial findings disregard other criteria and take up time and energy and can be provide more uncertainty to applicants
    - Applicants go for full permit and change project but expect partial findings to remain the same
    - Findings must change with changes to project – added cost and uncertainty to applicants

### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- Communication and coordination with other Agencies/Departments – time issue – not a willingness issue
- Staffing levels and funding
- Inconsistency between district commissions on Primary Agricultural Soils, among other interpretations regarding jurisdiction
- Different opinions on Primary Agricultural Soils from different district commissions
- Overlap of Act 250 and Section 248 statutes on primary ag soils

**V. WHAT DO YOU PROPOSE TO DO?**

- Set up a notification process for all agencies/departments in State Government involved in permitting and Act 250 process impacting development.
  - Applicant applies once and is shared with all – permits or Act 250
- Coordinated review of projects by all agencies including Joint Site Visits, if necessary
- Coordinated response to applicant on permits and Act 250 – state speaks with one voice
- Augment staffing at the Agency of Agriculture to enable increased engagement with agencies/departments in state government with coordinated response in regulatory processes and with the customer

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?   | BY WHEN?     |
|---|--------------|
| Set up statewide permitting and ACT 250 criteria group to set up joint work | summer       |
| Implement joint process   | January 2018 |
| Evaluate process  | January 2019 |
| Increase Staff at the Agency  | ASAP         |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Progress will be monitored by applicant satisfaction on the state speaking with one voice, better customer service, consistency and predictability regarding Act 250 earlier in the process, greater understanding between state agency personnel regarding criteria and competing resource protection and more equitable approach the protection of natural resources. Hope to improve timeliness of permit process, maybe statewide land use planning to help direct appropriate growth to appropriate parts of the state.

**Entity: The Natural Resources Board/Act 250**

**Project Name: Permit Improvement Process with State Government Partners**

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Natural Resources Board/Act 250 supports economic development, and environmental protection (conservation, preservation and restoration) by providing regulatory services through permits. Sustainable smart growth is encouraged by the review process which considers adverse impacts and offers conditions for mitigation. The NRB/Act 250 has contributed significantly to keeping Vermont special by balancing environmental protection with conditions for development. How the state looks is a big part of the Vermont brand, and that helps attract people and business.

**II. HOW ARE WE DOING NOW?**

The NRB/Act 250 works collaboratively within state government and has multiple points of contact with other agencies and entities. To date, the collaboration and points of contact have not been optimized. The NRB/Act 250 is actively engaged in multiple improvement initiatives. In December 2015, we participated in a week long Lean event with ANR, that created a two- year action plan for implementation. Applicants don't have an accurate expectation for application materials required.

**III. WHAT DOES DOING BETTER LOOK LIKE?**

We have decided to focus on initial applicant contact, and even before. It's clear that most citizens do not understand the process and we must substantially increase public knowledge of Act 250's purpose and process. With a significant education and outreach strategy, we can increase pre-application meetings and answer questions before applicants become confused or frustrated. We have been working to increase the technical and administrative completeness of applications and providing general information will create a better understanding of how to gather all the necessary materials. Increased understanding of the point and purpose of Act 250 will improve applicant experience with the requirements.

**IV. WHAT ARE YOUR CURRENT CHALLENGES?**

Multiple misrepresentations and lack of understanding of Act 250 contributes to poor press and difficult attitudes. It can be a complex process and it's essential that the NRB

help “de-mystify” all parts of the process. The majority of applications are approved in less than 60 days but the bad stories are repeated over and over. Frequently applicants attribute problems or delays to Act 250 that are actually the result of issues outside Act 250.

**V. WHAT DO YOU PROPOSE TO**

- Create a general information brochure
- Update and continuously improve our website
- Use forums, talks, press releases, and social media to inform citizens
- Work with staff on strategies to improve customer services

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?                                   | BY WHEN?  |
|---|-----------|
| Develop Strategy:                                       |           |
| Brochure General Information. Broad audience            | July 1    |
| Finalize website  | July 15   |
| Complete and refine the application guidance materials  | August 15 |
| Create a feedback opportunity for applicants            | Ongoing   |
| Integrate these improvements with all other initiatives | Ongoing   |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Most of this project is based on the development and deployment of educational materials and interaction with the public. Completing the materials will be the first step and then using the materials in combination with public comments and feedback to determine progress.

**Agency/Department: ADS/AOA**

**Project Name: Open Data and Outcomes Dashboard**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Transparency is a basic tenant of successful state government. One of the most important elements of transparency is access to data. Open data gives taxpayers the ability to research how tax dollars are being spent, hold government officials accountable for their actions, and monitor trends over time. Such access to data builds customer confidence and accountability in the government system, driving economic growth and increasing affordability.

## **II. HOW ARE WE DOING NOW?**

Many states and cities across the US have been working towards greater transparency in government through the creation and maintenance of Open Data Portals. These Portals centrally house publicly available datasets and allow for users (internal or external) to manipulate the data in various ways including sorting, charting, and mapping. Some of the more advanced systems use "tile based" views to showcase important data and trends for easy access. Although Vermont has an Open Data Portal, it is underdeveloped, underused, has no development nor governance plan, and is virtually unknown to the public and most state employees.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

Ideally, our Open Data Portal would be the central repository of all public data and provide easy access to information through a user-friendly interface which pre-arranges views and categorization based on a set of strategic outcomes, i.e. a Dashboard. It would be managed using a well thought out governance structure and leveraged across all state government entities.

## **IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

Currently, we have an unfilled Chief Data Officer position (under recruitment) along with no statewide data vision. Some data is available in the Portal but not much since only a few employees have been trained to use the Portal. We know other states are using a similar system to showcase their data but haven't yet taken the steps necessary to do the same.

## **V. WHAT DO YOU PROPOSE TO DO?**

Create a statewide data project team co-sponsored by the CDO/CPO which will analyze current needs and capabilities, explore options, and make recommendations regarding the design of the Open Data Portal and system used.

## VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?

Statewide development of Portal and Dashboard Template. Agencies and Department will need to design their own specific Dashboard use and manage data.

| WHAT HAS TO GET DONE?   | BY WHEN?         |
|---|------------------|
| Establish Project Team  | Pending CDO hire |
| Write Charter & Project plan                                    |                  |
| Research Portals and Dashboard needs and designs (other states) |                  |
| Develop template design and build necessary system              |                  |
| Train users   |                  |
| Implement   |                  |

## VII. HOW WILL YOU MONITOR PROGRESS?

A detailed project plan will establish milestones and deadlines, which will be monitored by ADS and AOA leadership. Measures of success may include:

- Number of website hits
- Number of data sources
- Customer satisfaction

**Agency/Department: GMET Sub-Team**

**Project Name: New Outcomes Based Budget Construct**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Goal: To align measurable outcomes and budget dollars to strategic priorities. By aligning financial and performance information to outcomes and programs, progress made and dollars spent can be analyzed. Vermonters should be able to view how state government is using resources to achieve meaningful results. Providing better financial information for the purposes of transparency, linking the budget and spending to strategic outcomes, and tracking performance at both the Outcome (with indicators) and program-level (with performance measures) will allow data driven decision making and the ability to allocate resources as efficiently as possible, thereby ensuring the best results for the best value. More efficient use of resources will contribute to the Governor's goal of a more affordable Vermont.

## **II. HOW ARE WE DOING NOW?**

The current budget construct has been in place for years. The structure is segregated into: government functions (General Government, Protection, etc.); agency and/or department units; and appropriations. Appropriations which may be "single" purpose/program (LIHEAP) or "consolidated" (Mental Health). Within each appropriation are the "major object codes" - personal service, operating expense, and grants. Within the major object codes are the accounting chartfields, where business unit, DeptIDs, sub-DeptIDs, accounts, and others chartfields make for a huge amount of detail, but not much useable information. The budget is not aligned to strategic outcomes and performance measures are provided only for approximately 10.5% of the programs (78 of 743) in a manual off-line report.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

- Develop a new budget and accounting construct within a financial system configured to support performance management;
- Construct must align strategic Outcomes with budget & spending, use indicators for accountability; use performance measures to evaluate 100% of programs.
- Break down silos of agency, department and division.
- Example: budget "employment services" in total, regardless of which agency (ACCD, VDOL, AOE, etc.) the programs these services are delivered through reside, organizationally. Achievement of the Outcome (Growing Economy), measured by Indicators and achievement of the Programs delivering "employment services" (workforce development and placement), measured by performance measures will provide data enabling us to target underperforming programs, revise policies, track costs and determine cost/benefit of the results.

## **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- Existing VISION system and Chartfields incompatible;

- Legislature will need to buy-in and approve;
- Push-back from business managers;
- Cost and time for a new systems or revisions to the existing systems;
- New configuration must be able to accommodate federal fund reporting and CAFR requirements

**V. WHAT DO YOU PROPOSE TO DO?**

Develop a high-level design for a new budget/accounting construct.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

- A. This project will restrict itself to the highest level. Implementation will be presenting a recommended construct to the Governor, Secretary of Administration, Commissioner of Finance and Management, and the Joint Fiscal Office.
- B. A second more detailed project would then be undertaken by the Executive Branch for a detailed design and full needs assessment, resulting in an RFP for a new system or reimplementation.

| WHAT HAS TO GET DONE?   | BY WHEN? |
|---|----------|
| Charter, lay out goals, book-ends, criteria and establish timeline                      | June 30  |
| Meet with Dep. Secretary of AOA to review current construct – what works, what doesn't? | July 15  |
| Working with agency staff, develop proposed new construct                               | Sept 1   |
| Conduct budget and accounting scenarios to test construct – does this work as planned?  | Sept 30  |
| Meet and gain support from JFO staff  | October  |
| Make Recommendation to Governor   | December |
| Formal proposal to Legislature  | January  |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Chief Performance Officer will be responsible for meeting notes, tracking progress against project plan and reporting and Lead the Team. The Secretary of Administration will be accountable for the final recommendation.

## Agency/Department: Department of Libraries

### Project Name: Job Hunt Helpers

#### I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES

The Job Hunt Helpers program resulted from a partnership between the Vermont Department of Libraries (VTLIB) and Community College of Vermont (CCV) in March 2016. Job Hunt Helpers, are trained CCV students, who are available to help library patrons search for and apply to jobs and career opportunities. They are available, once a week for 6 hours, at the Goodrich Memorial Library in Newport, the St. Johnsbury Athenaeum, Winooski Memorial Library, Aldrich Public Library in Barre, the Rutland Free Library, and Brattleboro's Brooks Memorial Library. VTLIB also funds subscriptions to Learning Express-Library, an online career and educational resource, at these five libraries, and at 6 other public libraries; Burlington, Bennington, Stowe, Montpelier, St. Albans, and Middlebury. This service allows Vermonters to get the confidence and encouragement they need when applying for jobs. Job Hunt Helpers is a great partnership program that is working towards a prosperous Vermont economy.

#### II. HOW ARE WE DOING NOW?

- The Job Hunt Helpers program began in March 2016 with funding from the J. Warren and Lois McClure Foundation and from the VTLIB. This program has been extended into 2017, funded exclusively by the Department of Libraries, which receives a federal grant from the Institute of Museum and Library Services to promote information literacy in Vermont communities.
- The CCV students work with residents who need assistance using computers to explore careers and online education, prepare resumes, and search for and apply online for jobs. The project is also designed to increase digital literacy by helping residents use online resources and career development software.
- In addition to the Job Hunt Helpers, the program offers Learning Express-Library. Learning Express features career information for many fields –including career opportunities specifically for veterans, practice exams including electrical, plumbing, teaching, nursing, military careers, and CDL (Commercial Driver's License), and help with building job search, interviewing, and networking skills.
- Job Hunt Helpers logged 223 sessions with library patrons between March 2016 and March 2017. In those sessions patrons requested help with job searches, resume preparation, career exploration and research, computer use, and education and training searches.
- Job Hunt Helpers often helped patrons with crucial needs like emergency shelter from State Economic Services or consultation with Vocational Rehabilitation.

Comment from a Job Hunt Helper: *This woman needed help with searching and applying for jobs. Also, while she showed me her old resume, I realized she needed to update and fix it. So, we utilized the career*

*transition link and I had her start her resume from scratch. I was able to connect her to local jobs (that I had gathered from the EXPO) and connected her with NECC. She has a couple of interviews!*

*Comment from a patron assisted by a Job Hunt Helper: (She) backed up her resume & cover letter recommendations with sound reasoning – things have changed since I entered the work world! She was easy to work with allowed me to offer my own ideas and thoughts. I feel confident my new resume and cover letter will produce results, and I fell much more secure with what I have!*

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

Doing better would be working with a full contingent of staff throughout the department. All library consultant position will be filled with competent, capable, and forward thinking librarians who strive to share the knowledge and years of experience they have in the library world with public and school libraries around the state. Our department will work as a team to train library staff and trustees around the state, to create efficient and community minded libraries that offer educational and fun programs to citizens, and to build connections within a community that encourage growth and prosperity for the entire community. Library staff will also work on collectively promoting and marketing the services that the department offers to all libraries, citizens, and employees of the state.

We will be actively working with CCV to build a stronger partnership going forward, and building new partnerships for this program within the library and state communities. This is a program that touches all of Governor Scott's strategic goals, and encourages collaboration and partnership between state agencies and departments, and the Community College of Vermont. We see this as a program that will have great potential for growth around the state.

- We will be working more closely with CCV, and Eric Sakai, Dean of Academic Technology, going forward. We will build a stronger partnership with CCV and the library community for this program.
- We will also speak with the Department of Labor (VDOL), as they are also partnering with CCV on Pathways to Promising Careers. This program is administered at VDOL's twelve regional American Job Centers.
- We would like to work with Center for Achievement in Public Service (CAPS) to build the Job Hunt Helper program to include a location at CAPS for state employees.
- The Department of Libraries has hired a new Library Consultant for Governance and Management who will take over as the lead of this program for our department, and work with Erik Sakai, from CCV. This new employee comes to the Department from the Pierson Library in Shelburne, and she has experience with administering community programs within libraries, and has a strong background in community partnerships, collaboration and outreach within Vermont communities.

#### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

The entire department has seen a decrease in staff from 36 employees in 2008, to 19 full-time employees in FY 16. This has been a trying time for our department, however we have added 2 new employees over the past three months, and have 2 employees who will be starting within the next month. We will have the remainder of our positions filled by September 2017, at which time we will be up to our full staff. This program will take a great deal of collaboration and outreach over the next few months from Department staff and CCV. With new employees on board ready to jump in and build community partnerships and collaborations with Vermont libraries and the communities they serve we know this will not be a hurdle for long.

#### **V. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| <b>WHAT HAS TO GET DONE?</b>   | <b>BY WHEN?</b>    |
|--|--------------------|
| Grant to CCV – for continued support of this program   | July 1, 2017       |
| Meetings with CCV to discuss how program can grow this year, and what the Department can do to help  | July 30, 2017      |
| Meet with the Department of Labor to talk about the program we both partner with CCV on, and see how we can work together to promote, grow, and/or partner these programs. | September 30, 2017 |
| Meet with CAPS to discuss how a partnership may work with their training center for this program and State Employees.  |                    |
| Partner with more Job Hunt Helpers and public libraries for this program   | November 30, 2017  |

#### **VI. HOW WILL YOU MONITOR PROGRESS?**

VTLIB's new Library Consultant for Governance and Management will work closely with CCV on monitoring the progress and growth of this program. CCV is required to submit a report to VTLIB at the end of each grant period. The reports from CCV contain program outcomes. Regular meetings with our partners for this program (CCV, partner libraries, CAPS, and VDOL).

**Agency/Department: Buildings & General Services / Office of Purchasing & Contracting (OPC)**

**Project Name:** Identify opportunities to streamline the contracting process with OPC and AGs/SOA

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Of the Governor's priorities, most closely aligns to Vermont's growing economy.

Contracts are processed accurately and efficiently.

OPC provides procurement responsibility to State Agencies that meets all statutory and administrative requirements to effectively meet their Project/Program goals and objectives.

**II. HOW ARE WE DOING NOW?**

Mostly paper-based, hands on process with some integrated programs (Contract Tracking system (CTS), Silanis, email) from start to finish for a Project/Contract execution. Currently, the time to execute a contract following receipt of bid analysis until the contract is fully executed is 30-35 calendar days (This timeframe represents contracts processed in the last six months).

**III. WHAT DOES DOING BETTER LOOK LIKE?**

Reducing the project/contract timeframe to 21 days for full execution of Contract. Streamlining processes between OPC and AGs/SOA will be a contributing factor to attaining this goal by:

- Correct usage and understanding of procurement tools.
- Streamlining methods of communication (internal and external).
- Identifying workloads and creating realistic expectations.

Doing Better:

- Clearly identify workload by OPC Purchasing Agents and note time spent on project/contract.
- Identify all types of workflow and time spent including emergency situations.
- Identify a normal timeframe for all types of procurement scenarios (if applicable).
- Faster turnaround at the AGs/SOA level

#### Results:

- Reduced the number of days to execute a contract to 21 calendar days from 30-35 days or a 30 to 40% decrease from the current state.
- Improve the completeness and quality (adequacy/accuracy) of initial submissions of contract and/or bid documents (incomplete and/or inconsistent scopes of work and basic contractual/bid details). With the intent of reducing the frequency of when documents are returned. While not officially tracked in CTS, this has been identified as a significant opportunity for improvement as it is quite common to receive scopes of work and/or other bid documents that are incomplete adding significant time to the contract development process in addition to unintentionally increasing resource demands.

#### Changes for Customers:

- A greater ownership of their part and impact in the project.
- The time to execute a contract from receipt of the bid analysis to contract execution will be reduced by approximately 30% to 40%.
- Collaborate and heighten communication will provide stakeholders with a better understanding of the process

#### Changes for Staff:

- Reduction in time spent in back and forth on correct forms.
- Purchasing Agents can provide insight into quality of work.
- Purchasing Agent will have an increase in time to do more value-added work

#### Measurement:

- Number of days from beginning to end on cycle time of project/contract.
- Number of days in approval process with AGs/SOA.

- Number of interactions with AGs/SOA.

#### IV. WHAT ARE YOUR CURRENT CHALLENGES?

Current barriers to adequate scheduling and project assignment:

- No notice of project solicitations.
- Stop gaps of all parties – OPC, PM, Directors, SOA, AGs. A concerted effort to reduced workflow gaps.
- Sporadic communication - feedback, approvals from dedicated individuals AGs/SOA (with backups) to achieve attainable turnaround times is needed.

#### V. WHAT DO YOU PROPOSE TO DO?

A LEAN event to identify opportunities to streamline the contracting process with OPC and AGs/SOA. Additional details and project specifics will be developed through the LEAN charter.

Measures of the above-mentioned:

- number of days after the event of the “new” contract processing time.
- number of times of requests to the AGs/SOA for approvals/feedback.
- Contracting sessions with AGs/SOA.

#### VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?

Scope: Evaluation of the current contracting process from inception to contract creation.

| WHAT HAS TO GET DONE?   | BY WHEN?   |
|---|--|
| LEAN Event  | September 2017   |
| After LEAN Event - number of days after the event of the “new” contract processing time | 2 <sup>nd</sup> , 3 <sup>rd</sup> , 4 <sup>th</sup> Quarter FY18 |

#### VII. HOW WILL YOU MONITOR PROGRESS? Measurements:

- Number of days of the full contract process after LEAN event (compare to data before).
- Number of times to interaction with AGs/SOA.

**Agency/Department: AOA – Financial Services Division**

**Project Name: Billing Process Improvement**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

All but one department in AOA, including ADS, bills other State departments for services on a regular (often monthly) basis. This accounts for nearly half of the accounting effort in AOA-FSD.

## **II. HOW ARE WE DOING NOW?**

Bills are sent out timely every month and with relative accuracy.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

Across the Agency, there is a significant opportunity for improvement in efficiency of production and accuracy in the billing process. The billing process is not uniform or consistent across our customer base, and is not uniform and consistent with its interaction with the VISION system.

## **IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

There is much variability of data from the departments who bill for services. Additionally, unit prices in VISION can become out of date, and even those billing processes we have automated, require manual correction of upload errors.

Billing is a relatively simple and self-contained process that has a high chance for successful improvement implementation. Additionally, we already own potential automation systems we could utilize ("Payment Predictor" in VISION is only one example). Many of the departments we bill, are also the same departments who pay the invoice. Cash receipts we receive as wires could be automatically allocated to the appropriate program for services, which is currently a manual process.

## **V. WHAT DO YOU PROPOSE TO DO?**

Map the billing process for each of the AOA departments. Develop a standard best practice for billing. Then we can begin to address the barriers to a more efficient process for each bill type.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

This project aims to define, determine, and focus on measurable outcomes in the betterment of billing process.

