STATE OF WASHINGTON
JOINT LEGISLATIVE AUDIT AND REVIEW COMMITTEE (JLARC)

Overview of Environmental Permitting for Transportation Projects

Report 05-4

January 21, 2005

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Joint Legislative Audit and Review Committee
506 16TH AVENUE SE
PO BOX 40910
OLYMPIA, WA 98501-2323
(360) 786-5171
(360) 786-5180 FAX
HTTP://JLARC.LEG.WA.GOV

The Joint Legislative Audit and Review Committee (JLARC) carries out oversight, review, and evaluation of state-funded programs and activities on behalf of the Legislature and the citizens of Washington State. Committee membership is divided equally between the two major political parties. Its statutory authority is established in RCW 44.28.

The Transportation Performance Audit Board (TPAB) conducts performance measure reviews and identifies performance audits to be undertaken for transportation agencies. JLARC staff conduct performance audits on behalf of TPAB. Board members include the majority and minority members of the House and Senate transportation committees, five citizen members with transportation expertise, one at-large member, and the Legislative Auditor in ex-officio capacity. TPAB's statutory authority is established in RCW 44.75.

OVERVIEW OF ENVIRONMENTAL PERMITTING FOR TRANSPORTATION PROJECTS

REPORT 05-4

CONDUCTED FOR THE TRANSPORTATION PERFORMANCE AUDIT BOARD

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REPORT DIGEST

JANUARY 21, 2005

STATE OF WASHINGTON

JOINT LEGISLATIVE AUDIT AND REVIEW COMMITTEE

STUDY TEAM

STEVE LERCH

LEGISLATIVE AUDITOR

CINDI YATES

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OR CONTACT

JOINT LEGISLATIVE AUDIT & REVIEW COMMITTEE
506 16TH AVENUE SE
OLYMPIA, WA 98501-2323
(360) 786-5171
(360) 786-5180 FAX

Study Mandate

The Transportation Performance Audit Board (TPAB) assigned this overview to the Joint Legislative Audit and Review Committee (JLARC). The review emphasizes successful initiatives to increase the speed and reduce the cost associated with the permitting process while maintaining environmental standards.

Study Approach

This review has three major components: 1) a review of the current environmental permitting process and streamlining efforts in Washington State; 2) a review of environmental permit streamlining in other states; and 3) a comparison of Washington's streamlining experiences to successful strategies of other states. Information on streamlining programs was gathered through extensive in-person and telephone interviews in Washington and 24 other states.

Summary of Findings

A cross-state comparison of streamlining activities demonstrates that Washington is a national leader in promoting environmental permit streamlining for transportation projects. Examples of successful efforts to streamline the permitting process in Washington include:

- Northwest Region Multi-Agency Permitting (MAP) Team to improve agency coordination and speed permitting;
- Development of on-line applications for multi-agency aquatic permits;
- Creation of common environmental standards across agencies for many routine maintenance and operations activities, allowing broad multi-year ("programmatic") permits to replace project-specific permits;
- WSDOT liaison program to fund natural resource agency staff dedicated to processing permits for transportation projects; and
- Transportation Permitting Efficiency and Accountability Committee (TPEAC) activities which encourage individual agencies to start additional streamlining initiatives.

Based on their advanced permit streamlining efforts, ten state Departments of Transportation (DOTs) were selected as a focus group for prioritized survey efforts. An additional 14 DOTs also participated in an abbreviated survey concerning their permit streamlining activities. Two common themes emerged from the analysis of management-related success factors and the successful strategies of other states:

- The importance of creating a cultural change to encourage creativity and non-traditional methods of efficiently solving permitting issues; and
- The value of information technology to create efficiencies through integrated databases and geographic information systems.

General Conclusions

The internal review of Washington State's streamlining program evaluated the success of 38 streamlining activities or areas. Although a number of these activities are still under development or are too early in their development to be adequately assessed, several activities were found to perform favorably relative to the assessment criteria of 1) reduced time, 2) reduced costs, 3) improved environmental performance, and 4) stakeholder satisfaction. However, based on the comparison of permit streamlining programs in Washington State and 24 other state DOTs, there are two sets of JLARC recommendations: suggested management recommendations to the streamlining process that could be implemented or investigated without additional TPAB research and options for future TPAB audit/study topics.

Summary of Management Recommendations

Recommendation 1 — **WSDOT should investigate the types of project delivery designs being implemented in Florida and Minnesota.** Analyses of the Florida and Minnesota efforts to revamp how transportation projects are designed should provide valuable insights into streamlining activities to improve project quality and timeliness. WSDOT staff has been in contact with the Florida DOT to obtain information on their process.

Recommendation 2 — **WSDOT and the natural resource agencies should consider standardizing geographic information system (GIS) and other relevant electronic data so that they can be easily exchanged within and across agencies and among external stakeholders.** Enhances efficiency by maximizing use of available information, avoids time and cost associated with data conversion and provides an effective mechanism for communicating complex information with stakeholders. WSDOT has requested funding for a critical systems assessment which could help address this area.

Recommendation 3 — **WSDOT and the natural resource agencies should investigate the use of the best available scientific information as a substitute for project field survey work. Use of the best available scientific data avoids costly and time-consuming field work.** WSDOT, Ecology and the Washington Department of Fish and Wildlife should examine the scientific literature to determine areas in which current research could credibly replace field work.

Recommendation 4 — **WSDOT and the natural resource agencies should define a work plan for environmental regulatory process improvement.**

Options for Future Audit/Study Topics

Audit/Study Topic 1 — Assess the progress and effectiveness of the implementation of the WSDOT environmental management system, including environmental stewardship and sustainability, in its core business processes. Determine the extent to which the WSDOT environmental management system has been incorporated into day-to-day decision-making and project management and its impact on environmental outcomes. Provide recommendations, if necessary, on changes to training, project management, and information systems to better utilize the environmental management system and gain desired environmental outcomes.

Audit/Study Topic 2 — Assess the effect of resource agency employee turnover on the environmental permitting process for transportation projects. This analysis would include strategies for employee retention at resource agencies, as well as the effect of turnover, transfers, and temporary assignments on the efficiency and effectiveness of permit review. The primary objective is to quantify the extent to which employee turnover in Washington State resource agencies results in delayed project permitting or ineffective permit review. If the effects of employee turnover are determined to be important, a review of employee retention strategies in other states' resource agencies will be conducted.

Audit/Study Topic 3 — Identify performance measures such as length of time to complete project permitting, costs of permitting efforts, and costs of mitigation that could be added to the existing WSDOT measures on environmental impact statements and environmental compliance. Expand the existing WSDOT performance measures on environmental outcomes to include permit process measures. The establishment of these measures would enable WSDOT and resource agencies to better identify mechanisms to reduce the time and cost of environmental permitting while maintaining desired environmental standards.

Audit/Study Topic 4 — Analyze the business process flow associated with environmental permitting for transportation projects. This analysis would identify the factors which result in the longest delays and/or highest costs in the permitting process. Once the major delay and cost factors are identified, a follow-up analysis would investigate methods to address these factors (which may include current or proposed streamlining initiatives).

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CHAPTER ONE – STUDY MANDATE

The Legislature established the Transportation Performance Audit Board (TPAB) with the passage of Substitute Senate Bill 5748 during the 2003 Regular Legislative Session. TPAB is authorized to conduct performance measure reviews and performance audits of transportation agencies. The Legislative Transportation Committee (LTC) provides staff support and funding for TPAB reviews and audits. The 2003-05 Biennial Transportation Budget established funding in the LTC appropriation specifically for studies recommended by TPAB.

TPAB members include the majority and minority members of the House and Senate transportation committees, five citizen members with transportation and construction-related expertise, one at-large member, and, in ex-officio capacity, the Legislative Auditor. The citizen members are nominated by professional associations selected by the Legislature. The Governor appoints committee members to terms of up to four years. The at-large member is appointed by the Governor for a four-year term.

The Joint Legislative Audit and Review Committee (JLARC) is the entity authorized under state law to conduct performance audits on behalf of TPAB. The enabling legislation directs TPAB to recommend specific audit topics to LTC for approval and assignment to JLARC.

In June 2004, LTC adopted TPAB's recommended work plan for July 2004 though June 2005. This work plan included the pre-audit review of streamlining environmental permitting for transportation projects addressed in this report. This review focuses on initiatives to increase the speed and reduce the cost associated with the permitting process while maintaining environmental standards, describing streamlining activities in Washington and across the country.

This is a pre-audit review. Its goal is to identify options for future TPAB audits and/or evaluation studies. To the extent practical within the study scope and timelines, the review also identified management recommendations for implementation at WSDOT. A copy of the full scope and objectives for the study is included in Appendix 1 of this report.

CHAPTER TWO – FOCUS AND METHODOLOGY FOR ENVIRONMENTAL PERMIT STREAMLINING REVIEW

Streamlining the environmental permit process is an important piece of the overall state goal of improving the efficiency of the transportation system. Environmental permitting plays a key role in the speed and costs required to complete transportation projects. Figures 1 and 2 provide some background information on the time required for environmental documentation in particular and for the environmental permitting process as a whole. As figure 2 indicates, many transportation projects require four to six months to complete environmental permitting, but some complex projects may need as much as two years to complete the permitting process.

Figure 1 – Distribution of Projects by Avg. Environmental Documentation Completion Time

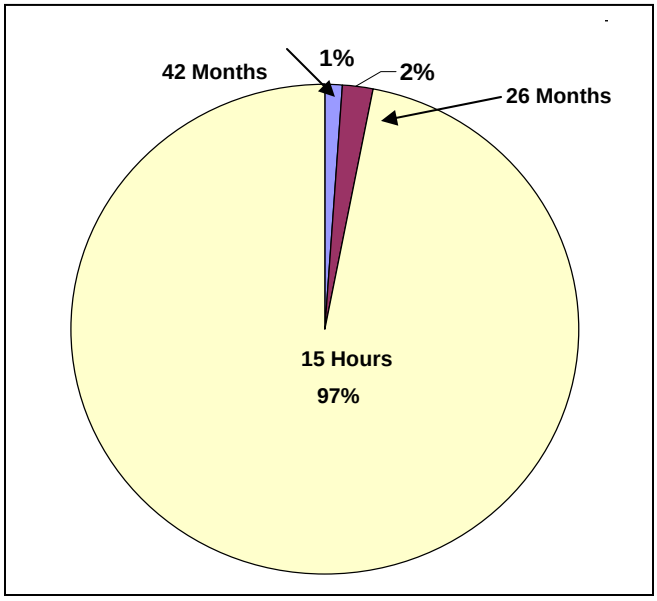
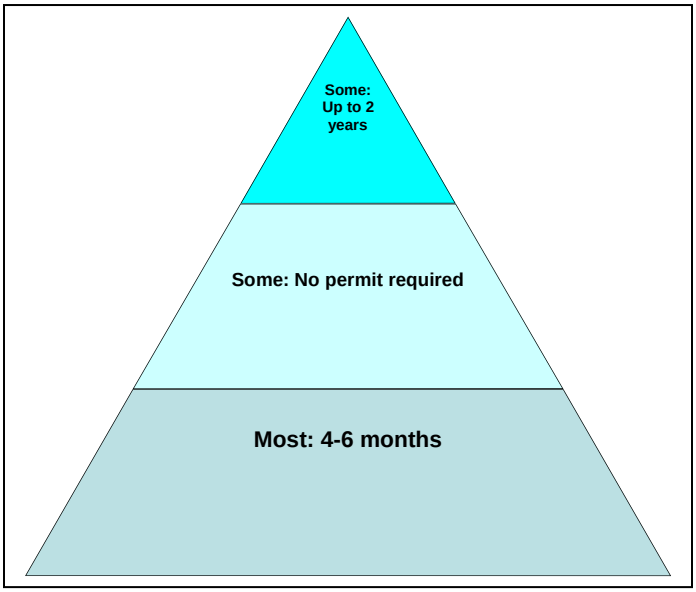


Figure 2 – Time to Complete Environmental Permitting for Transportation Projects



Given the potential impact of permitting on transportation projects, the Transportation Performance Audit Board (TPAB) identified the environmental permitting process as an area where future performance audits may be warranted. TPAB requested JLARC to conduct a pre-audit review to determine which, if any, aspects of the permitting process would be appropriate for a full audit.

JLARC contracted with an environmental services consultant to perform the three major components of this review:

1. A review of the current environmental permitting process and streamlining efforts in Washington state;
2. A review of environmental permit streamlining in other states; and
3. A comparison of Washington's streamlining experiences to successful strategies of other states.

JLARC's consultant used four criteria to assess streamlining activities in Washington and in other states:

1. Reduced program delivery time
2. Reduced program delivery costs
3. Environmental performance
4. Customer/stakeholder satisfaction

The first two criteria reflect project delivery goals. The third criterion, environmental performance, is an indicator of environmental protection and improvement. Any damage to the environmental setting caused by a transportation project should be mitigated and the environment should be improved beyond its pre-construction state, where possible.

The last criterion, customer/stakeholder satisfaction, shows the overall success of the streamlining project in the eyes of the various stakeholders. To assess stakeholder satisfaction, JLARC's consultant integrated the information, perspectives, and observations collected during interviews with stakeholders.

The Washington State review is based on extensive in-person interviews with agency staff involved in the environmental permitting process for transportation projects. The consultant used a formal survey instrument (see Appendix 3) in interviews with staff from the following agencies:

- Washington State
  - Department of Transportation
  - Department of Ecology
  - Department of Fish and Wildlife
- Federal
  - Federal Highway Administration
  - U.S. Fish and Wildlife Service
  - U.S. Environmental Protection Agency
  - National Marine Fisheries Service (or NOAA Fisheries)
  - U.S. Army Corps of Engineers

For the "external review" of other states, the consultant used two components. First, they conducted extensive interviews with transportation agency staff in ten states with active permit streamlining efforts.[1] These interviews used the same survey instrument employed for the Washington State review process (see Appendix 3). Information from these ten "focus" states was supplemented by less formal telephone interviews or written responses from 14 other states.

The consultant then compared the information on permit streamlining successes and challenges for Washington to successful strategies identified from other states. This includes an assessment of management successes and barriers to success for permit streamlining in Washington and elsewhere.

The remainder of the report is organized as follows:

- Chapter 3 provides an overview of recent permit streamlining activities in Washington State;

[1] California, Oregon, Utah, Minnesota, Ohio, Pennsylvania, Texas, Louisiana, North Carolina, and Florida.

- Chapter 4 contains a detailed description of permit streamlining in Washington State;
- Chapter 5 contains a review of permit streamlining initiatives in other states;
- Chapter 6 discusses management-related success factors and potential strategies identified in Washington and other states; and
- Chapter 7 contains conclusions and options for future TPAB audits and evaluations.

CHAPTER THREE – RECENT HISTORY OF PERMIT STREAMLINING INITIATIVES IN WASHINGTON STATE

Streamlining the environmental permitting process for transportation projects has been a subject of interest for a number of years, both nationally and in Washington. Figure 3 provides a brief timeline of key events related to permit streamlining initiatives.

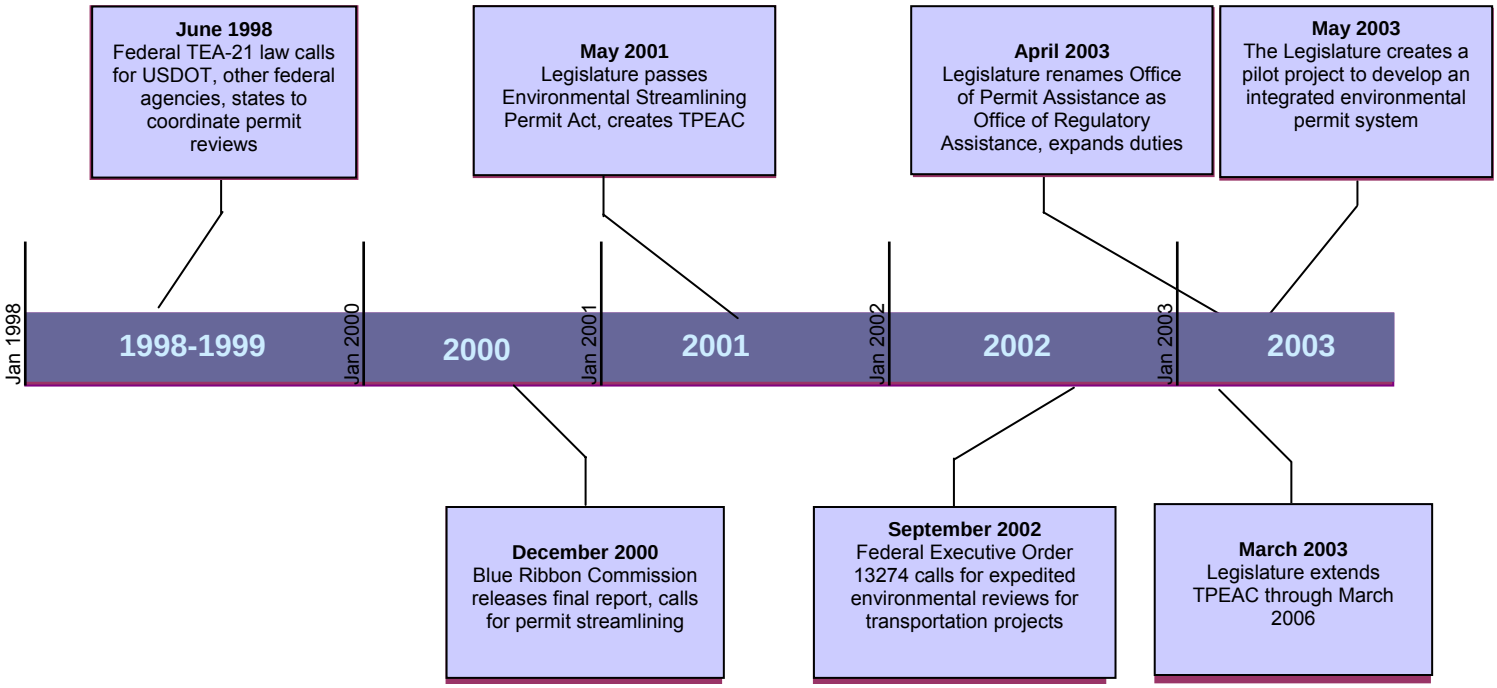
The Washington State review described in Chapter 4 and Appendix 4 contain more detailed information on streamlining projects. However, to set the context for the review of streamlining activities both in Washington and elsewhere (Chapter 5), this section provides a brief history of permit streamlining efforts in Washington State.

