

Permit Process Improvement Implementation Plan

Prepared by the Coordination Group
September 11, 2001

I. Introduction

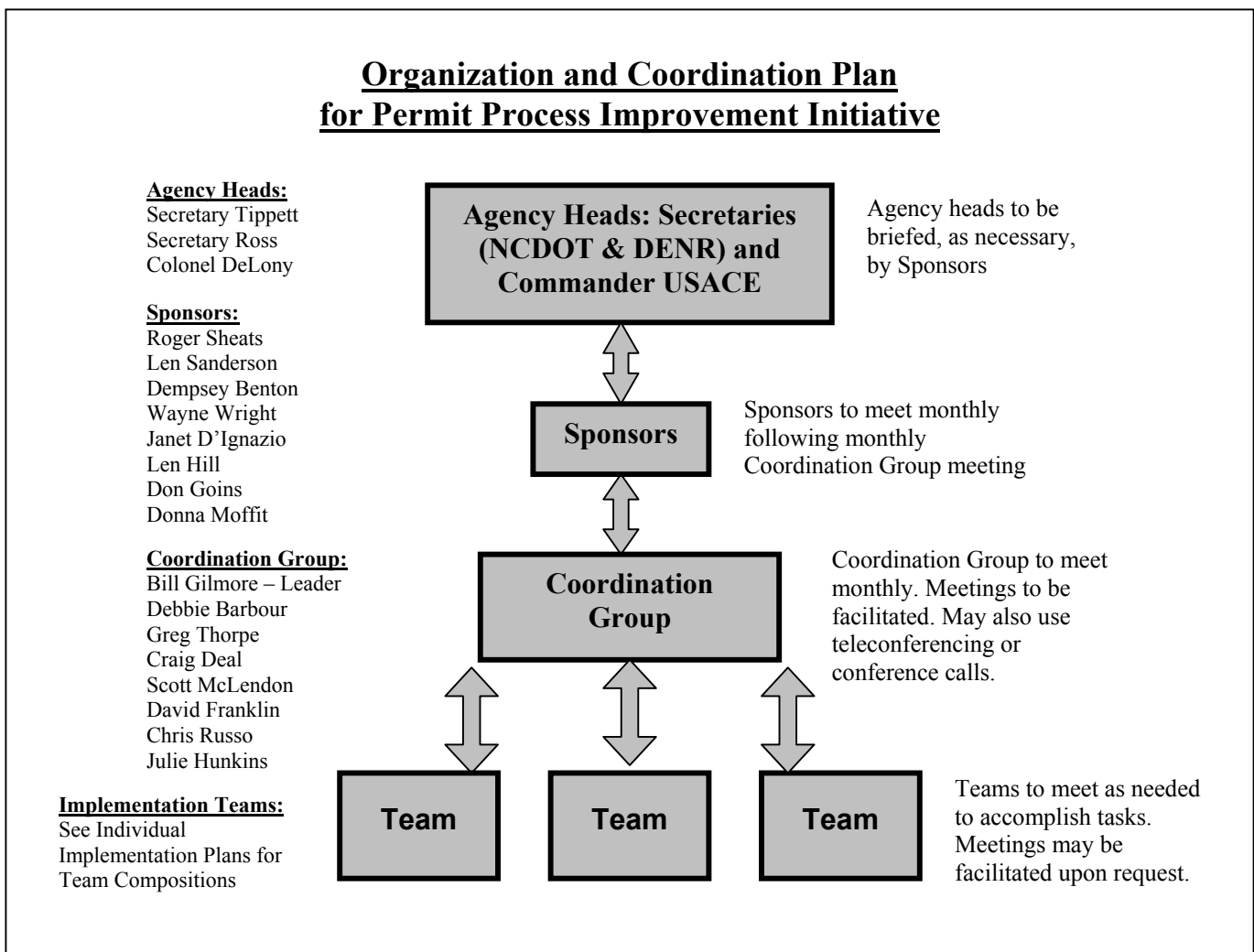
On May 7, 2001, the North Carolina Department of Transportation, U.S. Army Corps of Engineers and, North Carolina Department of Environment and Natural Resources embarked on a process improvement initiative that is focused on environmental permit development, coordination and issuance. This effort was initiated by the Secretaries of NCDOT and NCDENR, Mr. Lyndo Tippet and Mr. Bill Ross, respectively, and Colonel James DeLony, Commander, USACE, Wilmington District. The Primary Sponsors of this initiative are Mr. Roger Sheats (DOT), Mr. Leonard A. Sanderson (DOT), Mr. Dempsey Benton (DENR), and Dr. Wayne Wright (USACE). The Reinforcing Sponsors of this initiative are Len Hill (DOT), Janet D'Ignazio (DOT), Don Goins (DOT), and Donna Moffit (DENR).

The Primary Sponsors and Reinforcing Sponsors (Sponsors) commissioned a team of their respective agency practitioners to develop a process to improve workflow effectiveness and efficiency for the permitting of NCDOT projects.