This project has department, agency, and statewide implications. Learning this process will require use of lean training and selecting a qualified facilitator.

| WHAT HAS TO GET DONE?                          | BY WHEN?       |
|--|----------------|
| Develop billing map for each department in AOA | August 2017    |
| Standardize the process                        | August 2017    |
| Lean Improvement Process                       | September 2017 |
| Determine actionable items                     | September 2017 |
| Implement actionable items                     | October 2017   |
|  |                |

**VII. HOW WILL YOU MONITOR PROGRESS?**

We can use staff time required for billing, and measures of billing accuracy, which we can use to compare before and after when we implement process improvements.

**Agency/Department: Agency of Digital Services**

**Project Name: Skype – Web/Audio Conferencing**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Skype for Business Online is a communications service that connects people for meetings and conversations anytime and from virtually anywhere. It gives users access to information about presence, and enables instant messaging, audio and video calling, rich online meetings, and extensive web conferencing capabilities. (This is envisioned to replace existing Citrix GoToMeeting/WebEx accounts as we work through cross-walking agency/department needs).

Skype for Business is included as part of the Office 365 licensing the State of Vermont subscribes to. All users are enabled to use this service. The State of Vermont has begun marketing this as the web/audio service of choice for all state users.

Skype for Business fits in with Governor Scott's modernization and efficiency goal of affordability.

### **Skype for Business Web/Audio Conferencing Highlights:**

- Host meetings online for up to 250 attendees
- [PSTN conferencing](#) (conferencing phone line) can be added for an additional monthly fee (this is an annual flat fee, and does not incur usage charges like GoToMeeting or WebEx)
- Sharing of content from the user's laptop or desktop as well as audio/video integration
- Attend meetings from mobile devices (such as your iPad, iPhone, or Android)
- Ability to record meetings

## **II. HOW ARE WE DOING NOW?**

Currently, state departments and agencies utilize Citrix Online or WebEx services for web/audio conferencing. No centralized management or control of licenses, different consoles for employees, and administrative overhead (monthly billing).

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

- One console/one software to use for all end users.
- Monthly billing costs and administrative overhead to process them would go away.
- Cost savings –
  - Hold meetings with both internal and external people – collaborate, and reduce travel time

- Reduced yearly charges with new proposed Skype for Business charges (client is already included with O365 license – additional fee for PSTN conferencing bridge is minimal.)
- Improve efficiencies with desktop sharing, remote control to help end users and our customers.

**IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

Users resistance to change. Used to current tools. Need training to use new program.

**V. WHAT DO YOU PROPOSE TO DO?**

Training information has been published on ADS website. In addition, KnowledgeWave (our online training partner) has also published web tutorials online that users can view. Plan is to coordinate with leads. Identify pilot/power users to help lead the effort for each department or agency that requires use of these tools. They will work with their users to identify requirements, train, etc.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

Scope is to work with IT Leaders/Business users who currently have Citrix Online accounts. Evaluate business requirements.

| WHAT HAS TO GET DONE?  | BY WHEN?           |
|--|--------------------|
| Identify Pilot Users across the state  | June 30, 2017      |
| Training Pilot Users   | ongoing            |
| Ensure all requirements are gathered for comparison to current tools and Skype for Business – to ensure it meets all needs | ongoing            |
| Identify remaining users to be moved   |                    |
| Establish firm timeline to cancel current tools (to realize cost savings)  | September 30, 2017 |
| Track \$\$ saved   | Ongoing            |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Will monitor license usage increase in the O365 tenant. In addition, will monitor usage in Citrix Online via online reporting. Currently tracking in a spreadsheet – but will work with CFO to develop this further.

# **PIVOT Targeted Action Plans for Submission 5/26/2017**

**Agency/Department: Agriculture, Food and Markets**

**Project Name: Large Farm Operations Rules - Leland**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Vermont Agency of Agriculture's mission is to facilitate, support and encourage the growth and viability of agriculture while protecting the working landscape, human health, animal health, plant health, consumers and the environment.

The agricultural industries in Vermont have a significant economic impact on the State, and the Agency's charge to provide support to Vermont constituents who work in those industries directly supports two of the three priorities of the Scott Administration.

- Vermont has a growing economy
- Vermont is affordable

## **II. HOW ARE WE DOING NOW?**

- Growth in the dairy industry continues yet the ability of the Agency to appropriately regulate this growth has been challenged by rules that are complex, detailed and at times, unclear. Length of time to obtain permits, permit amendments and the associated time that it takes applicants to provide all required information are 3 potential measures. The Large Farm Operation Permit process has many variables that must be investigated especially when farmers wish to build a new structure. Completion time can be one to 6 months and longer if farmer wants to change variable during the discussion. Compliance would improve as another measure over time.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

- Reduced time for reviewing permit applications and amendments – reduce to one to 3 months
- Clearer and easier to understand permits that would lead to improved compliance
- Better communication with the regulated community; being considered a resource for growth rather than an impediment

## **IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

- The rules themselves need to be re-drafted for clarity and efficient implementation
- The regulated community needs to be a partner in rules development and needs to embrace the result
- The enabling law may need revision to better reflect today's realities
- Once rules and regulations have been updated standardize format for application and information required will be key

## **V. WHAT DO YOU PROPOSE TO DO?**

- Establish a LEAN process that includes agency staff, members of the regulated community and technical service providers
- Establish a workgroup that can commit to the time needed to review the existing rule and make detailed recommendations for changes.
- Engage LEAN to review the rule and find areas of improvement

- Outcomes of the LEAN process will be shared with regulated legislators if rule and statutory changes are recommended
- Write a draft rule
- Engage in the rulemaking process
- Establish internal timelines and expectations for permit request review and response.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

- Growth in the dairy industry continues yet the ability of the Agency to appropriately regulate this growth has been challenged by rules that are complex, detailed and at times, unclear. The Agency will undertake a thorough review process engaging LEAN for the Large Farm Operation Permit. After the review, the rule will be amended and potential legislative changes will be sought if indicated.

| WHAT HAS TO GET DONE?                                     | BY WHEN?                   |
|---|----------------------------|
| Establish LFO workgroup                                   | September 2017             |
| Permit timelines and expectations policy                  | September 2017             |
| Setup LFO workgroup sessions for rule revision discussion | November 2017 – March 2018 |
| Draft Rule  | April 2018                 |
| Rulemaking process  | April – June 2018          |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Progress will be monitored through regular workgroup meetings and the associated end product of rulemaking. Agency leadership will monitor.

## **Agency/Department: Agency of Agriculture, Food & Markets**

**Project Name: Multi-Year Licensure - Hodgdon**

### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Vermont Agency of Agriculture's mission is to facilitate, support and encourage the growth and viability of agriculture while protecting the working landscape, human health, animal health, plant health, consumers and the environment.

Identify which of Governor Scott's priorities your Agency or Department contributes to achieving most directly

- Vermont has a growing economy
- Vermont is affordable

The agricultural industries in Vermont have a significant economic impact on the State, and the Agency's charge to provide support to Vermont constituents who work in those industries directly supports two of the three priorities of the Scott Administration. The regulatory functions intertwined with licensing, registering, permitting, etc., help maintain equity in the marketplace by ensuring all individuals/companies are abiding by the same rules, as well as increase consumer confidence Vermont's industries, products and services.

### **II. HOW ARE WE DOING NOW?**

Currently every program requiring licensure, registration, certification, permitting, etc., is conducted on an annual basis. This is a routine, largely manual, function involving a high volume of mail both leaving the Agency by way of renewal notices, 2<sup>nd</sup> notices, licenses/certificates/registrations, and coming into the Agency from licensees & registrants needing to submit applications and renewals. The sending and receiving tens of thousands of physical documents and paper checks literally creates opportunity for lost/misdirected paperwork and monies and non-value added administrative tasks. A perfect example is Fair registrations – Registration is an annual event and free, but every year multiple fairs need to receive multiple notices, and often phone calls, to register. This chasing down fairs each year is an inefficient use of resources. Allowing for a 3 year license will reduce the administration of this function by two-thirds over a 3 year period.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

XI. Multi – year licenses will provide efficiency to Agency of Agriculture and agricultural industries in Vermont through the option to have a multiyear license instead of having to renew yearly. Efficiency for both Agency and constituents. The evaluation of which programs this will work with (6 probables identified thus far) is in the beginning stages. Examples of doing better will be lower printing and mailing costs and more administrative time to identify non-compliance – unregistered products & unlicensed entities.

### **IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

The Agency does administer some programs already on a multi-year cycle; Dairy Technicians, Ginseng and Private Pesticide Applicators. The stumbling block has been capacity; taking the time to identify and investigate possibilities for improvements and efficiencies. The ability to go to multi-year licensing was established in statute during the Douglas Administration. The Ag Housekeeping Bill, H.495, this legislative session changed the monetary threshold which restricted some programs from spanning multiple years. Simultaneously with this piece of work is the ability for the Agency to accept credit card payments will result in on-line renewal abilities for many of those we license, register & permit. The on-line ability will further enhance the impacts of this programmatic change.

### **V. WHAT DO YOU PROPOSE TO DO?**

Licensing & Registration has scheduled meetings with program staff to ascertain what programs would work for multi-year licensure/registration. In this discussion, the process of licensing and registration is being evaluated to identify any efficiencies. Once this review has been completed, IT Director Thompson will obtain a Statement of Work and quote

from our vendor, CAI, to determine the likelihood of moving forward. Once all information is obtained, Licensing & Registration will bring the issue forward at an IT Committee meeting to request support and approval from the Agency's Administration. As some programs are already multi-year, the database changes necessary are suspected to be manageable.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?                                       | BY WHEN?           |
|---|--------------------|
| Meet with Program staff to determine program eligibility    | Began May 2017     |
| Work with vendor (CAI) to determine Scope of Work and quote | Summer/Fall 2017   |
| Present request for approval at IT Committee Meeting        | Winter 2017        |
| Implement   | Spring/Summer 2018 |

**VII. HOW WILL YOU MONITOR PROGRESS?**

IT Director Thompson and Financial Director Hodgdon are managing this project. End of July 2017 is the deadline for review of all programs. Agency-wide monthly Licensing & Registration meeting agenda includes 'multi-year licensing status update'. Adherence to above specified timeline is essential and will be monitored monthly at a minimum.

## Agency/Department: Agency of Agriculture, Food & Markets

### Project Name: Credit Card Payment Acceptance - Hodgdon

#### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Vermont Agency of Agriculture's mission is to facilitate, support and encourage the growth and viability of agriculture while protecting the working landscape, human health, animal health, plant health, consumers and the environment.

Identify which of Governor Scott's priorities your Agency or Department contributes to achieving most directly

- Vermont has a growing economy
- Vermont is affordable

The agricultural industries in Vermont have a significant economic impact on the State, and the Agency's charge to provide support to Vermont constituents who work in those industries directly supports two of the three priorities of the Scott Administration. Providing the ability to pay licensing and registration fees by credit card must be coupled with the ability to renew on-line and will provide efficiency to both the State and those renewing. The allowance for real-time self-service is an expected level of service in the 21st century; allowing more time for value added steps at both the industry and State levels.

#### **II. HOW ARE WE DOING NOW?**

Our current process is antiquated at best. In Fiscal Year 2016 the Agency issued 8,934 licenses and registered 27,694 products by processing about 10,300 checks totaling about \$4.3 million. Every business day requires a bank deposit and whenever there is cash or an out-of-country check (many come from Canada), a physical walk to the bank is required for the deposit. Each year the Agency submits claims to the Treasurer's Office Unclaimed Property Division for monies related to licensing & registration – always small amounts from mid to large sized companies. Regularly the Agency is asked to accept payment via credit/debit card and we are not currently able to do so.

#### **III. WHAT DOES DOING BETTER LOOK LIKE?**

Accepting credit/debit card payments, no longer relying upon physical checks and the postal service, will enable our customers to receive their license/registration/certificate, etc. much more expeditiously. Additionally, it costs money to write a check and mail it in a stamped envelope; accepting electronic payments will reduce the cost to our customers. In Fiscal Year 2016 the Agency refunded 87 entities/individuals due to overpayments of \$25 or more, totaling \$9,095.50; the combination of on-line renewals and credit/debit card acceptance will eliminate the possibility of both over and under payments. The Agency will begin with at least two licensing and registration programs for online credit card payments in 2018 and an additional two in 2019.

#### **IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

Currently the Agency has no mechanism by which to accept electronic payments. We are working with our database vendor, Computer Aid Inc. (CAI), to create this ability, as well as working with the VT Information Consortium (VIC – the State's contracted provider of electronic payment services). Prior experience with VIC has not been favorable, but they are the State's contracted vendor we are required to use for this functionality. CAI has implemented this functionality in other states they service. Funding for computer programming work may be a limiting factor. There is no immediate plan to require on-line renewal/payment so the Agency does not anticipate any pushback from licensees or registrants.

#### **V. WHAT DO YOU PROPOSE TO DO?**

All program managers and licensing & registration staff will collaborate to determine program eligibility for this functionality. Next steps require working with the database vendor, CAI, for their system requirements (already in testing phase for one of the systems). Then on to working with VIC, and CAI to create the seamless transition between

systems. The ground work for this step has been established; compatibility of the systems has been confirmed. The ability to do this will ultimately depend on the cost estimate from CAI. The IT Committee will review the plan and the cost/benefit analysis to determine if IT funding should be recommended. Once this project and funding have been approved, the Agency will utilize various methods of outreach to inform those who will benefit from this new functionality. Licensing and registration periods are spread throughout the year so a methodical roll-out of eligible programs will be orchestrated.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?  | BY WHEN?           |
|--|--------------------|
| Database systems allow for electronic payment -If electronic payment is feasible   | Summer 2017        |
| VIC to provide financial information in a manner allowing for expeditious and efficient deposit into and reconciliation of the State’s chart of accounts | Winter 2017/2018   |
| Select specific license and registration programs to move to electronic payment  | Winter 2017/2018   |
| Alert current license or registration holders of the electronic option in next licensing cycle   | Spring 2018        |
| During licensing cycle – determine use of electronic licensing and payment   | Spring-Summer 2018 |
|  |                    |

**VII. HOW WILL YOU MONITOR PROGRESS?**

IT Director Thompson and Financial Director Hodgdon are managing this project. Compliance with the above stated timeframe will be strictly monitored and reported in the first weekly report each month. Licensing & Registration are actively testing database changes in the test environment and reporting back on progress via e-mail and monthly meetings; testing is slated to be completed by June 16, 2017. Monthly agency-wide licensing & registration meeting includes distribution of statistics; percentage of on-line renewals and # of credit card transaction will be added. Implementation of this project should also yield greater capacity for licensing and registration staff to go out into the field to identify non-compliance.

**Project Name: Grants and Contract Management System - Lewis**

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Vermont Agency of Agriculture's mission is to facilitate, support and encourage the growth and viability of agriculture while protecting the working landscape, human health, animal health, plant health, consumers and the environment.

The agricultural industries in Vermont have a significant economic impact on the State, and the Agency's charge to provide support to Vermont constituents who work in those industries directly supports two of the three priorities of the Scott Administration.

The mission of the Agricultural Development Division, within the Agency of Agriculture, is to meet the needs of Vermont's agricultural community by educating consumers, connecting producers to resources and markets, investing in businesses with financial and technical assistance, and promoting Vermont-made products. The work of this Division drives Economic Development in the State.

Our Division manages many different grant programs and dozens of contracts each year.

**II. HOW ARE WE DOING NOW?**

There has been a high level of employee frustration around grants and contracts management due to lack of clarity around roles and responsibility. Although we have made great improvements over the past 3 years and have centralized duties into a grants and contracts team, we still have improvements to make. We also need to determine how and if the other Divisions implement the GMS software. Three years ago, we started the process of implementing a new Grants Management Software. Unfortunately, we did not follow the mantra "innovate before you automate" – instead we automated an inefficient process. We are now working to create a more efficient process, and then make the software we purchased work better for us.

**III. WHAT DOES DOING BETTER LOOK LIKE?**

- Staff spend less time on grants and contracts management
- Greater level of employee satisfaction
- Faster turnaround time on grant and contract execution and payments

**IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

Historically each program manager did their own grants and contract management. We have been able to reallocate duties in order to centralize some of these duties. There are certainly models in other Agencies that we could learn from. We are using a different software system from other State Agencies, which may be a long-term concern.

**V. WHAT DO YOU PROPOSE TO DO?**

What broad action will we implement what we believe will work to do better? Does it have enough leverage to make a difference? Is it specific enough to implement? Do we have the resources to do it? How can we measure the extent to which we have improved?

Creating a visual of our process and better defining roles and responsibilities will lead us to success. We have a Lean activity scheduled for June 8<sup>th</sup> to start this process.

## VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?

Historically each program manager did their own grants and contract management. This review and process will review all granting programs in the Ag Development divisions to determine areas of improvement.

| WHAT HAS TO GET DONE?                              | BY WHEN? |
|--|----------|
| Map process and determine roles/responsibilities   | 6/8/17   |
| Determine scope – Division or Agency-wide strategy | 6/30/17  |
| Ag Dev Division Implementation                     | 8/31/17  |
| Agency-wide Implementation (if needed)             | 6/30/18  |
| Evaluation   | 7/31/18  |

## VII. HOW WILL YOU MR PROGRESS?

Project charter and RASCI matrix will be used

Project team will meet regularly to implement plan

Key individuals will include Agency leadership, Business office, and IT Director

**Agency/Department: Agency of Natural Resources • Forests, Parks & Recreation Department (FPR)**

**Project Name:** [Digitizing the Use Value Appraisal Program](#)

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Vermont's Use Value Appraisal program (aka Current Use) supports good forest management and reduces forestland ownership costs through equitable taxation. As a result, it maintains working forests, helps to keep our water clean, maintains wildlife habitat, and creates jobs. **More than 21,000 Vermont jobs**—from the forest products industry to tourism—depend on healthy forests. Current Use supports the maintenance and management of 15,000 forestland parcels encompassing nearly 2,000,000 acres. Consistent with the Governor's priorities, UVA helps to grow Vermont's economy and keep Vermont affordable while supporting healthy forests.

**II. HOW ARE WE DOING NOW?**

The UVA program is structured to provide individual tax benefits in support of societal goals – well managed working forests and farms. If participants benefit but do not live up to commitments, then Vermont and its economy loses. Forest management plans, which are developed as part of UVA enrollment, dictate when scheduled harvests should occur. If landowners fail to do those harvests, they get the benefit without the economic activity created during a harvest. FPR's inspections/property visits provide the stick to UVA's tax incentive carrot. FPR uses a paper-based UVA management system, which keeps county foresters focused on administrative task, so only 56% of inspections get done annually. [A 2016 report to the legislature](#) identified the county foresters' administrative burden as a significant impediment to maintaining inspection rates and estimated the need for 7.6 additional county forester FTEs to adequately staff the program (a 58% increase over the current staffing level of 13). The report recommended administrative systems improvements that would reduce, but not eliminate, the need for additional county foresters.

**III. WHAT DOES DOING BETTER LOOK LIKE?**

- Increase the percentage of annual UVA inspections/property visits from 56% to 100% of the statutory requirement with follow-up written assistance or guidance provided to each landowner to ensure the tax incentives are stimulating economic activity
- 95% of scheduled harvests on enrolled forestland are implemented according to the management plan. This would require the ability to efficiently assess, program wide, which treatments were scheduled and which were implemented.

#### IV. WHAT ARE YOUR CURRENT CHALLENGES?

- Records and data management systems are based in paper forms which limits the efficiency of analyzing enrollments, delivering assistance, and evaluating compliance.
- Short staffing. Enrollment numbers in certain counties far exceed that which can be effectively administered or supported by a single county forester. Increasing efficiencies will not be enough to meet county level targets in these areas.

#### V. WHAT DO YOU PROPOSE TO DO?

1. **Reduce county forester time on administrative tasks to increase available field time; streamline program elements for the public.**
  - Simplify plan and management requirements using Lean concepts.
  - Standardize and digitize plan, map and form submissions and approvals.
  - Develop systems to capture enrollment metrics from digitally submitted documents, eliminate the need for manual entry.
  - Develop systems to digitize critical hard copy files to allow integration with new systems.
  - Integrate FPR systems with those of Property, Valuation & Review (PVR) to allow centralized access to critical records

#### VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?

| WHAT MUST BE DONE?   | BY WHEN?                         |
|--|----------------------------------|
| 1. Test field inspection form on mobile devices for reporting, data collection and navigation.   | 7/15/2017                        |
| 2. Develop and test standard Forest Management Plan format (with stakeholder input)  | 12/31/2017                       |
| 3. Develop and test a Forest Management Activity Report for digital submission   | 2/1/2018                         |
| 4. Develop digital plan submission process to include maps, signatures and notifications.  | (funding and staffing dependent) |
| 5. Enter critical hard copy records, reports and management plans into the UVA database to enable efficient analysis of implementation of scheduled harvests and landowner outreach. | (funding dependent)              |

#### VII. HOW WILL YOU MONITOR PROGRESS?

- Monitor the development status of key deliverables (i.e., digital inspection form, inspection process, management plan template, forest management activity report, digital submission process and the number of hard copy records entered in the database).
- Track the number of inspections conducted annually.