Blue Ribbon Commission on Transportation

In response to concerns about the condition of the state's transportation system, the Legislature and the Governor created the Blue Ribbon Commission on Transportation in 1998. The Commission's recommendations (published in 2000) identified a number of changes that would lead to greater efficiencies and accountability in meeting the transportation needs of Washington State.

A key recommendation of the Commission called for changes to make environmental permitting less costly and less time-consuming while still meeting environmental protection standards (see Appendix 6 for more detailed information on Blue Ribbon Commission recommendations).

Figure 3 – Timeline
Recent Environmental Permitting Milestones



Transportation Permit Efficiency and Accountability Committee (TPEAC)

In response to Blue Ribbon Commission recommendations, the 2001 Legislature created the Transportation Permit Efficiency and Accountability Committee (TPEAC) to coordinate and streamline the environmental permitting process.

In its enabling legislation, TPEAC is mandated to "optimize limited resources available for transportation systems improvements and environmental protection" and to undertake a number of tasks based on the recommendations of the Blue Ribbon Commission on Transportation.[2]

TPEAC Membership

The Committee includes members of the state Legislature, and representatives from state agencies, local governments, and business, trade, and environmental organizations. Federal and tribal agencies are also invited to participate.

TPEAC Goals

- ✓ Reduce the cost of environmental mitigation
- ✓ Increase environmental benefits
- ✓ Reduce the redesign of transportation projects
- ✓ Reduce the time required to obtain permits
- ✓ Increase the number of project permits that receive programmatic approval

TPEAC has organized a series of subcommittees to address specific aspects of permit streamlining. These range from a Programmatic Process subcommittee assigned to develop general purpose environmental permits for frequent transportation maintenance and repair projects to a Permit Delivery subcommittee whose goal is to better coordinate permitting activities among state and federal regulatory agencies. The subcommittees have drawn on expertise from state and federal agencies and the private sector. Each subcommittee has developed recommendations on how to meet its specific tasks, and in many cases have implemented those recommendations.

[2] ESB 6188, 2001 First Special Session.

The following is a summary of TPEAC's legislatively mandated outcomes and the corresponding accomplishments:

One-stop permitting:

The legislature required TPEAC to develop a one-stop permit decision-making process using interdisciplinary review of transportation projects of statewide significance to streamline and expedite environmental permitting. A status report was required by December 31, 2003, identifying barriers and opportunities for concurrent public review processes and hearings and a unified appeals process.

Accomplishments:

Due to numerous federal, state, and local permitting requirements, timelines, and review/approval processes, a single one-stop permitting instrument was never developed. The subcommittee created to establish a one-stop process switched its focus to integrated permitting and merged with the Pilot Projects subcommittee to form the Permit Delivery Subcommittee. However, the following activities were accomplished as part of TPEAC One-Stop Subcommittee efforts:

- Two pilot projects using multi-agency interdisciplinary teams (Hood Canal Bridge and SR 24 – see discussion of pilot projects);
- Development of Interdisciplinary Team Guidance; and
- Development of worldwide-web-based Joint Aquatic Resource Permit Application (on-line JARPA).

Pilot projects:

The legislature required TPEAC to conduct one or more projects to implement the collaborative review process set forth in the Growth Management Act that coordinates state and local permits for transportation projects that crosses more than one city or county boundary.

Accomplishments:

TPEAC developed a multi-agency Interdisciplinary Team (IDT) to address environmental permitting on a project-specific basis. TPEAC initiated three pilot projects:

- Hood Canal Bridge
- SR 24 at I-82
- I-405 intersection with SR 167

Environmental permitting for the Hood Canal Bridge project was completed in a timely fashion. The SR 24 project is currently in the permitting and design phase with construction scheduled for 2005. The I-405 project was not funded, so the IDT permitting process did not occur although parts of this project are scheduled as future TPEAC pilot projects. Experiences from the Hood Canal bridge and SR 24 projects led to the development of an interdisciplinary team guidance manual.

Programmatic permits:

The legislation set a goal for 70 percent of WSDOT construction projects or activities to be addressed with programmatic agreements. By June 30, 2004, TPEAC must complete the nine highest priority programmatic agreements and by December 31, 2005 complete a full list of other prioritized programmatic agreements. The TPEAC is also to identify opportunities to integrate local government requirements in those agreements.

Accomplishments:

Programmatic permitting has been completed for most routine maintenance activities. Of the nine maintenance activities identified as highest priority, programmatic permits are in place for the following seven:

- Bridge and ferry terminal structure washing
- Bridge and ferry terminal painting
- Bridge structure repair
- Channel maintenance
- Fish way maintenance
- Culvert maintenance
- Culvert replacement in non-fish bearing streams

Two lower-priority maintenance activities have also received programmatic permits:

- Bridge deck and drain cleaning
- Bridge and ferry terminal deck overlay and replacement

Two high priority activities, bridge scour mitigation and bank stabilization, were determined to have a high environmental impact and to be too varied in nature to receive programmatic permits. Bridge replacement was also determined as unsuitable for a programmatic permit. As an alternative, guideline documents will be created that address these activities. These guidance documents will be used by WSDOT, regulatory agencies, and contractors.

TPEAC efforts to integrate local government requirements on specific projects and initiatives include:

- Development of programmatic nighttime noise variances with the City of Renton – completed
- Institution of the WSDOT Developer Services Manual – ongoing
- Clarification of the application of the Shoreline Management Act to maintenance activities – ongoing
- Provide WSDOT "primer" course to local government staff that require training on large transportation project issues

Watershed based mitigation:

The legislature required TPEAC to develop a detailed work plan by June 30, 2003 including activities and resources needed to complete a mitigation policy by December 31, 2003; develop decision making tools by June 30, 2004; test technical and policy methods by December 31, 2004; and integrate policies and procedures for broader application to projects by June 30, 2005.

Accomplishments:

- Developed watershed characterization projects, including I-405 North Renton project, SR-167 project, and I-405/SR 520 project
- Applied watershed mitigation concepts to stormwater mitigation, including field testing in an urban area with major stormwater mitigation needs
- Developed integrated mitigation guidance to reduce cost, redesign, and permitting time; and increase environmental benefit and programmatic permit approvals. Field tests in the US 12, SR 539, and SR 4 projects

Delegation of federal permit authority:

WSDOT, Ecology and WDFW are to examine opportunities for delegation of federal permitting authority to the state and then report their findings to TPEAC by September 30, 2003. The report is to address federal initiatives, maximizing programmatic approaches, responsibilities of respective agencies, and a work plan and schedule of activities for those reporting agencies. TPEAC is to act on that report and report every six months beginning December 31, 2003, on the status of delegation efforts.

Accomplishments:

The federal government has delegated management and enforcement of most federal environmental regulations, where possible, to the State of Washington. Delegated authorities include:

- Enforcement of Sections 401 and 402 of the Clean Water Act
- Enforcement of the Clean Air Act
- Enforcement of solid waste and hazardous waste rules under the Resource Conservation and Recovery Act (RCRA) and Superfund (CERCLA) Act

Dispute resolution process:

TPEAC is to develop a dispute resolution process to resolve conflicts regarding interpretation of environmental standards and best management practices, mitigation requirements, permit requirements, assigned responsibilities, and other related issues by September 1, 2001.

Accomplishments:

- A dispute resolution process was adopted October 10, 2001

Office of Regulatory Assistance

In 1995, the Legislature established the Permit Assistance Center within the Department of Ecology to help businesses and public agencies comply with the state's environmental quality laws. In 2002, the Legislature created the Office of Permit Assistance as part of the Office of Financial Management and transferred the powers and duties of the Permit Assistance Center to the Office of Permit Assistance.

In the 2003 Legislative Session, the office was renamed the Office of Regulatory Assistance (ORA), and its duties were expanded to include providing information on environmental rules and permitting assistance services to businesses and citizens.[3] Although not strictly related to permit streamlining for transportation projects, ORA and the Department of Ecology are leading the development of an on-line permit application process through a multi-agency effort that includes other local, state and federal regulatory agencies such as the Washington Department of Fish and Wildlife (WDFW), US Army Corps of Engineers, and King County. When this on-line permit application process is fully developed and implemented, it will benefit WSDOT as well as other permit applicants.[4]

Streamlining Initiatives

In addition to the policy-making efforts cited above, WSDOT and regulatory agencies have several initiatives to increase the efficiency of the environmental permitting process for transportation projects. Whether undertaken through the TPEAC process or as part of other agency efforts, permit streamlining is generally intended to address the following question: **How can the state meet or exceed environmental quality standards, while improving the efficiency and timeliness of the permitting process for transportation projects?**

Initiatives to successfully address this question range from on-line permit applications to "reader-friendly" environmental impact statements. The following overview of recent state streamlining

Figure 4 – Three Themes for Streamlining Environmental Permitting

People-oriented Initiatives:

Interagency Teams

Improved Coordination and Communication

Policy-oriented Initiatives:

Watershed Mitigation

Readable Documents

Improved Compliance with Environmental Law and Regulations

Permit Innovations:

Programmatic Permits

WSDOT Liaison Program

On-line Permitting

[3] SHB 1550.

[4] For information on performance measures related to the effectiveness of the Office of Regulatory Assistance, see Joint Legislative Audit and Review Committee, "Briefing Report 04-6: Preliminary Work on Future JLARC Reviews," April 21, 2004.

activities groups the streamlining efforts under one of three themes: 1) people-oriented initiatives; 2) policy-oriented initiatives; and 3) permit innovations.

People-oriented Initiatives

The importance of collaboration, communication, and coordination across agencies was a common theme among individuals interviewed for this review. The streamlining strategies in this area all involve efforts to increase efficiency by creating links between WSDOT and regulatory agency staff.

Examples of people-oriented initiatives include coordination of project schedules across agencies, development of multi-agency teams, and dispute resolution methods. These efforts involve staff from WSDOT and federal, state, and local regulatory agencies.

Policy-oriented Initiatives

Several streamlining initiatives focus on changing existing policies to increase permitting efficiency and timeliness. Policy-oriented initiatives include efforts to provide more flexible approaches to mitigate the environmental impacts of transportation projects, improve environmental compliance training and monitoring, and increase public involvement in the development of transportation projects.

Permit Innovations

WSDOT and regulatory agencies have collaborated on several approaches to improve the efficiency of permit development and review. Examples of permit innovations include:

- The creation of broad, multi-year ("programmatic") permits for many routine maintenance activities that avoid the time and effort to develop individual project permits, and
- The development of on-line permit applications which are easier and faster for people to access and submit.

Streamlining Results

Agencies are developing or implementing many approaches to make permitting faster and easier. Some activities already have produced results. The following are some examples of streamlining successes:

- Estimated WSDOT costs savings from using selected programmatic permits for maintenance projects:[5]
    - Debris removal - $54,000 over five years
    - Drainage maintenance - $105,000 over five years
- About 70 percent of WSDOT regional engineering and environmental staff have received compliance training.[6]
- Reduced processing time for environmental impact statements (EIS):[7]
    - 1990-1995 median processing time = 55 months
    - 1999-2001 median processing time = 42 months

[5] Programmatic Subcommittee presentation, June 30, 2004 TPEAC meeting.
[6] WSDOT *Gray Notebook*, March 31, 2003.
[7] WSDOT *Gray Notebook*, March 31, 2004.

CHAPTER FOUR –REVIEW OF WASHINGTON STATE PERMIT STREAMLINING ACTIVITIES

OVERVIEW

Making permitting easier and faster is a balanced initiative intended to meet both the transportation and environmental goals of Washington.[8] This analysis of permit streamlining activities compiles information on work that has been completed, is underway, or is planned in the immediate future on environmental permitting for transportation projects. The goal of this review is to identify options for future TPAB audit and evaluation studies.

This chapter discusses how JLARC's consultant analyzed streamlining activities for WSDOT projects, while Chapter 5 explains how streamlining in other states was analyzed. Chapter 6 broadly compares the results of these surveys. Appendices 4 and 5 present detailed results of the survey of practices in Washington and other states.

WASHINGTON STATE SURVEY METHODOLOGY

The primary goals of the survey of state environmental permit streamlining included reviewing earlier environmental permitting studies, as well as on-going coordination and streamlining efforts. In general, the Washington survey focused on the numerous efforts that are completed, underway, or planned by state and federal transportation and natural resource agencies.

Specifically, the survey included interviews with transportation, natural resource, and regulatory agency representatives who are involved with streamlining initiatives sponsored through their respective agencies or the Transportation Permit Efficiency and Accountability Committee (TPEAC).

Representatives of the following state and federal agencies were interviewed:[9]

- WSDOT Environmental Services Office;
- WSDOT Northwest Region Multi-Agency Permitting (MAP) Team for Transportation;
- Washington State Ferries (managed by WSDOT);
- Washington State Rail (managed by WSDOT);
- Washington State Department of Ecology (Ecology);
- Washington Department of Fish and Wildlife (WDFW);

[8] Chapters 4, 5, and 6 summarize a report prepared by TechLaw Inc. and their subcontractor Wayne W. Kober Inc. for JLARC.

[9] Attempts were made to schedule an interview with a representative of the U.S. Army Corps of Engineers (COE) – Seattle District. However, no response to the interview request was received during the interview period. As an alternative, the WSDOT liaison to the Seattle District COE was interviewed to obtain some indication of the COE perspective on streamlining efforts.

- USDOT Federal Highway Administration (FHWA);
- U.S. Environmental Protection Agency (EPA);
- U.S. Fish And Wildlife Service (USFW); and
- National Marine Fisheries Service (or NOAA Fisheries).

JLARC's consultant conducted face-to-face interviews, with the exception of four telephone interviews held at the end of the period. Individual and group interviews were conducted at agency offices in Olympia, Lacey, Bellevue, and Seattle. Appendix 3 contains a copy of the survey instrument used for both the internal and external interviews.

The interviews yielded information on streamlining activities, as well as the opinions and perspectives of the individuals who are responsible for developing and implementing permit streamlining initiatives. Interview results were then organized around five general categories of streamlining activities:

1. Proactive Regulatory Affairs Activities
2. Process Re-Engineering
3. Agency Resources
4. Technology
5. Time Management

WASHINGTON STATE SURVEY SUMMARY TABLE

Appendix 4 presents a summary table of the information obtained during the interviews with state and federal agencies involved with streamlining activities. The table identifies the following:

- Streamlining activities, including initiatives and projects;
- Regulatory authorities responsible for each streamlining activity, including their roles and responsibilities where necessary for clarity;
- Project permitting status (although most activities are initiatives, rather than specific to a project);
- Factors leading to the successful development and/or implementation of each streamlining activity; and
- Factors that were overcome to develop and/or implement each streamlining activity.

WASHINGTON STATE SURVEY RESULTS

As stated previously, environmental permit streamlining is a balanced initiative driven by project delivery goals and ongoing protection, or even improvement, of the environment. Therefore, the criteria used to assess successful implementation of streamlining must account for project delivery goals and environmental protection.

Successful Permit Streamlining Initiatives

As outlined previously in this report, the analysis used four criteria to assess streamlining activities:

1. Reduced program delivery time
2. Reduced program delivery costs
3. Environmental performance
4. Customer/stakeholder satisfaction

The survey noted substantial success in the development and/or implementation of the following streamlining activities:

- Northwest Region Multi-Agency Permitting (MAP) Team to improve agency coordination and speed permitting;
- Development of on-line applications for multi-agency aquatic permits;
- Creation of common environmental standards across agencies for many routine maintenance and operations activities, allowing broad multi-year ("programmatic") permits to replace project-specific permits;
- WSDOT liaison program to fund natural resource agency staff dedicated to processing permits for transportation projects;
- Transportation Permitting Efficiency and Accountability Committee (TPEAC) activities which encourage individual agencies to start additional streamlining initiatives;
- Coordination of agency permitting processes to eliminate or minimize conflicting timelines or conditions;
- Interagency cooperative agreements, such as the Four Corners agreement between WSDOT and federal agencies;[10]
- Development of processes to resolve permitting disputes across agencies; and
- WSDOT Environmental Geographic Information System (GIS) Workbench.

Permit Streamlining Areas Requiring Additional Attention

Despite the generally successful efforts to make permitting easier, some areas require additional attention. The following are topics that WSDOT or regulatory agency staff have identified where further improvement is desirable or where more efforts may be needed to build on initial successes.

Workload Forecasting

To align staff and resources with the permitting needs of transportation projects, regulatory agencies need forecasts of WSDOT projects and their timelines. As noted above, WSDOT and state and federal regulatory agencies have several initiatives to improve communication and coordination. However, two aspects of WSDOT's decentralized organization make workload forecasting difficult. First, highway projects are initiated by WSDOT regional offices rather than headquarters. Second, WSDOT needs significant improvement in the information technology infrastructure, which manages data regarding costs, timelines, and other aspects of projects.

[10] "Four Corners" refers to an agreement between WSDOT, the Federal Highway Administration, U.S. Fish and Wildlife Service, and National Marine Fisheries Services that creates a process for dispute resolution, information sharing and communication.

For example, WSDOT faced challenges in workload forecasting to track workloads associated with the Endangered Species Act (ESA). Initiated as part of the "Four Corners" process involving WSDOT and federal regulatory agencies, the "ESA matrix" provides a schedule of consultations needed on a project-by-project basis.

Because it is considered to be successful in forecasting ESA workloads, the matrix would appear to be a model that could be adopted for other workload forecasting efforts. However, the very labor-intensive effort needed to create and maintain the ESA matrix suggests that this approach cannot easily be replicated for other forecasting efforts. Improvements in workload forecasting are expected to require new investments in information technology. It should be noted that WSDOT is currently expanding its Project Delivery Information System scheduling software to include resource scheduling for environmental staff, which may address some of these issues.

WSDOT Liaison Program

The 22 positions within regulatory agencies funded by WSDOT have been successful in speeding up the permit process. However, policy and budget issues related to the liaison program remain. For example, vacancies in liaison positions are common and staff turnover is disruptive to the streamlining process. There is also a general concern that liaisons may accept positions in their host organization (such as federal resource/regulatory agencies). This is due, in large part, to a discrepancy in pay scales between state agencies, as well as between state and federal agencies.