At the closing of the week-long facilitated process improvement session (May 7-11, 2001), team members from each of the three agencies presented recommendations that would result in shortening the time until construction award by nine months and time until a permit decision by 24 months. This process revision would remove the permitting tasks from the critical path of project delivery and remove substantial conflicts in the overall highway development process. The recommendations consisted of two parts. Part one

involved advancing the mitigation earlier in the project development process. With appropriate approvals for mitigation concurrence, one major aspect of delay was removed from cycle time. The second major part involved addressing and implementing approximately 26 process improvement recommendations or implementation action items that would be required to achieve the process improvement. In order to effect the process improvement, an implementation plan is hereby presented to the Sponsors for endorsement.

II. Organization and Roles



The above chart illustrates the organization and reporting system for this process improvement initiative. Four levels of management are agency heads, Sponsors,

Coordination Group, and Teams. The Agency Heads own the process and the Sponsors have significant control over the resources associated with the process. Under recommendations from the Coordination Group, it will be the Sponsors' actions that will ultimately enable this initiative to be implemented. The Sponsors' role is to make policy decisions, redirect and refocus staff priorities and resources in manners that will achieve the envisioned success for this plan.

For each of the 26 implementation action items, it will be the Coordination Group's responsibility to establish action plan priority, team member composition, review team progress, resolve conflict points, and assist with resources and equipment as necessary to complete a team assignment. For each team's recommendation, it will be the Coordination Group's charge to implement the action items, if such an action is consistent with the Sponsors' expectations. For any team recommendations that require individual agency policy changes, staff augmentation or reassessment, equipment or budgets, it will be the Coordination Group's responsibility to seek approvals from the Sponsors prior to implementation.

Teams will be assigned to address each of the 26 process improvement recommendations (implementation action items). Teams will be multiagency staffed and have a designated team leader. The team will be responsible for conducting research, developing process recommendation changes, reporting progress, identifying resource requirements, training needs and deliverables.

III. Plan of Attack

The following table provides the implementation action item name, team leader, team members and a detailed description of what each team is expected to accomplish. The graph labeled "High Level Implementation Action Plan" illustrates the duration and timing expected for each task as presently envisioned. The tasks are categorized into "critical" "needed" and "nice to have" tiers. Within estimated resource availability constraints, it is the consensus of the Coordination

Group that this approach provides a reasonable approach to define and implement the process improvement. Those implementation action items categorized as “critical” offer the best return for manpower investment and appear to be easier to resolve and implement. It is highly probable that some action items will require additional manpower and resources beyond those defined at this point in time. Should this occur, the implementation plan and associated schedules will be adjusted accordingly.

Table 1
High Level Implementation Plan

ID#	Project	Team Leaders	Team Members	Project Descriptions
22	Programming #3 (critical)	David Franklin, Bill Gilmore	John Hennessy, Roy Shelton, Eric Midkiff, Randy Turner, Cathy Brittingham, Debbie Barbour	Move all projects through the merger process with the exception of mutually agreed upon deviations using a developed screening criteria (i.e., projects processed as categorical exclusions, bridges, etc) Team will gather and provide Merger 01 training materials to Team ID #13 (Permit Application and Technology #4)
28	Avoidance and Minimization #3 (critical)	Bill Gilmore	Greg Thorpe, John Hennessy, Cathy Brittingham, Charles Bruton, Randy Turner, David Franklin, John L. Williams	Agencies will develop an approved high quality resource, avoidance, and bridging policy that allows bridging issues to be decided at Concurrence Point 2
12	Permit Application and Technology #3 (critical)	Jimmy Carter	John Hennessy, Cathy Brittingham, David Cox, Hal Bain, Mike Bruff, Dave Henderson, Eric Alsmeyer, Scott McLendon, Linda Pearsall, Marella Buncick	Identify high quality resources at pre-TIP stage of development and evaluate impact on TIP. Note: Team will reevaluate timeframe
29	Miscellaneous Items #1 (critical)	Nina Szlosberg	Randy Turner, Dave Henderson, Charles Bruton, Scott McLendon, Cathy Brittingham, John Dorney, John Hennessy, Julie Hunkins, Boyd DeVane	Develop measures of success for environmental protection
13	Permit Application and Technology #4 (critical)	Beth Barnes	Cathy Brittingham, Jean Manuele, Don Lee, Jim Hauser, Steve DeWitt, Roberto Canales, Steve Varnedoe, Bill Gilmore, Dave Henderson, David Franklin, Doug Huggett, Roy Shelton, Alice Gordon, John Dorney, Eric Midkiff	Agencies will implement training for DOT and agencies on 01-Merger Process and for permit requirements. Team will collect Merger 01 training material from Team ID #22 (Programming #3)
20	Programming #1 (critical)	Len Hill	Calvin Leggett, Debbie Barbour, Bill Gilmore, Len Hill, Jimmy Norris, Colleen Sullins, David Franklin	Develop new scheduling system that incorporates all project milestones, including PMII
8	Management #4 (critical)	Randy Turner	John Hennessy, David Cox, Cathy Brittingham, Mac Haupt, Mike Bell	Agencies will strive to develop more effective communication -- develop and implement a communications plan, including notification of changes to the regulations