*TAP implementation will be monitored by FPR's Private Lands Program Manager who will report progress quarterly to the Director of Forests.*

**Agency/Department: Agency of Natural Resources**

**Project Name: Creating an Exceptional Vermont Outdoor Recreation Experience**

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Vermont, through the effort of private and public entities offers and promotes outdoor recreation in all corners of the State. This effort contributes directly to the overall economic health of the State as well as improving livability which attracts businesses and employers. The Department of Forests Parks and Recreation with other State partners stands poised to take a leadership role in coordinating and promoting outdoor recreation as a significant public and private partnership. This will expand the role of outdoor recreation as a significant economic engine for the State of Vermont directly impacting two of Governor Scott's priorities of strengthening Vermont's economy and improving affordability.

**II. HOW ARE WE DOING NOW?**

- Vermont outdoor recreation accounts for 34,000 direct jobs and \$2.5 billion in consumer spending.
- Coordination between private and public providers of outdoor recreation is currently ad hoc.
- The link between Vermont's outdoor recreational assets and the livability of the state and attractiveness to potential employers is not fully leveraged.
- Vermont's recreation asset maps are not comprehensive.
- Vermont's recreation industry is not coordinated nor even defined.
- Vermont's recreation trail systems are developed and maintained largely by volunteers.

**III. WHAT DOES DOING BETTER LOOK LIKE?**

- Citizens, tourists, and employers can quickly find the outdoor activities and resources they desire, and we can more easily direct people to those resources (thanks to the Comprehensive inventory of Vermont's outdoor recreation assets).
- A Vermont Outdoor Recreation Economic Collaborative (VOREC) A group which includes a broad representation of outdoor recreation is established and facilitates broad-based efforts to celebrate and promote Vermont's outdoor recreation brand.
- Targeted action plans for marketing, legislative and policy change proposals, expanding funding sources for improving and expanding recreation asset inventory are developed and implemented.

#### IV. WHAT ARE YOUR CURRENT CHALLENGES?

- Financial and human resource capacity to lead this initiative is limited by current workload. Long term continuation of this effort will require dedicated staff and resources.
- The diversity and breadth of the recreational industry could pose challenges in coordinating input and promoting buy-in to the initiative.

#### V. WHAT DO YOU PROPOSE TO DO?

- Lead and coordinate a collaborative group created by Governor Executive Order including organizational guidance and goals
  - Identify and coordinate opportunities for stakeholder involvement.
  - Establish work groups to execute targeted action plans.

#### VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?

This scope is limited to the immediate development of the Vermont Outdoor Recreation Economic Collaborative

| WHAT HAS TO GET DONE?  | BY WHEN?           |
|--|--------------------|
| Appoint a 15 member Vermont Outdoor Recreation Economic Collaborative (VOREC)          | June 15, 2017      |
| The collaborative designs outdoor recreation conference                                | June 20, 2017      |
| Gather relevant background such asset, use, economic impact, inventory and data        | July 31, 2017      |
| Hold outdoor recreation conference hosted by VOREC (includes many stakeholders)        | August 2-3, 2017   |
| Draft action items and recommendations for broader stakeholder input                   | September 15, 2017 |
| Hold statewide regional meetings to gather broad input on draft recommendations        | October 31, 2017   |
| Report at national <a href="#">SHIFT</a> (Shaping How we Invest For Tomorrow) festival | November 2, 2017   |
| Develop next steps in strategic action plan (Recommendations)                          | December 31, 2017  |
| Update / develop new targeted action plans (Implementation)                            | March – April 2018 |
| First official report to the Governor  | July 2018          |

#### VII. HOW WILL YOU MONITOR PROGRESS?

- Deadlines will be managed and tracked by FPR's Recreation Program Manager.
- Quarterly reports will keep the Governor updated on progress and could provide opportunities to proceed with initiatives and adjust timelines prior to the official report.

**Agency/Department:** ANR/DEC

**Project Name:** Sharing Clean Water Project Successes with The Public

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Governor Scott has made clear that Vermont's environment and its economic growth are inextricably linked. Clean water is important to Vermont's outdoor recreation economy and is one of the foundations of the Vermont brand that drives tourism. Therefore, in the FY18 budget, Governor Scott proposed dedicating \$50 Million over the next two years to support implementation of clean water projects that will restore and protect water quality throughout Vermont. Vermonters deserve to know how state dollars are being invested in these projects, and the results of those investments to improve our shared water resources.

## **II. HOW ARE WE DOING NOW?**

The Watershed Project Database (WPD) is a project tracking database used by the Watershed Management Division to prioritize projects for funding, track the funding and completion of projects, and report on environmental and clean water results of those projects. In 2016, the first [Vermont Clean Water Initiative Annual Investment Report](#) was submitted to the legislature, summarizing the state's clean water investments and the results of those investments. Although the report summarizes project results, it does not make project-level information available in real time to the public. Only a small portion of the database, where project data are stored, is currently available for public view on the DEC's website.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

Being transparent about how \$50 Million will be spent over the next two years on clean water will involve developing a public view of the database that will allow the public, the Legislature, and partners/stakeholders to access these project data. This would include a dashboard feature to summarize clean water investments and accomplishments in an interactive and user-friendly manner, improving transparency and public access to this information. Selecting a shared dashboard platform will assist to align the efforts of Vermont's Clean Water Initiative partner agencies (Agencies of Administration; Agriculture, Food and Markets; Commerce and Community Development; Natural Resources; and Transportation) to increase public visibility of state-funded projects and demonstrating project successes and results, as required by the legislature.

## **IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

The WPD does not currently have a public-facing dashboard that summarizes available data and allows interested members of the public to visualize results. Additionally, project partners are unable to input project information through reporting forms meaning this work needs to be completed by DEC staff. This plan will address those two primary issues by determining the best dashboard system

to incorporate into the database by consulting with the Agency of Digital Services (considering existing resources such as SSRS, Power BI and Socrata) and expanding the database to include features where project partners can input project information.

**V. WHAT DO YOU PROPOSE TO DO?**

DEC will coordinate with staff from Clean Water Initiative partner agencies to develop improved work-flows for enhanced database integration. DEC will coordinate with communications staff from the existing Clean Water Initiative Interagency Communications Committee to develop a communications strategy for the portal, refining how information should be displayed and solicit input from end users (e.g., legislators, partners, members of the public). DEC will hold a process improvement event with DEC staff and external partners in development of a work-flow and IT solution for external partners (e.g., Regional Planning Commissions, Natural Resources Conservation Districts) to contribute to the WPD. This will include consultation with the Agency of Digital Services.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?   | BY WHEN?               |
|---|------------------------|
| Determine platform for external dashboard   | July 2017              |
| Develop interagency communications and outreach plan                                    | September 2017         |
| Enhance interagency database integration  | October 2017           |
| Pilot dashboard and database portal; solicit end user input                             | November-December 2017 |
| Finalize improvements to WPD and portal to complement release of 2017 Investment Report | January 2018           |

**VII. HOW WILL YOU MONITOR PROGRESS?**

The success of this project will be measured based on (1) its ability to present aggregated data in a manner that clearly communicates progress the State is making in improving clean water, (2) the public’s level of access to the project portal and project-level data and information, and (3) the improved ability of DEC Staff to more efficiently generate reports and respond to information requests through enhanced data aggregation and reporting technologies.

**Agency/Department:** Agency of Commerce & Community Development

**Project Name:** Permit Process Improvement

### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

ACCD directly contributes to the Governor's goal of strengthening the economy. Helping businesses and municipalities (our "Customers") navigate the complex permitting system for economic development projects can have a direct impact on how quickly projects are completed, or whether they are completed at all.

### **II. HOW ARE WE DOING NOW?**

Currently, ACCD has no process for helping Customers through the permitting process for economic development projects. Customers repeatedly relate to us that navigating the permitting process is a huge sticking point in getting projects completed. Currently, there is no formal role for ACCD in the permitting processes of the issuing agencies. ACCD has a supporting role in some processes, but these interactions are not well documented and may not be optimized.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

- ACCD is the official initial contact in state government for economic development projects.
- ACCD has a set process in place to help Customers through the permit process for economic development projects.
- State permit processes are more predictable – uncertainty can kill beneficial projects.
- Better coordination between all entities (state and local) issuing permits.
- Economic development projects are completed more quickly – the quicker a project is completed, the greater the actual economic impact can be.

### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- Lack of understanding of current permit processes.
- Overlapping and/or conflicting permit processes.
- Lack of centralized resources for Customers / no single-source, formal guidance for initiating the permit process.

### **V. WHAT DO YOU PROPOSE TO DO?**

- Assist in the development of a formal process for the initial contact with customers in the permitting process.

- Work with permitting agencies to identify overlapping and conflicting permit requirements (note that “conflict” may arise from timing as well as from substance of permit). The expectation is that the permitting agencies would then work to resolve these issues.

## **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| <b>WHAT HAS TO GET DONE?</b>  | <b>BY WHEN?</b>    |
|---|--------------------|
| ACCD has a member on the inter-agency Permit Process Improvement Group  | Completed          |
| Identify permits that are within the scope of this project and thresholds for ACCD involvement (project size and complexity)  | July 20, 2017      |
| Select an industry or a project for pilot project/case study  | August 30, 2017    |
| Convene a scoping meeting with project/industry representatives and all permitting authorities (local and state)  | September 30, 2017 |
| Conduct a baseline survey of recently permitted projects regarding impediments, attitude, procedure, and policy.  | November 30, 2017  |
| Document existing challenges to determine where ACCD can provide assistance   | February 28, 2018  |
| Develop implementation plan based on survey and challenge identification results, which may include a Permit Liaison job description, permit assistance documentation, and/or online resources. | May 30, 2018       |

## **VII. HOW WILL YOU MONITOR PROGRESS?**

- The baseline survey will establish key criteria/standards. Those criteria will be monitored based on follow up with subsequent permit applicants. Responsibility for conducting the survey and follow-up monitoring will lie with the Commissioner of Economic Development, assisted by the Marketing Division.

**Agency/Department:** Agency of Commerce & Community Development

**Project Name:** Program\* Workflow and Automation

### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

ACCD contributes directly to the Governor's goals of strengthening the economy and making Vermont more affordable. Many of the services delivered by ACCD occur through actions carried out by organizations and businesses working under grants, contracts, incentives, tax credits and designations (collectively referred to as "Programs") administered by ACCD.

### **II. HOW ARE WE DOING NOW?**

The initiation, review, approval, agreement development, and on-going compliance and reporting requirements of ACCD Programs require a significant number of staff hours. Currently, we manage four of the Agency's major grant and incentive programs through our online management tool, GEARS (Agate IntelliGrants), but that is only 22% of the Programs that could be managed by the system. The remaining Programs are managed manually, some without workflow or process documentation. This can lead to frustration for both customers and staff due to unpredictable turn-around times for processing applications; not understanding the application, invoicing or monitoring processes; lack of follow-through on reporting requirements; "loss" of contracts in process; and not completing the close-out process properly, to name a few.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

- Staff have documented workflows to follow, eliminating guesswork and ensuring continuity in Programs in case of staff turnover or absence.
- Process consistency and transparency between Programs means external customers know what to expect when doing business with us.
- Increased coordination and communication can lead to better synergies of service, maximizing the support we can provide utilizing our current resources.

#### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- Undocumented and/or outdated manual processes.
- Resistance to change.
- Staff capacity.

#### **V. WHAT DO YOU PROPOSE TO DO?**

- Inventory current Programs and analyze which Programs need workflow documentation.
- Determine which Programs would realize the greatest gains, through process improvement, by going into GEARS.
- Increase the number of Programs managed in GEARS by 100%.

#### **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

The scope for this plan includes reviewing and documenting workflows for all Programs administered by ACCD and implementing four additional Programs in GEARS.

| <b>WHAT HAS TO GET DONE?</b>   | <b>BY WHEN?</b>     |
|--|---------------------|
| Compile a comprehensive list of all ACCD Programs.   | 07/31/17            |
| Determine which ACCD Programs do not have a documented workflow.   | 07/31/17            |
| Complete selection of four Programs to implement in GEARS.   | 10/01/17            |
| Identify key performance measures for each of the four Programs.   | 12/31/17            |
| Create implementation plans for each Program being created in GEARS.   | 12/31/17            |
| Complete implementation of Programs in GEARS.<br>(timing dependent on complexity of chosen Programs and budget availability) | 12/31/18 – 12/31/19 |
| Document current workflows for all Programs.   | 12/31/19            |

#### **VII. HOW WILL YOU MONITOR PROGRESS?**

- Monitor and report on key performance measures (such as days to process completed applications, percentage of dollars distributed within the grant/contract period, percentage of contracts/grants closed on time, and more).
- Program Leads will work with GEARS Program Manager and Project Manager(s) to create reports and track progress.
- Survey Program staff one year after implementation is completed, qualitative assessment on success.

**Agency/Department:** Agency of Commerce & Community Development

**Project Name:** Alignment of Creative Services to Implement Cross-Sector Marketing Strategy

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Each of the Agency of Commerce and Community Development's (ACCD) departments contribute directly to the goal of improving the state's economy. The Department of Economic Development (DED) provides direct business support to existing Vermont companies and to attract new businesses. The Department of Tourism and Marketing (VDTM) markets the state's assets. The Department of Housing and Community Development (DHCD) helps communities improve the quality of life that supports economic growth and attracts new residents. Each Department is well positioned to build on each other's marketing efforts — today's visitors are some of our best prospects for future residents. The Vermont brand is evolving beyond outdoor recreation and artisan food and beverages. However, Vermont's varied economic success stories are a well-kept secret. A vibrant Vermont economy relies on a cohesive marketing strategy that supports all sectors by aligning our marketing efforts.

## **II. HOW ARE WE DOING NOW?**

VDTM markets Vermont's tourism sector, but DED has had very limited resources in the past to market Vermont broadly — and a cohesive cross-sector strategy has only recently been established. Advertising campaigns by VDTM have focused on promoting Vermont as a place to visit and recreate, leaving half of Vermont's story about being a great place to do business left untold. Creative teams are siloed by department, and DED has no dedicated marketing staff. Teams work independently, perpetuating missed opportunities to avoid duplication and leverage the reach of the external communications of other departments. We are inadvertently promoting a mixed perception of Vermont that is detrimental to our long-term economic development goals.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

With better coordination of marketing activities across departments, ACCD would be able to, most immediately, more efficiently implement the 2016 economic development marketing plan — which identifies a cross-sector strategy to increase economic activity in the state to retain and attract both residents and businesses. Creating systems and workflows that would enable the creative teams to function essentially as a marketing agency within ACCD would allow more fluidity between teams, creating more capacity, more coordinated messaging, and potential savings from a reduced need for outside marketing services.

## **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

Marketing budgets are limited, and siloed by department. Creative teams are siloed by department, with divisions reinforced by management hierarchy, organizational structure and budgeting. There

is no defined workflow for creative projects. There is a distinct lack of understanding throughout the state of the role of marketing in economic development, compounded by the difficulty of measuring outcomes for marketing activities. Basic programmatic knowledge is not shared between departments, and cultural and structural differences exist across the departments, including different website platforms.

**V. WHAT DO YOU PROPOSE TO DO?**

- Assess the marketing skills and expertise across the agency to determine capacity and opportunities for alignment
- Update job descriptions for all agency staff to include marketing / promotion functions and performance measures
- Address cultural differences across the departments through joint staff meetings and intra-agency educational opportunities
- Create systems to share resources, using the implementation of the economic development marketing plan as the first project
- Create and document a work flow for creative projects that allows departments to share marketing assets and expertise

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?   |
|---|
| Select intra-agency project team, identify project champion and project manager                                 |
| Inventory marketing assets and staff skill sets; gather requirements for assets / skills needed                 |
| Document existing process / work flow for the delivery of creative services within ACCD                         |
| Identify opportunities to share information and resources; analyze gaps   |
| Identify ideal state of business / structure to deliver creative services across the Agency                     |
| Develop systems / process / organizational structure to collaborate, align efforts and share assets / resources |
| Create implementation plan to achieve desired state; document new work flows                                    |
| Review implementation progress; refine process as needed  |

**VII. HOW WILL YOU MONITOR PROGRESS?**

VDTM Commissioner will be responsible for monitoring progress, including: 1) Document savings from shared third-party tools and reducing out-of-agency marketing contracts; 2) Track web traffic and engagement on thinkvermont.com 3) Track leads generated, reach of social media, library of video and editorial creative assets; 4) Conduct out-of-state perception survey and compare to 2015 baseline survey; 5) Review performance measures for marketing and promotion efforts in individual performance reviews; and 6) Track and document progress of marketing projects, budgets and performance metrics.

## Agency/Department: Commerce and Community Development

### Project Name: Information Governance Initiative

#### I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES

ACCD's programs contribute directly to the goal of improving the state's economy and making Vermont affordable. This project aims to establish an information governance program that sets a foundation for using data and systematically evaluating program effectiveness as a way to guide public dollars towards investments that make the most progress towards the Governors goals. Information Governance is 'the exercise of authority, control and shared decision making (planning, monitoring and execution) over the management of data assets.'

#### II. HOW ARE WE DOING NOW?

The Agency has no formal information governance in place. Many divisions and individuals collect data or gather it from outside sources on an ad hoc basis and generally keep information stored on individual drives without following any standards or ensuring that the data quality is adequate to meet business needs. By not having a data governance program the Agency has siloed data that is not easily disseminated on request, understanding of the data is communicated effectively and may be duplicated across departments. At the moment – we haven't identified the most important performance measure that tells us how well we are doing – that's part of this project.

#### III. WHAT DOES DOING BETTER LOOK LIKE?

Systematic use of data and information to make to make better decisions throughout the Agency is what we are striving for. With the right information, we will have a clear understanding of the impacts our programs have and be empowered to make changes that yield the biggest return on investment for taxpayers.

- 1) **Information is valued an asset** and data stewardship permeates all branches of the agency. (# of staff gone through data stewardship training.)
- 2) **We are efficiently collecting the right data to improve decision making.** Data collection and management processes are streamlined and focused on what matters. (# of datasets in data catalog, # KPI's identified, # of redundant efforts eliminated)
- 3) **Information is easy to access and used to make better decisions.** Data is available internally and externally, comes from a single authoritative source and is available in a consistent format for the purposes needed. (# of data sets in data portal, # of processes improved with access to data, #programmatic improvements made based on data). With a consistent accessible dataset and the ongoing process of collecting and analyzing different types of data will ultimately shed light on business trends and program efficiencies.

#### IV. WHAT ARE YOUR CURRENT CHALLENGES?

Information governance is a long-term program that involves behavior change, which is always a challenge. It will need to be created as a new program and will require recruiting dedicated team members throughout the Agency. There have been efforts throughout the state to cobble together

information governance however there is no system in place and data is in disparate forms. This project would help define the framework to initiate information governance across state government helping to define a system and a data asset inventory.

**V. WHAT DO YOU PROPOSE TO DO?**

At a high level the agency will propose a information governance framework by beginning with identifying information stewards who will champion the importance of data assets. The steward’s ability to communicate value is a key part of the success of the project as behavior change is imperative. Following the formation of Information Stewardship Team (ITS) a small program will be identified to pilot the framework development which will include an inventory and cataloging of data assets of that department. Identifying the breadth of the data formats will help structure a system for cataloging and analyzing the data. Finally, we will provide training on information management and the integration of information stewardship into the daily business practice. See the implementation plan.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?                                      | BY WHEN?            |
|--|---------------------|
| Create an Information Stewardship Team (IST) (Agency Wide) | 07/13/17            |
| Develop presentation material to convey why this matters   | 08/17/17            |
| Identify a group to pilot the project                      | 08/17/17            |
| Create catalog template                                    | 09/04/17            |
| Inventory what pilot data we have and what data is needed  | 09/15/17            |
| Analysis / Identify gaps                                   | 10/06/17            |
| Pilot team catalog   | 10/27/17            |
| Integrate information stewardship into business practice   | Ongoing             |
| Develop ‘Information Steward’ Training                     | 11/10/17            |
| Agency wide training                                       | 11/01/17 - 12/31/17 |
| Agency wide catalog 1st draft                              | 02/21/18            |
| Analysis / Identify gaps                                   | 03/15/18            |
| Complete agency wide catalog                               | 05/17/18            |

**VII. HOW WILL YOU MONITOR PROGRESS?**

The project will have a charter and be managed by Melissa Prindiville, PMP, CSM. A SharePoint site will be setup to inform the agency on the progress of the pilot and provide a single location for team collaboration. Monitoring the attendance of the Information Stewardship Team and their engagement will help gauge the behavior changes required for a successful project. Once the infrastructure to support the project and data assets has been integrated into the business practice the system can begin to track the number of data assets inventoried and catalogued. Progress would include an increase in the data catalogued inventory and the access to the data assets.