Regulatory agencies see the program as a way to provide faster service to WSDOT in the face of tight budgets and they generally support more liaison positions. With liaison staff dedicated to WSDOT, transportation projects are removed from the permit application "waiting line." WSDOT sees the benefit of the liaison program, but must balance requests for additional positions against other needs within WSDOT. A recently hired program manager and the development of performance measures are expected to help WSDOT better weigh the costs and benefits of liaison positions.

Highway Runoff

Currently, WSDOT's 2004 Highway Runoff Manual has only conditional approval from Ecology. Further efficiencies in project delivery will be achieved once the manual is fully approved and implemented. The development of WSDOT's statewide municipal stormwater permit (Clean Water Act National Pollution Discharge Elimination System Permit, anticipated in July 2005) will assist in the resolution of outstanding issues.

Talent Ruling

A recent court decision (the "Talent ruling") calls for the Army Corps of Engineers (COE) to regulate many roadside ditches that were not previously included in the permitting process. At this time, 71 highway projects (including 24 projects covered by the "Nickel" funding package) are at risk of experiencing permit-decision delays related to new COE information requirements for roadside ditches. WSDOT has proposed some solutions to implementing the Talent ruling that will minimize permitting delays.

Impacts of Inconsistent Funding

Historically, the focus of transportation funding has shifted as Legislative priorities and budgetary resources changed. This history, combined with recent state budget problems and the largely unfunded federal mandate of Executive Order 13274 to perform environmental permit streamlining, has led to delayed or reduced funding for streamlining initiatives and projects. Inconsistent funding

in the transportation planning, design, and construction process was the most significant barrier to successful streamlining. Examples include the following:

- **Failure to fund proposed initiatives.** Two of the three TPEAC pilot projects were directly impacted by funding problems. One of these pilot projects was delayed, while the other pilot was not funded; only one of the three original pilot interdisciplinary team permitting projects was actually completed.
- **"Interrupted" funding.** The wetlands banking program (RCW Chapter 90.84) is supported by WSDOT, resource agencies, and industry. However, legislative funding for this mitigation effort has been inconsistent during the past six years (due to state budget shortfalls). Although Ecology received funding to hire a wetlands banking specialist during the past summer, this position will expire in June 2005 unless funding continues in the 2005-2007 budget.
- **Start-and-stop funding** has also led to the "shelving" of transportation projects and their associated environmental documents. When projects receive funding at a later date and are restarted, environmental changes that have occurred over time may result in outdated impact analyses and mitigation plans. This leads to permitting delays and conflicts as environmental impacts are reexamined and new mitigation measures are needed. Also, due to the extended time from the beginning of project planning to construction funding, there may be a turnover in staff at both transportation and resource agencies, which results in a loss of institutional knowledge that delays project progress.
- **Low salaries create employee turnover.** Several interviewees stated that employee turnover within the state resource agencies is an indirect result of funding priorities. Staff members from state resource agencies have reportedly left for positions with transportation agencies and federal resource agencies, where the salary scales are higher for similar positions. Turnover is also reportedly impacted by job satisfaction, stress, and budget cuts.
- **Inadequate funding for mitigation** has led to permitting conflicts and delays.

Signatory Agency Committee

The Signatory Agency Committee (SAC) integrates aquatic resource permit requirements (Clean Water Act Section 404) with those of the federal National Environmental Policy Act (NEPA) and Washington State Environmental Policy Act (SEPA). Some reviewers are concerned that the NEPA aspect was narrowed to address only environmental impact statements (EISs), rather than all NEPA requirements. Also, the SAC Agreement has three points at which state and federal agencies must concur on project development. However, some NEPA reviewers indicated that their involvement prior to the triggering of NEPA (by federal funding or actions) may be helpful to avoid project redesign issues.

Design-Build Initiative

The Design-Build Initiative for highway projects requires early coordination with resource agencies in order to communicate the scope of a specific design-build project, as well as its environmental impacts and proposed mitigation alternatives. Design-Build projects pose permitting challenges because impacts and mitigation measures are identified over time rather than as a completed proposal. Resource agencies, however, continue to prefer to review a complete design in a permit application or a consultation package.

Reader-Friendly Documents

Both WSDOT and FHWA are promoting Reader-Friendly Documents, an effort to prepare better, shorter, and more readily understood environmental assessments and environmental impact statements (EISs). Several natural resource agency reviewers noted that although model EIS documents are reader-friendly to the layperson and do provide required technical information, they preferred the former EIS format, which included supporting technical information in the text and in appendices that facilitated review of the project alternatives and their environmental impacts. WSDOT recognizes the needs of the reviewers and is working on resolution of this issue.

Permit Streamlining Performance Measures

To understand the effectiveness of a streamlining activity, it is necessary to measure the activity's impact on the permitting process. Unfortunately, this measurement effort is hampered by a lack of information on the length of time and amount of effort required for permit approvals and environmental mitigation. The on-line Joint Aquatic Resource Permit Application (JARPA) is in the process of developing benchmarks to inform applicants of the typical time needed to complete permits. WSDOT has also studied the cost of environmental mitigation on selected transportation projects.[11] However, additional efforts along these lines will be necessary to measure the impact of streamlining initiatives.

SUMMARY OF RESULTS

Figure 5 on the following pages provides a summary of state streamlining activities and compares them to the four criteria of 1) time reduction, 2) cost reduction, 3) environmental performance, and 4) stakeholder satisfaction. In general, many of the streamlining activities are still under development or are too early in their implementation to fully assess the type or degree of their success. Where possible, however, Figure 5 on the following pages identifies specific initiatives that are already showing signs of significant success.

[11] See http://www.wsdot.wa.gov/projects/mitigation/

Figure 5 – Assessment of Streamlining Success[12]

Streamlining Activity	Reduced Time	Reduced Cost	Environmental Performance	Stakeholder Satisfaction	Comment
People-oriented Initiatives					
MAP Team is a co-located team of WSDOT and resource agency personnel working cooperatively to review permit applications and process permits for WSDOT transportation projects.	+	+	+	+	Very successful streamlining activity. Expansion of MAP Team program should be considered.
Workload of the Northwest Region MAP Team is set by priorities and tracked by a WSDOT manager/facilitator.	+	+	+	+	Manager is on temporary assignment to the MAP Team. Successor should be carefully chosen for facilitation and relationship-building skills.
Pilot Project: Hood Canal Bridge with Port Angeles Graving Facility.	+	*	+	+	Complex permitting process completed on time.
Pilot Project: I-405 Intersection with Highway 167.	–	–	–	–	No progress due to funding delays.
Pilot Project: SR 24 at I-82 to Keys Road.	–	–	–	–	Delayed progress due to funding impacts.
WSDOT/Ecology: Water Quality Implementing Agreement enhances coordination regarding compliance with water quality regulations.	*	*	+	+	Addresses Clean Water Act, including National Pollutant Discharge Elimination System.
Four Corners Process provides a multi-agency process for conflict resolution, which evolved into a multi-layered management process.	+	*	+	+	"Four Corners-Next Steps" agreement allows WSDOT to coordinate directly with USFW and NOAA Fisheries.
WSDOT/WDFW: Memorandum of Agreement enhances coordination of State Hydraulic Code Rules.	*	*	+	+	Addresses coordination regarding compliance for hydraulic projects.
Signatory Agency Committee integrates aquatic resource permit requirements (Clean Water Act, Section 404) with NEPA and SEPA requirements.	+	*	*	±	Promotes early decisions. NEPA reviewers want the Committee to consider all NEPA documents, not just EIS. The SAC Agreement has three concurrence points associated with NEPA; however, some NEPA reviewers indicated that their involvement prior to the triggering of NEPA (by federal funding or actions) may be helpful to avoid redesign issues.
FHWA/Federal Transit Administration: "Linking Planning and NEPA" workshop.	NA	NA	NA	NA	There are trained non-federal planners in NEPA concepts. However, there is no NEPA connection to local land-use planning, which will require a federally legislated solution.
WSDOT/COE/Ecology coordination meetings regarding CWA compliance for proposed and current projects.	*	*	+	+	Interagency communication.
WSDOT/FHWA/USFW/NOAA Fisheries hold pre-biological assessment meetings for agency feedback regarding project impacts to listed species.	+	*	+	+	Interagency communication.
WSDOT and Ecology hold monthly coordination meetings regarding projects and policy issues.	*	*	+	+	Interagency communication.

[12] + Successful implementation is ongoing or completed.
– Delayed or incomplete implementation.
± Successful implementation is ongoing or completed, but further improvements or efforts needed.
* Under development or too soon to assess.
NA Activity was found to be Not Applicable to streamlining of Washington transportation projects.

Figure 5 – Assessment of Streamlining Success[12]

Streamlining Activity	Reduced Time	Reduced Cost	Environmental Performance	Stakeholder Satisfaction	Comment
WSDOT and Ecology hold monthly stormwater meetings to coordinate and define the transportation stormwater/runoff management program.	*	*	+	+	Interagency communication.
Annual Tribal Conference to identify, discuss, and resolve mutual concerns regarding transportation.	*	*	+	+	Interagency communication.
WSDOT/COE Memorandum of Under-standing (MOU) to address regulatory overlap with the three COE districts making decisions in Washington.	*	*	*	+	Interagency communication.
Policy-oriented Initiatives					
Develop a watershed approach to environmental mitigation.	*	*	+	+	Project-specific success. Initiative development is ongoing. Likely to have positive affects on all success criteria.
Develop models and strategies to maximize the impact of funds on environmental issues and mitigation, on a watershed-wide basis.	*	*	+	*	Project-specific success. Initiative development and field-testing continue.
Develop consistent methodology for submittal and evaluation of completed plans that impact environmental resources, as well as proposed mitigation measures.	*	*	+	*	Integrated mitigation guidance continues under development and field-testing.
WSDOT Environmental Geographic Information System (GIS) Workbench provides a consistent database for natural resource and infrastructure information.	+	+	+	+	Ongoing updates, including new data layers and ortho-photos. WSDOT has data usage agreements with Washington Depts. of Fish and Wildlife and Natural Resources.
Salmon and Steelhead Habitat Inventory and Assessment Program is an interactive GIS database.	+	*	+	*	Best available database for aquatic resource information, but populating the data system is dependent on funding.
Design-Build Initiative requires significant early coordination with resource agencies to present sufficient background for permit and consultation approvals.	+	*	*	*	Ongoing development. Agencies prefer to review design in a permit application or consultation package.
WSDOT *Environmental Compliance Assurance Procedure for Construction Projects and Activities.*	*	*	+	+	Ongoing implementation. Joint effort with resource agencies to increase environmental aware-ness and reduce violations.
TPEAC-funded environmental training program is a component of the WSDOT environmental management system.	*	*	+	+	TPEAC has identified 5 training gaps to be filled and has funded 2,000+ staff trainings.
Environmental performance measurements are presented quarterly in WSDOT's *Measures, Markers and Mileposts*, also called the "Gray Notebook."[13]	*	*	+	*	Topics in Gray Notebook are not always assessed as metrics. A formal metrics baseline should be established for assessment at a regular frequency.
Develop and prioritize streamlining opportunities.	+	+	+	+	Ongoing process. This activity appears to drive the development of streamlining projects.
WSDOT and FHWA initiatives to prepare reader-friendly documents.	*	*	*	±	Mixed stakeholder satisfaction: reader-friendly to the layperson, but agency reviewers preferred the former EIS format.

[13] The "Gray Notebook" is WSDOT's quarterly performance measure report and is available at http://www.wsdot.wa.gov/accountability/.

Figure 5 – Assessment of Streamlining Success[12]

Streamlining Activity	Reduced Time	Reduced Cost	Environmental Performance	Stakeholder Satisfaction	Comment
WSDOT *Highway Runoff Manual.*	*	*	±	±	Provides consistent runoff management on transportation projects, but it cannot be fully implemented until it is deemed equivalent to Ecology's current Stormwater Management Manuals.
Seek federal delegation of permitting authorities for streamlining benefits.	NA	NA	NA	NA	Federal government has already delegated management and enforcement of applicable federal environmental regulations.
Wetlands banking program.	*	*	*	*	Consistent commitment to program has not been demonstrated. Delayed progress since early 2001 due to funding impacts. Specialist hired in July 2004, but funding expires in June 2005. Ecology has requested continued funding. WSDOT has moved forward on wetland banking since the early 1990s and obtained legislation to develop a revolving fund to finance advanced mitigation projects. WSDOT is providing funding for three wetland banks.
Permit Innovations					
On-line Joint Aquatic Resource Permit Application (JARPA) provides a cross-cutting permit application for a variety of natural resource permits, including hydraulic project approvals (HPAs), which require multi-agency review and permitting approval.	+	+	+	+	On-line JARPA likely to increase efficiency of permit processing even further and have positive impacts on all success criteria.
Programmatic Permits with Ecology and WDFW.	+	+	+	+	Highest priority permits issued; significant savings in time and costs for maintenance activities.
WSDOT and resource agencies: additional programmatic permits.	+	+	+	+	Saves both staff time and project funding and reduces liability risks.
Notice to local government regarding transportation projects.	*	*	*	*	Insufficient survey time to assess success.
Consolidated local permit process.	*	*	*	*	Limited implementation; development is ongoing.
Hydraulic project approval program requires approval/denial of permit within 45 days of WDFW receipt of a complete JARPA.	+	+	+	+	Project-specific success due to statutory requirement.
WSDOT liaison program provides 22 dedicated staff to the resource agencies, including the MAP Team.	+	+	+	+	Very successful streamlining activity. The development of performance measures is expected to help WSDOT better weigh the costs and benefits of liaison positions.

CHAPTER FIVE – REVIEW OF PERMIT STREAMLINING ACTIVITIES IN OTHER STATES

OVERVIEW

To review permit streamlining activities outside of Washington, ten state DOTs were selected as a focus group for intensive survey efforts. JLARC's consultant also contacted the remaining 39 state DOTs and solicited their participation in the survey. However, only about one-third of those agencies chose to do so.

This chapter discusses the methodology employed during the survey of streamlining activities in other states. The results of the interviews conducted during the surveys are presented in summary tables in Appendix 5.

SURVEY METHODOLOGY

The survey reviewed environmental permit streamlining activities developed and/or implemented by state DOTs across the nation. To prioritize efforts, ten state DOTs were proposed as a focus group for an in-depth survey. The consultant selected these states on the basis of their recognition within the DOT community as having strongly responded to the federal government's call for environmental streamlining.[14]

Figure 6 on the following page lists the focus group state DOTs and the reason(s) each was selected for the focus group. After completion of the focus group interviews, the survey team contacted the remaining 39 state DOTs to solicit their participation in a shortened version of the survey. Fourteen state DOTs provided information for the shortened survey.

The survey was comprised of interviews with state DOT representatives who are involved with streamlining initiatives. The survey sought to capture each state's streamlining approaches:

- Regulatory authorities, roles, and responsibilities where appropriate;
- Current status of permitting in regard to the projects; and
- Observations on the accomplishments and barriers for the projects relative to their respective objectives.

Due to time constraints, the interviews of focus group states were less extensive than in Washington. Therefore, it is possible that further discussions with officials in other bureaus or departments could have revealed additional initiatives or valuable details of implementation.

[14] JLARC and WSDOT staff also reviewed the proposed list of focus group states and approved their inclusion in the priority contact group.

Figure 6 – Selection of Focus Group State DOTs

State Department of Transportation	Selection Rationale
California	California has re-engineered its NEPA permitting program, developed a programmatic agreement to delegate FHWA's Section 106 authority of the National Historic Preservation Act to the state transportation agency, Caltrans, and instituted other innovations.
Florida	Florida DOT has active streamlining activities, including the Efficient Transportation Decision Making (ETDM) Process.
Louisiana	LDOT has demonstrated significant streamlining success with NEPA and wetlands assessment.
Minnesota	In 2000-2001, MNDOT developed 35 streamlining initiatives and spent $10 million to re-engineer the DOT.
North Carolina	NCDOT has significant streamlining activities associated with NEPA and CWA Section 404 for wetlands, including a goal of banking 50,000 acres of wetlands.
Ohio	ODOT has had great success in streamlining the NEPA permitting process, since 99% of its projects are processed as categorical exclusions.
Oregon	ODOT has developed a successful streamlining program (OTIA III) for the repair and/or replacement of approximately 400 bridges over the next 8 years.
Pennsylvania	PENNDOT has a long-established program of streamlining activities and innovative management programs.
Texas	TX DOT is using a comprehensive development agreement as a streamlining tool.
Utah	UDOT has been successful with design-build construction.

The focus group interviews were conducted with the same survey instrument used for the review of permit streamlining in Washington. The interviews were organized around the same five general categories of streamlining activities:

1. Proactive Regulatory Affairs Activities
2. Process Re-engineering
3. Agency Resources
4. Technology
5. Time Management

Interviews with the 14 non-focus group state DOTs used an abbreviated survey instrument, but also were organized around the same categories of activities used for Washington and focus group state interviews.

SURVEY SUMMARY TABLES

Appendix 5 contains a separate summary table that presents the information obtained during each of the state DOT interviews. The summary tables for the ten focus group states provide more detailed information than for the 14 DOTs that participated in the briefer survey. Each of these 24 summary tables identifies the following:

- Streamlining activities, including initiatives and projects;
- Regulatory authorities responsible for each streamlining activity, including their roles and responsibilities where necessary for clarity;
- Project permitting status (although most activities are initiatives, rather than project-specific);
- Factors leading to the successful development and/or implementation of each streamlining activity; and
- Factors that agencies overcame to develop and/or implement each streamlining activity.

EXTERNAL SURVEY RESULTS

The results obtained during the interviews of state DOT representatives were dependent not only on the level of streamlining performed by a specific state DOT, but also the degree to which the representatives prepared for the interview. The most informative interviews were held with state DOT representatives who provided applicable documentation of streamlining initiatives and efforts. In some cases, state DOTs arranged for a group interview to provide the appropriate expertise for the survey.

In general, many state DOTs have streamlining programs that are still under development or are too early in their implementation to fully assess the type or degree of their success. This report spotlights the significant "in process" or realized successes with specific types of initiatives, including the development and implementation of the following streamlining activities:

- Governmental affairs office in the state DOT to track federal and state legislation;
- Interagency agreements between transportation agencies and resource agencies;
- Programmatic permits with resource agencies;
- Funding resource agency positions to streamline program delivery;
- Brief, concise, and legally sufficient EIS documents;
- Multi-agency planning and permitting teams for interagency coordination; and
- GIS- and technology-based solutions to information management for project planning and environmental documentation.