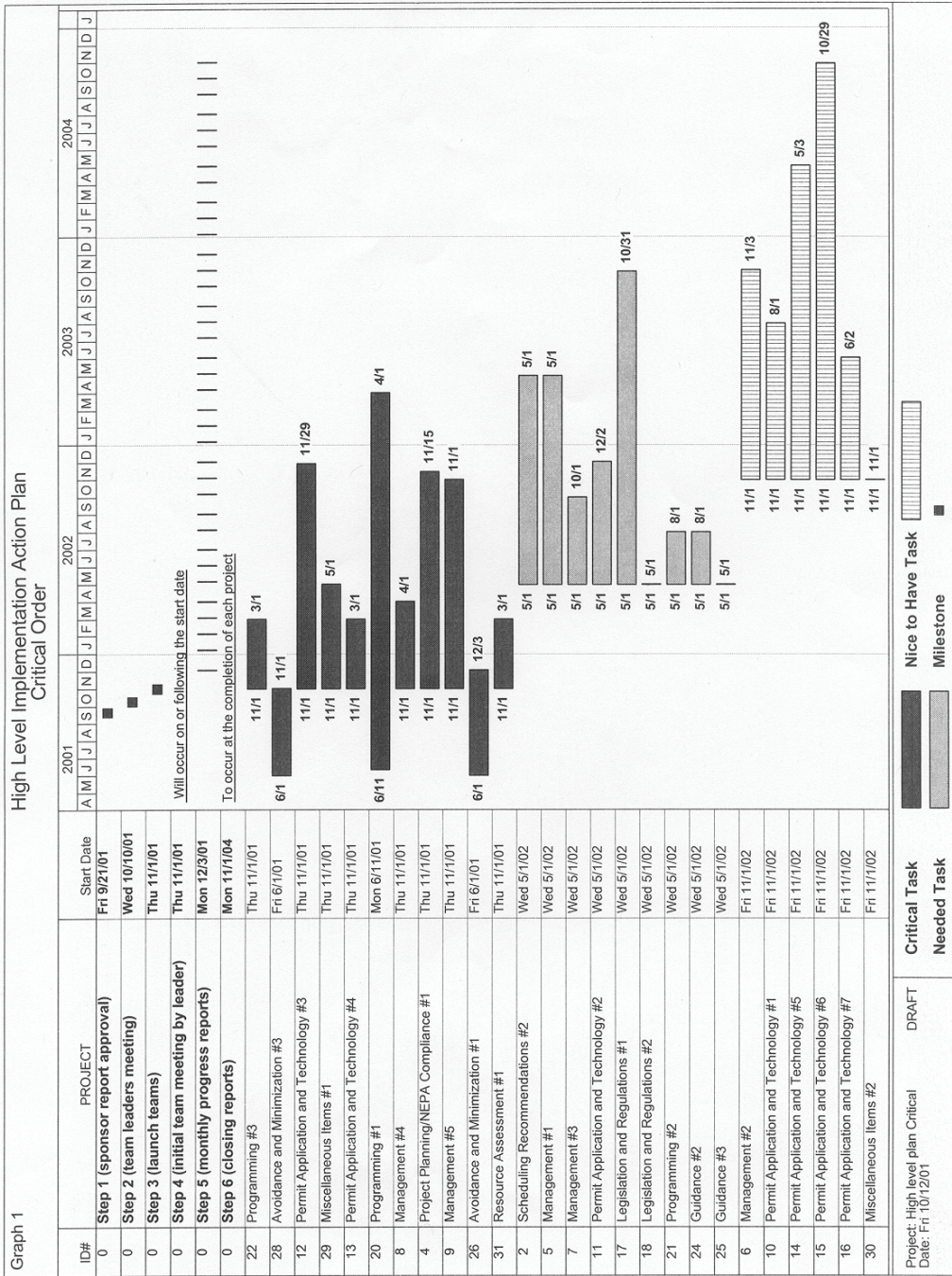
Table 1 (cont'd)
High Level Implementation Plan