**Agency/Department:** Department of Motor Vehicle (DMV)

**Project Name:** Oversize, Overweight Permits – Phase One  
**Standard Envelopes and Routes**

**Project Team:** William Elovirta, Michael Smith, Shawn Nailor,  
Kevin Viani, Wanda Minoli

### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

DMV supports growing an affordable Vermont economy by issuing near real time permit responses. This will promote making Vermont an affordable place to work and do business by providing improved customer services through predictable pre-approved corridors to support highway safety and infrastructure protection.

### **II. HOW ARE WE DOING NOW?**

The current Oversize, Overweight Permit program issues approximately 12,000 single trip permits to approximately 1,300 carriers totaling approximately \$500,000.00 in funds. The percent of permit applications, received complete with accurate routing is approximately 50%. Of the remaining 50%, approximately 5% arrive without routes indicated and the other 45% must be re-routed or returned due to incomplete routes, do not cross bridges, construction, or other restrictions or limitations. The processing time associated with these permits varies based on workload, number of times the carrier must be contacted due to errors, number of times carriers call seeking the status of their permits, etc. All of these reasons have a direct impact on construction schedules and movement of goods.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

Through the Oversize, Overweight Permit process improvement project DMV and VTrans will increase services available to carriers, create on-line single trip permit opportunities, stream line routing, reduce wait times and move revenue through the process faster. We will:

- Increase single trip permit application accuracy from 50% to 75%, in the first year.
- Decrease the number of returned single trip permit applications to 25%
- Create predictability (standardized envelopes, routes and tracking).
- Eliminate duplicate submission of single trip permit.
- Reduce calls from Carriers questioning status of permit
- Reduce calls to carriers to obtain required information to complete the permit application
- Increase available staff time to work on the other permit requests.

#### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- Cultural differences between the issuing process and the expectation of the carriers.
- Urgency of permit issuance not shared by all involved
- Carriers who continually call seeking the status of their permits
- Carriers submitting multiple permits (one e-mailed and one faxed for the same load)
- Paper lists of “do not cross” bridges; some done from memory others require scanning a 25 page list
- Lack of technological assistance (511 system does not include Construction activity and restrictions)
- Carriers neglecting to complete the application entirely or correctly
- Lack of timely communication of construction restrictions

#### **V. WHAT DO YOU PROPOSE TO DO?**

- Develop standard envelopes and routes.
- Discuss process improvement and target opportunities to increase accuracy, timeliness, and predictability in administering the Oversize, Overweight Permits.
- Leverage technology where possible to address some of the known errors that occur in the process
- Implement improvements to process.
- Track performance.

#### **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

Major steps include:

- Thoroughly review existing process to identify opportunities to increase accuracy, timeliness, and predictability in administering the Oversize, Overweight program.
- Review, modify and create an on-line fillable form with intelligent edits (i.e. you cannot print or submit the form without form being complete and potentially integration with the 511 system)
- Modification of the 511 system to include roadway restrictions, especially during construction season
- Integration of e-signature to validate permit and expedite return to carrier.

| <b>WHAT HAS TO GET DONE?</b>  | <b>BY WHEN?</b> |
|-------------------------------|-----------------|
| Project Team Kickoff meeting. | June 8, 2017    |

|   |                  |
|---|------------------|
| Develop pre-approved routes and envelope size<br>- Establish for 2017 construction season or 2018 | TBD from meeting |
| Evaluate Modification to enhance 511 System   | TBD from meeting |
| Create new on-line intelligent form and integrate e-signature capability                          | TBD from meeting |
| Partner with identified Stakeholders  | TBD from meeting |
| Pilot changes with one VT carrier that submits multiple permits                                   | TBD from meeting |
| Implement changes to process (511, E-signature, online fillable form)                             | TBD from meeting |
| Go-Live: Online Single Trip Permit Application (Beginning 2018 Construction Season)               | March 1, 2018    |
| Track and report performance  | Ongoing          |

**VII. HOW WILL YOU MONITOR PROGRESS?**

- We will use baseline data on existing process and measure it against the new process
- Monitor performance of staff and carrier use of new forms and 511
- Monitor acceptance of the E-signed permits
- Create implementation plan to roll out to all carriers

**Agency/Department:** Department of Motor Vehicle (DMV)

**Project Name:** DMV Cashiering System (Point of Sale)

**Project Team:** Representatives from ADS, and all DMV Divisions.

### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

DMV supports making Vermont an affordable place to work and do business. DMV supports protecting vulnerable populations by improving our customer services and providing transparent stewardship of generated revenues. Utilization of modern technology contained within the new Cashiering System (Point of Sale) will allow the Department to realize process improvements. These improvements present the opportunity for DMV to track and measure motor vehicle retail transactions by product type at various service locations. Providing DMV employees timely and effective access to motor vehicle documents will allow them to meet the personal and professional needs of Vermonters, which will help to grow the economy. This modern system will help to serve Vermont citizens quicker and more effectively than we do currently.

### **II. HOW ARE WE DOING NOW?**

The current DMV Cashiering System is not a web-based application and lacks basic security and auditing functionality. Collected revenues are not categorized into proper account codes and funds in a timely manner. Changes to the data contained in the system are not tracked or segregated by proper user permission levels. The current system can't be modified or upgraded because programming codes did not include all the necessary files to allow for re-compiling of the code. Current system lacks ability to segregate duties properly when reconciling cash drawers and cannot provide statistical reports for trend analysis.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

- New system will provide timely categorization of revenue. Currently revenue categorization takes approximately 5-6 business days. A modern, industry standard, cashiering system would reduce the revenue categorization time to within a 24-hour timeframe.
- Operational functionality will be streamlined and uniform across all DMV locations and units.
- Operational processing will improve because a more modern system utilizing new and improved functionality will save staff time, minimize delays for customers, improve

accuracy, and reduce the risks associated with fraudulent activity. Security enhancements will exist in the new system and will provide record integrity by eliminating shared employee password access and all transactions will include date, time, and system user identification.

- Statistical data will be available from the new system to include consistent transaction counts and revenue figures for each different service/item processed through the application. Customer service product demands can be analyzed by DMV office locations.
- Internal controls will improve through an enhanced reconciliation process that is fully automated and eliminates paper-based adjustments.
- One system of record for all DMV services and financial reporting.

#### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- At this time how the new system will integrate both with our current business practices as well as existing system limitations is not completely known.
- Incorporating additional features to support improvements that can facilitate more effective transaction processing may require additional funding.
- Developing an implementation plan that supports all users migrating to the new system simultaneously while continuing to effectively run day to day operations.
- Multiple systems are used for reporting which leads to difficulties reconciling data to provide accurate statistical information.

#### **V. WHAT DO YOU PROPOSE TO DO?**

- Implement the US eDirect system (POS/Cashiering System)
- Identify and prioritize process improvements and system enhancements that target opportunities to gain additional efficiencies. Incorporate recommendations of the application processing and refund lean events into this prioritization process.
- Identify modifications to staffing resources to support new work flow demands.
- Monitor and track overall performance results and transaction data.
- Analyze activity to identify opportunities to better serve Vermonters with real-time data by location and transaction type.

#### **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

The scope and effort for bringing a new Cashiering System to DMV began more than a year ago with a Request for Proposal that lead to a contract being signed with US eDirect on January 4, 2016 for their Neptune Point of Sale System. We expect to implement this system by September 1, 2017. Post implementation of the system we will continue to meet as an executive steering committee to identify, discuss and evaluate system enhancements needed to support the desired business process improvements.

| WHAT HAS TO GET DONE?  | BY WHEN?           |                                     |
|--|--------------------|-------------------------------------|
| Issue RFP for a new point of sale system   | March 2016         | <input checked="" type="checkbox"/> |
| Select implementation vendor and system  | August 2016        | <input checked="" type="checkbox"/> |
| Complete fit-gap analysis with vendor  | February 2017      | <input checked="" type="checkbox"/> |
| Design system modifications required   | April 2017         | <input checked="" type="checkbox"/> |
| Complete system configuration and modifications required to fit the requirements of the RFP  | July 2017          |                                     |
| Go-live with new POS system that will create a uniform, streamlined process by which the department collects and categorizes revenue at all DMV locations and units.             | August 28, 2017    |                                     |
| Assess and plan for implementing check guarantee option and identify budget request accordingly.   | September 15, 2017 |                                     |
| Identify business system experts to be able to demonstrate additional functionality that can be used to maximize our investment.   | November 1, 2017   |                                     |
| Identify Key Performance Indicators we can access from the new system and begin reporting on them.   | November 30, 2017  |                                     |
| Evaluate opportunities to interface with State of Vermont PeopleSoft Accounting System (VISION) to improve timing of categorizing revenues into proper tracking codes and funds. | December 31, 2017  |                                     |
| Utilization of scanning capabilities at point of sale rather than at the end of work flow process.   | March 1, 2018      |                                     |
| Implementation of check guarantee functionality and removal of the current practice of suspending licenses for bounced checks provided necessary budget is approved.             | June 30, 2018      |                                     |
| Integrate Lockbox and DMV Express transactions into POS.   | August 1, 2018     |                                     |
| Meet with executive team and vendor to prioritize system modifications and enhancements and develop implementation plans accordingly.  | Ongoing            |                                     |
| Implement changes to staff resources to better align with the new work flow process.   | Ongoing            |                                     |

## **VII. HOW WILL YOU MONITOR PROGRESS?**

- Monitor levels of customer satisfaction, staff performance, and production time to complete work products.
- Develop a trend analysis at each location to determine levels of customer demand in each geographic location and identify ways to better meet those demands.
- Implement feedback loops from system users to identify potential system and operational process improvements.
- Hold monthly executive steering committee meetings to discuss enhancements required to support process improvements.

**Agency/Department: Agency of Transportation**

**Project Name: VTrans 'Master Grant' Grant Process Reform Initiative for PIVOT 2017**

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

VTrans gives out grants to many municipal, regional, nonprofit, and other entities.

Municipalities almost certainly are the single largest subset of grant recipients of widely-distributed grants such as:

[From VTrans Maintenance & Operations Bureau] (common): Town Highway Surfacing Grants

Town Highway Structures Grants

Structures Grants

(less common, yet not rare)

Town Highway Emergency Grants

Grants

[From the Municipal Assistance Bureau] (common): known as Better Back Roads)

Better Roads (formerly

. (less common, yet not rare)

Park & Ride

(& bike/ ped, sidewalks, other topics)

[From the Governor's Highway Safety Program] (common) Equipment

Occupant Protection/ DUI/

Recognition Expert)

DRE (Drug

Education

Speed display trailers

Workzone safety

Thus, it is not at all unusual for a single municipality to receive at least five to ten entirely separate grants from VTrans during a single year. The pool of grant recipients changes little from one year to the next.

The principles and process proposals for reform that are set out here are most clearly illustrated and (at least for VTrans) most impactful in relation to municipal grants, but are by no means restricted to municipal grants, and could be expanded to other types of VTrans' grant

recipients. Nor are the principles, patterns, or proposals here likely to be uniquely applicable to VTrans.

## **II. HOW ARE WE DOING NOW?**

At present, each and every grant is processed using a lengthy choreography of processes and documents that from start to finish are entirely isolated from any other grant- and yet, of those documents and processes, only a relatively small portion necessarily vary much, or at all, from one grant transaction to another grant transaction. The amount of funding and the topic being funded always vary, but much of the rest is to some huge extent 'boilerplate' (which is recognized without question to be important in substance, but for that very reason, uniform in all grants). Certain compliance information connected to certain federal funding sources or programmatic subject matter varies by grant program area, but not necessarily for the multiple grants that a particular grant recipient may get in a single year within a particular broad program's different subsets. Certain transaction-specific safeguards such as risk assessments and checking delinquency and debarment are very definitely important as distinct steps on a per-award basis, but are now done as largely manual tasks as disjointed parts of a largely manual and lengthy workflow, and could be much more efficient if modernized through technology as part of a systematized, expedited set of processes.

Thus, despite the extent to which a huge proportion of grants contain common content and proceed via common processes, every grant process and documentation proceeds in total isolation, from start to finish, from every other grant. Each grant therefore occupies a separate vertical process and documentary 'stovepipe' -obscure unto itself, and obscured from any other grants- with a tremendous amount of duplicated effort, process, and documentation and little transparency across individual grants or across programs.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

- Investigate, design, and pursue an arrangement in which each known and expected grant recipient (most of whom are the same each year) signs, at the outset of an appropriate interval (likely annual, at least to start), a single 'Master Grant Agreement' that would embody and accomplish the content and processes that do not vary for any single grant. With that 'Master' in place, these duplicative processes and documents then do not need to be repetitively done on a per-grant-transaction basis. Individual grant awards during the relevant time span that the 'Master' is in effect can and will simply reference back to and incorporate (by reference) the 'Master.'
- Develop programmatically-specific 'compliance modules' that contain standard requirements that will be common to grants from particular funding sources, or within a moderately broad subject matter category. The relevant 'Compliance Module' would be signed by each applicable grant recipient one time before receiving any grant award

falling within that compliance category, and then would not need to be repeated for other grant awards within that category, during the entire interval that the 'Master' and the 'Compliance Module' are in effect. Given the familiarity of patterns from year to year, many grant recipients could sign all or nearly all of the relevant 'Compliance Modules' at the same earliest stage at which they sign the 'Master.' Similar to how all individual grant awards reference back to the 'Master,' the individual grant awards covered by a particular and already-signed 'Compliance Module' would reference back to, and incorporate by reference, the relevant 'compliance module.'

- Distilling each grant award down to the only variables that actually vary- financial and programmatic- will allow much greater focus on and quality of descriptions for the goals of the grant, payment provisions, and, most of all, on results-based-aspects that would otherwise be (and to date, are) obscurely buried and befogged within all of the voluminous boilerplate that's traditionally comprised the vast portion of the bulk of each grant award documentation.
- With duplicative and largely manual processes stripped away, there is heightened opportunity to make the compliance steps that must be and remain distinct for each separate grant transaction- such as risk assessments and checking delinquency and debarment- much more amenable to streamlining and to some significant degree automation. Delinquency checks can likely/ eventually be automated via an interface with VISION and federal debarment checks via 'SAM' can likely/ eventually be automated via the 'API' (application program interface- essentially the back-end digital control levers) already publicly available for the federal SAM system (see: [https://gsa.github.io/sam\\_api/sam/](https://gsa.github.io/sam_api/sam/) ). Risk assessments might eventually be able to become primarily data-driven and predominately (though maybe not entirely) self-populating for each individual grant award.
- The change from the current 'forest of stovepipes' of grants all entirely isolated from one another, and a transition to a situation where funding flows follow structured formations by recipient and program (the programmatic and funding parallel to an 'org chart'), will likely offer greatly improved opportunities for both internal and external transparency. VTrans could far more easily identify situations where multiple grant awards to one grant recipient might contain needless overlap. 'Town X' could very easily see what its neighbors 'Town Y' and 'Town Z' received, both overall, and by program, and learn what it could do to better maximize its opportunities.
- This 'Master Grant' process reform initiative does not depend on any particular technologically-enhanced grant routing platforms, and the 'Master Grant' initiative can be implemented and produce efficiency and transparency improvements without needing any technology investments. Nor do any possible technology enhancements to grant processes more generally rely solely on this initiative. However, implementation

of this initiative would go a great distance to making grant processes streamlined and systematic, and make individual grant transactions consist of far fewer distinct steps and documents, which would all be very helpful if (or, most likely, as) grant processes are migrated into some form of technology-assisted processing or tracking platform.

- Existing grant-focused personnel whose time is now largely occupied with repetitive processes can be freed up and ‘upskilled’ to be liaisons with program personnel to help craft better-developed descriptions of grant subject matter, payment provisions, and, in ways not previously possible due to the resources previously wasted (and focus previously dissipated) by inefficient processes- inclusion of *results-based provisions*.
- Although this initiative need not be initially implemented beyond VTrans (and for reasons of manageability and learning from initial efforts, is probably best not implemented all at once beyond VTrans), it is entirely ‘scalable’ to State government beyond VTrans, because entirely separate Executive Branch agencies are often providing a variety of grants to recipients that receive grants from multiple agencies. Efficiency and transparency can take even more significant bold leaps at this eventual fully-scaled-up cross-governmental level.

#### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- Outdated manual process
- We will likely need adaptations in VTrans’ Granting Plan and/or in Bulletin 5 to reflect and authorize the ‘Master Grant’ approach
- The effort will need to be staged or phased
- For automating certain per-transaction compliance steps such as checking delinquency and debarment, IT may initially hesitate to deploy its scarce resources until this Master Grant approach is proven and more widely used (such I.T.-enabled automation of compliance checking is not required for the Master Grant approach, but will compliment the Master Grant approach).
- Need to re-train internal and external personnel in new systems and functions; overcome resistance to change
- VTrans’ Contract Administration’s finite resources and current “initiative saturation” – VTrans’ Contract Administration is best situated to take the leading role in this effort, but has a heavy workload, finite resources, and is pursuing/ initiating a number of other ambitious innovative initiatives (such as development of Indefinite Quantity Indefinite Delivery (IDIQ) contracting). Doing this at a feasible pace and scale, relative to other initiatives, is important to success and sustainability.
- The scale of changes that would be involved call for deliberate rather than incidental or ad-hoc use of change management

## V. WHAT DO YOU PROPOSE TO DO?

- After this idea first independently occurred to VTrans' Assistant Chief of Contract Administration, preliminary research showed that New York has undertaken something along similar lines: <https://grantsreform.ny.gov/> which was nominated for an award from NASCIO:  
[https://www.nascio.org/portals/0/awards/nominations2016/2016/2016NY6-20160517\\_New%20York%20State%20Grants%20Reform%20Initiative.pdf](https://www.nascio.org/portals/0/awards/nominations2016/2016/2016NY6-20160517_New%20York%20State%20Grants%20Reform%20Initiative.pdf)  
Although the scale and details of NY's approach will not be a good fit for Vermont, we should begin by examining what NY has done, how they did it, and what we can use or adapt.
- Design/ map schedule of transition, and new processes' stages, roles, tasks, and systems under the new approach
- Decide whether to do the initial 'trial' within one subcategory of VTrans grants before wider introduction in more/all of VTrans grants.
- Inform and educate relevant grant recipients and prepare and train them for what they will need to do under the new approach.
- Track performance.
- Using internal and external feedback, adapt/ refine/ expand.

## VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?

- Research NY and any other readily find-able prior examples of similar initiatives, and identify what we can emulate, borrow, or should avoid
- Confer with compliance and systems stakeholders such as VTrans' Financial Operations, VTrans' Internal Audit, and State Finance & Management
- Design new process
- Verify new process' compliance with grant requirements under the federal Uniform Guidance, Vermont Bulletin 5, and VTrans' Granting Plan with the Agency of Administration. Where adaptations are needed to reflect the new approach, but in ways that can maintain substantive compliance with mandates, identify and pursue revisions to VTrans' Granting Plan and/or Bulletin 5
- Design scale and phasing of implementation
- Deploy
- Refine
- Expand

A specific schedule is inevitably based on assumptions as to what proportion of VTrans' grants would initially be migrated into this new system. As a rough estimate, VTrans issues well over

500 grants per calendar year, in a variety of categories ranging from small to large and from simple to complex. A small-scale pilot for a narrowly focused set of grant subject matter/recipients could likely happen faster than the schedule below; an every-grant-given by VTrans approach would likely need more time than the schedule below. The efficiency and transparency improvements from the 'Master Grant' approach multiply substantially with scale and programmatic breadth, but an overambitious initial roll-out intended to "be-all and do-all on 'day 1'" could be unwieldy and at substantial risk of becoming entangled by its own grandiosity. The below schedule assumes a "middle path" for development and initial roll-out to a moderately wide range of moderately complex VTrans grants and recipients, to pave the way for a second subsequent stage of across-the-board implementation. VTrans' various recurring grants to municipalities, under a number of grant programs, are large in quantity (representing a sizeable quantitative majority of VTrans' grants) and moderate in complexity and probably represent the best "capture" and scale for the initial deployment.

| WHAT HAS TO GET DONE?  | BY WHEN?           |
|--|--------------------|
| Find and study other jurisdictions' prior similar initiatives for lessons to be used by VT   | December 31, 2017  |
| Confer with compliance and internal systems stakeholders (VTrans, State Finance & Management) to scope needed changes and safeguards | April 30, 2018     |
| Design/ map schedule of transition, and new processes' stages, roles, tasks, and systems under the new approach                      | September 1, 2018  |
| Design specific initial roll-out for the moderately-wide first roll-out  | January 1, 2019    |
| Outreach to initially-affected external stakeholders (grant recipients)  | April 1, 2019      |
| Training and groundwork with external stakeholders (grant recipients)  | September 30, 2019 |
| Deploy system for 1-1-20 'go-live'   | December 31, 2019  |
| "Go live" for initial deployment of system for use by grant recipients within first scope  | January 1, 2020    |
| Evaluate based on experience and feedback from go-live/ initial awards and recipients  | July 1, 2020       |
| Refine system from initial feedback, add additional programmatic categories  | November 20, 2020  |
| "Go live" for all-inclusive system   | January 1, 2021    |

## VII. HOW WILL YOU MONITOR PROGRESS?

- Design and incorporate tracking and reporting systems as part of the new process to maximize transparency
- Verify the speed and simplification as new system goes into use
- Aggressively pursue and assess incorporation of results-based provisions and principles in grants issued under the new system after the system has gained initial familiarity for internal and external users.