CHAPTER SIX – COMPARISON OF PERMIT STREAMLINING IN WASHINGTON AND OTHER STATES

OVERVIEW

Chapter 6 reviews the results of the surveys of environmental permit streamlining discussed in Chapters 4 and 5. In particular, this chapter reviews the findings with an eye toward future assessments and will address the following tasks:

- Summarize management-related factors for successful streamlining; and
- Provide observations on potential strategies identified from other states' streamlining activities.

A cross-state comparison of streamlining activities demonstrates that *Washington is a national leader in promoting environmental permit streamlining for transportation projects*. Figures 7 and 8 on pages 30 and 31 provide a summary of streamlining activities in Washington and the other 24 states reviewed. As these figures indicate, Washington compares favorably with other states, including those focus group states that have advanced streamlining programs.

Management-related success factors

One goal of this study is to identify the common themes associated with successful efforts to make environmental permitting faster and less costly in Washington and other state DOTs. By and large, the state DOTs that were compelled to action did so because some event triggered a sense of urgency regarding environmental permitting for transportation projects. For some of these state DOTs, a federal legislative or executive act served as the trigger point, such as:

- Section 1309 of the Transportation Equity Act for the 21st Century (TEA-21), enacted in June 1998. It called for USDOT and federal regulatory agencies to coordinate the environmental review process for transportation projects.
- (Federal) Executive Order 13274, issued in September 2002, to enhance environmental stewardship and streamline the decision-making process associated with major transportation projects.

In Washington State, the Legislature's general concerns about the efficiency of the state's transportation system led to the creation of the Blue Ribbon Commission on Transportation. The Commission's December 2000 recommendations (see Appendix 6) included proposals to streamline the environmental permitting process for transportation projects. In turn, these recommendations led to the passage of the Environmental Streamlining Permit Act (ESB 6188) and the establishment of the Transportation Permit Efficiency and Accountability Committee (TPEAC) in May 2001.

The manner in which state agencies address permit streamlining determines the viability of the strategies. In states where streamlining received strong support from the executive and legislative branches, DOTs generally developed a compelling case for action. They viewed

streamlining as an opportunity to meld environmental stewardship with transportation program delivery.

Redesigning business processes to enhance efficiency

For some states, such as Minnesota and Florida, re-organization and redesigning business processes removed obstacles to greater efficiency. Other states, including Pennsylvania, report that implementing a comprehensive environmental management system helped simplify permitting programs. Such systems create an organizational culture shift that is based on environmental stewardship and sustainability. In all cases, communication, coordination, and cooperation among state DOTs and natural resource agencies were critical in achieving a sustainable strategy for streamlining the environmental permitting programs that affect transportation projects. Successful streamlining programs create a cultural change, empowering people and agencies with opportunities for creativity. They also encourage the development of non-traditional ideas that create new efficiencies, unachievable through the old culture.

The WSDOT Northwest Region Multi-Agency Permitting (MAP) Team serves as a good example of a new process that has increased the efficiency of the permitting process. The MAP Team is successful because the members work side by side in the same office, which allows ongoing communication, rather than communication limited to meetings and through letters, as under the traditional resource agency organization. The Team is empowered to establish its own priorities, to set its own schedule, and to consult with WSDOT on solutions for permitting issues, rather than simply sending correspondence from one agency to another. As a result of the pilot MAP Team's successes, additional MAP Teams may be established in Washington, not only for transportation permitting, but for other non-transportation activities as well.

While the WSDOT MAP Team works in parallel with the traditional permitting process, the Florida DOT has overhauled the manner in which it works with resource agencies. Florida DOT implemented a statewide Efficient Transportation Decision Making Process. It completely redesigned the agency's way of doing business, from project development through planning and design. Decision-making teams provide information early in the development process. Each team consists of about 50 people from more than 20 agencies. Florida DOT also has taken advantage of advances in information technology to support and facilitate the ETDM Process.

Using information technology to streamline permitting

Many state DOTs have used information technology to gain efficiencies, even during recent periods when many states faced budget challenges. Computer technology is being used to efficiently manage resource data in integrated databases and geographic information systems, which has led to reductions in field work through the use of data previously collected for other projects. In addition, many state DOTs have negotiated programmatic permitting activities that are largely supported by information technology.

NATIONWIDE STATUS OF STREAMLINING

Redesigning complex permitting systems does not happen all at once. Short-term, visible improvements create credibility for further advances. These short-term successes also create an atmosphere where long-term implementation efforts are supported and accelerated toward completion. The Washington and national surveys do not indicate that any state DOT has completed the development and implementation of streamlining efforts. All state DOTs are at various stages of streamlining permitting.

SUCCESSFUL STRATEGIES FROM OTHER STATES

As the Washington State review in Chapter 4 indicates, Washington State has an extensive streamlining program with a number of acknowledged successes. However, the review of other state DOTs has also identified numerous successful streamlining activities that could complement Washington's current initiatives. Washington should consider the feasibility of implementing the following management-related streamlining efforts:

- Use best-available scientific information without project field survey work;
- Standardize data from geographic information systems and other relevant electronic sources so that they can be easily exchanged within and across agencies and among stakeholders;
- Secure consistent legislative commitment to streamlining initiatives within natural resource agencies, including funding of positions and required resources;
- Make preliminary environmental assessments prior to project development;
- Create quality-improvement teams to identify efficiencies and improvements in environmental documentation;
- Redesign project-delivery processes, as has Florida's Efficient Transportation Decision Making (ETDM) Program and Minnesota's Project Delivery Streamlining Program;
- Assess project risks continuously in terms of cost, scope, and schedule;[15]
- Purchase right-of-way for environmental mitigation well in advance of need (as does Texas), reducing additional costs associated with future acquisition and schedule interruptions they create; and
- Provide internships at FHWA headquarters for state DOT staff to improve state-federal coordination and provide state input to federal policymakers.

Summary Comparison of Streamlining Efforts

Figures 7 and 8 summarize streamlining programs, by broad category, in Washington and 24 other states. As noted previously, Washington is engaged in numerous activities to make permitting easier and faster and compares favorably to streamlining efforts in other states.

[15] WSDOT uses the "Managing Project Delivery" approach to project management which includes risk assessment. WSDOT's Project Delivery Information System software used for project scheduling and management does not include any capabilities to schedule environmental staff although that functionality will be added during the current phase of development.

Figure 7 – Actions in Each Streamlining Category for Washington and 10 Focus Group States

Streamlining Category and Specific Activities	States										
	WA	CA	FL	LA	MN	NC	OH	OR	PA	TX	UT
Proactive Regulatory Affairs											
Formal											
Federal Liaison	X		X		X				X		X
State Liaison	X	X	X		X			X	X	X	X
Established Coordination Processes	X	X	X						X		X
Assigned Responsibilities	X		X			X			X		X
Informal											
Occasional Review/Coordination	X						X				X
Individuals Review on Own Initiative							X				
Process Redesign											
Agreements	X	X	X	X	X	X	X	X		X	
Permits	X	X			X	X		X		X	
DOT - Revised Processes/Procedures/Tools	X	X	X	X	X	X	X	X	X	X	X
DOT - Revised Assignments/Responsibilities	X	X	X		X	X	X	X	X	X	
Other Agencies - Revised Processes/Procedures/Tools	X		X								X
Other Agencies - Revised Assignments/Responsibilities	X		X								
Agency Resources											
Funded Personnel (State Agencies)	X	X			X	X	X				
Funded Personnel (Federal Agencies)	X	X				X	X			X	
Assigned Responsibilities (Teams, Units, etc.)	X	X	X			X		X		X	
Agreements (e.g., Outlining Responsibilities)	X	X	X			X		X		X	
Technology											
Integrated Platform/System (various programs & agencies)			X	X							X
Separate Systems (e.g., GIS, species, schedule)	X	X		X	X	X	X	X	X	X	X
Platform/System for Select Projects										X	
Time Management											
Processes, Procedures, Tools	X	X	X	X	X	X	X	X	X	X	X
Directives						X					

Figure 8 – Actions in Each Streamlining Category for Washington and 14 Additional States

Streamlining Category and Specific Activities	States														
	WA	AK	IL	IN	IO	ME	MS	MO	NV	NH	OK	SC	TN	VA	WI
Proactive Regulatory Affairs															
Formal															
Federal Liaison	X													X	
State Liaison	X							X						X	
Established Coordination Processes	X				X			X					X		
Assigned Responsibilities	X				X								X		
Informal															
Occasional Review/Coordination	X				X		X		X	X					X
Individuals Review on Own Initiative															
Process Redesign															
Agreements	X	X	X	X	X	X	X	X			X			X	X
Permits	X		X	X	X	X									
DOT - Revised Processes/Procedures/Tools	X	X	X	X		X	X	X		X			X	X	
DOT - Revised Assignments/Responsibilities	X			X				X		X			X	X	
Other Agencies - Revised Processes/Procedures/Tools	X														
Other Agencies - Revised Assignments/Responsibilities	X	X	X				X				X		X		
Agency Resources															
Funded Personnel (State Agencies)	X		X										X		
Funded Personnel (Federal Agencies)	X	X	X				X				X				
Assigned Responsibilities (Teams, Units, etc.)	X														
Agreements (e.g., Outlining Responsibilities)	X	X		X	X			X							
Technology															
Integrated Platform/System (various programs & agencies)															
Separate Systems (e.g., GIS, species, schedule)	X					X	X	X		X			X	X	
Platform/System for Select Projects															
Time Management															
Processes, Procedures, Tools	X	X	X			X	X	X		X		X	X	X	
Directives															

CHAPTER SEVEN – CONCLUSIONS AND RECOMMENDATIONS

CONCLUSIONS

Washington is a national leader in promoting environmental permit streamlining for transportation projects and compares favorably with other states that have advanced streamlining programs. The review of Washington's streamlining program evaluated the success of 38 streamlining activities or areas. Although a number of these activities are still under development or too early in their development to be adequately assessed, several activities were found to perform favorably relative to the assessment criteria of 1) reduced time, 2) reduced costs, 3) improved environmental performance, and 4) improved stakeholder satisfaction.

Using the same four assessment criteria, interviews with DOTs in 24 other states also identified a number of promising streamlining initiatives. Two common themes emerged from the analysis of management-related success factors and the successful strategies of other states.

First, the report identifies the importance of creating a cultural change that encourages creativity and non-traditional methods to speed up permitting. Second, information technology can create efficiencies through integrated databases and geographic information systems.

Based on the review of permit streamlining programs in Washington and 24 other state DOTs, there are two sets of JLARC recommendations:

1) Changes to the streamlining process that could be implemented or investigated without additional TPAB research, and

2) Options for future TPAB audit/study topics.

MANAGEMENT RECOMMENDATIONS

Recommendation 1

The Washington State Department of Transportation (WSDOT), the Department of Ecology, and the Department of Fish and Wildlife should consider the feasibility of implementing the following management-related streamlining efforts:

A - Streamlining Effort 1

WSDOT should investigate the types of redesigned project delivery designs being implemented in Florida and Minnesota (note: WSDOT staff has been in contact with the Florida DOT to obtain information on the Efficient Transportation Decision Making Process);

Legislation Required:	**None.**
Fiscal Impact:	**JLARC assumes this investigation could be done within existing resources. WSDOT is already in contact with the Florida DOT on their Efficient Transportation Decision Making Process**

Completion Date: **January 2006**

Benefit: **Analyses of the Florida and Minnesota redesign efforts should provide valuable insights into streamlining efforts that have improved project quality and timeliness.**

B - Streamlining Effort 2

WSDOT and the natural resource agencies should consider standardizing geographic information system (GIS) and other relevant electronic data so that they can be easily exchanged within and across agencies and among external stakeholders;

Legislation Required: **None.**

Fiscal Impact: **May require replacement of some software in WSDOT, Ecology, and/or WDFW. WSDOT has requested funding for a critical systems assessment which could help to address this issue.**

Completion Date: **To be determined**

Benefit: **Enhances efficiency by maximizing use of available information; avoids time and cost associated with data conversion; and provides an effective mechanism for communicating complex information with stakeholders.**

C - Streamlining Effort 3

WSDOT and the natural resource agencies should investigate the use of the best available scientific information as a substitute for project field survey work;

Legislation Required: **None.**

Fiscal Impact: **JLARC assumes this investigation could be done within existing resources.**

Completion Date: **January 2006**

Benefit: **Use of the best available scientific data avoids costly and time-consuming field work. WSDOT, Ecology and the Washington Department of Fish and Wildlife should examine the scientific literature to determine areas in which current research could credibly replace field work.**

D - Streamlining Effort 4

WSDOT and the natural resource agencies should define a work plan for environmental regulatory process improvement;

Legislation Required: **None.**

Fiscal Impact: **JLARC assumes this work plan could be developed within resources.**

Completion Date: **April 2006**

Benefit:	**Improve WSDOT and natural resource agency coordination on permitting issues and build on TPEAC efforts, including actions to move forward with successful streamlining efforts.**

AGENCY RESPONSES

We have shared the report with the Washington State Department of Transportation, Department of Ecology, Department of Fish and Wildlife, and the Office of Financial Management. JLARC received written comments from all four organizations, which are included as Appendix 2.

ACKNOWLEDGEMENTS

We would like to thank the numerous staff at the Washington State Departments of Transportation, Ecology, and Fish and Wildlife who provided information to assist with this report. We also would like to thank the staff of the Federal Highway Administration, U.S. Environmental Protection Agency, U.S. Fish and Wildlife Service, and NOAA- Fisheries who provided information to assist with this report.

We also would like to express our appreciation to TechLaw for the very knowledgeable and efficient work they completed in support of our review.

This study was conducted by Steve Lerch of the JLARC staff, with Cindi Yates serving as project supervisor.

Cindi Yates, Legislative Auditor

On January 21, 2005, this report was approved for distribution by the Transportation Performance Audit Board.

Doug Hurley, Chair

OPTIONS FOR FUTURE AUDITS/STUDY TOPICS

The following additional topics are provided as a menu for TPAB to select from for future audits or reviews. TPAB could select from these topics or other areas of interest for developing a future work plan.

Audit/Study Topic 1:

Assess the progress and effectiveness of the implementation of the WSDOT environmental management system, including environmental stewardship and sustainability, in its core business processes**.**

Objective:	**Determine the extent to which the WSDOT environmental management system has been incorporated into day-to-day decision-making and project management and its impact on environmental outcomes. Provide recommendations, if necessary, on changes to training, project management, and information systems to better utilize the environmental management system and gain desired environmental outcomes.**
Timeline:	**Six audit months (recommend delaying start date to allow scheduled development to be completed)**

Audit/Study Topic 2

Assess the effect of natural resource agency employee turnover on the environmental permitting process for transportation projects. This analysis would include strategies for employee retention at resource agencies, and measure the effect of turnover, transfers, and temporary assignments on the efficiency and effectiveness of permit review.

Objective:	**The primary objective is to quantify the extent to which employee turnover in Washington resource agencies results in delayed project permitting or ineffective permit review. If the effects of employee turnover are determined to be important, a review of employee retention strategies in other states' resource agencies will be conducted.**
Timeline:	**Four audit months**

Audit/Study Topic 3:

Identify the data and information system needs to produce performance measures such as length of time to complete project permitting, costs of permitting efforts, and costs of mitigation that could be added to the existing WSDOT measures on environmental impact statements and environmental compliance.

Objective:	**Expand the existing WSDOT performance measures on environmental outcomes to include permit process measures. The establishment of these measures would enable WSDOT and resource agencies to better identify mechanisms to reduce the time and cost of environmental permitting while maintaining desired environmental standards.**
Timeline:	**Eight audit months**

Audit/Study Topic 4:

Analyze the business process flow associated with environmental permitting for transportation projects. This analysis would identify the factors which result in the longest delays and/or highest costs in the permitting process. Once the major delay and cost factors are identified, a follow-up analysis would investigate methods to address these factors (which may include current or proposed streamlining initiatives).

Objective:	**Identify the major contributors to permitting delay and cost in order to prioritize streamlining efforts.**
Timeline:	**12 audit months**

APPENDIX 1 – SCOPE AND OBJECTIVES

OVERVIEW OF ENVIRONMENTAL PERMITTING FOR TRANSPORTATION PROJECTS

CONDUCTED FOR THE TRANSPORTATION PERFORMANCE AUDIT BOARD

FUNDED BY THE LEGISLATIVE TRANSPORTATION COMMITTEE

SCOPE AND OBJECTIVES

JULY 9, 2004

STATE OF WASHINGTON
JOINT LEGISLATIVE AUDIT AND REVIEW COMMITTEE

STUDY TEAM
Steve Lerch

LEGISLATIVE AUDITOR
CINDI YATES

Joint Legislative Audit & Review Committee
506 16th Avenue SE
Olympia, WA 98501-2323
(360) 786-5171
(360) 786-5180 Fax
Website: http://jlarc.leg.wa.gov
e-mail: neff_ba@leg.wa.gov

The Transportation Performance Audit Board (TPAB) and the Legislative Transportation Committee (LTC) have recently approved and funded a targeted set of performance measure reviews, performance audits, and studies to improve the efficiency and effectiveness of state transportation programs. The Joint Legislative Audit and Review Committee (JLARC) is to conduct several of these audits, including this overview of transportation project environmental permitting.

BACKGROUND

A long-running concern associated with enhancing the state's transportation system is how to safeguard environmental quality without imposing untimely delays on transportation solutions.

The Blue Ribbon Commission on Transportation, in its final recommendations in 2000, identified the need to streamline permitting, recommending a variety of approaches such as "one-stop" permitting and the use of a single permit application.

A 2001 legislative response to this issue was the creation of the Transportation Permit Efficiency and Accountability Committee (TPEAC). The work plan of the TPEAC includes the subjects of one-stop permitting, programmatic permits, pilot projects to test a new collaborative permit review process, uniform standards for local government permits, watershed-based mitigation strategies, and the link with federal permit authority. Originally scheduled to end its work in March 2003, the Legislature has extended the TPEAC through March 2006.

Washington State is not alone in its efforts to find solutions to the dilemma of safeguarding environmental quality while streamlining the environmental permitting process. Similar efforts are underway in other states and by the U.S. Department of Transportation.