4	Project Planning/NEPA Compliance #1 (critical)	Steve DeWitt	Craig Deal, Don Goins, Tim Rountree, Randy Turner, John Williams, Don Lee, Ellis Powell, Doug Huggett, Dave Henderson, John Alford, Cyndi Karoly, Jean Manuele	Develop environmentally sensitive design criteria, avoidance/minimization criteria, and BMP's which describe construction methodologies during planning (in NEPA docs) and facilitates permit issuance if followed
9	Management #5 (critical)	David Franklin, Bill Gilmore	Alice Gordon, John Dorney, Doug Huggett, Dave Henderson	Develop and implement a more efficient method of handling permit-drawing changes that occur after the permit application is submitted and prior to permit issuance
26	Avoidance and Minimization #1 (critical)	Debbie Barbour	No team---Debbie Barbour will coordinate effort with Charles Bruton and Dave Henderson	Agencies will review hydraulic design on site at the right-of-way stage of development (30% hydraulic design on Concurrence Point 3). Alignment minimization will be completed shortly after LEDPA based on preliminary design
31	Resource Assessment #1 (critical)	Eric Midkiff	Charles Bruton, Debbie Barbour, Randy Turner, Cathy Brittingham, John Hennessy, David Cox	Analyze current staffing needs and determine how many, if any, additional resources will be needed to implement the advance mitigation and planning needs associated with the Merger 01 implementation plan
2	Scheduling Recommendations #2	Aydren Flowers	Debbie Barbour, Roger Worthington, John Williamson, Craig Deal, utility representatives	Providing utility design earlier in process
5	Management #1	Len Hill	Debbie Barbour, Bill Gilmore, Blake Norwood	Restructure DOT by assigning planning team by agency and geographic area(s)
7	Management #3	Len Hill	Debbie Barbour, Bill Gilmore, Calvin Leggett, Blake Norwood	Investigate DOT project manager concept
11	Permit Application and Technology #2	Randy Turner	Bill Arrington, Cynthia Van Der Wiele, Steve Lund, Alice Gordon, David Cox, Marella Buncick, Ron Sechler, Kathy Matthews, Mike Street, Renee Gledhill-Earley	Develop a pre-application process
17	Legislation and Regulations #1	Janet D'Ignazio	John Dorney, Boyd DeVane, Scott Lane, Gail Grimes, Blake Norwood, Roy Shelton, FHWA representative	Require MPOs to address secondary and cumulative impacts of transportation projects

Table 1 (cont'd)
High Level Implementation Plan

18	Legislation and Regulations #2	Roger Sheats, Dempsey Benton	Janet D'Ignazio, Calvin Leggett	Change "mix" to reduce the number
21	Programming #2	Janet D'Ignazio	Blake Norwood, Bill Gilmore, Debbie Barbour, John Hennessy, David Franklin	Accelerate the proposed pre-TIP process
24	Guidance #2	David Franklin, Charles Jones, Don Goins, Dick Hamilton, Greg Thorpe, Roger Sheats, Janet D'Ignazio, Len Hill	No team—memo will be drafted and submitted to all agencies for better understanding	Provide adequate guidance on professional conduct
25	Guidance #3	Janet D'Ignazio	John Dorney, Charles Jones, David Franklin, Dave Henderson, Bill Gilmore, Boyd DeVane, David Allsbrook	Agencies will provide thresholds to apply new regulations to existing projects
6	Management #2	Dempsey Benton, Roger Sheats	Greg Thorpe, Charles Jones, Frank McBride, Charles Bruton, Preston Pate, Linda Pearsall	Outsource natural resource documentation for transportation projects to natural resource agencies
10	Permit Application and Technology #1	Greg Thorpe	John Dorney, Doug Huggett, Eric Alsmeyer, Gordon Cashin	Develop one (1) DOT permit application form and check list
14	Permit Application and Technology #5	David Chang	Todd St. John, Josh Shepherd, Dave Timpy	Electronic access to permit application information
15	Permit Application and Technology #6	Roger Sheats, Forrest Robson	Cyndi Karoly, CGIA representative, DCM, COE, NHP, SHPO, DMF, NMFS, WRC, USFWS, NPS, USFS, USDA	Expand GIS capabilities
16	Permit Application and Technology #7	Alice Gordon	David Cox, Cathy Brittingham, Eric Alsmeyer, Cynthia Van Der Wiele, Steve Varnedoe, Don Lee	DOT will provide ½ size right-of-way drawings Note: eliminates 8 ½ x 11 drawings
30	Miscellaneous Items #2	Cynthia Van der Wiele	Debbie Barbour, Carl Goode, Mike Bell	Invite/encourage resource agencies to attend public hearings and post hearing meetings

Graph 1 High Level Implementation Action Plan



The major steps are defined as follows:

Step 1. Approval of this plan by the Permit Process Improvement Sponsors.

Step 2. Coordination Group conducts a meeting with all team leaders slated for the first tier of initiatives. Provides background on the overall plan, expectations, team charge and responsibilities. Provides support to team leaders regarding resources and equipment needs.

Step 3. Team leaders are instructed to begin their respective projects.

Step 4. Team leader holds first team meeting and develops an action plan for each task, assigns working groups and reports monthly to coordination group on progress made.

Step 5. Coordination Group provides monthly progress reports to Sponsors, updates overall “action item” implementation plan and adjusts schedules according to team progress. At completion of an action item, Coordination Group prepares a close-out report for that item.

Step 6. When all action items are complete, Coordination Group prepares a close-out report for this process improvement initiative.

IV. Management and Communication Plan

Team Charge. The list of 26 implementation action items was produced from workshop group meetings that were held subsequent to the May 11th event. For each implementation action item a team leader, participants, duration, deliverables and steps are identified. It will be the team’s responsibility to first meet, review the task description, refine steps, seek guidance from the coordination group, confirm deliverables and complete the assignment.

It is the team leader’s responsibility to manage the implementation action item. This individual will be responsible for establishing team meeting dates, individual task assignments, analyzing the results, adjusting the action plan and presenting the completed plan to the Coordination Group.