**Agency/Department:** Agency of Transportation

**Project Name:** Performance Scorecard System

### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

To meet the Governor's three priorities, it is necessary to track performance, identify areas needing improvement and implement improvement strategies. Performance management informed by a scorecard can help target limited resources where they are needed and can be most effective.

### **II. HOW ARE WE DOING NOW?**

AOT collects and reports a tremendous amount of performance data through numerous means for use by a variety of audiences. The AOT Annual Report and Fact Book is provided to the Legislature and the general public; results based accountability measures are reported to the Legislature's Government Accountability Committee; traffic, safety, asset condition, transit and rail data are reported to the USDOT; and we are tracking progress towards the goals and objectives in the Agency's strategic plan. In March of 2016 VTrans established a process that centralized available performance data into a single spreadsheet that is updated manually every quarter. While the spreadsheet and quarterly updates have been a step in the right direction, the collection and reporting to different audiences occurs in silos to meet the specific reporting need, the data are not easily accessible internally or externally, and the results are not used in a meaningful way to guide management decisions.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

- An on-line AOT Performance Scorecard linked to all data sources, updated automatically and that supports all federal and state performance reporting requirements.
- AOT business owners review their performance measures quarterly, assess progress and develop recommendations for improvement when necessary. These assessment would be reported within the Scorecard application.
- The AOT performance Scorecard is accessible to the public and provides options for deeper dives into specific performance areas for users interested in the story behind the numbers and any improvement actions underway.
- The AOT Performance Scorecard feeds data and certain measures of interest to the a statewide performance reporting system.

#### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- Data sources are dispersed throughout the Agency and are updated on different schedules
- There are different formats required for state and federal performance reporting
- Performance data are not easily accessible internally or externally
- Performance data are tracked and reported, but are not used to inform decision making

#### **V. WHAT DO YOU PROPOSE TO DO?**

- Conduct a LEAN process improvement event to map the different ways performance data are currently collected and reported in order to understand how to improve compilation, analysis, dissemination and coordination with state and federal requirements and to use the data to focus Agency efforts on the areas that need improvement.
- Implement changes to process.
- Track performance.

#### **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

Major steps include:

- Compilation of performance data as it is updated
- Quarterly analysis of performance data results
- On-Line reporting of performance data including summary of areas needing improvements and related actions.
- Coordination and feeding of performance data to meet other state and federal requirements

| <b>WHAT HAS TO GET DONE?</b>                            | <b>BY WHEN?</b>    |
|---|--------------------|
| Create and approve Project Charter                      | August 1, 2017     |
| Select team members                                     | August 15, 2017    |
| Prepare for event (data gathering, research, benchmark) | August 30, 2017    |
| Hold event  | September 30, 2016 |
| Implement changes to process                            | January 1, 2018    |
| Track and report performance                            | Ongoing            |

#### **VII. HOW WILL YOU MONITOR PROGRESS?**

- Completion of LEAN event
- Status of actions recommended in the implementation plan generated by LEAN

**Agency/Department:** Agency of Transportation

**Project Name:** State Highway Right-of-way Permit Application

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

This initiative will support the Governor's goal to encourage economic growth by improving a permitting process that affects land development. Per 19 VSA Section 1111, VTrans is responsible for issuing permits for construction and other activities within the state highway right-of-way (referred to as Section 1111 permits). Common permit applications include construction of new driveways for homes and businesses, sidewalks, installation of new traffic signals or turn lanes required to mitigate the traffic and safety impacts of proposed land development projects, and utility installation or relocation.

## **II. HOW ARE WE DOING NOW?**

A LEAN event was recently completed that focused on the s Section 1111 permits for single family and small residential projects issued by the VTrans District offices located across the state. Efforts are now underway to implement the recommendations. This target action plan focuses on the Section 1111 permitting process for larger residential and commercial development projects which are managed by the Development Review and Permitting Services Section in Montpelier. In general about 90% of these permits are issued within 30 days after receipt of a complete application. However, the time between receipt of an application form and when the application is deemed complete can vary significantly depending on the complexity of the project, other permits that a project is seeking, the quality and accuracy of plans and other information submitted with the application and a lack of understanding about the type of information required for a complete application. Although the [permit application form](#) is available on line, it is not interactive and cannot help guide applicants with providing the necessary information. The result is an inefficient permit application process that takes longer than it should and can cause unanticipated delays for the applicant.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

- The Section 1111 permit application is an interactive on-line service that assists a permittee with providing the correct information, lets them know in real time whether they have provided the correct information and when the application is deemed "complete", and provides a dashboard that allows applicants to monitor the status of their permit.

- The Section 1111 permit application system assists the Permitting Services Unit with managing the permit work flow including application review, application fee payment, permit approval or denial, construction inspection and acceptance.
- The percentage of complete applications will increase significantly and the time between initial application and complete application will decrease and be more predictable. By its nature, the Section 1111 permitting system will train regular applicants on providing the correct information that will over time further improve efficiency.

#### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- Many Permittees measure the time to process the application from the date they submit an application, even if it's not complete creating unrealistic expectations and frustration about the turnaround time.
- Ensuring that correct information is provided with the application.
- Although the application form is available on-line, the process is primarily conducted manually with paper documents
- The collection of fees happens manually, payments are via check that need to be deposited, with paper receipts

#### **V. WHAT DO YOU PROPOSE TO DO?**

- Conduct a LEAN process improvement event to map the current manual system and to identify opportunities for improvement.
- Implement changes to process.
- Track performance.

#### **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

The project with focus on improving and automating the Section 1111 permit application, fee payment and permit status tracking. This project will support the statewide permit process initiative.

| <b>WHAT HAS TO GET DONE?</b>                            | <b>BY WHEN?</b>    |
|---|--------------------|
| Create and approve Project Charter                      | August 1, 2017     |
| Select team members                                     | August 15, 2017    |
| Prepare for event (data gathering, research, benchmark) | August 30, 2017    |
| Hold event  | September 30, 2016 |
| Start to implement changes to process                   | January 1, 2018    |
| Track and report performance                            | Ongoing            |

## **VII. HOW WILL YOU MONITOR PROGRESS?**

- Once the system is complete, track the time between application submittal and complete application, and the total time between initial application and the issuance or denial of a permit.
- A manual application process will still be required for applicants that don't use a computer. However, the goal will be to increase on-line applications which can be tracked and reported.

**Agency/Department: LABOR**

**Project Name: AMERICAN JOB CENTER \_ VERMONT ONE STOP**

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Vermont Department of Labor provides services in the areas of Unemployment Insurance benefits, Workers' Compensation and workplace safety, Workforce Development and Labor Market Information. Through the coordination of these programs, the Department has a direct tie to the priorities of economic growth, affordability and protecting the most vulnerable; however, because of the diligent work of our Unemployment Insurance Division in providing UI benefits to unemployed Vermonters, our Workers' Compensation and Safety Division's devotion to workplace safety, and our Workforce Development Division's commitment to working with Vermonters who have barriers to employers, the Department of Labor most closely aligns with the Governor's priority to protect the most vulnerable.

This project directly advances the Governor's pursuit of a stronger economy and long-term protection of vulnerable Vermonters.

**II. HOW ARE YOU DOING NOW?**

Currently, VDOL operates 12 career resource centers throughout Vermont which are loosely aligned with statewide efforts of DVR and AOE to provide additional employment, education, and training opportunities to eligible Vermonters. Outreach to participants and employers, and collaboration with partners varies significantly across the state and across programs. Lack of coordination and a tightly braided approach to services means that employers and workers miss opportunities to quickly match skilled job seekers with existing employment.

**III. WHAT DOES DOING BETTER LOOK LIKE?**

By aligning federally funded employment and training services delivered by VDOL, AOE, DVR, DCF, TANF, CTEs, VTC, CCV, DOC, etc., program funding and case management can be leveraged to produce better short and long term outcomes. It requires a comprehensive redesign of how education, training, and skill development services are delivered at the career centers to Vermonters who are unemployed or underemployed. Employment and career services are delivered more strategically, aligning with current workforce needs of Vermont's employers.

**IV. WHAT ARE YOUR CURRENT CHALLENGES?**

A number of foreseeable and unforeseeable challenges will impact the progress and success of this project. Foreseeable challenges include: proposed (drastic) cuts in funding to most of the 19 federal programs, malalignment of goals and targets between programs (some federally driven, some state driven), cultural resistance to sharing accountability and resources, lack of capacity (time) for department leaders to engage deeply in design and implementation, training and knowledge gap among program partners and case workers regarding one-another's work, and capacity for employers to give time and energy to this work – ensuring that it will function to meet their needs.

**V. WHAT DO YOU PROPOSE TO DO?**

Recently implemented federal law (Workforce Innovation and Opportunity Act) mandates that states undergo an extensive redesign of workforce development approaches, requiring multiple programs to coordinate, align, and fund a comprehensive customer-centered system. Under WIOA, programs are instructed to serve employers as well as job-seekers, further integrating economic development strategies. This work perfectly matches the Governor’s PIVOT directive.

Over the last three months, 19 federally funded programs administered by 4 agencies/departments and six non-state partners have started designing a comprehensive one-stop American Job Center system. By June 30, 2017 an initial MOU will be in place, followed by an infrastructure funding agreement executed by January 1, 2018. The MOU will broadly outline common enrollment practices, more effective and efficient referral policies, joint approach to service delivery for job seekers and employers, and common performance measures. The MOU will be updated quarterly for the next year, to allow partners sufficient time to focus on and refine specific terms of the agreement.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

Core partners have already committed (to the feds, in VT’s state plan) to holding an annual meeting or summit to exchange information, perspectives, values, and goals to promote congruity at the state level. Cross-trainings, common orientations, and quarterly meetings at the regional level have also been agreed to. Also, our required continuous improvement plan will likely include review of (new) customer satisfaction surveys, “how might we” planning events, and joint evaluation of performance measures on a periodic basis.

At a minimum, \$30 million in federal funds will touch or pass through the one-stop system annually. VDOL, AHS, AOE, ACCD staff and the State Workforce Development Board all have rolls to play in developing, implementing, reporting, monitoring, and improving this system over the next 3 yrs.

| <b>WHAT HAS TO GET DONE?</b>   | <b>BY WHEN?</b> |
|--|-----------------|
| MOU on co-location and shared costs allocation signed by all partners  | July 1, 2017    |
| Co-location at the Burlington Career Resource Center                   | July 1, 2017    |
| One-Stop operator’s implementation of One-Stop policies and procedures | October 1, 2017 |
| Cost allocation negotiations finalized                                 | January 1, 2018 |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Timelines have been established for WIOA deliverables, and are particularly specific with regard to developing the comprehensive one-stop service delivery system. Not only are there specific deadlines for agreements to be made, but also for the development of center certification process, continuous improvement plans, grant reporting (quarterly), cross-training, and common referral and data sharing practices.

**Agency/Department: LABOR**  
**Project Name: CULTURE SHIFT**

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Vermont Department of Labor provides services in the areas of Unemployment Insurance benefits, Workers' Compensation and workplace safety, Workforce Development and Labor Market Information. Through the coordination of these programs, the Department has a direct tie to the priorities of economic growth, affordability and protecting the most vulnerable; however, because of the diligent work of our Unemployment Insurance Division in providing UI benefits to unemployed Vermonters, our Workers' Compensation and Safety Division's devotion to workplace safety, and our Workforce Development Division's commitment to working with Vermonters who have barriers to employers, the Department of Labor most closely aligns with the Governor's priority to protect the most vulnerable.

A culture shift within VDOL would align with all three of the Governor's priorities. If implemented effectively, it should improve service to the customer (both internal and external), it should reduce unnecessary waste, it should improve the efficiency in which we conduct business (increased productivity while reducing resource demands), and it should inform the public of what programs, services and efforts are a part of VDOL. All of which will impact the overall goal of jobs for Vermonters.

**II. HOW ARE YOU DOING NOW?**

VDOL is in desperate need of a culture shift within the organization. Aging infrastructure, lack of processes and systems, and low staff morale have led to a 'good enough' mentality. New leadership, a clear vision and objectives, a renewed sense of purpose, advanced technology, improved systems and facilities, enhanced public awareness and an emphasis on exemplary customer service, will be what guides our organization going forward.

**III. WHAT DOES DOING BETTER LOOK LIKE?**

The desired future state for VDOL is one in which the Department is viewed as a benchmark for best practices in service to the customer, staff maturity (competency and commitment), efficient operations, clear protocols and procedures, modernized systems, and a continuous improvement culture focused on advancing the mission.

Bottom line: Beliefs drive behavior and a staff that feels valued and supported will directly impact the level of service provided to our customers.

**IV. WHAT ARE YOUR CURRENT CHALLENGES?**

There has been a long-standing culture of bare minimums and a hesitancy to think creatively, which was brought about by past leadership who used a command and control form of supervision. The VDOL staff are highly competent and highly committed to serving Vermonters; however, mindsets are not easy to change. A team-based approach to advancing the department will be the most effective way to re-establish a center of excellence.

## V. WHAT DO YOU PROPOSE TO DO?

This project is in the early stages of setting clear goals and expectations, identifying pinch points and areas of improvement, and developing a team of highly competent and highly committed professionals. Performance will be measured through staff engagement, staff development, and staff satisfaction, as well as improved process flow, increased public awareness through communication and branding, and our ability to intertwine Lean and RBA practices as part of the daily culture.

Knowing that culture shifts take between 3-5 years, there are many opportunities to include staff focused activities to ensure involvement and buy-in to this effort. These will include staff polling, continuous improvement events, increased training and voluntary learning opportunities, surveying and the ability to build a Department brand that evokes pride and quality service.

Additional organizational development strategies and tools will be used to effectively implement this change.

Significant gains have already been realized in the past three months, simply by increasing staff-wide communication and inclusion in the decision-making process.

## VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?

Our project is bound by limitations of funding, resources and the ability to effect change in entrenched staff who are protected by the collective bargaining agreement.

| WHAT HAS TO GET DONE?   | BY WHEN?          |
|---|-------------------|
| Development of a detailed desired future state and appropriate goals, objectives and strategies expected by Department leadership | July 1, 2017      |
| Implement a variety of in-house teams to focus on quality initiatives   | January 1, 2018   |
| Implement organizational development best practices and employee development opportunities  | Continuous        |
| Set mile-markers to continuously assess growth and make necessary course corrections  | September 1, 2017 |

## VII. HOW WILL YOU MONITOR PROGRESS?

A full scope of this initiative is being developed as part of the PIVOT process and progress will be monitored through the completion of predetermined milestone (i.e. VDOL brand development, state-wide employee survey completion, divisional and project team implementation, facilities improvement, customer satisfaction, etc.)

**Agency/Department: LABOR**

**Project Name: UNEMPLOYMENT INSURANCE MODERNIZATION**

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Vermont Department of Labor provides services in the areas of Unemployment Insurance benefits, Workers' Compensation and workplace safety, Workforce Development and Labor Market Information. Through the coordination of these programs, the Department has a direct tie to the priorities of economic growth, affordability and protecting the most vulnerable; however, because of the diligent work of our Unemployment Insurance Division in providing UI benefits to unemployed Vermonters, our Workers' Compensation and Safety Division's devotion to workplace safety, and our Workforce Development Division's commitment to working with Vermonters who have barriers to employers, the Department of Labor most closely aligns with the Governor's priority to protect the most vulnerable.

This project aligns with the Governor's priority of 'Protecting the Most Vulnerable' (unemployed Vermonters), as it provides increased access to services, timely claims, enhanced identity security and methods for monitoring for improvement. In addition, it enhances the Division's ability to effectively meet federal regulations and requirements, while simultaneously increasing the ability to share data and collaborate with other state agencies and departments all while making the entire process more efficient and effective.

**II. HOW ARE YOU DOING NOW?**

The current Unemployment Insurance system is deficient in several areas, and requires a tremendous amount of resources to keep it operational. The antiquated nature of our current system has identified our program as 'high-risk' to the federal government and currently prevents the Division from receiving specific federal data due to outdated security protocols that cannot be updated or enhanced in the legacy system.

Due to the age of the system and its software, UI must employ many extended processes in order to administer the requirements of the program. This includes special IT staff for programming and coding, additional staff time for report generation and validation, and a limited ability to gather data and information about customers and trends.

**III. WHAT DOES DOING BETTER LOOK LIKE?**

The completed system would provide us with the ability to meet federal requirements to ensure data sharing. It would provide a more meaningful and efficient product to our customers, and improve the work experience for Division staff.

Bottom line: The process of receiving, validating, and issuing claims, while meeting federally mandated requirements would better meet the needs of Vermonters. Providing them with an overall improved experience.

**IV. WHAT ARE YOUR CURRENT CHALLENGES?**

The most significant constraint is the complexity of the federal requirements and the ability to provide an IT solution that is able to adapt to the intricacies of each state. This is not specific to Vermont. Many U.I. modernization initiatives across the country have failed in recent years due to constantly evolving federal mandates and the extreme cost to implement such complex structures. The state of Idaho is one of only a few that has successfully built and implemented a modernized UI system of any sort.

**V. WHAT DO YOU PROPOSE TO DO?**

The VT Department of Labor Unemployment Insurance modernization project will transform our Unemployment Insurance (UI) systems and processes by replacing our legacy systems/processes. As the basis for this modern system, the VT Department of Labor is working with the State of Idaho to modify their existing and modern UI Benefits system, develop a new and modern UI Tax system, and build additional modules that integrate with Benefits and Tax (e.g. Appeals). Together, these components will provide an integrated and internet based UI system which will meet the needs of Vermont citizens both now and in the future. As part of this project, we are also adjusting our related business processes. Like most modern systems, it will provide more capability to our claimants by making it easier to file UI claims (e.g. initial claims through the Internet), online access to claim information and status, more flexible filing times, and greater self-service through a new Claimant Portal. Employers will be able to more easily provide separation and wage information, have greater access to information through a new Employer Portal that features online registration with VDOL and access to additional employer related information (e.g. rates, etc.). VDOL staff will benefit from a single integrated system, decreased keying errors, elimination of redundant processes due to legacy system limitations, a significant reduction in manual processes, increased awareness of fraud, reduction in improper payments/overpayments, improved data mining/reporting capabilities, easier system maintenance, and overall, a more cost effective solution.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

This \$9 million project (100% federal dollars) is slated for implementation in late 2018. VDOL staff is engaged with the vendor, a project management firm, the federal government, and the Agency of Digital Services to ensure that implementation of this initiative is within scope, and meets all necessary requirements. The first phase of the project, requirement gathering and mapping, was completed 6 months ahead of schedule and under budget.

While requirement gathering, process mapping and system design has already occurred, there is an opportunity to hold future lean events for this project to showcase process flow and system constraints. Additionally, the new system will have to meet future requirements and regular updates to the system will be required.

The new system will require significant training of staff, as implementation will overlap with our current operations as they are phased out over time.

This change will require staff to change from a mindset of maintaining status quo to one of continuous improvement. This will be supported by ongoing monitoring of the new system and processes once they are implemented against how effectively they are meeting the needs of the state, the federal government and claimants.

| WHAT HAS TO GET DONE? | BY WHEN? |
|-----------------------|----------|
|-----------------------|----------|

|   |                            |
|---|----------------------------|
| Execution of a revised contract   | September 1, 2017          |
| Solicitation and implementation of debit card utilization for UI benefits | May 1, 2018                |
| Completion of system programming  | June 1, 2018               |
| Test, train and implement system  | June 2018 – September 2018 |
| Live date   | October 1, 2018            |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Specific milestones have been identified and regular monitoring is occurring on a weekly basis. Management, as well as front-line staff, are involved in the monitoring of progress and provide regular input for performance improvement. ADS is a partner in the project, and has begun to provide enhanced services with regards to enterprise architecture, project management and overall system integration. MathTech is our onsite project management provider and is in daily communication with the UI Division and our other partners. They are actively monitoring timeline, scope, cost and other implementation requirements unique to Vermont. As the deadline draws near, more frequent and intense monitoring will occur to ensure not only a project that meets the timeline but also leads to effective and efficient implementation.

**Agency/Department: Department of Public Safety**

**Project Name: Policies and Procedures**

### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

DPS supports economic development by ensuring a safe and secure climate for businesses and clients/customers. Business growth will lead to enhanced affordability. DPS units routinely respond to and address issues affecting Vermont's most vulnerable population.