STUDY SCOPE

As directed by TPAB, this analysis will compile information on work that has been completed, is underway, or is planned in the immediate future on environmental permitting for transportation projects, with the goal of identifying options for future TPAB audit and evaluation studies that will complement and augment existing work on this topic.

STUDY OBJECTIVES

1. Review of prior environmental permitting studies and current coordination and streamlining efforts. This will include work by the Legislative Transportation Committee, the Blue Ribbon Commission on Transportation, and the Transportation Permit Efficiency and Accountability Committee.

   In addition, the study will include a review of streamlining efforts for transportation projects completed, underway, or planned by Washington State legislative and executive branch agencies including multi-agency permitting teams.

2. Review efforts underway at the federal level on implementation of the President's 2002 executive order to enhance environmental stewardship while streamlining the decision making process for major transportation projects.

3. Review lessons learned by other states on environmental streamlining practices in the transportation arena.

4. Based on these reviews, identify options for future TPAB audit and evaluation studies on environmental permitting for transportation projects.

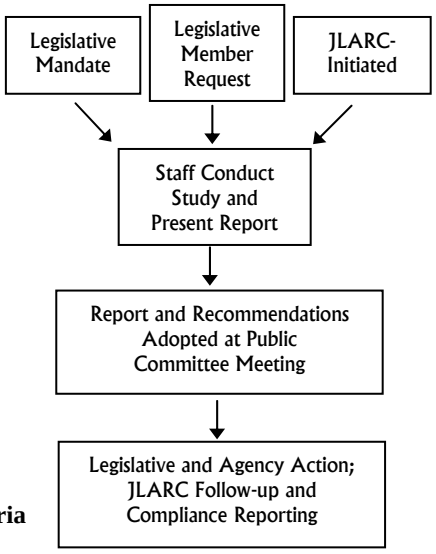
TIMEFRAME FOR THE STUDY

Report to be delivered to TPAB and LTC by December 15, 2004.

JLARC STAFF CONTACT FOR STUDY

Steve Lerch 360.786.5178
lerch.steve@leg.wa.gov

JLARC Study Process



Criteria for Establishing JLARC Work Program Priorities

- Is study consistent with JLARC mission? Is it mandated?
- Is this an area of significant fiscal or program impact, a major policy issue facing the state, or otherwise of compelling public interest?
- Will there likely be substantive findings and recommendations?
- Is this the best use of JLARC resources: For example:
- Is the JLARC the most appropriate agency to perform the work?
- Would the study be nonduplicating?
- Would this study be cost-effective compared to other projects (e.g., larger, more substantive studies take longer and cost more, but might also yield more useful results)?
- Is funding available to carry out the project?

APPENDIX 2 – AGENCY RESPONSE

- Department of Transportation
- Department of Ecology
- Department of Fish and Wildlife
- Office of Financial Management

Washington State Department of Transportation
Douglas B. MacDonald
Secretary of Transportation

Transportation Building
310 Maple Park Avenue S.E.
P.O. Box 47300
Olympia, WA 98504-7300

360-705-7000
TTY: 1-800-833-6388
www.wsdot.wa.gov

December 29, 2004

Ms. Cindi Yates
Joint Legislative and Audit Review Committee
P.O. Box 40910
Olympia, WA 98504-0910

Dear Ms. Yates:

Thank you for the opportunity to provide WSDOT's perspective on the "Overview of Environmental Permitting for Transportation Project" dated December 17, 2004. Overall, our impression is the report does a good job of capturing efforts made by Washington State Department of Transportation (WSDOT) and resource agencies to improve environmental performance and streamline environmental approvals.

Based on questions at the December 17th Transportation Performance Audit Board meeting, we offer the following reflections on the regulatory processes associated with WSDOT activities and advancements that have been made to improve those processes. Table 1 (attached) identifies the basic regulatory framework governing WSDOT projects and the improvements associated with each environmental phase. Note that not all projects require each element described in the table.

In terms of the environmental documentation phase, about two projects per year require Environmental Impact Statements (EIS). These are taking on average 42 months to complete. About four projects per year require Environmental Assessments (EA). These are taking on average 26 months complete. The majority of projects, approximately 195 per year, are completed using Categorical Exclusions or Documented Categorical Exclusions. These take on average 15 hours to complete. FHWA has established goals to reduce time frames for completing EISs and EAs.

Permitting time frames for construction vary depending on complexity of the project. Some construction projects can be completed without environmental permits. Some complex projects can require extensive permitting that can take up to two years to complete. Most projects fall into a middle range and require four to six months to secure permits.

We are carefully reviewing project schedules on a quarterly basis. This includes looking at what is causing project delays in the environmental arena. The leading causes for delays are:

- Interruptions in funding. Environmental information becomes outdated over time. As a project sits and waits for funding, often the environmental information needs to be revised due to regulatory changes or changing conditions on the site.

- Appeals of regulatory decisions (permits) by 3rd parties.

Regarding evaluating the "success" of streamlining efforts, it's important to note at the outset that many issues and problems associated with the environmental regulatory system are embedded in federal laws and regulations (e.g., ESA/CWA disconnects). Solutions that require changes at this level are outside of WSDOT's control. At the same time, environmental processes and issues can be better managed. Table 2 (attached) provides WSDOT's assessment of issues and opportunities for each phase of environmental work.

We suggest adding a recommendation to the report that calls for WSDOT, in collaboration with resource agencies, to define an environmental regulatory process improvement agenda (work plan) that would include objectives for proposed work. We offer the following thoughts on what could be included in a work plan:

- Improve permit application process – build on-line application capability
- Improve completeness of WSDOT's permit applications
- Establish performance measures for liaison program of WSDOT funded positions
- Institute compliance improvements
- Change NEPA documentation to increase readability of documents to support better decision making
- Influence NEPA changes at the federal level to improve the coherence of the planning process in Washington
- Resolve stormwater and the *Talent* decision regulatory problems
- Maintain and consider expanding MAP team approach to liaison program
- Seek better approaches to environmental mitigation
- Extend existing programmatic permits to improve coverage

Table 3 (attached) provides our responses for your published report.

Thank you again for the opportunity to provide a response on this report. If you have any questions, don't hesitate to contact Megan White at (360) 705-7480 or me at (360) 705-7054.

Sincerely,

Douglas B. MacDonald
Secretary

cc: Marty Brown, Director, OFM
Linda Hoffman, Director, Ecy
Jeffrey Koenings, Director, WDFW
Paula Hammond, Chief of Staff, WSDOT
Megan White, Director of Environmental Services, WSDOT

TABLE 1
ENVIRONMENTAL REGULATORY PROCESS

Planning Process and Environmental Documentation	Permitting	Compliance	Results and Costs
NEPA work including Environmental Impact Statements, Environmental Assessments, and Documented Categorical Exclusions; ESA consultations	*Clean Water Act, Other Environmental Requirements (e.g., noise); Mitigation required in certain circumstances*	*Compliance with environmental requirements that stem from the environmental documentation and permitting phases; Compliance performance affects timelines and requirements back in the permitting process for other projects*	*Assess results and costs associated with the environmental process*
Streamlining improvements made: ▪ Programmatic biological assessments for ESA consultation for several activities Other improvements: ▪ New EIS format model ▪ EIS and EA readability guidance	Streamlining improvements made: ▪ MAP Team ▪ Programmatic Permits (see additional information below*) ▪ Interagency Permitting Teams ▪ Information management advances – GIS information provided to projects ▪ Interagency agreements that define authorities and procedures ▪ 3 wetland banks funded Other improvements: ▪ Mitigation Improvements	Improvements made: ▪ Reporting directive ▪ Training ▪ Monitoring and reporting results ▪ Environmental Management System elements established to ensure compliance	Improvements made: ▪ Conducted mitigation cost study ▪ Monitoring results of environmental performance including wetland protection, erosion control, etc.

** Note: The following describes the application of programmatic permits to transportation projects:*

Maintenance and Preservation Work (e.g., bridge washing, debris removal)
Over 80 percent of maintenance activities covered by programmatic permits.
Programmatic permits were used over 900 times in 2004.
Work remaining:

- *Seismic retrofit (expected to be complete by 12/05)*
- *Piling replacement (expected to be complete by 3/05)*
- *Extending coverage of existing programmatic permits*

Work not appropriate for programmatic permit:

- *Bridge scour – projects have high environmental risk since extensive work is required in the water; projects have unique features*

Construction Work
Generally not appropriate for programmatic permits due to the size of most projects and the unique physical and environmental characteristics involved in each.

TABLE 2
ENVIRONMENTAL REGULATORY PROCESS ISSUES AND OPPORTUNITIES

Planning and Environmental Documentation Phase	Permitting Phase	Compliance Phase	Results and Costs Assessment
Issues: ▪ The intent of NEPA has been diverted to serve as a planning process. NEPA is burdened with planning decision making ▪ Planning processes are not resolving conflicts – conflicts over land use and growth management play out in the NEPA process Opportunities: ▪ Seek to influence changes to NEPA at a national level ▪ Produce more readable NEPA documents that better support decision making ▪ Structure a more coherent overall planning process ▪ Establish negotiated timelines with involved agencies on EIS's and EA's	Issues: ▪ Inconsistent laws and regulations ▪ Overlaps in federal and state jurisdiction ▪ Conflicts in expectations between applicant and permitting agencies (e.g., differing visions as to what constitutes a "successful" permitting outcome) ▪ Cumbersome application process ▪ Incomplete information from permit applicant ▪ Disputes over effectiveness of mitigation proposed and requirements Opportunities: ▪ Improve permit application system ▪ Improve application completeness ▪ Explore expanding MAP team approach to liaison program and/or other mechanisms that encourages team work between applicant and resource agencies ▪ Establish agreed upon regulatory approach for stormwater and roadside ditches *Talent* decision issues ▪ Improve approaches to mitigation	Issue: ▪ Timeliness of permitting and of permitting requirements is influenced by compliance history of applicant Opportunity: ▪ Improve compliance through improvements to an Environmental Management System elements	Issue: ▪ Performance can improve by measuring environmental results and assessing costs Opportunity: ▪ Explore enhancing information management system capability to gather better data on permitting time frames and mitigation costs

TABLE 3
WSDOT RESPONSES TO JLARC RECOMMENDATIONS

RECOMMENDATION	AGENCY POSITION	COMMENTS
Recommendation 1 The Washington State Department of Transportation (WSDOT), the Department of Ecology, and the Department of Fish and Wildlife should consider the feasibility of implementing the following management-related streamlining efforts:	Concur	
Streamlining Effort 1 WSDOT should investigate the types of redesigned project delivery designs being implemented in Florida and Minnesota Note: WSDOT staff has been in contact with the Florida DOT to obtain information on the Efficient Transportation Decision Making Process.	Concur	There is much to be learned in peer-to-peer discussions with other state DOTs. We have been and will continue to do this. WSDOT staff is visiting Minnesota DOT this month to study their new high occupancy transit lanes. WSDOT has studied Florida's ETDM system – and the centralized clearinghouse for environmental data and comments. WSDOT's GIS tools and the Environmental Review Summary Database internally function the same way that Florida's EDTM data tool does: WSDOT provides its environmental specialists with the best available environmental GIS data for proposed projects. Project specialists use this data to identify and summarize the environmental issues and requirements for use in refining the project design proposal. Use of WSDOT's GIS Workbench has cut down on resources spent collecting data for each proposed project from each regulatory agency, both at WSDOT and at resource agencies servicing those requests.
Streamlining Effort 2 WSDOT and the natural resource agencies should consider standardizing geographic information system (GIS) and other relevant electronic data so that they can be easily exchanged within and across agencies and among external stakeholders.	Concur	WSDOT is a primary advocate for standardizing electronic data formats. Washington has completed several in-depth studies into how to get there, as well as policy recommendations such as those contained in the *Washington Biodiversity Conservation Strategy Report*, pursuant to ESSB 6400 (see below). TPEAC has evaluated this issue and recommendations from TPEAC's evaluation of this topic were coordinated with the state natural resource agency data managers. Their recommendations were to: ▪ Resolve system interfaces and data exchanges on an agency-to-agency basis rather than a multi-agency effort; ▪ Use existing intergovernmental data coordination forums to promote data standards for exchange; and,

		▪ Support continuing the state orthophoto mapping program run jointly by WSDOT and Department of Natural Resources, and increase the data collection cycles, if possible. Among the policy recommendations contained in the Washington Biodiversity Conservation Strategy Report, pursuant to ESSB 6400, were three data oriented actions. These reinforced the efforts of the Washington Geographic Information Council, the Geospatial Framework Project, and the Washington Natural Resources Information Portal. WSDOT has consistently and actively supported these efforts. To fully address this recommendation, it should be noted that agencies like Department of Natural Resources and the Interagency Committee (IAC) as well as those mentioned above need to upgrade software. A key starting place has been the development of electronic data standards in coordination with the Information Services Board. Last year, basic data exchange standards for GIS data were established to help state agencies exchange data. The state standards are very similar to most Federal standards (which tend to be agency-specific). Not all state agencies are funded to convert or build translations of their legacy databases that prohibit implementation of new standards. Setting up data exchange standards is not enough - data conversions to new standards take time and money. The Natural Resource Data Portal should be the first step and state agency focal point for improving data exchange between the agencies. It provides "discovery" tools so you can see what data agencies have, and it provides "access" to downloadable information or to data request contacts. Funding is being sought for proposed enhancements to the Natural Resources Data Portal. These enhancements will provide technical infrastructure for more efficient GIS data sharing over the web. This technical capacity will encourage agencies to move toward standardizing their data.
<u>Streamlining Effort 3</u> WSDOT and the natural resource agencies should investigate the use of the best available scientific information as a substitute for project field survey work.	Concur	WSDOT's GIS workbench is built around this premise. We train our staff to look first at the workbench and then identify what is needed to fill data gaps or provide additional site-specific detail needed for design or analysis. We are also preparing guidance to planners and environmental staff showing them how to capitalize on the "best available science" used by local governments as they update their Growth Management Plans, local critical areas ordinances, etc. Six years of operational use of the best available GIS data though the GIS Workbench has shown that available data is often not fully accurate or specific enough for good environmental documentation. This data does however make fieldwork more efficient and productive because staff knows what to look for based on looking at the information found in the GIS Workbench. Environmental data from resource agencies are unlikely to fully replace fieldwork because those data are intended and managed to support resource management activities, not transportation project-specific impact assessments, which

		often have a higher need for detail.
Audit/Study Topic 1 Assess the progress and effectiveness of the implementation of the WSDOT environmental management system, including environmental stewardship and sustainability, in its core business processes.	Neutral	WSDOT's direction has not been to use the development of an Environmental Management System as the vehicle for sustainability planning. The elements of our Environmental Management System are compliance tools and their focus is on improving environmental performance in all department functions. WSDOT's objective is to use the elements of a standard Environmental Management System (policy, procedure, training and reporting) without making it appear to be a separate or new process.
Audit/Study Topic 2 Assess the effect of natural resource agency employee turnover on the environmental permitting process for transportation projects. This analysis would include strategies for employee retention at resource agencies, and measure the effect of turnover, transfers, and temporary assignments on the efficiency and effectiveness of permit review.	Concur	Recruitment and retention of environmental staff is a critical issue for resource agencies and WSDOT.
Audit/Study Topic 3 Identify the data and information system needs to produce performance measures such as length of time to complete project permitting, costs of permitting efforts, and costs of mitigation that could be added to the existing WSDOT measures on environmental impact statements and environmental compliance.	Partially Concur	WSDOT is uncertain that an audit is the best approach to implement this recommendation. However, we recognize that progress needs to be made on the ability to assess and report on these basic performance measures. WSDOT is starting to tackle these issues. For example, we are pursuing how to track permitting timeframes. The opportunity exists for WSDOT's information technology systems to add the ability to track permitting and mitigation cost elements in the future. An effort is underway to answer questions about environmental costs through the empirical method of evaluating project experience. To improve on this, we are considering developing an annual study to sample projects and create a time and/or cost matrix estimation tool. This could enable us to better scope projects including establishing project schedules based on this actual project history. There are also important questions concerning how to define and cost "mitigation" in specific project contexts.

STATE OF WASHINGTON
DEPARTMENT OF ECOLOGY
PO Box 47600 • Olympia, WA 98504-7600 • 360-407-6000
TTY 711 or 800-833-6388 (For the Speech or Hearing Impaired)

RECEIVED
JAN - 3 2005
JLARC

December 29, 2004

Ms. Cindi Yates, Legislative Auditor
Joint Legislative Audit and Review Committee
PO Box 40910
Olympia, WA 98501-2323

Dear Ms. Yates:

RE: Overview of Environmental Permitting for Transportation Projects (December 17, 2004)

I am writing in response to the preliminary report entitled "Overview of Environmental Permitting for Transportation Projects" and your request of December 20, 2004 for the Department of Ecology's (Ecology) position on each of the recommendations contained in the preliminary report -- three "Management" recommendations (pg. 29) and three "Options for Future Study/Audit" recommendations (pg. 32).

The report does a very credible job of summarizing agency efforts to date in environmental permit streamlining and it lays out a solid set of recommendations to enable further progress. Ecology's specific response to each of JLARC's distinct management recommendations and future audit/evaluation recommendations is as follows:

(I) – MANAGEMENT RECOMMENDATIONS

Streamlining Effort 1 – WSDOT should investigate the types of redesigned project delivery designs being implemented in Florida and Minnesota (note: WSDOT staff has been in contact with the Florida DOT to obtain information on the Efficient Transportation Decision Making Process).

Department of Ecology Response — "Concur"

Ecology looks forward to working with WSDOT to learn from the successes of these states, as well as other states.

As an example of this, through the TPEAC process, WSDOT, Ecology, and the other natural resource agencies recently had the opportunity to learn first-hand from the state of Oregon (i.e., Oregon Department of Transportation) about Oregon's new and innovative programmatic approach for replacing aging bridge infrastructure. Many of the innovations of the Oregon program around such permitting elements as biological and cultural surveys, NEPA compliance, and web-enabled data and data management, are very compelling and warrant further evaluation for their adaptability to Washington.

Streamlining Effort 2 – WSDOT and the natural resource agencies should consider standardizing geographic information system (GIS) and other relevant electronic data so that they can be easily exchanged within and across agencies and among external stakeholders.