As implementation action items are completed, it will be the Coordination Group's responsibility to ensure that the appropriate operating procedures or policies are changed within their respective spans of control. In those events where changes are beyond the Coordination Group's authority, the team leader or group will seek guidance and direction from the Sponsors. The Coordination Group will make monthly progress reports to the Sponsors. The reports will summarize team activities, progress made, obstacles encountered, measures of success and activities that require Sponsor intervention, policy or guidance.

V. Measures of Success for Implementation

There will be two broad measures of success that will be reported to the Sponsors. The first measure will involve a report on overall status of the 26 implementation action items, individual achievements and that action item's specific role in improving effectiveness of the process improvement initiative. The report will be presented in MS Project format with appropriate text charts and back up as necessary. The second measure of success will be a report on progress made toward the overall permit process improvement initiative. This will involve illustrating examples of the effectiveness of each action item's contribution toward reducing project delivery by nine months and permitting by twenty-four months. Since this measure pertains to a "model" NEPA-Permit Process, it will involve some subjective reporting with examples of actual projects that have been helped by the individual action items.

VI. Barriers to Success

The major plan aspects will require resources to perform the 26 action items and to implement the overall process improvement. The individual action items are structured to address process improvement. However, they do not address existing staffing shortages nor resolve proactive staffing needs that may be necessary to start work sooner in process. At the present time, there is general consensus that insufficient staff is available to effect the plan. To address this issue, a first step will be to assess additional resource needs for implementation. Should this issue become a barrier to the plan, schedules and this process improvement initiative may be adjusted accordingly. This will be at the Sponsors' direction and possibly involve staff augmentation, extension of the overall implementation

schedule, or reduction in the number of projects assigned to existing staff so that a proportion of the staff can be directed toward advancing the plan.

This implementation plan is hereby approved in full.

Mr. Roger Sheats
Deputy Secretary, NCDOT

Signature

Date

Mr. Leonard A. Sanderson
Highway Administrator, NCDOT

Signature

Date

Mr. Dempsey Benton
Deputy Secretary, DENR

Signature

Date

Dr. Wayne Wright
Chief, Regulatory Division
Wilmington District, USACE

Signature

Date

Permit Process Improvement Action Plan

Scheduling Recommendations #2

ID #2

Project: Provide utility design earlier in the process

Project Leader: Aydren Flowers (NCDOT)

Team Members: Debbie Barbour, Roger Worthington, John Williamson, Craig Deal, and representatives from utility companies

Start Date: 5/1/02

End Date: 5/1/03

Duration: 12 months

Dependencies: The level of detail that agencies can accept by being provided this information sooner (agencies accept less information, but information provided sooner)

Project Deliverables: Determine feasibility of providing this information earlier in the process

Project Planning/NEPA Compliance Recommendations #1

ID #4

Project: Develop environmentally sensitive design criteria, avoidance/minimization criteria, and BMP's which describe construction methodologies during planning (in NEPA documents) and facilitates permit issuance if followed

Project Leader: Steve DeWitt (NCDOT)

Team Members: Craig Deal, Don Goins, Tim Roundtree, Randy Turner, John Williams, Don Lee, Ellis Powell, Doug Huggett, Dave Henderson, John Alford, Cyndi Karoly, Jean Manuele

Start Date: 11/1/01

End Date: 11/15/02

Duration: 12 months

Dependencies:

- Agencies identify "critical" habitat types (high quality types must be identified)
- DOT identifies various construction techniques and associated impacts
- High Quality resource List

Project Deliverables:

- Identify standard construction methods appropriate for those habitat types (matrix)
- Agency coordination/buy-in
- BMP design criteria (e.g. flow spreading devices and flood plain culverts)

- Develop GP's that state that if "x" and "y" practices and criteria are followed (for appropriate projects), then GP can be used for these projects

Management Recommendations #1

ID #5

Project: Restructure DOT by assigning planning team by agency and geographical areas

Project Leader: Len Hill (NCDOT)

Team Members: Debbie Barbour, Bill Gilmore, Blake Norwood

Start Date: 5/1/02

End Date: 5/1/03

Duration: 12 months

Dependencies: Staff buy-in

Project Deliverables:

- Feasibility of accomplishing the restructure
- Effectiveness of restructure

Management Recommendations #2

ID #6

Project: Outsource natural resource documentation for transportation projects to natural resource agencies

Project Leader: Dempsey Benton, Roger Sheats (co-leader)

Team Members: Greg Thorpe, Charles Jones, Frank McBride, Charles Bruton, Preston Pate, Linda Pearsall

Start Date: 11/1/02

End Date: 11/1/03

Duration: 12 months

Dependencies: Assessment of Illinois program or others

Project Deliverables:

- Feasibility study to determine if this would make the process more efficient
- Establish team to determine effectiveness/efficiencies

Management Recommendation #3

ID #7

Project: Investigate DOT project manager concept

Project Leader: Len Hill (NCDOT)

Team Members: Debbie Barbour, Bill Gilmore, Calvin Leggett, Blake Norwood

Start Date: 5/1/02

End Date: 5/1/03

Duration: 12 months

Dependencies: Staff needs

Project Deliverables:

- Identify projects where this would be beneficial
- Identify or develop NCDOT element or organization responsible for oversight
- Assessment of whether this would be of benefit to planning process

Management Recommendations #4

ID #8

Project: Agencies will strive to develop more effective communication – develop and implement a communications plan including notification of changes to the regulations

Project Leader(s): Randy Turner

Team Members: John Hennessy, David Cox, Cathy Brittingham, Mac Haupt, Mike Bell

Start Date: 11/1/01

End Date: 4/1/02

Duration: 5 months

Dependencies: Honesty, openness, mutual respect, permit application improvements

Project Deliverables:

- DOT appointments to Coastal Resource Advisory Council
- Liaison to Environmental Management Commission/rule-making coordinator – someone to follow State and to coordinate comments and public involvement
- Federal register notices; track rule-making efforts
- COE will forward notices for proposed and final rules to DOT – designated person/office
- DENR needs to notify appropriate person(s)/offices in DOT on rule-making and policy changes [DOT identify person(s)/offices]
- DENR needs to work with DOT on identifying appropriate grand-fathering clauses in rules

- For existing rules, DOT needs to use the Environmental Management Commission's and Coastal Resource Commission's variance processes for hardship cases; need to identify the major and general variances needed
- Communication Plan

Management #5

ID #9

Project: Develop and implement a more efficient method of handling permit-drawing changes that occur after the permit application is submitted and prior to permit issuance

Project Leader: David Franklin, Bill Gilmore (Co-leader)

Team Members: Alice Gordon, John Dorney, Doug Huggett, Dave Henderson

Start Date: 11/1/01

End Date: 11/1/02

Duration: 12 months

Dependencies: Resource type, regulatory requirements

Project Deliverables:

- Feasibility of implementing project
- What flexibility is available

Permit Application and Technology #1

ID #10

Project: Develop one (1) DOT permit application form and checklist

Project Leader: Greg Thorpe

Team Members: John Dorney, Doug Huggett, Eric Alsmeyer, Gordon Cashin

Start Date: 11/1/02

End Date: 8/1/03

Duration: 9 months

Dependencies: None

Project Deliverables:

- Guidance
 - Form
 - Index based on permits
 - Chapters 1 – common
 - Chapter 2 – ACE
 - Chapter 3 – DWQ
 - Chapter 4 – DCM

- Train
- Includes:
 - Develop one DOT-specific permit application form acceptable by all agencies
 - Develop standard checklist for applications for all agency requirements
 - Agencies will develop a permit application checklist

Permit Application and Technology #2

ID #11

Project: Develop pre-application process. Includes:

- Identify all permit requirements and applicable regulations prior to submitting permit application by increased coordination
- Establish a standard pre-application process
- Develop a DCM pre-application process

Project Leader: Randy Turner

Team Members: Bill Arrington, Cynthia Van der Wiele, Steve Lund, Alice Gordon, David Cox, Marella Buncick, Ron Sechler, Kathy Matthews, Mike Street, Renee Gledhill-Earley

Start Date: 5/1/02

End Date: 12/01/02

Duration: 7 months

Dependencies: None

Project Deliverables: Process guidelines and training

Permit Application and Technology #3

ID #12

Project: Identify high quality resources at Pre-TIP stage of development and evaluate impact on TIP

Project Leader: Jimmy Carter

Team Members: John Hennessy, Cathy Brittingham, David Cox, Hal Bain, Mike Bruff, Dave Henderson, Eric Alsmeyer, Scott McLendon, Linda Pearsall, Marella Buncick

Start Date: 11/1/01

End Date: 11/29/02

Duration: 11-13 months

Dependencies: None

Project Deliverables:

- DENR/COE complete draft HQ Resource List

- Present to Sponsors prior to July 1st
- Identify categories
- Hold joint meeting with Agencies and DOT
- Implementation plan and training

Note: Team to reevaluate timeframe.

Permit Application and Technology #4

ID #13

Project: Agencies will implement training for DOT and agencies on Merger O1 Process and for permit requirements. Will collect Merger O1 training material from Team ID #22 (Programming #3)

Project Leader: Beth Barnes

Team Members: Cathy Brittingham, Jean Manuele, Don Lee, Jim Hauser, Steve DeWitt, Roberto Canales, Steve Varnedoe, Bill Gilmore, Dave Henderson, David Franklin, Doug Huggett, Roy Shelton, Beth Barnes, Alice Gordon, John Dorney, Eric Midkiff

Start Date: 11/1/01

End Date: 3/1/02

Duration: 4 months

Dependencies: None

Project Deliverables:

- Training course and materials
- Training

Permit Application and Technology #5

ID #14

Project: Electronic access to permit application information.