### **II. HOW ARE WE DOING NOW?**

Policies and procedures serve as a guiding framework for employees. When policies and procedures are in place, tasks are completed consistently and efficiently. These policies and procedures serve as reference guides for all employees and management to understand the what, who and how the Department accomplishes its mission. This empowers the employee to perform their job within that framework. Additionally, policies play a major role in decision making.

When ineffective or no policies and procedures are in effect, employees' actions can become confused and inconsistent. Management oversight becomes necessary to provide guidance and focus. Management oversight on everyday tasks prevents focus on DPS becoming a proactive department. Focus is forced onto what is currently happening instead of what we could become.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

- Production of a centralized digital policy and procedure repository
  - Web based
  - Easy to use
  - Each department would be responsible for specific procedures relevant to their mission
- Continual review of policies and procedures for relevancy and effectiveness
  - Quarterly review by Department Head
  - Yearly review by Agency Policy Board
- Management buy-in 100%
- Increase employee understanding where to turn for information by 200%
- Acknowledgement of general policies thru onboarding 100%
- Demonstrated knowledge of applicable procedures thru respective departments 100%

#### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- Outdated policies and procedures that are not centrally located and available
- Communication between departments

#### **V. WHAT DO YOU PROPOSE TO DO?**

- Identify stakeholders.
- Conduct Lean Event
- Create a policy development team to identify critically lacking policy areas.
- Develop policies, and add to easily accessed location.
- Use policies and procedures for training new and existing employees.

#### **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

Policies and procedures apply across the Department, affecting decision making, style of management and employees' careers.

Below: What will your agency/department have to do to implement the action, broadly? This plan will get more specific over time. For the purposes of this proposal, list the short-term actions you plan to take to get this project started.

| <b>WHAT HAS TO GET DONE?</b>               | <b>BY WHEN?</b>               |
|--|-------------------------------|
| Have project selected by PIVOT leadership. | 15 July 2017                  |
| Present to Management Stakeholders.        | 15 July – 15 August 2017      |
| Conduct Lean Event                         | 15 August 2017                |
| Execute specified actions.                 | 15 August – 15 October 2017   |
| Monitor progress.                          | Ongoing, post-implementation. |

#### **VII. HOW WILL YOU MONITOR PROGRESS?**

Progress will be monitored by using metrics developed during the Lean process analysis.

**Agency/Department: Department of Public Safety**

**Project Name: Purchasing/Contracting**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Department of Public Safety (DPS) is responsible for public safety for the citizens of and visitors to the State of Vermont and enforcement of the laws enacted. Strong public safety is necessary for the development of a growing economy as businesses, their employees, and patrons will want a safe and secure environment in which to operate. Such an environment will also be attractive to individuals considering a move to the State of Vermont. Lastly, the resources offered by the DPS are regularly accessed by vulnerable citizens residing in and visiting the State of Vermont.

Purchasing and contracting are the mechanisms through which the DPS acquires the equipment and services necessary to meet its enforcement and public safety duties.

## **II. HOW ARE WE DOING NOW?**

The most important measurement of the purchasing/contracting process is the time elapsed from initiation to procurement of the item/service desired. The overly complicated process contributes to delays and can strain relationships with vendors. For example, DPS has equipment for which service is available through only a single vendor, yet the service contract is still put out to bid because it is easier than obtaining approval for sole sourcing. Likewise, within the Public Safety field, equipment is needed to perform very specific functions. Sometimes only a single vendor is available to provide said equipment, yet the current policies and practices place a strong emphasis on requiring a bid process. Such carte blanche policies and practices devalue unique topical knowledge certain employees possess in a specific field that may allow for more efficiency.

Also contributing to the time delays is ineffective communication. This is exacerbated by the number of entities involved in the process. It is common for the individual submitting the purchase request/contract to not be kept abreast of progress as the process moves forward. This complicates and delays the matter as preferred vendors may not be notified of open bidding in a timely fashion or there is repeated haggling over contract language. It was not difficult for the DPS team to come up with several examples of contracts that took 6+ months to finalize. The current system leads to employee frustration and potentially for deviation from policy.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

Common-sense management demonstrating a more streamlined and transparent approach with a goal to have the fewest number of hands in the approval process as possible. Creation of a centralized system where requests can be submitted, tracked, and approved. Within this system, there would be defined deadlines, automatically triggered communication (e-mails), and accountability (substitute approvers as needed) when these deadlines are not met. Such a system would provide an easy measuring stick on time elapsed in the process and gauge where improvements in efficiency can be made.

Similar systems are already employed within state government. For instance, BGS has such a system for maintenance and work order submissions. Employees also utilize a similar system for submission of expenses, and IT issues are tallied using a Track-It system.

### **IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

- Communication breakdown
- Conflicting policy between departments/agencies
- Disconnect between those in the approval process and the end user
- Operating a paper-based system in an electronic age (too many places where paperwork can be lost, misplaced, delayed, or forgotten)
- Sufficient staffing to conduct needed reviews
- Funding sources for certain agencies create potential conflicts
- Proper training

### **V. WHAT DO YOU PROPOSE TO DO?**

- Seek approval of project for analysis
- Conduct a LEAN process to identify specific areas where improvement can be made
- Engage all affected parties/departments
- Implement specific action items for improvement
- Create centralized purchasing/contracting database
- Track actions and measure performance over time

### **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

Purchasing and contracting is a process that impacts the operations of all state government departments and agencies. Due to the fact that this process includes involvement of multiple groups across a variety of agencies, this proposal - to achieve the efficiency goals desired - cannot be adopted and implemented solely at the DPS level.

| WHAT HAS TO GET DONE?                        | BY WHEN?                 |
|--|--------------------------|
| Project selection by PIVOT leaders           | July 2017                |
| Identify stakeholders and LEAN participants  | Late July 2017           |
| Conduct LEAN event                           | August 2017              |
| Execute actions identified during LEAN event | September – October 2017 |
| Monitor progress                             | Ongoing                  |

## **VII. HOW WILL YOU MONITOR PROGRESS?**

Progress will be monitored and measured by the average time elapsed in moving requests through the system developed. Additional considerations may be developed in the LEAN analysis.

**Agency/Department: Department of Public Safety**

**Project Name: New Hire Onboarding**

### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

DPS supports economic development by ensuring a safe and secure climate for businesses and clients/customers. Business growth will lead to enhanced affordability. DPS units routinely respond to and address issues affecting Vermont's most vulnerable population.

### **II. HOW ARE WE DOING NOW?**

The new employee onboarding program is a critical component to an employee's work experience because it sets the tone for perceptions of the workplace. If execution of onboarding is inefficient, time-consuming, and incomplete, it sends a very negative message about the organization. If executed well, however, it sets a very positive tone. The most telling metric re onboarding is "Time to Completion." Decreased time translates into increased efficiency, which could result in increased resource availability from the new hire as well as the personnel taking supporting actions within the process. To the best of our knowledge there are no formal metrics defined to measure the current process, nor is there a coherent process flow schema which shows how the process should work. Consequently most of the feedback received on system efficiency is anecdotal. For context, key elements of the DPS onboarding process include: fingerprinting, background investigation, HR policy review, IT hardware issuance, IT systems administration such as account-building and permission setting, and badging.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

- Decrease time to onboarding completion by 50%
- Decrease hardcopy documents requiring action by 75%
- Increase anecdotal evidence of positive onboarding experience by 200%
- LMS integration of required policy "Read-In"
- Production of a single, predictable, measurable process flow scheme
- Production of single checklist with required actions and timelines
- Production of documents which are intuitive and customer-friendly

### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- Outdated, unexamined process
- Lack of measures of effectiveness
- Lack of training for supervisors on current processes
- Poor and unintuitive forms

## V. WHAT DO YOU PROPOSE TO DO?

- Get project approved for analysis.
- Conduct a facilitated Lean process analysis which identifies specific action items, and involving all departmental stakeholders.
- Identify and track actions, and implement.
- Measure performance over time.

## VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?

This effort begins from the time an offer is made and accepted by the new hire. It ends when the onboarding process is complete, and new employee begins work in earnest, absent any further onboarding requirements.

Below: What will your agency/department have to do to implement the action, broadly? This plan will get more specific over time. For the purposes of this proposal, list the short-term actions you plan to take to get this project started.

| WHAT HAS TO GET DONE?                      | BY WHEN?                      |
|--|-------------------------------|
| Have project selected by PIVOT leadership. | 15 July 2017                  |
| Socialize project.                         | 15 July – 15 August 2017      |
| Conduct Lean Event                         | 15 August 2017                |
| Execute specified actions.                 | 15 August – 15 October 2017   |
| Monitor progress.                          | Ongoing, post-implementation. |

## VII. HOW WILL YOU MONITOR PROGRESS?

Progress will be monitored by using MOEs developed during the course of the Lean process analysis.

**Agency/Department: Department of Public Safety**

**Project Name: Intergovernmental Data / Document Sharing**

### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Protecting vulnerable Vermonters - While the Department of Public Safety does not have as specific a mandate as some other state entities might this priority area aligns most strongly with the overall Departmental mission. While the traditional definition of vulnerable individuals includes children, the elderly, and those with disabilities it could reasonably be expanded to those affected by disasters, the opioid epidemic, and victims of crime as well.

Areas of work that reflect the above include proactive policing activities, background check processing, disaster planning/relief activities, and various support activities necessary to deliver those services state-wide.

### **II. HOW ARE WE DOING NOW?**

Many of the Department's programs have data intensive components, including crime records, building/inspection records, and emergency planning documents. The ability to leverage these data sets across the Department is largely a function of two issues, with the first being statutory limitations on the use of certain data (criminal history records for example). However, the second issue is directly addressable, which are data sets (including electronic document management systems) developed without interoperability in mind and the technical systems have not been developed to allow this data / document sharing and analysis to take place.

While this is an issue within the Department the same issue exists across state government as a singular entity. Data or documents may be held in one area that would be of significant benefit to the mission or another but the 'bridges' simply do not exist. One example of this is the requirement for certain electronic documents to be physically printed and then provided to the court, often involving driving long distances for the simple purpose of delivery. Processes such as this create financial, human resource, and environmental inefficiencies.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

While no task of this scope is straightforward, two primary avenues are primed for exploration and improvement. The first would be a state-wide electronic document transmission system, allowing for targeted delivery of secure documents to an intended recipient. More than simply a large 'hard drive' where data could be dumped, a system such as this could allow staff in one area to electronically transmit documents to another authorized entity within state government

in a secure manner. Technology such as this is already commercially available and would replace the problematic issue of individuals utilizing unsecure methods (such as email via Outlook) or simply not being able to share documents.

Furthermore, having a more internally focused data sharing system (as opposed to previous efforts which have often focused on making limited information available to the public) would allow government to leverage increasingly sophisticated data sets to complete required tasks. From such architecture, additional abilities to share data publicly may then be derived.

#### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

Current challenges come from several areas, including the lack of funding, the difficulty of working on statewide technology projects, lack of a clear executive mandate, and statutory limitations on the use of data. While the latter issue is outside the scope of this activity, the second and third could be addressed directly via PIVOT activities.

#### **V. WHAT DO YOU PROPOSE TO DO?**

The most straightforward path would be a two-pronged approach including the following:

- Implement a secure document transmission/sharing technology for use state wide
  - The goal would be more efficient dissemination of electronic documents where authority and process already exists
  - The Department could explore any number of document sharing/transmission technologies and require use for otherwise approved activities (i.e. using this system to transmit records to the court rather than physically driving hard copy)
- Convene a working group to continue the process of cataloging data sets across state government, including data formats, statutory limitations, and funding concerns
  - The Department could model this initiative internally to develop best practices and system mapping language which could then be externally adopted/expanded

#### **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

While certain aspects of the project scope would need to be determined through investigation, maintaining an intergovernmental (rather than public) focus will be critical. The primary goal would be to increase governmental efficiency and security and thus allowing for more effective protection of the vulnerable and population at large.

| WHAT HAS TO GET DONE?                                    | BY WHEN?            |
|--|---------------------|
| Have project selected by PIVOT process                   | Mid July – 2017     |
| Allocate resources                                       | Mid July – 2017     |
| Determine scope and goals for each area                  | Mid August – 2017   |
| Review options and complete data collection              | Mid November – 2017 |
| Initiate document sharing protocol and dataset gathering | Mid December – 2017 |

## VII. HOW WILL YOU MONITOR PROGRESS?

Through regular meetings, progress on scope and goals will be measured and communicated to leadership. As new procedures or resources are identified procedures will be provided to staff.

**Agency/Department: AOE/School Finance**

**Project Name: School finance data collection efficiency and data quality improvement**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The collection, analysis, and reporting of school finance data relates to two of Governor Scott's priorities. Having higher quality school finance data and being able to access such data more efficiently will allow for better decision making in as it relates to education spending/funding. These data allow us to understand when and how school districts receive and spend education funding to protect and serve Vermont's vulnerable populations. These data also provide insights into the levers of affordability, and how education dollars are spent, which have implications for property tax rates across the state.

## **II. HOW ARE WE DOING NOW?**

Vermont has been collecting school finance data for a number of years, but the processes supporting its collection and reporting do not efficiently use resources, and produce data of uncertain quality. There are three key issues associated with our current processes:

1. With the changes in federal requirements as mandated by ESSA, we will be required to report at a more detailed level of analysis (school, district, and state), and tie expenses to specific sources of funds (local, state, federal). While we are in the process of rolling out a new uniform chart of accounts that attempts to get at these new breakdowns of school finances, our current system does not allow us to produce data according to these new requirements.
2. While our state and federal audiences often prefer audited data, there is no formal process for collecting such data. Because of the significant time and effort it takes to collect the data and prepare it for reporting, we often are only able to initially submit reports with pre-audit data. These reports are only often updated with audited data after the audit review process has been completed. There are a number of issues with this ad hoc process. First, the data contained in the audits are only accessible via PDF and are not extractable for use. Second, the data are recorded at such a high level of analysis that there may still be unidentifiable discrepancies between audited and unaudited data. Finally, by the time the audit review process has been complete, the school finance data reporting has already been used in decision-making.

3. Data entry during the collection process relies on Business Managers' translations of their district chart of accounts into the state chart of accounts and manual entry into our reporting tool (currently an Access Database). Because this data is manually translated and manually entered, it is susceptible to mistakes. To remediate this issue, we have built-in within-entity edit checks, which has helped business managers resolve their org-specific data quality issues before submitted their data to the state. Despite these efforts there are still significant risks associated with data quality. For example, there is no way to check that what the managers are reporting to the state matches what is found in their financial management information system (at least not until the data are audited). Secondly, it is not possible to set up between entity edit checks prior to submitting data to the state, so there are often large discrepancies when it comes to between-entity transactions (e.g. VT district A sends \$X to VT district B in the form of tuition, but VT district B does not report the receipt of such tuition). While we are working to set up such an edit check process after all entities data have been collected, resolving these between-entity issues will require additional effort and mediation between school districts. This will be a new part of the process and will only make the data collection and cleaning process longer and more tedious than it already is. Lastly, there is no way to check between entity transactions that occur between VT districts and non-VT districts.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

Doing better would be collecting both pre-audit and audited data in an efficient manner, producing high quality and reliable data at all necessary levels of analysis, free of within or between-entity transactional discrepancies. This would allow us to use accurate and timely data in reporting to the state and federal government for their use in decision-making. An additional benefit would be the freeing up AOE resources, who could reallocate their time to conduct more in-depth analyses of the school finance data, or to expand the scope of our school finance collection (e.g. we do not current have any insights into fixed asset analyses, nor balance sheet items such as fund balances etc.), instead of spending all their time managing administrative tasks associated with the collection and cleaning of data. Additionally, if the turnaround time for data collection could be reduced and we could collect school finance data on a more frequent basis. This would open up the potential for more informed conversations between the state and the districts as funds are being spent, and not a year or so after the fact.

### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

There are a number of factors preventing AOE from moving our current process forward. First, as described above, the cycle time of this data collection through cleaning and reporting is much too long, manual and error prone. The preparation phase occurs from March 1<sup>st</sup> to July 1<sup>st</sup> of

each year. The collection is open from July 1<sup>st</sup> through August 15<sup>th</sup>, but unresolved items extend through September or October. Data cleaning starts around September 1<sup>st</sup> and continues through November 30<sup>th</sup>, although our reporting is due as early as November 1<sup>st</sup>. The last phase, reporting, begins October 1<sup>st</sup> and extends anywhere from the end of May of the following year until August, depending on overall workload of Finance. Some reporting in the past has even been overdue for as much as two years. On average the cycle time from preparation through reporting takes 1.25 years.

Second, we rely on a single developer (across the entire agency) to turnover and make improvements to the technical process year over year. This means that there are no improvements made to the existing process because there is only time for business as usual. Another key challenge is an overreliance on MS Access. This year we have made every effort to streamline and cut out unnecessary steps in the process, but Access itself has posed a significant challenge to process improvements as it is very finicky and overly integrated tool, built in a manner that does not easily lend itself to change. There is also a culture of fear associated with making changes to technical solutions. Understandably, some would rather the process work the old way, than having a new solution collapse in the field and have to problem solve and fix it on the fly once the collection has been launched.

**V. WHAT DO YOU PROPOSE TO DO?**

Conduct a lean process improvement project to reduce collection cycle time, and improve data quality, while building consensus around the collective benefits of addressing this issue and facilitating stakeholder commitment.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

The boundaries of this project should be limited to collection cycle time (starting with collection prep and ending with finalization of data) and data quality improvement (identifiable within and between-entity transactions should tie out and be error free).

| WHAT HAS TO GET DONE?                         | BY WHEN?                         |
|---|----------------------------------|
| Create and approve project charter            | July 1, 2017                     |
| Select team members and hold kick-off meeting | July 15, 2017                    |
| Prepare for event                             | July 15, 2017 – July 31, 2017    |
| Hold Lean event                               | August 1, 2017                   |
| Implement Changes                             | August 2, 2017 – August 15, 2018 |

|   |                   |
|---|-------------------|
| Track Progress: reduction of collection cycle time, ability to meeting reporting requirements (quality data at necessary level of analysis by due date) | August 15, 2018 + |
|---|-------------------|

## **VII. HOW WILL YOU MONITOR PROGRESS?**

- Tasks to track progress
  - Document current & desired process
  - Track process cycle time
  - Track number of errors that must be manually addressed with business managers
  - Were we able to meet our reporting deadlines with complete and accurate data?
- Who needs to know how things are going?
  - School Finance/IT/Field (?)
- Progress will be communicated via email and verbally at project team meetings held on a regular basis
- Responsible party for managing and monitoring progress: Compliance project manager and Edu Analyst

**Agency/Department:** Agency of Education

**Project Name:** Technical Assistance Production Process

### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

AOE provides technical assistance to the education field related to numerous state and federal initiatives. Each of these initiatives ties to one of Governor Scott's initiatives, depending on the subject matter. In this case, we will look at a proof case in Early Childhood Education which supports affordability and protection of our vulnerable populations.

### **II. HOW ARE WE DOING NOW?**

Currently, the AOE generates technical assistance for the field but we lack a coherent, clear process by which technical assistance is generated and published. As a result, technical assistance can be delayed, lack appropriate oversight, or overstep the authority of the Agency. The lack of clarity creates frustration for staff as projects are delayed or re-directed after considerable effort has been expended. In addition, the current process does not allow for dedication of resources by priority to the highest leverage needs, rather technical assistance is created based on idiosyncratic and individual employee interest. Current status is

- No formal process delineates the required steps for generating technical assistance exists
- 50% of technical assistance is properly vetted through supervisors
- No guidelines exist for describing the work commitment for producing technical assistance, as a result it takes more work effort than may be needed.
- 40% of technical assistance is denied by leadership for publication upon first submission

For this PIVOT work we have selected the Early Childhood Education Team to focus our efforts in improving our Technical Assistance process. This team has been selected because of high needs related to regulatory materials and technical assistance related to a new Act 166 and its implementation.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

- A formal process delineates the required steps for generating technical assistance exists and staff are trained in its use
- 100% of technical assistance is properly vetted through supervisors
- 80% of technical assistance is drafted, reviewed and published within the timelines established in proposals
- <10% of technical assistance is denied by leadership for publication upon first submission

#### IV. WHAT ARE YOUR CURRENT CHALLENGES?

- No formal process exists, this is idiosyncratic to staff, managers, directors and deputies.
- Lack of understanding of employees regarding the different types of technical assistance and the need for review
- Limited staffing, most of our work groups are teams of 1-3 people and often they produce work in isolation from peers.

#### V. WHAT DO YOU PROPOSE TO DO?

- Conduct a Lean process improvement event in order to understand what protocols are most effective and how to implement this new process.
- Implement proposed process in the Early Childhood Team (selected because we know they have each of three types of technical assistance documents to create this year)
- Track performance.

#### VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?

The scope for this effort is beginning small- simply looking at one team that creates technical assistance as a proof case- and then sharing the results of this effort with other teams. Technical Assistance is performed by roughly ½ of AOE staff. There are 3 specific types of technical assistance to be reviewed: Rules, Guidance and Guidelines.

| WHAT HAS TO GET DONE?  | BY WHEN?    |
|--|-------------|
| Create and approve Project Charter   | July 1      |
| Select team members  | July 15     |
| <b>Rules:</b> Prepare for event (data gathering, research, benchmark)          | August 15   |
| <b>Rules:</b> Hold event   | August 20   |
| <b>Rules:</b> Implement changes to process                                     | October 20  |
| <b>Guidance:</b> Prepare for event (data gathering, research, benchmark)       | October 25  |
| <b>Guidance:</b> Hold event  | November 25 |
| <b>Guidance:</b> Implement changes to process                                  | January 25  |
| <b>Guidelines/FAQ:</b> Prepare for event (data gathering, research, benchmark) | January 30  |
| <b>Guidelines/FAQ:</b> Hold event  | February 5  |
| <b>Guidelines/FAQ:</b> Implement changes to process                            | April 5     |
| Track and report performance   | Ongoing     |
| Train all AOE teams on the three protocols                                     | May 5       |

## **VII. HOW WILL YOU MONITOR PROGRESS?**

- Document process
- Monitor performance (key measures that demonstrate whether process is improving)
- Create implementation plan (follow-up meetings with agency leadership, project sponsor and champion(meet every 30 days))

**Agency/Department:** AOE/FESP

**Project Name:** EL (English Learner) survey process.

### **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The AOE is tasked with capture data on the number of English Language Learners within a school to allocate grant funding.

The EL survey relates to two of the Governor's priorities, efficiency and protecting the most vulnerable.

### **II. HOW ARE WE DOING NOW?**

Surveys are completed with no revisions or corrections 50% of the time.

Surveys are turned in to the AOE on time 30% of the time.

50% of the time the surveys are completed by the school on paper, submitted to the AOE, then entered into the EL database by the AOE.

### **III. WHAT DOES DOING BETTER LOOK LIKE?**

Doing better would mean surveys are completed with no revisions or corrections the first time 75% of the time;

Acquiring accurate information in a timely manner (50% of the time); and stream lining the process with less redundancy (75% of surveys submitted electronically).

### **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

It is unclear what the information gathering mechanism is at the school.

- No electronic mechanism to enable schools to submit their information electronically.
- Incomplete/Illegible information
- Security issues related to submission of PII.
- Data Storage issues

### **V. WHAT DO YOU PROPOSE TO DO?**

Sending out a survey to the registrar/EL coordinator and getting their feedback on how we can improve the process for submission would be critical. From there it may take a small 1 or 2-day lean event with AOE employees and a select group of registrars/EL coordinators.

### **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

Make the EL survey process more efficient.

| WHAT HAS TO GET DONE?                                     | BY WHEN?          |
|---|-------------------|
| Create and approve project charter                        | 7/1/17            |
| Select project (team) members                             | 7/15/17           |
| Hold project kick off meeting                             | 7/31/17           |
| Identify survey questions                                 | 8/1/17-8/8/17     |
| Send survey out to SU/SD EL coordinators/register         | 9/1-9/15          |
| Review survey results                                     | 9/18-9-22         |
| Prep for Lean event (If necessary)                        | 9/25/17-10-6/17   |
| Hold Lean event   | 10/16/17-10/18/17 |
| Create Implementation Plan/Project Plan (from lean event) | 10/19-10/27/17    |
| Implementation  | 10/30-11/3        |
| Track, Monitor changes                                    | 11/6/17 +         |

**VII. HOW WILL YOU MONITOR PROGRESS?**

- Monitor Performance (key measures that demonstrates whether process is improving)
- Create implementation plan (follow-up meetings with agency leadership, project sponsor and champion (meet every 30 days))

## **Agency/Department:** Agency of Human Services

The mission of the Agency of Human Services (AHS) is to improve the health and well-being of Vermonters today and tomorrow, and to protect those among us who are unable to protect themselves. AHS delivers services through programs and partnerships with non-profits and providers to meet the changing needs of individuals and families in Vermont toward a vision in which:

- Vermont has a prosperous economy
- Vermonters are healthy
- Vermont families are safe, stable, nurturing, and supported
- Vermont is a safe place to live
- Vermont children and young people achieve their potential
- Vermont seniors live with dignity and in settings they prefer
- Vermonters with disabilities live with dignity and in settings they prefer

AHS is organized into six Departments and twelve District Offices that manage programs and oversee the delivery of services to Vermonters toward our vision: The Department for Children and Families, Vermont Department of Health, Department of Corrections, Department of Disabilities, Aging, and Independent Living, Department of Mental Health, and the Department of Vermont Health Access.

Across the Departments, AHS strives to deliver services that are effective at improving outcomes and that maximize value for taxpayers. How we seek to change our service delivery system to accomplish our mission is directed by Governor Scott's priorities: growing the Vermont economy, making Vermont more affordable, and protecting the most vulnerable.

**Agency/Department:** Agency of Human Services

**Project Name:** Universal Screening

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Agency of Human Services administers about 14 types of services: housing and energy, employability, financial assistance, mobility, public health, mental health, substance abuse, health, food and nutrition, family support, child protection, aging, disability, and public safety and rehabilitation services. AHS administers services through programs out of offices located in twelve districts across the state, and non-profit organizations and providers that receive grants from AHS Departments.

Vermonters may enroll in AHS programs to receive services for any reason and at any time. In order to ensure that AHS can identify the appropriate type of service Vermonters might need, we employ screening tools that gather initial information indicating the needs of individuals and families. A screening is a preliminary systematic procedure to evaluate the likelihood or extent to which someone is experiencing a particular condition or circumstance. A screening lead to a referral and/or assessment of specific needs, issues, and goals to direct case planning. In order to more effectively meet the needs of Vermonters through the services we provide, we strive to support connections to lower-levels of care through early and consistent screening in order to improve outcomes, prevent crisis, and reduce reliance on expensive high-acuity levels of care.

## **II. HOW ARE WE DOING NOW?**

AHS screens clients for needs and risk at the entry and exit of AHS programs and services using various evidence-based processes, tools, and techniques. Individuals and families may be screened multiple times for specific circumstances and conditions, risks, and needs as they apply for different services and programs. AHS staff struggle to determine an individual or families' needs holistically with tools developed around such specific needs. Without the ability to determine needs holistically, AHS strives to deliver integrated services that are person-centric through a "no-wrong-door" approach. In order to do so, AHS needs to plan for and implement universal screening practices across the agency. There are examples of best practice across AHS for unifying individual screening tools and standardizing practice, and analysis from which to plan for better design.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

- AHS understanding/framework for assessing needs and risks at entry and exit
- AHS measurement and monitoring for assessing screening practice
- Confidence that screening practices are leading to:
  - Earlier intervention
  - Increased utilization of lower levels of care

- Increased percentages of referrals to assessment
- Decreased utilization of higher levels of care
- AHS holistic understanding of clients' needs
- Identification of gaps in our service systems

**IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- No unified practice or tool for screening individuals and families across AHS
- Siloed use of specific screening tools at entry and exit of particular programs and services
- No central mechanism for accountability to determine quantity, quality, and outcome of screening practices that lead to earlier intervention, utilization of lower levels of care, or referral and/or assessment

**V. WHAT DO YOU PROPOSE TO DO?**

To unify screening practice across the Agency of Human Services, AHS will:

- Inventory current screening policies, tools, and procedures (provided by AHS staff and partners/providers)
- Develop a process to engage staff in the district offices and provider networks in analyzing opportunities to unify screening
  - Understand, document, standardize, design improvement
- Pilot universal screening tool and analyze results
  - Consider opportunities for automation
- Plan for implementation, change management, sustainability, accountability

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

The scope of this project will be determined through project management process to understand areas with the most leverage for making impact.

| WHAT HAS TO GET DONE?   | BY WHEN?          |
|---|-------------------|
| Engage internal and external stakeholders to establish problem statement, analyze options, decide scope, deliverables | September 1, 2017 |
| Allocate project management resources   | October 1, 2017   |
| Establish project charter, team, and timeline   | November 1, 2017  |
|   |                   |
|   |                   |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Progress will be monitored according to a plan and schedule identified by project charter.

**Agency/Department:** Agency of Human Services

**Project Name:** Grants Management

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Given the significant role that non-profit organizations and providers play in the delivery of human services in Vermont, the way that we design, award, monitor, and pay for grants is of central importance to improving outcomes for Vermonters.

## **II. HOW ARE WE DOING NOW?**

AHS administers about 1,050 grants each fiscal year to non-profit organizations and service providers across the state. In each of the six Departments and in the AHS Central Office, grants are designed, awarded, monitored, and paid for in different ways. Although state regulation (bulletin 3.5) creates standards by which program and financial managers execute grant agreements, there is not a unified system of grants management nor point of accountability at AHS through which to plan for and ensure that we are maximizing the value of our investments, the expertise of our partner and provider network, and the time and energy of agency staff to learn and adapt strategy to continuously improve.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

- Clear and traceable strategy aligning grants to intended outcomes
- Grants to individual providers are consolidated as appropriate and useful to reduce duplication of service and administrative burden
- Funding is leveraged across grants to maximize value and reduce duplication of service
- Expectations for like-services and performance measures are consistent
- Performance measure data about outcomes and quality reported in a consistent format
- Performance measure data and information about what works and strategies to improve are monitored regularly

## **IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- No unified system of grants management nor point of accountability at AHS through which to ensure a unified approach to:
  - Strategic program/grant design
  - Outcomes-oriented performance measurement/data collection
  - Financial monitoring/auditing
  - Program performance reporting and monitoring/auditing
  - Performance improvement/corrective action
- Siloed federal and state funding streams create siloed requirements for state employees and providers to accomplish
- Siloed federal and state funding streams create inflexibility in the delivery of services to meet the needs of clients

- No central repository or management of grants records through which to analyze information, monitor quality, and ensure compliance

**V. WHAT DO YOU PROPOSE TO DO?**

To improve grants management across the Agency of Human Services, AHS will:

- Innovate and complete FY18 Grants Inventory and use it to inform development of AHS outcome strategy maps
  - Assess relationships and develop AHS outcome strategy maps
  - Assess risks for duplication of service
  - Assess opportunities for consolidation
- Develop a process to engage program/grant staff, financial staff, and provider networks in analyzing and improving grants management processes, focusing on:
  - Understand, document, standardize for scalability, design improvement
- Pilot components of grants management processes and analyze results
  - Consider opportunities for automation
- Plan for implementation, change management, sustainability, accountability
  - Develop AHS Grants Management performance measures to assess agency-wide performance

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

The scope of this project will be determined through process to understand areas with the most leverage for making impact.

| WHAT HAS TO GET DONE?   | BY WHEN?          |
|---|-------------------|
| Engage internal and external stakeholders to establish problem statement, analyze options, decide scope, deliverables | September 1, 2017 |
| Allocate project management resources   | October 1, 2017   |
| Establish project charter, team, and timeline   | November 1, 2017  |
|   |                   |
|   |                   |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Progress will be monitored according to a plan and schedule identified by project charter.

**Agency/Department:** Agency of Human Services

**Project Name:** Contracts and Procurement

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Given the significant role that contracts play in enabling the delivery of human services in Vermont, and given the financial and programmatic impact of purchasing contracted services, the way that we understand our needs, design requests for proposals, articulate requirements and deliverables, review for risk and accountability, procure, and manage contracts is of central importance to administering efficient and affordable government services that benefit Vermonters and taxpayers.

## **II. HOW ARE WE DOING NOW?**

The state is often accused of issuing weak requests for proposals and for incomplete understanding of expected requirements and deliverables – primarily at the onset of a new initiative or service and system to support it. The Legislature has mandated that internal reviews be completed for IT procurements over \$1 million. These are often completed as an overall financial risk review, without specific request for the substance of the service to be provided.

There are requests for proposals, contracts written, and contracts administered and managed by staff in every Department who do not have the technical skills or qualifications in their job descriptions to do so in a standard or consistent way. There are not positions nor career paths dedicated to writing and administering contracts, nor courses in technical writing that support current staff to do the work in a standard and consistent way in compliance with state rules. There is little to no training in how to write contracts, and limited resources to support statewide standards in writing and administering contracts. There is also no centralized system to assist the state in managing requests for proposals and contracts which could institute a systematic process for creating, approving, managing, storing, and querying requests for proposals and contracts.

## **WHAT DOES DOING BETTER LOOK LIKE?**

- RFPs that reflect AHS strategy for improving outcomes aligned with 5-year vision and one-year goals, values and principles for the delivery of services, and clearly define need.
- Clear deliverables and requirements listed in RFPs that can be measured over time and indicate quantity, quality, and effect.
- Subject matter expertise about service to be procured and system to support it are engaged in the development of RFPs.
- Clear points of accountability for reviewing and signing off on RFPs and contract procurements
- Streamlined process, clear functions, and roles for approval of contracts

### III. WHAT ARE YOUR CURRENT CHALLENGES?

- Planning and approval process for issuing RFPs and to define benefit
- Staff resources for writing and administering RFPs and contracts – backlogs
- Technical skills for writing RFPs and contracts
- Inefficient and exhaustive process for review and approval of contracts
  - Approvals at the manager level, the division level, the department level, at an agency level and agency finance level, at the IT manager level, at the AHS CIO level, at an IT security level, at an enterprise architecture level, add an ADS procurement specialist level, at State CIO level, at the risk manager level if there are insurance considerations, at an auditor level if audit language is changed, at finance and management level, and at administration level.
- Lack of clarity about clauses in contracts that apply to procurement
- Lack of training support to understand, clarify, and standardize establishment of requirements in contracts

### WHAT DO YOU PROPOSE TO DO?

To improve grants management across the Agency of Human Services, AHS will:

- Develop a process to engage staff in analyzing and improving contracts and procurement processes, in order to:
  - Understand, document, standardize for scalability, design improvement
- Pilot components of contracts and procurement processes and analyze results
  - Consider opportunities for automation
- Plan for implementation, change management, sustainability, accountability

### WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?

The scope of this project will be determined through process to understand areas with the most leverage for making impact.

| WHAT HAS TO GET DONE?   | BY WHEN?          |
|---|-------------------|
| Engage internal and external stakeholders to establish problem statement, analyze options, decide scope, deliverables | September 1, 2017 |
| Allocate project management resources   | October 1, 2017   |
| Establish project charter, team, and timeline   | November 1, 2017  |
|   |                   |
|   |                   |

### IV. HOW WILL YOU MONITOR PROGRESS?

Progress will be monitored according to a plan and schedule identified by project charter.

**Agency/Department:** Department of Public Service

**Project Name:** Communication Planning

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Department of Public Service (PSD) represents Vermonters through ratepayer advocacy, ensuring the provision of safe, reliable and affordable energy, accessible and reliable telecommunications infrastructure and planning for energy efficiency energy and resource development and managing regulated utility standards compliance including supporting consumers contacting the Department for a variety of reasons. Our work collectively demonstrates strategic links to economic development, affordability and protecting vulnerable constituents.

Outreach to Department staff for suggestions about areas that the PSD could improve resulted in a majority of responses indicating internal or external communication process improvements. Areas for improvement range from improving the information we provide to the public to listening to the public to improving internal department communication and improving inter departmental coordination for work processes.

## **II. HOW ARE WE DOING NOW?**

The Department lacks a communication plan. An informal survey by the Commissioner (May 2017) of all Department staff (with a 98% response rate) indicated that staff believe improvements are needed for both internal and external communication. Additionally, the annual DHR employee engagement survey (reviewed data for 2013, 2014, 2015, 2016) demonstrates the need for improved internal communication. Comments from the internal survey include that there could be better integration between divisions, that improved transparency and public outreach is needed, that inadequate resources are allocated to external communication and that we could develop better clarity about what success looks like. Additionally, the Department looks to interaction or collaboration or feedback from consumer and ratepayer advocate groups, public comments maintained by Consumer Affairs, and by analyzing the daily media review for baseline data about its external communication efforts.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

Doing better will be demonstrated by improved responses in the annual DHR survey for those areas that improved internal communication can generate improvements. Doing better will be demonstrated by staff being able to clearly articulate the mission statement of the Department.

Increased public engagement activities, improvements in the nature and content of media activity and constructive engagement or collaborations with external groups all will demonstrate doing better.

**IV. WHAT ARE YOUR CURRENT CHALLENGES?**

- Silos between divisions cause missed opportunities to leverage resources and/or duplicative work efforts or in some instances for divisions to actively work at cross purposes.
- Skilled facilitation could help us reduce discussion road blocks and help to clearly define roles and responsibilities
- Resource limitations (staff, time, tools, budget) causes delayed approvals, unrealistic deadlines, misaligned or conflicting schedules and inappropriate expectations.

**V. WHAT DO YOU PROPOSE TO DO?**

The Department plans to engage leadership in defining roles, responsibilities and visioning for the process. A workgroup will analyze the Department’s internal and external communication activities and will next engage in a Lean process improvement event to map out how to best improve communication activities and/or develop a communication plan. We will implement changes and track performance.

Developing a communication plan could provide a process starting with an assessment of where the Department is at now, set objectives, provide tools and tactics, define impacts and effects and track against performance indicators towards goals such improving public engagement, improving transparency and ensuring that internal communications are effective and efficient.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

This project will assess communication activities broadly across the Department and then determine specific areas of focus for further planning and development.

| WHAT HAS TO GET DONE?   | BY WHEN?     |
|---|--------------|
| Department leadership meeting for planning                      | July 30      |
| Workgroup assess internal and external communication activities | September 30 |
| Lean event  | October 30   |

|   |                             |
|---|-----------------------------|
| Prioritize areas for improvement and develop a plan | November 30                 |
| Implement and monitor performance                   | January 1, 2018 and ongoing |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Performance will be monitored through an annual review of public engagement activities, analysis of complaint data and web analytics and by measuring change in employee engagement survey results and informal staff survey results. A report will be provided to the Commissioner for leadership to consider any needed corrections, further refining or developing communications activities and recognizing our accomplishments.

**Agency/Department: Department of Public Service**

**Project Name: Docket & Petition Work Flow**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Department of Public Service (PSD) represents Vermonters through ratepayer advocacy, ensuring the provision of safe, reliable and affordable energy, accessible and reliable telecommunications infrastructure and planning for energy efficiency energy and resource development and managing regulated utility standards compliance including supporting consumers contacting the Department for a variety of reasons. Our work collectively demonstrates strategic links to economic development, affordability and protecting vulnerable constituents.

Broadly, all of the Department's Divisions engage in some part of the review of petitions for Certificates of Public Good (permit to build energy-related infrastructure) and utility rate requests, and participation in dockets within the jurisdiction of the Public Service Board (Title 30). The internal coordination of work flow associated with this function directly affects the quality and timeliness of our work products and outcomes. How well we do at managing dockets directly impact ratepayers as well as key industries in the state. The department's representation of the public interest in these matters promotes affordable utility rates and protects vulnerable consumers. The department's positions promote economic growth by balancing ratepayer needs against the need for business growth and overall benefits of renewable energy.

## **II.HOW ARE WE DOING NOW?**

There are likely several population level and stakeholder (used in lieu of customers) measures that the Department can use to evaluate how well the Department does with docket and petition management however staff have not been formally introduced to standardized performance measures and workflow designed to improve performance heretofore. Administrative process, quality and efficacy and knowledge of the Department's legal division all serve ratepayers well. When a docket or petition is opened at the Public Service Board, the administrative side of the process (e.g., scheduling, hearings) flows smoothly. Feedback from staff engaged in dockets and petitions identified areas for improvement including lack of performance measures to help guide staff, lack of a clearly defined work process with

identifying roles and responsibilities and division of labor, time standards for work assignments, effective communication and organization of efforts, established decision making authority and boundaries, process regarding expert testimony, and the supervisory process. Staff report that legal staff are stretched thin, there are tight deadlines, the use of outside consultants are could be managed differently and some dockets or petitions are policy related while others relate to more general regulatory matters. These reports drive the need to make change.

### **III.WHAT DOES DOING BETTER LOOK LIKE?**

Doing better includes clear metrics against which staff can demonstrate performance. The Department would have a well thought out process map for this work that defines roles at each stage. There will be an established protocol for internal and external communication and enhanced transparency with the public including why decisions are made or settlements reached. Ensuring that an appropriate amount of staff time and resources to dockets and petitions is based on the importance of those dockets (for example, by evaluating how much rate-payer money is on the line in that docket, the social and political importance of the docket, and “precedential value”, i.e., creation of a significant precedent that will impact future review). Making such changes would allow for more efficient and discernable pathways towards successful resolution of dockets and petitions. Doing better will be demonstrated by established measures that demonstrate how the Department’s efforts help to meet the needs of Vermonters, the economy and the environment (affordable utility rates, clean renewable energy).