Department of Ecology Response — "Concur"

Ecology continues to advocate for standardizing electronic data formats and has engaged with the National Environmental Information Exchange Network (Exchange Network) — a United States Environmental Protection Agency (EPA) and Environmental Council of States (ECOS) partnership to facilitate the exchange of environmental data. Using registered data standards, Ecology regularly exchanges: (1) water quality monitoring data with Oregon, Idaho, and Alaska; (2) fish tissue data with the Washington State Department of Health: (3) facility and site data with EPA; and (4) waste shipment data with the Oregon State Department of Environmental Quality.

Ecology has also reviewed and supports the GIS standards being developed as part of the Information Services Board's Geographic Information Technology Subcommittee and the Washington State Geographic Information Council, and has been an active participant in the development of Washington's Natural Resources Information Portal. Ecology has additionally developed an agency-wide GIS strategy to facilitate the establishment and use of common data standards, the collection and development of data layers, and supports the state's hydrography framework project. Key to Ecology's GIS strategy is data exchange between resource agencies and agencies like WSDOT.

Collecting, sharing, and exchanging environmental data and information between WSDOT and the regulatory agencies will become increasingly important as the agencies continue working together to integrate and streamline their respective permitting and regulatory processes (in order to continue to improve the overall efficiency and effectiveness of the state's transportation project delivery model).

Streamlining Effort 3 – WSDOT and the natural resource agencies should investigate the use of the best available scientific information as a substitute for project field survey work.

Department of Ecology Response — "Partially concur"

Ecology concurs with the use and consideration of best available scientific information for transportation project planning, design, and permitting. Best available scientific information provides WSDOT and the resource agencies with a very important first screen to what may be on the ground; however such information is often not fully accurate or specific enough for good environmental documentation, impact quantification, and mitigation planning. Field work (and field survey work) is often needed as a supplement to scientific information.

(II) – OPTIONS FOR FUTURE AUDITS/STUDY TOPICS

Audit/Study Topic 1 – Assess the progress and effectiveness of the implementation of the WSDOT environmental management system, including environmental stewardship and sustainability, in its core business processes.

Department of Ecology Response — "Neutral"

Ecology is interested in WSDOT's experience with this internal management tool which is also used by many private companies.

Audit/Study Topic 2 – Assess the effect of natural resource agency employee turnover on the environmental permitting process for transportation projects. This analysis would include strategies for employee retention at resource agencies, and measure the effect of turnover, transfers, and temporary assignments on the efficiency and effectiveness of permit review.

Department of Ecology Response — "Concur"

Retaining knowledge, information, and staff expertise in the WSDOT/resource agency system is critical to effectively and efficiently (and consistently) delivering state transportation projects. Ecology is very interested in the exploration and evaluation of strategies and approaches used in other states and other organizations to accept natural employee turnover yet plan for and mitigate the adverse effects of such turnover (e.g., knowledge flight, productivity drop, timeline/schedule delay, etc.).

Possible retention strategies should be considered in light of the changing state personnel system and collective bargaining agreements.

Audit/Study Topic 3 – Identify the data and information system needs to produce performance measures such as length of time to complete project permitting, costs of permitting efforts, and costs of mitigation that could be added to the existing WSDOT measures on environmental impact statements and environmental compliance.

Department of Ecology Response — "Concur"

Ecology has found the establishment of permit processing timeliness measures for its core business permits to be a very helpful tool against which to measure and analyze actual agency permitting performance. This in turn provides data and information which agency managers use to target specific permit processes for further business process improvement.

Thank you again for your very thorough review and pre-audit, done on a very short timeline. We hope you find our comments helpful. If you have questions please do not hesitate to contact me at 360/407-7001 (lhof461@ecy.wa.gov), or Scott Boettcher at 360/407-7564 (sboe461@ecy.wa.gov).

Sincerely,

Linda Hoffman

Linda Hoffman
Director

cc: Doug MacDonald, WSDOT
Megan White, WSDOT
Paula Hammond, WSDOT
Jeff Koenings, WDFW
Gayle Kreitman, WDFW
Polly Zehm, Ecology
Greg Sorlie, Ecology
Scott Boettcher, Ecology
Marty Brown, OFM
Claire Hesselholt, ORA

State of Washington
DEPARTMENT OF FISH AND WILDLIFE

Mailing Address: 600 Capitol Way N • Olympia, WA 98501-1091 • (360) 902-2200, TDD (360) 902-2207
Main Office Location: Natural Resources Building • 1111 Washington Street SE • Olympia, WA

December 23, 2004

Ms. Cindi Yates, Legislative Auditor
Joint Legislative Audit and Review Committee
506-16th Avenue SE
Olympia, Washington 98501-2323

Dear Ms. Yates:

SUBJECT: Overview of Environmental Permitting for Transportation Projects – Preliminary Report

Thank you for the opportunity to provide input and feedback on the "Overview of Environmental Permitting for Transportation Project" dated December 17, 2004. Overall, the report is a good synopsis of the measures and initiatives the Washington Departments of Fish and Wildlife (WDFW), Transportation (WSDOT), and Ecology have, and are undertaking to streamline environmental permitting.

The following is WDFW's response to both management recommendations and options for future audits/study topics:

MANAGEMENT RECOMMENDATIONS

Recommendation 1 — **WSDOT should investigate the types of project delivery designs being implemented in Florida and Minnesota.** Analyses of the Florida and Minnesota efforts to revamp how transportation projects are designed should provide valuable insights into streamlining activities to improve project quality and timeliness. WSDOT staff has been in contact with the Florida DOT to obtain information on their process.

WDFW Response: ***Neutral.*** *Appears specific to WSDOT internal actions.*

Recommendation 2 — **WSDOT and the natural resource agencies should consider standardizing geographic information system (GIS) and other relevant electronic data so that they can be easily exchanged within and across agencies and among external stakeholders.** Enhances efficiency by maximizing use of available information, avoids time and cost associated with data conversion and provides an effective mechanism for communicating complex information with stakeholders. WSDOT has requested funding for a critical systems assessment which could help address this area.

WDFW Response: ***Concur.*** *Fiscal impact for hardware and resources to conduct any needed data conversions may be in addition to that identified for software.*

Recommendation 3 — **WSDOT and the natural resource agencies should investigate the use of the best available scientific information as a substitute for project field survey work. Use of the best available scientific data avoids costly and time-consuming field work.** WSDOT, Ecology and the Washington Department of Fish and Wildlife should examine the scientific literature to determine areas in which current research could credibly replace field work.

WDFW Response: ***Partially concur.*** *WDFW concurs that best available science (BAS) should be used when assessing project impacts and appropriate mitigation for those impacts. However, from a resource agency perspective, project specific field assessments should compliment BAS and are necessary to fully identify project impacts and mitigation alternatives.*

OPTIONS FOR FUTURE AUDIT/STUDY TOPICS

Audit/Study Topic 1 — Assess the progress and effectiveness of the implementation of the WSDOT environmental management system, including environmental stewardship and sustainability, in its core business processes. Determine the extent to which the WSDOT environmental management system has been incorporated into day-to-day decision-making and project management and its impact on environmental outcomes. Provide recommendations, if necessary, on changes to training, project management, and information systems to better utilize the environmental management system and gain desired environmental outcomes.

WDFW Response: ***Neutral.*** *Appears specific to WSDOT internal actions*

Audit/Study Topic 2 — Assess the effect of resource agency employee turnover on the environmental permitting process for transportation projects. This analysis would include strategies for employee retention at resource agencies, as well as the effect of turnover, transfers, and temporary assignments on the efficiency and effectiveness of permit review. The primary objective is to quantify the extent to which employee turnover in Washington State resource agencies results in delayed project permitting or ineffective permit review. If the effects of employee turnover are determined to be important, a review of employee retention strategies in other states' resource agencies will be conducted.

WDFW Response: ***Concur.*** *This could be especially important if the Liaison or MAP Team approaches are to be continued and/or expanded.*

Audit/Study Topic 3 — Identify performance measures such as length of time to complete project permitting, costs of permitting efforts, and costs of mitigation that could be added to the existing WSDOT measures on environmental impact statements and environmental compliance. Expand the existing WSDOT performance measures on environmental outcomes to include permit process measures. The establishment of these measures would enable WSDOT and resource agencies to better identify mechanisms to reduce the time and cost of environmental permitting while maintaining desired environmental standards.

WDFW Response: ***Partially concur.*** *This may be beneficial provided there is a valid and agreed upon assessment of time and costs for permitting and mitigation, including identification of time factors and cost specifics.*

Again, thank you for the opportunity to participate in this process. If you have any questions, please contact Gayle Kreitman at (360) 902-2564 or me at (360) 902-2225.

Sincerely,

Jeff Koenings, Ph.D.
Director

cc: Greg Hueckel, WDFW
Peter Birch, WDFW
Steve Penland, WDFW
Gayle Kreitman, WDFW
Scott Boettcher, Ecology
Megan White, WSDOT

STATE OF WASHINGTON
OFFICE OF FINANCIAL MANAGEMENT
Insurance Building, PO Box 43113 · Olympia, Washington 98504-3113 · (360) 902-0555

January 11, 2005

TO: Cindi Yates, Legislative Auditor
Joint Legislative Audit Review Committee

FROM: Marty Brown, Director

SUBJECT: **RESPONSE TO JLARC OVERVIEW OF ENVIRONMENTAL PERMITTING FOR TRANSPORTATION PROJECTS**

Thank you for the opportunity to respond to the Joint Legislative Audit Review Committee Overview of Environmental Permitting for Transportation Projects, Preliminary Report dated December 17, 2004.

As you requested, here is our response to the report management recommendations and options for future audit/study topics:

Recommendation	**Agency Position**	**Comments**
Management Recommendation 1	Concur	
Management Recommendation 2	Concur	
Management Recommendation 3	Concur	We concur with this recommendation, but would like to recognize the importance of field studies to fully identify project impacts and mitigation alternatives.

Please contact Ann-Marie Sweeten at (360) 902-0538 if you have further questions.

cc: Ann-Marie Sweeten, OFM

APPENDIX 3 – TECHLAW SURVEY INSTRUMENT

INTERVIEW FORM
Overview of Environmental Permitting for Washington State Department of Transportation Projects

INTERVIEWEE:_____ INTERVIEWER:_____

ORGANIZATION:_____ DATE:_____

TELEPHONE:_____

EMAIL:_____

Interview Summary:
Describe the streamlining approach:

For each of the five streamlining approaches, provide specific transportation projects and initiatives that are applicable to that approach.

PROACTIVE REGULATORY AFFAIRS ACTIVITIES:

•Is there a dedicated organization to monitor and promote changes proactively in laws, regulations, policies, and procedures that impact transportation projects? (e.g., Federal, State, AASHTO)

PROCESS RE-ENGINEERING

•Are total quality management approaches used (e.g., plan-do-check-act)? Is there a strategic plan for streamlining? Is there a dedicated organization to address streamlining (e.g., a Green Team)?

•Is process re-engineering used for project development and permit streamlining (e.g., programmatic streamlining)? If so, is it used on a case-by-case base or in a continuous improvement program? Consider streamlining activity in the context of: law > regulation > policy > procedures > QA (plan-do-check-act).

AGENCY RESOURCES

•Personnel management and funding: How does the organization secure, allocate, and manage personnel [e.g., permanent or ad hoc teams; fund positions in regulatory agencies; contractor support; control of staff turnover (e.g., competitive salaries, benefits, incentives, employee training/development)]?

•Are budgets adequate to accomplish project/program objectives?

•How is intellectual capital/historical knowledge documented and transferred?

TECHNOLOGY

•Is technology used as a tool for data collection, management, analysis, and presentation in a manner that impacts

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streamlining [e.g., modeling, database management, GIS, environmental information system, visualization for context sensitive design (including GIS site characterization)]

TIME MANAGEMENT
•How is workload managed?
•Timing of Environmental Studies: When is the environmental context developed? Are programmatic agreements developed after the environmental context?
•Is there a long-term schedule for presentation of transportation projects to regulatory agencies?

FOR EACH STREAMLINING APPROACH, PERFORM THE FOLLOWING ASSESSMENTS:
Describe the current status of permitting in transportation projects/initiatives where this approach was used:
□ Proposed □ Under Design □ Under Construction □Completed

Describe lessons learned from accomplishments/barriers for the projects/initiatives compared to original objectives:
□ Policy/Regulatory-Environment Issues □ Management Issues

Indicate Type and Degree of Success: (based on scale of 1 to 10, with 1 as unsuccessful and 10 as highly successful)

□ Time reduction	NA 1 2 3 4 5 6 7 8 9 10	
□ Program delivery cost reduction	NA 1 2 3 4 5 6 7 8 9 10	
□ Environmental performance	NA 1 2 3 4 5 6 7 8 9 10	
□ Customer/stakeholder satisfaction	NA 1 2 3 4 5 6 7 8 9 10	

Describe the authority, roles, and responsibilities of the interviewee's organization:

Authority: (check appropriate box)	**Role:** (check appropriate box)	**Responsibilities:** (check appropriate box)
□ Law Establishing DOT Mandate/Bounds	□ Transportation Agency	□ Planning □ Design □ Construction
□ Applicable Environmental Laws (list)	□ Regulatory Agency	□ Permitting □ Compliance
□ Other (specify)	□ Other (specify)	□ Other (specify)

Describe the streamlining approach:

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Overview of Environmental Permitting for Washington State Department of Transportation Projects

For each of the five streamlining approaches, provide specific transportation projects and initiatives that are applicable to that approach.

PROACTIVE REGULATORY AFFAIRS ACTIVITIES:

•Is there a dedicated organization to monitor and promote changes proactively in laws, regulations, policies, and procedures that impact transportation projects? (e.g., Federal, State, AASHTO)

Describe the current status of permitting in transportation projects/initiatives where this approach was used:

□ Proposed □ Under Design □ Under Construction □Completed

Describe lessons learned from accomplishments/barriers for the projects/initiatives compared to original objectives:

□ Policy/Regulatory-Environment Issues □ Management Issues

Indicate Type and Degree of Success: (based on scale of 1 to 10, with 1 as unsuccessful and 10 as highly successful)

□ Time reduction	NA 1 2 3 4 5 6 7 8 9 10	
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□ Environmental performance	NA 1 2 3 4 5 6 7 8 9 10	
□ Customer/stakeholder satisfaction	NA 1 2 3 4 5 6 7 8 9 10	

PROCESS RE-ENGINEERING:

•Are total quality management approaches used (e.g., plan-do-check-act)? Is there a strategic plan for streamlining? Is there a dedicated organization to address streamlining (e.g., a Green Team)?

•Is process re-engineering used for project development and permit streamlining (e.g., programmatic streamlining)? If

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so, is it used on a case-by-case base or in a continuous improvement program? Consider streamlining activity in the context of: law > regulation > policy > procedures > QA (plan-do-check-act).

Describe the current status of permitting in transportation projects/initiatives where this approach was used:

□ Proposed □ Under Design □ Under Construction □Completed

Describe lessons learned from accomplishments/barriers for the projects/initiatives compared to original objectives:

□ Policy/Regulatory-Environment Issues □ Management Issues

Indicate Type and Degree of Success: (based on scale of 1 to 10, with 1 as unsuccessful and 10 as highly successful)

□ Time reduction	NA 1 2 3 4 5 6 7 8 9 10	
□ Program delivery cost reduction	NA 1 2 3 4 5 6 7 8 9 10	
□ Environmental performance	NA 1 2 3 4 5 6 7 8 9 10	
□ Customer/stakeholder satisfaction	NA 1 2 3 4 5 6 7 8 9 10	

AGENCY RESOURCES:

•*Personnel management and funding: How does the organization secure, allocate, and manage personnel [e.g., permanent or ad hoc teams; fund positions in regulatory agencies; contractor support; control of staff turnover (e.g., competitive salaries, benefits, incentives, employee training/development)]?*

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•Are budgets adequate to accomplish project/program objectives?

•How is intellectual capital/historical knowledge documented and transferred?

Describe the current status of permitting in transportation projects/initiatives where this approach was used:
□ Proposed □ Under Design □ Under Construction □Completed

Describe lessons learned from accomplishments/barriers for the projects/initiatives compared to original objectives:
□ Policy/Regulatory-Environment Issues □ Management Issues

Indicate Type and Degree of Success: (based on scale of 1 to 10, with 1 as unsuccessful and 10 as highly successful)

□ Time reduction	NA 1 2 3 4 5 6 7 8 9 10	
□ Program delivery cost reduction	NA 1 2 3 4 5 6 7 8 9 10	
□ Environmental performance	NA 1 2 3 4 5 6 7 8 9 10	
□ Customer/stakeholder satisfaction	NA 1 2 3 4 5 6 7 8 9 10	

TECHNOLOGY:
•Is technology used as a tool for data collection, management, analysis, and presentation in a manner that impacts streamlining [e.g., modeling, database management, GIS, environmental information system, visualization for context sensitive design (including GIS site characterization)]

Describe the current status of permitting in transportation projects/initiatives where this

INTERVIEW FORM
Overview of Environmental Permitting for Washington State Department of Transportation Projects

approach was used:
□ Proposed □ Under Design □ Under Construction □Completed

Describe lessons learned from accomplishments/barriers for the projects/initiatives compared to original objectives:
□ Policy/Regulatory-Environment Issues □ Management Issues

Indicate Type and Degree of Success: (based on scale of 1 to 10, with 1 as unsuccessful and 10 as highly successful)

□ Time reduction	NA 1 2 3 4 5 6 7 8 9 10	
□ Program delivery cost reduction	NA 1 2 3 4 5 6 7 8 9 10	
□ Environmental performance	NA 1 2 3 4 5 6 7 8 9 10	
□ Customer/stakeholder satisfaction	NA 1 2 3 4 5 6 7 8 9 10	

TIME MANAGEMENT:
•*How is workload managed?*

•*Timing of Environmental Studies: When is the environmental context developed? Are programmatic agreements developed after the environmental context?*

•*Is there a long-term schedule for presentation of transportation projects to regulatory agencies?*

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Describe the current status of permitting in transportation projects/initiatives where this approach was used:
□ Proposed □ Under Design □ Under Construction □Completed

Describe lessons learned from accomplishments/barriers for the projects/initiatives compared to original objectives:
□ Policy/Regulatory-Environment Issues □ Management Issues

Indicate Type and Degree of Success: (based on scale of 1 to 10, with 1 as unsuccessful and 10 as highly successful)

□ Time reduction	NA 1 2 3 4 5 6 7 8 9 10	
□ Program delivery cost reduction	NA 1 2 3 4 5 6 7 8 9 10	
□ Environmental performance	NA 1 2 3 4 5 6 7 8 9 10	
□ Customer/stakeholder satisfaction	NA 1 2 3 4 5 6 7 8 9 10	

Describe the authority, roles, and responsibilities of the interviewee's organization:

Authority: (check appropriate box)	**Role:** (check appropriate box)	**Responsibilities:** (check appropriate box)
□ Law Establishing DOT Mandate/Bounds	□ Transportation Agency	□ Planning
		□ Design
		□ Construction
□ Applicable Environmental Laws	□ Regulatory Agency	□ Permitting

INTERVIEW FORM
Overview of Environmental Permitting for Washington State Department of Transportation Projects

(list)

□ Compliance

□ Other (specify) □ Other (specify) □ Other (specify)

APPENDIX 4 – INTERNAL SURVEY—ENVIRONMENTAL PERMIT STREAMLINING

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
Proactive Regulatory Affairs Activities	Washington State Legislature, Transportation Permit Efficiency and Accountability Committee (TPEAC) Several activities addressed by ESB 6188 were already in progress prior to this legislation. Resource agencies, such as the Washington Departments of Ecology (Ecology) and Fish and Wildlife (WDFW), were developing and	1, 2, 3) Engrossed Senate Bill 6188 (ESB 6188) The Washington Legislature passed ESB 6188 in order "to achieve transportation permit reform that expedites the delivery of statewide significant transportation projects through a streamlined approach to environmental permit decision making."	1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	1) ESB 6188 established the Transportation Permit Efficiency and Accountability Committee to integrate environmental standards, but not create new standards.	1) Legislative action established TPEAC. Summary of required TPEAC activities are presented below.	1) Period of performance for TPEAC was too short to accomplish all required activities. ESB 5279 was passed to extend the expiration date of ESB 6188 to March 31, 2006.