Project Leader: David Chang

Team Members: Todd St. John, Josh Shepherd, Dave Timpy

Start Date: 11/1/02

End Date: 5/1/04

Duration: 18 months

Dependencies: None

Project Deliverables:

- Hardware, software, training, and maintenance
- Includes:
 - Study electronic transmittal or accessibility to permit drawings

- Expand electronic transmittals through permit process
- Provide agency access by resource agencies to DOT's server

Permit Application and Technology #6

ID #15

Project: Expand GIS capabilities

Project Leader: Roger Sheats, Forrest Robson

Team Members: Cyndi Karoly, CGIA representative, DCM, COE, NHP, SHPO, DMF, NMFS, WRC, USFWS, NPS, USFS, USDA

Start Date: 11/1/02

End Date: 12/1/04

Duration: 2 years

Dependencies: None

Project Deliverables: Training, maintenance of data, protocols, and GIS layers

Permit Application and Technology #7

ID #16

Project: DOT will provide ½ size right-of-way drawings.

Project Leader: Alice Gordon

Team Members: David Cox, Cathy Brittingham, Eric Alsmeyer, Cynthia Van der Wiele, Steve Varnedoe, Don Lee

Start Date: 11/1/02

End Date: 6/1/03

Duration: 6 months 2 weeks

Dependencies: None

Project Deliverables:

- Commitment memo from DOT
 - ½ size ROW drawings to agencies
 - Enhanced division level drawings
- (Note: eliminates 8 ½ x 11 drawings)

Legislation and Regulations #1

ID #17

- Project:** Require MPOs to address secondary and cumulative impacts of transportation projects
- Project Leader:** Janet D'Ignazio/Statewide Planning to develop implementation plan for pilot program with appropriate stakeholders
- Team Members:** John Dorney, Boyd DeVane, Scott Lane, Gail Grimes, Blake Norwood, Roy Shelton, FHWA
- Start Date:** Depends of funding for pilots (5/1/02)
- End date:** 11/1/03
- Duration:** 8-16 months

Dependencies:

- Funding
- Pilot needs to establish framework for other permit applicants to follow because of the need for the evaluation to be completed for all projects and not just those involving the MPO's.

Project Deliverables:

- Incentives – enhances project success and reduces probability of litigation. Pilot should look at basics with and without buffer rules in place
- Implementation Plan (to be developed by Statewide Planning)

Note: Statewide Planning to develop implementation plan for pilot program with appropriate stakeholders

Legislation and Regulations #2

ID #18

- Project:** Change the “mix” to reduce the number of projects in the TIP
- Project Leader:** Roger Sheats, Dempsey Benton
- Team Members:** Janet D'Ignazio, Calvin Leggett
- Start Date:** 11/1/02
- End date:** Dependent on legislature
- Duration:**
- Dependencies:**
- Project Deliverables:**

Programming #1

ID #20

Project: Develop new Scheduling System that incorporates all project milestones, including PMII

Project Leader: Len Hill

Team Members: Calvin Leggett, Debbie Barbour, Bill Gilmore, Jimmy Norris, Bill Gilmore, Debbie Barbour, Colleen Sullins, David Franklin

Start Date: PMII initiative has started (6/11/01)

End date: 4/1/03

Duration: 18 months

Dependencies:

- Input from all areas across DOT Commitment by agencies to “not go back”
- Development of screening criteria
- Acceptance of schedule changes by DOT management
- Lots of initial coordination

Project Deliverables:

- Identify project scheduling system that will identify dates for project milestone activities and let date would be subject to meeting each milestone.
- This approach would provide DOT with a way of determining whether or not projects are on or off schedule.
- Process would allow more predictability as let date approaches.
- Let dates would need to slip based on meeting milestones. Excellent management tool for monitoring project development and staff performance
- NCDOT provide status report of each project/what stage of project planning or design
- Concurrence by agencies where projects are in the process
- Must adjust planning (TIP) schedule accordingly

Programming #2

ID #21

Project: Accelerate the proposed pre-TIP process

Project Leader: Janet D’Ignazio

Team Members: Blake Norwood, Bill Gilmore, Debbie Barbour, John Hennessy, David Franklin

Start Date: 5/1/02

End date: 8/1/02

Duration: 3 months

Dependencies: Education in ’01 Merger Process

Project Deliverables:

- Incorporate '01 Merger Process with the systems planning process to ensure decisions made are reflective of the same environmental considerations, input, and agency coordination as provided for the 01 Merger

Programming #3

ID #22

Project: Move all projects through the merger process with the exception of mutually agreed upon deviations using a developed screening criteria (i.e., projects processed as categorical exclusions, bridges, etc). Team will gather and provide Merger O1 Training materials to Team 13 (Permit Application and Technology #4)

Project Leader: David Franklin, Bill Gilmore

Team Members: John Hennessy, Roy Shelton, Eric Midkiff, Randy Turner, Cathy Brittingham, Debbie Barbour

Start Date: 11/1/01 or when screening criteria has been completed

End date: 3/1/02

Duration: 4 months

Dependencies:

- Develop criteria
- Identify method to apply criteria
- Develop process for obtaining concurrence on whether to merge or not
- Incorporate high quality water criteria
- Merger Screening criteria must be finished (Result of “Develop screening criteria for Merger projects” under “Scheduling” heading)

Project Deliverables:

- Identify screening criteria
- Decide if there is a need for a new pathway for projects that are screened out of 01 Merger Process