### **IV.WHAT ARE YOUR CURRENT CHALLENGES?**

- Lack of clarity of overall workflow resulting in time pressures, inefficiency and confusion
- Training is needed to ensure common understanding of performance metrics and how to use them to improve performance

### **V.WHAT DO YOU PROPOSE TO DO?**

The Department plans to engage its leadership in defining roles, responsibilities and visioning for this process. The Department will next engage in a Lean process improvement event to map out how to best improve its workflow for docket and petition processes to define roles, streamline activities and improve engagement with stakeholders (internal and external). We

will include internal department communication objectives within this workflow. We will implement changes and track performance.

## **VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

The scope of this project is limited to activities and work process for docket and petition management.

| <b>WHAT HAS TO GET DONE?</b>   | <b>BY WHEN?</b>             |
|--|-----------------------------|
| Department leadership meeting for planning   | July 30                     |
| Research, review any existing typology internally or developed by the Public Service Board with roles, definitions and work flows where various staff and stakeholders engage for each major type of process | August 30                   |
| Lean event   | September 30                |
| Define performance metrics   | October 30                  |
| Develop new work flow and process guide  | November 30                 |
| Train staff  | December 30                 |
| Implement and monitor performance  | January 1, 2018 and ongoing |

## **VII. HOW WILL YOU MONITOR PROGRESS?**

Performance will be monitored through periodic division reporting against performance metrics, review of such by management, decisions about needed changes to refine or redevelop procedures, feedback to all Department staff about performance analysis and recognizing accomplishments.

**Agency/Department: Department of Public Service**

**Project Name: Annual Report Tax Processes**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Department of Public Service (PSD) represents Vermonters through ratepayer advocacy, ensuring the provision of safe, reliable and affordable energy, accessible and reliable telecommunications infrastructure and planning for energy efficiency energy and resource development and managing regulated utility standards compliance including supporting consumers contacting the Department for a variety of reasons. Our work collectively demonstrates strategic links to economic development, affordability and protecting vulnerable constituents.

Two divisions, Administrative Services and Finance and Economics each work on the annual reports filed by utilities, collecting the gross receipts taxes paid by utilities and managing the associated accounts payable and receivables work. The Annual Returns process is a major function within the Department of Public Service. It collects the funds that, in large part, sustain the functions of the Department and the Public Service Board. The department's representation of the public interest in these matters promotes affordable utility rates which protects vulnerable consumers.

## **II.HOW ARE WE DOING NOW?**

The two divisions that work together to collect and process receipts from the gross revenue tax have determined that there is some overlap of work efforts and the business process is not well defined. The current processes are manual and an inefficient use of staff time. The lack of definition for the current business process causes some duplication of effort when there is insufficient communication between the two divisions. Baseline data could be identified through pre-implementation time estimates for staff redundancy related to collecting gross receipts tax and manual efforts to file and coordinate information between the two divisions.

## **III.WHAT DOES DOING BETTER LOOK LIKE?**

Doing better includes streamlining efforts and reducing likelihood for duplicated effort by automating some of the required tasks. Automating will enable the two divisions to access the work done by the other, eliminating the duplication of effort. Through better use of technology,

Finance & Economics' filing of the returns would be visible to Admin Services. Admin Services could pick up the work, clearly identifying the correct stage in the business process and more efficiently record the receipt of the funds. Ultimately, this will ensure clearer and more immediate visibility for timing of receipt of payments. These automated processes will utilize recently implemented software (ePSD). This program provides for the generation of reports for specific utilities or across utility types that could be useful in projecting trends helping the department to better plan courses of action for the Department with forecasting budgets. There may even be implications for use with cases before the Public Utilities Commission (previously named Public Service Board). Overall, the Department will run the Annual Reports process more effectively by improving staff time efficiency thereby freeing up time for other needed projects.

**IV.WHAT ARE YOUR CURRENT CHALLENGES?**

- Lack of understanding of processes between the two divisions.
- Slowed development of the implementation of the software that supports the automated processing system.
- The need for dedicated staff resources trained to support the ePSD and ePSB systems.

**V.WHAT DO YOU PROPOSE TO DO?**

The Department plans to:

- Complete the automation of the annual report process. The system for automated filing was rolled out this year and is anticipated to be fully implemented by the next annual return season.
- Outline the current process flow, incorporate the automated system into the process and eliminate redundant steps.
- Realign the roles and responsibilities of the impacted staff.
- Implement changes and track performance.

**VI.WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

The scope of this project is limited to business processes for managing the filing of annual reports by utilities and the collection of gross receipts taxes.

| WHAT HAS TO GET DONE?  | BY WHEN? |
|--|----------|
| Outline the current process flow and establish baseline data to measure performance against. | July 30  |

|   |                             |
|---|-----------------------------|
| Incorporate the automated system into the process flow and eliminate redundant steps. | August 30                   |
| Complete the automation of the annual report process.                                 | September 30                |
| Define performance metrics.   | October 30                  |
| Complete final testing of the automated system and process                            | December 30                 |
| Implement and monitor performance   | January 1, 2018 and ongoing |

**VII.HOW WILL YOU MONITOR PROGRESS?**

- Establish measurable milestones.
- Weekly progress meetings.

**Agency/Department: Department of Financial Regulation**

**Project Name: Accounts Payable**

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Department of Financial Regulation serves the Vermont economy by working to promote strong, stable and competitive financial markets within the state while protecting the financial welfare of Vermont consumers and investors.

In order to be able to perform our mission, we need to process and pay vendors in an accurate and timely fashion.

**II. HOW ARE WE DOING NOW?**

Currently, we have data from internal audits and vendor inquiries that show we are not performing this duty to a suitable level. For SFY16 we had 9 misdirected payments and an internal audit of our payment backup shows that we have an error on more than half of payments. This could be a missing date stamp, not approved by the correct person, wrong coding, not processed within 3-day time frame etc.

**III. WHAT DOES DOING BETTER LOOK LIKE?**

- No misdirected payments
- 100% of payments are processed correctly and in the 3-day time frame.

**IV. WHAT ARE YOUR CURRENT CHALLENGES?**

Our current challenges are not having an updated written procedure.

**V. WHAT DO YOU PROPOSE TO DO?**

- We will hold a lean event to document the best process with appropriate checks in place.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?   | BY WHEN?   |
|---|------------|
| Select appropriate participants                                       | 06/01/2017 |
| Perform internal audit of payment vouchers for SFY17 (to get metrics) | 06/09/2017 |

|   |            |
|---|------------|
| Hold event  | 06/16/2017 |
| Train staff - communicate and implement changes                               | 07/01/2017 |
| Perform internal audit 6 months into FY18 to verify improvements are working. | 02/15/18   |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Progress will be monitored and communicated to staff by Administrative Services Director.

- Performance Measures:
  - # misdirected payments and
  - % payments paid within 3-days.

**Agency/Department: Department of Financial Regulation**

**Project Name: Travel Expense Reimbursement**

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Department of Financial Regulation serves the Vermont economy by working to promote strong, stable and competitive financial markets within the state while protecting the financial welfare of Vermont consumers and investors.

Traveling is a requirement for many DFR employees. Not only do our examiners need to perform site visits, but many of our employees need to travel for trainings and national/international market conferences. Reimbursing these expenses needs to be done in a timely and efficient manner, so employees can concentrate on their duties.

**II. HOW ARE WE DOING NOW?**

A number of employees continue to need assistance with processing reimbursements. We plan to begin tracking how much time our expense coordinator spends assisting employees and correcting errors. Many times, it becomes apparent that employees did not familiarize themselves with Bulletin 3.4 before traveling.

**III. WHAT DOES DOING BETTER LOOK LIKE?**

Less support needed and fewer errors.

**IV. WHAT ARE YOUR CURRENT CHALLENGES?**

Lack of employee training. Many employees do not read bulletin 3.4 before traveling. We also have an internal payment process that employees need to become more familiar with.

**V. WHAT DO YOU PROPOSE TO DO?**

We will develop a training program for current employees and use it for new employees as they are hired, and hold a training seminar for existing employees We will utilize the on-line training protocol on Finance & Management's website:  
<https://knowledge.erp.state.vt.us/Expenses/data/toc.htm>

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE? | BY WHEN? |
|-----------------------|----------|
|-----------------------|----------|

|   |                    |
|---|--------------------|
| Expense Coordinator keep track of errors and support needed | Start June 1, 2017 |
| Create Expense Training Module                              | October 1, 2017    |
| Class offered to employees                                  | November 1, 2017   |
|   |                    |
|   |                    |

**VII. HOW WILL YOU MONITOR PROGRESS?**

Expense Coordinator to keep track of errors and support needed starting June 1, 2017, then keep track after training to measure improvement.

**Agency/Department: Department of Financial Regulation**

**Project Name: Insurance Producer Licensing**

**I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

The Department of Financial Regulation serves the Vermont economy by working to promote strong, stable and competitive financial markets within the state while protecting the financial welfare of Vermont consumers and investors.

Our Insurance Division licenses producers who sell policies in the State of Vermont.

**II. HOW ARE WE DOING NOW?**

We process nearly 70,000 licenses every other year, amounting to \$21 million in revenues. This process has worked smoothly for many years.

**III. WHAT DOES DOING BETTER LOOK LIKE?**

Despite the fact that this process has run smoothly, it is past time to do a process improvement review. A change in long term staffing is providing the opportunity to engage newer employees in this review. Our goal is to continue this process running smoothly for many more years to come, by finding new efficiencies and reviewing the role new technology may be able to play.

**IV. WHAT ARE YOUR CURRENT CHALLENGES?**

Due to the retirement of a long-time employee who oversaw this process, we have inexperienced personnel performing this task.

**V. WHAT DO YOU PROPOSE TO DO?**

We would like to take advantage of new perspective from current employees to review the process. To do this we would hold a lean event.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?   | BY WHEN?       |
|---|----------------|
| Current employees will familiarize themselves with current procedures | Until 7/1/2017 |
| Meet to review findings and suggested changes                         | 7/15/2018      |
|   |                |
|   |                |

|  |  |
|--|--|
|  |  |
|--|--|

## **VII. HOW WILL YOU MONITOR PROGRESS?**

Because of the financial impact, the Administrative Services Director will track the deposits as they are entered and make sure items are being entered accurately and timely.

**Agency/Department:**

**Project Name: Point of Delivery Scan Gun Project**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Growing Vermont's economy is a vitally important objective for the Scott Administration. The new DLC management has a similar goal of increasing the profitability of the Department's liquor sales to increase the DLC contribution to the Vermont General Fund. One way of doing so is to improve the efficiencies of our current operations, accurately track inventory to prevent loss.

## **II. HOW ARE WE DOING NOW?**

Shortly after arriving at the DLC in 2016 the new management team identified a serious defect related to inventory management and tracking. Essentially, the Department did not have an inventory check-in procedure in place for delivery to our 80 retail outlets. What this meant was product was delivered to an agency and no one from the DLC or the agency checked the inventory in and signed for it. Clearly, mistakes happen and these mistakes cost money. Upon discovering this significant shortcoming in operating procedures, the new management team implemented a system whereby all deliveries required check-in of the product and signature from the agent that the product was received and any shortcomings or errors were to be noted at that time.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

While the management team has taken steps to improve the merchandise receiving process the newly implemented process is labor intensive and time consuming. We propose automating the check-in process through the use of scan guns.

## **IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

Our major barrier at present is getting the project through the purchasing process.

## **V. WHAT DO YOU PROPOSE TO DO?**

We have completed an RFP and have had interested bidders for the project. We are now waiting for the final project to be approved by purchasing. Once the purchase is approved all our delivery drivers will have scan guns which they will use to quickly and efficiently scan all deliveries to insure accuracy. We will also provide these scan guns for use in the warehouse and by our retail coordinators who conduct inventories in the agency stores and the warehouse. These scan guns will dramatically reduce the amount of time and staffing it takes to conduct these inventories allowing additional inventories to be conducted each year. We also are considering making the scan guns available for purchase by our agents who have expressed interest in using them for their own inventory management.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?   | BY WHEN?       |
|---|----------------|
| Project scope determined  | Done!          |
| RFP drafted and vendor selected   | Done!          |
| Vendor developing software & hardware interface with our existing management system | July 2017      |
| Vendor demonstrates working product   | September 2017 |
| Role working scan guns out and train staff  | October 2017   |
|   |                |

**VII. HOW WILL YOU MONITOR PROGRESS?**

We will measure progress on implementation based on compliance with the implementation plan timelines set out in the table above. We expect to this system operational by late 2017. During the initial rollout, we will document the staff time saved through using these scan guns as outlined above.

**Agency/Department:**

**Project Name: Shifting to Pallet Delivery**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Growing Vermont's economy is a vitally important objective for the Scott Administration. The new DLC management has a similar goal of increasing profitability of the Department's liquor sales to increase the DLC contribution to the Vermont General Fund. One way of doing so is to improve the efficiencies of our current operations and look to open additional liquor agency stores without the need for added staffing or equipment.

## **II. HOW ARE WE DOING NOW?**

Presently, cases of product are picked in our warehouse and loaded onto a pallet during the picking process. Once picking is completed the same cases are unloaded from the pallet by hand and stacked onto delivery trucks allowing us to maximize the cube space of the vehicles. When the truck and driver arrive at the delivery location cases of product are hand unloaded a case at a time into the agency store.

Our method of picking product, loading trucks and unloading the trucks for delivery works adequately, but it is not efficient with too many touches on each case of product delivered.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

A better process will reduce the number of touches on each case thereby saving labor and time as well as reduce worker injuries from stacking and unstacking cases, and reducing breakage from handling. Palatizing merchandise in the warehouse before loading it on the delivery trucks will save labor dollars and staff hours. This repurposing of resources will also allow the DLC to add new store locations without the need to hire additional staff or purchase and operate additional delivery trucks. In the end, more deliveries will be able to be completed with the same staffing and equipment in less time.

## **IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

We have a number of barriers that we are working to surmount. They include:

- Working with our existing 80 agencies to be sure that they can accept delivery on pallets. This could include a loading dock or loading area where product will be dropped.

- Maximizing the cube capacity of our trucks is crucial for this effort to be successful. We cannot be limited to only half of the truck’s capacity if this effort is going to be successful.
- Identifying and purchasing the needed equipment to allow pallet delivery. This includes:
  - Pallet wrapping equipment that secures cases to the pallet.
  - Electric lifting pallet jacks that allow us to stack and unstack pallets on the trucks to maximize available cube space.
  - Lift gates added to the trucks to allow pallets to be lowered from the truck to the loading area when a loading dock is not present.
- Training staff to properly build pallets so that they can be securely wrapped, scanned and stacked on the delivery trucks.

**V. WHAT DO YOU PROPOSE TO DO?**

We are working to make this improvement to our operation a reality. We have taken a number of steps already and future steps are outlined below.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?   | BY WHEN?       |
|---|----------------|
| Survey all 80 agency stores to determine which present locations can accept pallet delivery | Done!          |
| Identify liftgates to add to our delivery trucks  | July 2017      |
| Identify pallet jack manufactures that produce a lifting pallet jack                        | July 2017      |
| Identify suitable pallet wrapping equipment   | July 2017      |
| Install lift gates on the delivery trucks   | August 2017    |
| Purchase a pallet wrapper and have installed  | September 2017 |
| Purchase lifting pallet jacks   | September 2017 |
| Train staff on how to build pallets to allow stacking, scanning & use of new equipment      | October 2017   |
|   |                |

**VII. HOW WILL YOU MONITOR PROGRESS?**

We will measure progress on implementation based compliance with the implementation plan timelines set out in the table above. We expect to have a minimum of 25 agencies on pallet delivery prior our very busy holiday period starting at Thanksgiving of 2017.

**Agency/Department:**

**Project Name: Licensee Inspection Mobile Application**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Growing Vermont's economy is a vitally important objective for the Scott Administration. The new DLC management team has a similar goal of increasing profitability of the Department's liquor sales and the DLC's contribution to the Vermont General Fund. One way of doing so is to improve the efficiencies of our current operations. This project will increase efficiencies by eliminating repetitive data collection and data entry systems. It will eliminate errors by having the date entered electronically by the investigator in real time and will immediately populate the licensee database with updated information.

## **II. HOW ARE WE DOING NOW?**

The present system used by investigative staff to conduct licensee inspections involves paper forms and a pencil. Once data is collected it must be sent to DLC headquarters for entry by an administrative staff member into the DLC database. The present system is both wasteful and error prone.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

One member of the investigative team identified the present situation as an "opportunity for improvement". He sought permission from the new management team to explore better ways to undertake and complete the entry of data into the DLC licensee database. Working with a staff member from IT he sought out commercially available and inexpensive software applications that run on smart phones and tablets that would help automate the licensee inspection process.

## **IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

The initial barriers were identifying a suitable commercially available and inexpensive application that meet our needs. A further barrier was making the application communicate with our very antiquated but functional licensee database.

## **V. WHAT DO YOU PROPOSE TO DO?**

We have now purchased several applications as trials and have worked with them as part of a selection project to determine if they will meet our needs. We have selected a finalist and are into phase two beta testing with investigative staff now using the application on inspections.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?  | BY WHEN?       |
|--|----------------|
| Identify an application that will work to automate licensee inspections  | Done!          |
| Work with IT and the application developer to sync the application to our licensee database  | Done!          |
| Beta test the application with investigator staff in the field   | Done!          |
| Rollout the completed system to all investigators for field use  | June 2017      |
| Expand use of the system to other investigative/inspection areas   | September 2017 |
| Demonstrate our success to other state agencies that conduct inspections so they can consider using this system to save time and the expense of developing a custom built IT solution. | October 2017   |

**VII. HOW WILL YOU MONITOR PROGRESS?**

We will measure progress on implementation based on compliance meeting the implementation plan timelines set out in the table above. We will also be working with the investigators who are the primary users of the system to be sure it is meeting their needs. Finally, we plan to expand the use of the system beyond the initial objective as it has become clear that it has numerous additional capabilities that will improve our work flow and further increase productivity. The application also allows DLC management to better track and account for investigator time.

**Agency/Department: DLC**

**Project Name: Automation of Beverage Alcohol Returns and Professional Tasting Approvals**

## **I. AGENCY/DEPARTMENT CONTRIBUTION TO GOV. SCOTT'S PRIORITIES**

Our goal with this project is to greatly improve the ability of Vermont businesses to obtain approval from the DLC for the return of beverage alcohol from a retailer to a distributor/wholesaler. The project will also improve the approval of professional tastings. Both of these changes will improve the business climate by reducing delays for brokers, retailers and distributors/wholesalers.

## **II. HOW ARE WE DOING NOW?**

At present both of these approvals are a totally manual process. Both processes were moved into the 20<sup>th</sup> century by allowing submission for approval via email rather than on paper. The DLC receives **hundreds of these requests each week** and they take a significant amount of staff time to review and respond to. In addition, no meaningful data is collected from the present request and approval process.

## **III. WHAT DOES DOING BETTER LOOK LIKE?**

After an evaluation of our present processes we have determined that we can achieve the Department's oversight objective by automating both of these processes. We plan to use a web based form that could be quickly and easily filled on both mobile and desktop devices. We will work to make the forms "mistake proof" by preventing submission without all needed data being correctly entered. We will also automate the approval process when the proper data and dates that meet the regulatory criteria are included. This will allow returns of goods to be approved automatically 24/7 in real time which eliminates the wait for emailed approval under our present system. In addition to the time saved by staff, investigators and managers will have useable data because the web based form will fill a backend sequel database which will be much more easily searched and sorted.

## **IV. WHAT ARE YOUR BARRIERS? WHAT WOULD WORK TO IMPROVE?**

The reason for the present process is no one looked at how this work has been done in many years. The system “worked” and that was sufficient for prior management. With a change in management and a further retirement the curtains are being pulled back and questions are being asked related to many processes. We are looking first at the most prevalent repetitive tasks and plan to expand our examination going forward to improve and where possible automate the workflow of these tasks. This will free-up staff to work on higher value work.

**V. WHAT DO YOU PROPOSE TO DO?**

As outlined in section III above we plan to automate the application as well as the approval process through the use of a web based form. The process while in its infancy has begun and we hope to make quick work in getting the change implemented.

**VI. WHAT IS THE SCOPE OF THIS PROJECT AND YOUR IMPLEMENTATION PLAN?**

| WHAT HAS TO GET DONE?   | BY WHEN?       |
|---|----------------|
| Review of existing application and review process                                     | Done!          |
| Meet with IT staff to determine how to create the needed web based submittal forms    | July 2017      |
| Work with developer/contractor to create the needed forms                             | August 2017    |
| Work with IT and developer/contractor on creation of Sequel database backend for data | August 2017    |
| Beta test the web based application forms   | September 2017 |
| Roll out the change to the regulated community and phase out present system           | October 2017   |

**VII. HOW WILL YOU MONITOR PROGRESS?**

The Deputy Commissioner and Office Manager will be taking the lead on keeping this project on track. We will use the scoping timeline set out above to keep track of the project and to maintain forward momentum.