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
Proactive Regulatory Affairs Activities	implementing streamlining initiatives prior to ESB 6188, which served to further emphasize the importance of these activities. Since ESB 6188 formally addresses these initiatives, they are listed as "pro-active regulatory affairs activities" rather than one of the other streamlining categories. Washington State Legislature, TPEAC, Resource Agencies (continued)		1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	2) ESB 6188 required TPEAC to perform three environmental permit streamlining pilot projects and create a process to develop general permits.	2) TPEAC developed an Interdisciplinary Team (IDT) to address environmental permitting on a project-specific basis. TPEAC initiated three pilot projects:	2) TPEAC had mixed success with the pilot projects, two of which were impacted by funding problems. IDT approach worked well for permitting.
Proactive Regulatory Affairs Activities			1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.		2a) I-405 Intersection with Highway 167 (or I-405 project)	2a) I-405 project did not progress due to funding problems. Several portions of I-405 project are included in the Nickel funding package (gas tax) and are proposed for future TPEAC pilot projects.
Proactive Regulatory Affairs Activities			1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.		2b) Hood Canal Bridge with Port Angeles Graving Facility (or Hood Canal Bridge project)	2b) IDT completed complex environmental permitting on a tight timeline for Hood Canal Bridge project.
Proactive			1, 2, 3)		2c) SR 24 at I-82 to Keys	2c) IDT for the SR 24 Yakima

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
Regulatory Affairs Activities			Effective May 29, 2001. Expired March 31, 2003.		Road (or SR 24 Yakima Bridge project)	Bridge project began work in February 2002, but was inactive for a 6-month period due to lack of project funding. IDT reconvened in June 2003. The project continues in the environmental and design phase, with construction start anticipated in 2005.
Proactive Regulatory Affairs Activities	Washington State Legislature, TPEAC, Resource Agencies	1, 2, 3) ESB 6188	1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	3) Per ESB 6188, TPEAC was required to:		
	Washington State Legislature, TPEAC, Resource Agencies	1, 2, 3) ESB 6188	1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	3a) Develop a one-stop permit decision-making process that uses interdisciplinary review of transportation projects of statewide significance to streamline and expedite environmental permitting.	3a) One-Stop Subcommittee was established, which collaborated with appropriate agencies to identify existing environmental standards, assess application of those standards, and develop an integrated permitting process based upon environmental standards and best management practices. The Subcommittee has been responsible for: — Two TPEAC pilot projects (Hood Canal Bridge and SR 24 – see discussion above).	3a) Due to the numerous federal and state permitting requirements, the one-stop-permitting concept was stymied. TPEAC changed the subcommittee's focus to integrated permitting, under a new title, the Permit Delivery Subcommittee. WSDOT proceeded separately from TPEAC with the Multi-Agency Permitting (MAP) Team as a key approach to provide for multi-agency coordination and communication.

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
					— Development of Interdisciplinary Team Guidance. — Development of worldwide-web-based Joint Aquatic Resource Permit Application (on-line JARPA).	
	Washington State Legislature, TPEAC, Resource Agencies	1, 2, 3) ESB 6188	1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	3b) Give notice to affected city/county regarding transportation projects of statewide significance.	3b) Opened lines of communication.	3b) Washington Growth Management Act and Shoreline Management Act empower local government, which may still, on a project-specific basis, impact permit streamlining.
	Washington State Legislature, TPEAC, Resource Agencies	1, 2, 3) ESB 6188	1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	3c) Washington Growth Management Act and Shoreline Management Act empower local government, which may still, on a project-specific basis, impact permit streamlining.	3c) Programmatic Process Subcommittee was created. In April 2002, TPEAC approved the subcommittee's final report, which recommends creating common environmental standards between all jurisdictional agencies and programmatic permit approval for various transportation related activities. Programmatic permitting has been implemented for post-construction activities, including: Seven Highest Priority	3c) Programmatic permitting of maintenance activities is largely complete; however, the subcommittee has found difficulties in generalizing requirements for some project impacts. For example, two additional high priority permits were not issued for bridge scour mitigation and bank stabilization since these maintenance activities were not found to be low impacting or routine in nature. In addition, bridge replacement was not addressed by a

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
					Permits — Bridge and ferry terminal structure washing. — Bridge and ferry terminal painting. — Bridge structure repair. — Channel maintenance. — Fish way maintenance. — Culvert maintenance. — Culvert replacement in non-fish bearing streams. Two Lower Priority Permits — Bridge deck and drain cleaning. — Bridge and ferry terminal deck overlay and replacement. During 2004, the Programmatic Process Subcommittee worked on programmatic permits for: — Seismic retrofit of overwater bridges. — Pile replacement for marine and fresh waters.	programmatic permit since it was found to be non-routine in nature and has a potential for large impacts. The Programmatic Process Subcommittee has agreed to develop an alternative programmatic solution by creating a guideline document that identifies methods of removing bridge structures and common environmental conditions. This guidance document will be used by WSDOT, regulatory agencies, and contractors.
	Washington State Legislature, TPEAC, Resource Agencies	1, 2, 3) ESB 6188	1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	3d) Explore the development of a consolidated local permit process.	3d) TPEAC established a local government task force to communicate directly with city/county governments on specific projects and initiatives. Examples of activities include:	3d) Ongoing.

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
					— Development of programmatic nighttime noise variances with the City of Renton – completed. — Institution of the WSDOT Developer Services Manual – ongoing. — Clarification of the application of the Shoreline Management Act to maintenance activities – ongoing. — Market access to programmatic agreements to local governments – ongoing. — Provide WSDOT "primer" course to local government staff that require training on large transportation project issues.	
	Washington State Legislature, TPEAC, Resource Agencies	1, 2, 3) ESB 6188	1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	3e) Develop and prioritize a list of streamlining opportunities, including evaluation of current laws and regulations.	3e) Ongoing	3e) Ongoing
	Washington State Legislature, TPEAC, Resource Agencies	1, 2, 3) ESB 6188	1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	3f) Develop a watershed approach to environmental mitigation.	3f) TPEAC established the Watershed Mitigation Subcommittee to facilitate the development of a watershed-based approach to mitigation for transportation projects with	3f) Watershed-based mitigation requires considerable characterization data to justify off-site mitigation. Watershed-based mitigation works better from

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
					potential applicability to other processes and to develop methodologies for mitigation on a watershed basis at appropriate scales that meets multiple agency criteria for permitting.	an environmental perspective, but not necessarily faster. WSDOT may gain by performing a larger mitigation project, rather than several small ones, in a watershed.
	Washington State Legislature, TPEAC, Resource Agencies	1, 2, 3) ESB 6188	1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	3g) Seek federal delegation to the State where appropriate to streamline permit processes for transportation projects.	3g) Programmatic Process Subcommittee determined in December 2003 that the federal government has delegated management and enforcement of most federal environmental regulations, where possible, to the State of Washington. Delegated authorities include: — Enforcement of Sections 401 and 402 of the Clean Water Act. — Enforcement of the Clean Air Act. — Enforcement of solid waste and hazardous waste rules under RCRA and CERCLA.	3g) No barriers. Federal delegation completed.
	Washington State Legislature, TPEAC, Resource Agencies	1, 2, 3) ESB 6188	1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	3h) Develop a dispute resolution process to resolve conflicts interpretation of environmental standards and best management	3h) TPEAC adopted a dispute resolution process on October 10, 2001, which: — Recognizes the urgency of decision-making. — Assesses the nature of the dispute, the interests at stake,	3h) No barriers were found during the survey. In one case, a dispute was recognized by the MAP Team regarding “Waters of the United States,” which was elevated within 8 days of

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
				practices, mitigation requirements, permit requirements, assigned responsibilities, and other related issues.	whether a precedent is set, and the scale of the impact. — Establishes thresholds for elevation of dispute resolution within informal process steps, which may be elevated to formal dispute resolution.	recognition, rather than an anticipated 6-12 months to elevate the issue under the former process.
	Washington State Legislature, TPEAC, Resource Agencies	1, 2, 3) ESB 6188		3i) Develop preliminary models and strategies for agencies to test the best means to maximize the impact of transportation funds used for environmental issues and mitigation on a watershed basis.	3i) TPEAC has supported environmental mitigation improvements, including: — Watershed characterization projects, including I-405 North Renton project, SR-167 project, and I-405/SR 520 project. — Application of watershed mitigation concepts to stormwater mitigation, including field testing in an urban area with major stormwater mitigation needs.	3i) Watershed characterization and stormwater mitigation continues under development and field testing.
	Washington State Legislature, TPEAC, Resource Agencies	1, 2, 3) ESB 6188	1, 2, 3) Effective May 29, 2001. Expired March 31, 2003.	3j) Develop a consistent methodology for submittal and evaluation of completed plans that impact environmental resources, as well as proposed mitigation measures during the preliminary	3j) TPEAC developed integrated mitigation guidance to reduce cost, redesign, and permitting time; and increase environmental benefit and programmatic permit approvals. Field tests in the US 12 project, SR 539 project, and SR 4 project.	3j) Integrated mitigation guidance continues under development and field testing.

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
				specification and engineering phase of project development.		
Proactive Regulatory Affairs Activities	Washington State Legislature, TPEAC, Resource Agencies	4) Engrossed Senate Bill 5279 (ESB 5279) The Washington Legislature passed ESB 5279 in order "to achieve transportation permit reform that expedites the delivery of transportation projects through a streamlined approach to environmental permit decision making." Note that two words used in ESB 6188 to describe transportation projects ("statewide significant") were purposefully deleted from ESB 5279 to broaden the impact of streamlining.	4) Extends expiration date of TPEAC through March 31, 2006	4) ESB 5279 provided for the continuation of TPEAC environmental permit streamlining activities under ESB 6188. In addition, ESB 5279 established numerous milestones associated with streamlining activities authorized by ESB 6188, including setting priorities and completion of specific streamlining activities.	4) ESB 6188 authorized TPEAC for 22 months, which was not sufficient to complete the environmental permit streamlining activities required under the initial authorization for the committee. ESB 5279 authorized the extension of TPEAC's involvement in streamlining activities for an additional 3 years, which was critical to the completion of numerous ESB 6188 streamlining activities. ESB 5279 included milestones for numerous activities, which created an urgency for completion of work.	4) Although TPEAC activities are funded by the Legislature, the up-and-down funding cycle for transportation projects remains a barrier to the successful development and implementation of streamlining activities, as well as the assessment of the success of streamlining on specific projects and initiatives. This point should be assessed again toward the end of the authorized operating period for TPEAC.
Proactive		5) Hydraulic project	5) On-going	5) WDFW reviews	5) 45-day window for	5) No barriers noted.

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
Regulatory Affairs Activities	Washington State Legislature, WDFW	approval (HPA) program requires approval/denial of permit within 45 days of WDFW's receipt of a complete joint aquatic resource permit application (JARPA) and compliance with the requirements of the Washington State Environmental Policy Act (SEPA).		JARPA for completeness. If the JARPA is found to be complete, then the 45-day timeframe begins for technical review of the application. This timeframe has improved coordination of permit issuance processes to eliminate or minimize conflicting permit conditions. Through TPEAC, the Multi-Agency Permitting (MAP) Team and other multi-agency coordinated processes, the identification of permit issuance time lines and requirements and fully meshing critical junctures and information needs has allowed agencies to meet statutory requirements, as well as coordinated permit issuance that results in fewer permit-decision delays and conflicts.	technical review is required by statute under the Revised Code of Washington (RCW) at RCW 77.55.100(2) (a) and RCW 77.55.110, and further promulgated in the Washington Administration Code (WAC) Hydraulic Project Approval rules at WAC 220-110-030(4).	

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
Process Re-Engineering	Washington State Department of Transportation (WSDOT), Resource Agencies	6) Programmatic Permits for Transportation Projects: WSDOT and resource agencies collaborated on the development of programmatic permits for activities that are routine and non- or low-impacting to the environment. Programmatic permits eliminate processing for individual permits, reduce project delivery costs, and reduced liability risks.	6) On-going	6) WSDOT currently has programmatic permits (in addition to those developed under the TPEAC Programmatic Process Subcommittee) for the following activities: — Beaver dam removal. — Debris removal. — Freshwater sediment test boring. — Marine water sediment test boring. — Aquatic herbicide application for nuisance plant species. — Aquatic herbicide application for noxious plant species. WSDOT has several programmatic consultations in place for biological assessments, including — NOAA Fisheries, No Effects (NE) determination, all WSDOT regions.	6) These programmatic permits were a joint effort between WSDOT and the responsible resource agencies. By using programmatic permits where possible, WSDOT saves both staff time and project funding. For example, WSDOT anticipates saving, over a 5-year period, $54,000 by using the debris removal permit.	6) Strictly-established criteria are generally required for programmatic permitting to function with minimal involvement from the issuing resource agency. Due to the need to strictly define the focus of a programmatic permit, it is not possible to successfully permit all environmental activities under programmatic formats.

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				— NOAA Fisheries, Not Likely to Adversely Affect (NLTAA) determination, all WSDOT regions. — US Fish and Wildlife (USFW), No Effects (NE) determination, applicable only in WSDOT Eastern, North Central, and South Central Regions. — USFW, Not Likely to Adversely Affect (NLTAA) determination, applicable only in WSDOT Eastern, North Central, and South Central Regions. — US Fish and Wildlife (USFW), Adversely Affects (AA) determination, applicable only in WSDOT Eastern, North Central, and South Central Regions.		

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				WSDOT is working to determine process improvement solutions to recommend to the TPEAC Programmatic Process Subcommittee for programmatic permits for: — Bank scour mitigation. — Bank stabilization.		
Process Re-Engineering	WSDOT	7) Environment Compliance Assurance Procedure: IL 4055.02 provides WSDOT with *Environmental Compliance Assurance Procedure for Construction Projects and Activities*, which "provides a standard procedure for identifying unanticipated, unauthorized, or un-permitted environmental	7) Instructional Letter IL 4055.02 initiated on March 10, 2003. Revised July 28, 2004 and expires July 31, 2005.	7) The procedure was developed to raise environmental awareness among WSDOT and contractor staff and to reduce or eliminate violations of environmental permits and regulations at WSDOT project sites.	7) This procedure was developed through a collaborative effort by WSDOT Environmental and Engineering Programs, the Governor's Office, the Army Corps of Engineers, Associated General Contractors of Washington, and the State Departments of Ecology and Fish and Wildlife (working under TPEAC). The procedure was effective immediately upon release and, within one year, it will be published in both the WSDOT *Construction Manual M 41-01* and the *Environmental Procedures Manual M 31-11*.	7) Implementation of this procedure will be more successful on new transportation projects, where it can be readily incorporated into the activities of the construction project. It may be more difficult to ensure full compliance with this procedure for transportation projects that are well under way; however, WSDOT has made a major effort in outreach with the agency to ensure that all project engineers and managers are aware of compliance responsibilities.

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Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
		conditions encountered during the construction of WSDOT projects."				
Process Re-Engineering	WSDOT	8) Environmental Performance Measurements are presented quarterly in WSDOT's *Measures, Markers and Mileposts*, which is also referred to as "The Gray Notebook."	8) First issue printed in Quarter 1 2001. 15th issue printed in November 2004 for Quarter 3 2004.	8) The Gray Notebook tracks performance and accountability measures throughout WSDOT, including various environmental issues that are listed in the Subject Index.	8) The Gray Notebook serves as a means to applaud WSDOT's accomplishments on environmental issues.	8) Although the Gray Notebook is used to track environmental performance, the topics listed in the Subject Index are not always assessed as metrics. A formal metrics baseline should be established to support assessment at a regular frequency.
Process Re-Engineering	WSDOT, Ecology	9) The WSDOT *Highway Runoff Manual* (HRM) is required by the Puget Sound Highway Runoff Program (WAC 173-270) and WSDOT's Phase I NPDES stormwater permit. It is intended to be equivalent to the Ecology's *Storm-water Management Manual for the Puget Sound Basin* (SWMM-West) and *Stormwater*	9) Ecology's SWMM-West printed in Feb. 1992; revised Aug. 2001. WSDOT's HRM printed in Feb. 1995; revised March 2004. Ecology's SWMM-East printed in Oct. 2004.	9) In March 2004, Ecology issued conditional approval for the use of the 2004 HRM pending resolution of a few major issues in the upcoming statewide National Pollutant Discharge Elimination System (NPDES) stormwater permit.	9) The HRM serves as a means for consistent runoff management on WSDOT transportation projects. The HRM is intended to be used as the post-construction operations manual for WSDOT projects.	9) According to Ecology's conditional approval of the 2004 HRM, one aspect of post-construction stormwater management, the flow-control target, will be reviewed on a case-by-case basis for some '05-'07 western Washington WSDOT projects that require a section 401 water quality certification. Stormwater design and permitting processes for all projects through-out the state will become further streamlined when the NPDES statewide stormwater permit is issued (target date is July 2005).