Guidance #2

ID #24

Project: Provide adequate guidance on professional conduct

Project Leader: David Franklin, Charles Jones, Don Goins, Dick Hamilton, Greg Thorpe, Roger Sheats, Janet D'Ignazio, Len Hill

Team Members: No team—memo will be drafted and submitted to all agencies for better understanding

Start Date: 5/1/02

End Date: 8/1/02

Duration: 3 months

Dependencies: None

Project Deliverables:

- Guidance from management to be distributed by management and personnel representatives to all employees
- Can be incorporated into Performance Reviews
- Managers/supervisors should play a more active role in addressing professional conduct issues when present at meeting in which they occur
- Feedback should be provided to individuals when problems are identified

Guidance #3

ID #25

Project: Agencies to provide thresholds to apply new regulations to existing projects

Project Leader: Janet D'Ignazio

Team Members: John Dorney, Charles Jones, David Franklin, Dave Henderson, Bill Gilmore, Boyd DeVane, David Allsbrook

Start Date: 5/1/02

End Date: On a case-by-case basis

Duration:

Dependencies:

Project Deliverables:

- Environmental Management Commission's Water Quality Committee and Transportation Board Environmental Committee should meet jointly when new rules proposed that affect DOT issues (at, or before, subject matter notice)
- DOT/agencies should work on identifying grand-fathering thresholds on case-by-case basis for new rules

Avoidance and Minimization #1

ID #26

Project: Agencies will review hydraulic design on-site at the right of way stage development (30% Hydraulic Design Concurrence Point 3). Alignment minimization will be completed shortly after LEDPA based on preliminary design.

Project Leader: Debbie Barbour

Team Members: No Team – Debbie Barbour will coordinate effort with Charles Bruton and Dave Henderson

Start Date: 6/1/01 – In progress. (Memo outlining meeting information to get started – standard meeting dates from September 9th to December 1st and developed for 2002).

End Date: 12/3/01

Duration: Continuing process

Dependencies:

- Need to have list of projects where permit drawings are complete (Design & PDEA generate list)
- Set aside two additional days per month for pre-application meeting. (DOT initiates, agencies will have to make these dates priority). Hydraulics will set field meetings beginning immediately when designs are 30 % complete.
- Initiation of 20% hydraulic design and Concurrence Point 4 meetings
- Education of staff

Project Deliverables:

- Reviewed hydraulic design and permit drawings at as earlier time in the project development process
- *Note:* This project can take place regardless of whether the entire process is implemented or not.
- Review of projects as to where they are in the process and re-designing the project scheduled to fit the new process, as appropriate (transition – pipeline projects, etc.)
- Need taskforce/workgroups to (1) design project schedules for new process
- Develop staff education plan/schedule and training materials (DOT Divisions and CTE)

Avoidance and Minimization #3

ID #28

Project: Agencies will develop an approved high quality resource, avoidance, and bridging policy that allows bridging issues to be decided at Concurrence Point 3

Project Leader: Bill Gilmore

Team Members: Greg Thorpe, David Franklin, John Hennessy, Charles Bruton, Randy Turner, Bill Goodwin, John Williams, Cathy Brittingham

Start Date: 6/1/01 (depends on high quality resource identification)

End Date: 11/1/01

Duration: 6 months

Dependencies:

- Need High Quality Resources Policy (due 9/1/01)
- Need to educate agency and DOT staff on new policy/process transition – handling ongoing merger and pipeline projects

Project Deliverables:

Miscellaneous Recommendation #1

ID #29

Project: Develop measures of success for environmental protection

Project Leader: Nina Szlosberg

Team Members: Randy Turner, Dave Henderson, Charles Bruton, Scott McLendon, Cathy Brittingham, John Dorney, John Hennessy, Boyd DeVane, Julie Hunkins

Start Date: 11/1/01

End Date: 5/1/02

Duration: 6 months

Dependencies:

Project Deliverables:

Miscellaneous Recommendation #2

ID #30

Project: Invite/encourage resource agencies to attend public hearings and post hearing meetings

Project Leader: Cynthia Van der Wiele

Team Members: Debbie Barbour, Carl Goode, Mike Bell

Start Date: 11/1/02

End Date: On going

Duration: On going

Dependencies:

Project Deliverables:

Resource Assessment #1

ID #31

Project: Analyze current staffing needs and determine how many, if any, additional resources will be needed to implement the advance mitigation and planning needs associated with the Merger 01 Implementation Plan.

Project Leader: Eric Midkiff

Team Members: Charles Bruton, Debbie Barbour, Randy Turner, Cathy Brittingham, John Hennessy, David Cox

Start Date: 11/1/02

End Date: 3/1/02

Duration: 4 months

Dependencies:

- Assess current workload of projects presently assigned to staff
- Determine if current workload assignments will allow providers to initiate Merger 01 process sooner
- If staff resources are available, develop protocols for implementing the Merger 01 process
- If staff is not available, determine if additional resources can be obtained through consultants or if project work loads are more – essential projects can be delayed

Project Deliverables:

- Present plan recommendation for:
- Decreased staffing if needed
- Use of consultants if needed
- Reduction in projects if needed
- Protocols for projects under the new process