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Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
		Management Manual for Eastern Washington (SWMM-East). WSDOT developed the HRM as a directional document to provide storm-water management requirements and standards for its projects.				Also, the 9th Circuit Court "Talent Decision" is further complicating this issue since the Corps of Engineers is regulating roadside ditches in Washington; this is a key opportunity for regulatory streamlining.
Process Re-Engineering	WSDOT, Ecology	10) Water Quality Implementing Agreement enhances coordination regarding compliance with water quality regulations.	10) On-going	10) Addresses Clean Water Act (CWA), including NPDES requirements, in conjunction with the efficient delivery of transportation projects.	10) Interagency negotiation	10) See discussion above regarding stormwater and runoff management.
Process Re-Engineering	Ecology, WSDOT	10a) During the last legislative session, Ecology received funding to establish and staff a wetlands banking program.	10a) On-going	10a) In July 2004, Ecology staffed a position for a wetlands mitigation banking specialist. Ecology is currently developing the process for	10a) WSDOT and the wetlands banking industry requested funding of the Ecology wetlands banking program. WSDOT has moved forward on wetland banking since the early 1990s and	10a) During the mid-1990s, WA established the Advanced Mitigation Revolving Fund for wetlands banking. In 1998, State program rules were established from federal

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				wetlands banking and will begin outreach activities during the coming year. GIS activities associated with wetlands bank site selection are performed by the Ecology floods program.	obtained legislation to develop a revolving fund to finance advanced mitigation projects. WSDOT is providing funding for 3 wetland banks.	guidance. Due to budget issues during the past several years, the State was not able to fund the wetlands banking program until July 2004. However, the legislature has only funded this activity through June 2005. Consistent funding will be needed to develop and implement the wetlands banking program.
Process Re-Engineering	WSDOT, WDFW	11) Memorandum of Agreement enhances coordination regarding compliance with State Hydraulic Code Rules.	11) On-going	11) Addresses coordination regarding compliance for hydraulic projects in conjunction with the efficient delivery of transportation projects.	11) Interagency negotiation	11) No barriers noted
Process Re-Engineering	WSDOT, FHWA, US Fish and Wildlife (USFW), NOAA Fisheries	12) Four Corners Process initially provided a multi-agency process for conflict resolution, which evolved into a multi-layered management process for transportation	12) On-going	12) The "Four Corners-Next Steps" agreement was developed and signed by participating agencies in July 2004. The agreement allows WSDOT to participate actively with USFW and NOAA Fisheries,	12) Success is supported by interagency discussion and coordination, including "Next Steps," which serves as a vision of how the agencies interact. Also, WSDOT developed the ESA Matrix, or "Program Delivery Tracking Sheet for ESA Section 7 Consultation," which has been	12) Prior to the Four Corners agreement, all WSDOT EIS documents passed through FHWA since it was the lead federal agency requesting ESA Section 7 consultations from USFW and NOAA. Likewise, USFW and NOAA had to go through FHWA to reach WSDOT. The Four

Internal Survey Environmental Permit Streamlining For Washington Transportation Projects						
Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
		project delivery and resolution of associated policy and legal issues.		even though FHWA is the lead federal agency requesting Endangered Species Act (ESA) Section 7 consultations for transportation projects. Four Corners is evolving into the Interagency Consultation Program.	so successful that its format may be used for tracking other permits.	Corners agreement allows direct communication between WSDOT, USFW, and NOAA regarding technical issues.
Process Re-Engineering	FHWA, WSDOT, WDFW, Ecology, US Army Corps of Engineers (COE), EPA, USFW, NOAA Fisheries	13) The Signatory Agency Committee (SAC) was established to integrate aquatic resource permit requirements (Clean Water Act, Section 404) with federal NEPA and Washington SEPA requirements. The SAC promotes early agency decisions.	13) 1996: first NEPA/ 404 Merger Agreement. In 2002, the SAC Agreement was updated.	13) WSDOT has 46 active environmental assessments (EAs) and environmental impact statements (EISs), of which 9 are currently being reviewed by the SAC. Also, WSDOT's efforts to reduce the time frame to complete NEPA documents are reflected in the database developed to track progress; annual reports are provided in the Gray Notebook and to FHWA.	13) Success is based in multi-agency coordination on NEPA/Section 404 integration. In addition, lessons learned from 1996 to 2000 were addressed by the 2002 SAC Agreement.	13) Some reviewers are concerned that the NEPA aspect was narrowed to only EISs, rather than all NEPA requirements. The SAC Agreement has three concurrence points associated with NEPA; however, some NEPA reviewers indicated that their involvement prior to the triggering of NEPA (by federal funding or actions) may be helpful to avoid redesign issues.
Process Re-Engineering	WSDOT	14) Design-Build Initiative requires	14) Used only on select	14) The design-build approach has been	14) WSDOT must coordinate early and often with resource	14) The design-build concept does not provide a completed

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Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
		significant early coordination with resource agencies since environmental permitting is performed prior to the nearly simultaneous design and construction of the project.	projects	used only on select projects, such as portions of I-405 construction and the Tacoma Narrows Bridge.	agencies in order to communicate the scope of the specific design-build project, as well as its environmental impacts and mitigation measures.	design for resource agencies to review in a permit application or consultation package. This barrier is overcome by addressing specific environmental requirements through permit conditions that are then imposed on the design of the project and construction activities.
Process Re-Engineering	FHWA, Federal Transit Administration (FTA)	15) "Linking Planning and NEPA" workshop	15) Held in August 2004	15) FHWA and FTA sponsored this workshop, which addressed NEPA issues and planning.	15) Workshop included a half-day executive session and three days of training for managers/planners.	15) No NEPA connection to local land use planning, which will require a federally-legislated solution.
	WSDOT, Ecology, and COE	16) COE/Ecology coordination meetings are held bi-monthly to receive agency feedback on Clean Water Act (CWA) compliance for proposed and current projects.	16) On-going	16) The bi-monthly meetings provide a forum for the WSDOT regions to have Ecology and COE review proposed and current projects for CWA compliance.	16) Interagency communication.	16) No barriers noted.
Process Re-Engineering	FHWA, WSDOT, USFW, NOAA Fisheries, and	17) Pre-biological assessment (BA) meetings are held	17) On-going	17) Having a single meeting each month minimizes the number	17) Interagency communication.	17) No barriers noted.

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	appropriate local governments	monthly to receive agency feedback regarding project impacts to listed species. The pre-BA meetings also provide a forum to consider mitigation of impacts prior to completion of the BA.		of individual project meetings that are required.		
Process Re-Engineering)	WSDOT, Ecology	18) WSDOT and Ecology hold monthly coordination meetings regarding projects and policy issues.	18) On-going	18) Monthly meetings provide a scheduled forum for WSDOT and Ecology to discuss issues.	18) Interagency communication.	18) No barriers noted.
Process Re-Engineering	WSDOT, Ecology	19) WSDOT and Ecology hold monthly stormwater meetings to coordinate and define the transportation stormwater/runoff management program.	19) On-going	19) WSDOT and Ecology have recently discussed the differences in flow control management and modeling prescribed by the WSDOT *Highway Runoff Manual* and the Ecology *Stormwater Management Manuals.*	19) Prior to the 2004 revision, Ecology referenced the HRM in the CWA Section 401 certifications and the HRM was used to maintain compliance for post-construction operations.	19) Following the March 2004 revision of the HRM, Ecology has not referenced the HRM in CWA Section 401 certifications since there is now disagreement between the HRM and the Ecology *Stormwater Management Manuals*. This barrier may be addressed through the current review of the WSDOT Section 402 statewide permit for stormwater.
Process Re-	WSDOT	20) Annual Tribal	20) On-going	20) Annual conference	20) Interagency	20) No barriers noted.

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Engineering		Conference to identify, discuss, and resolve mutual concerns regarding transportation.		provides a forum for tribal representatives to meet and interact with WSDOT. The two-day, 2004 conference also included a third day of optional training opportunities regarding transportation, planning, and business development issues.	communication.	
Process Re-Engineering	WSDOT, FHWA	21) Reader-Friendly Documents	21) On-going	21) Both WSDOT and FHWA are promoting better, shorter, and readily understood environmental assessments (EAs) and environmental impact statements (EISs). The WSDOT model EIS is the "Vancouver Rail Project NEPA/SEPA Final Environmental Impact Statement," May 2003. WSDOT is currently developing a new style guide, which will be packaged with document preparation tools. FHWA is	21) Both model EIS documents utilize a question-answer format to inform the reader about the environmental impacts of the proposed transportation project. The Alaskan Way EIS also includes full-color graphics and a CD-ROM of technical appendices for reference.	21) Although both model EIS documents are reader-friendly to the lay person, several resource agency NEPA reviewers preferred the former EIS format which included supporting technical information in the text, as well as in appendices to the document. NEPA reviewers found it challenging to perform an adequate review of the electronic files (on CD-ROM) of technical appendices included with the Alaskan Way EIS, unless hard copies of the appendices were printed. Also, NEPA reviewers preferred the former EIS

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				promoting the "SR 99: Alaskan Way Viaduct & Seawall Replacement Project Draft Environmental Impact Statement," March 2004 as a model for a reader-friendly EIS.		format's single-chapter comparison of alternatives to the multi-chapter format of the Alaskan Way EIS.
Process Re-Engineering	WDFW, COE	22) Memorandum of Understanding with COE to address regulatory overlap with the three COE districts making decisions in Washington, including Seattle, Walla Walla, and Portland Districts.	22) Currently under discussion	22) Still under discussion between WDFW and COE	22) Still under discussion between WDFW and COE	22) Still under discussion between WDFW and COE
Agency Resources	WSDOT	23) Liaison Program	23) On-going	23) WSDOT funds 22 positions in resource agencies, including the Multi-Agency Permitting Team, to ensure that these agencies have staff who are dedicated to WSDOT's needs. Liaisons are present in Ecology, WDFW, USFW, NOAA	23) WSDOT transportation projects received dedicated attention from resource agency staff that is funded through the WSDOT liaison program. This focus on WSDOT projects facilitates the permitting process, thus promoting streamlining.	23) All liaison positions are rarely filled at the same. Staff turnover is disruptive to the streamlining process. There is also a general concern that liaisons may accept positions in their host organization (resource/regulatory agency), thus pre-empting the return of intellectual capital to the donor organization (e.g., Ecology). This is due, in

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				Fisheries, and COE.		large part, to a discrepancy in pay scales between State agencies, as well as from State to Federal agencies. Further, turnover is reportedly impacted by job satisfaction, stress, burn-out, and budget cuts.
Agency Resources	WSDOT, Ecology, WDFW, Northwest Region MAP Team, King County Dept. of Development and Environmental Services (DDES), COE	24) The Multi-Agency Permitting (MAP) Team for Transportation: The MAP Team is a co-located team of WSDOT and resource agency personnel working cooperatively to review permit applications and process permits for WSDOT transportation projects. The MAP Team is currently operating out of the Ecology Northwest Regional Office in Bellevue.	24) Pilot program agreement signed on October 14, 2003. Team began work in November 2003. The pilot program	24) The MAP Team has 46 projects, of which 16 projects have progressed to the permit application stage. Of these 16 applications, 8 projects have received permits. The MAP Team has held 44+ early project coordination meetings, which led to planning and/or design changes for many projects, including 3 projects that will likely avoid the MAP Team permitting process. In addition, 15+ non-MAP Team projects are currently under review or assistance from the team. The MAP Team is well-positioned to	24) Prior to performing any technical review work, the MAP Team established a Pilot Charter, a MAP Team Process, a MAP Team Complete Application Checklist for Environmental Permits, and 8 performance measures associated with time, cost, and change in business practice. All members of the MAP Team work side-by-side on Mondays, which includes a team meeting for setting priorities, coordination for site visits, and tracking project workload and progress. The WSDOT team leader serves as a facilitator for the members of the team. The co-location of five agencies provides immediate coordination between not only	24) Potential barriers to success were noted for the MAP Team: ◦The MAP Team is an administrative function established after approval of the 2003-2005 biennium budget. As a result, MAP Team members were required to charge time to specific projects even though project budgets did not include funding for these costs. A single billing code was recently established to spread costs across all projects. ◦ Information technology (IT) issues remain to be resolved. Five agencies participate on MAP Team using 5 different IT platforms, which makes access to email, documents, and schedules difficult.

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				point out lessons learned and problems to WSDOT and resource agencies. Since all MAP Team projects involve hydraulic project approvals (HPAs), the team is providing support in the evaluation of the new on-line Joint Aquatic Resources Permit Application (JARPA); the HPA is one of several types of permits addressed through the JARPA. Due to the early successes of the Northwest Region MAP Team, additional MAP Teams are being considered for other WSDOT regions, as well as non-transportation projects.	team members, but resource agencies as well, on technical and regulatory issues, deadlines, and projects.	◦ WSDOT provided new computers for the MAP Team to use in Bellevue, but repair must be arranged with WSDOT IT support located 60 miles away, rather than with Ecology IT support in Bellevue. ◦ The MAP Team currently uses two sedans for field visits; however, a van would be useful to carry the entire team to increase collaboration before and after a field visit. WSDOT is investigating access to a van for the MAP Team.
Agency Resources	WSDOT	25) The environmental training program is a component of the WSDOT	25) On-going	25) The TPEAC Training, Compliance and Reporting Subcommittee inventoried training in	25) TPEAC has funded over 2,000 staff trainings in Endangered Species Act Compliance, Permit Training for Design Engineers and	25) No barriers noted.

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Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
		environmental management system (EMS). The TPEAC biennial budget for 2003-2005 included $260,000 to enhance the existing training program.		participating agencies and performed a gap analysis, which identified five training gaps that will be filled during the 2003-2005 biennium. The Subcommittee also identified three new training courses for development. The EMS has also developed procedures for construction compliance and compliance procedures that are now being implemented in WSDOT's Material Lab and Maintenance operations.	Environmental Practitioners, Field Application of Best Management Practices, Conflict Resolution, Environmental Compliance Assurance Procedures, Permit Compliance for Inspectors, Environmental Justice Regulations, and River Mechanics.	
Technology	WSDOT	26) Environmental Geographic Information System (GIS) Workbench	26) First version in 1999. Ongoing updates.	26) The Environmental GIS Workbench was developed to provide access to data layers and orthophotos covering a range of topics, from air quality to wetlands. This information is used by WSDOT staff for	26) WSDOT has continued to update the Environmental GIS Workbench by adding new data layers and orthophotos. Also, WSDOT has data usage agreements with Washington Depts. of Fish and Wildlife and Natural Resources that allow WSDOT staff to access biological data through the	26) No barriers noted.

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Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
				planning, program management, right of way, utilities, and design activities, which promotes consistency and facilitates development of environ-mental permit applications and project designs.	GIS Workbench.	
Technology	Ecology, WDFW, Office of Regulatory Assistance (ORA), TPEAC, WSDOT, Northwest Region MAP Team, DDES, COE	27) Worldwide-web-based Joint Aquatic Resources Permit Application (on-line JARPA): The JARPA was developed as a cross-cutting permit application for a variety of natural resource permits, including hydraulic project approvals (HPAs), that require multi-agency review and permitting approval.	27) First JARPA developed in 1996. ARPA Website was set up in June 2004. Phase I field testing began in Sept. 2004. Phase II updates scheduled to begin in November 2004.	27) JARPA and on-line JARPA provide a means to present consistent information to appropriate resource agencies, yet still address any agency-specific information requirements. Phase I was a joint effort by TPEAC and ORA to design and provide an on-line guidance system to help applicants, specifically WSDOT, to provide the necessary information for the regulatory agencies to process JARPAs. Phase II includes the	27) On-line JARPA was developed in phases. Phase I focused on the development of complete and reviewable applications. Phase II will address on-line submittal of applications and on-line review by the appropriate resource agencies. The MAP Team is providing practical on-the-ground field testing of the on-line JARPA.	27) JARPA and on-line JARPA will continue to function successfully as long as the agencies involved continue to cooperatively develop and update the application and the website.

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Streamlining Category	**Responsible Agency**	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How Attained)**	**Success Barriers (How Overcome)**
				development of the on-line submittal and review of JARPAs.		
Technology	WDFW, Northwest Indian Fisheries Commission (NWIFC)	28) Salmon and Steelhead Habitat Inventory and Assessment Program (SSHIAP) provides an interactive database with data displayed in a GIS.	28) On-going	28) SSHIAP data may be viewed on an interactive, user-friendly, map-based web application. GIS data layers include hydrography, fish distribution, Salmonid Stock Inventory (SaSI), barriers to fish passage, habitat characteristics such as stream gradient, and Ecosystem Diagnosis and Treatment model output. SSHIAP is designed to support regulatory, conservation, and analysis efforts such as Washington State Watershed Analysis, State Salmon Recovery, Habitat Conservation Planning, Ecosystem Diagnosis and Treatment (EDT), and others.	28) TPEAC endorses the development of a comprehensive inter-agency data system for aquatic resource data, particularly for evaluation of on-site and watershed-based mitigation options for transportation projects. TPEAC recognizes that the SSHIAP data screening process provides the best available data and, when combined with EDT, it allows integration of additional data layers of aquatic resource information.	28) Populating the SSHIAP data system is dependent on funding.

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Technology	WSDOT	29) WSDOT Project Delivery Information System (PDIS) software is expected to be updated to include environmental permitting time-frames in its next development phase.	29) PDIS development is ongoing. Next phase of PDIS will be done by late 2005.	29) Anticipated inclusion of environmental permitting timeframes in PDIS.	29) PDIS is flexible and allows ongoing development and revision to accommodate needs.	29) No barriers noted.
Time Management	WSDOT	30) Workload of the Northwest Region MAP Team	30) On-going	30) The WSDOT team leader for the MAP Team has no directly reporting staff, yet work is performed efficiently and effectively.	30) The WSDOT manager functions as a facilitator. Workload is set by priorities and tracked on a weekly basis. Quarterly reports now document time reduction for permitting of several transportation projects.	30) The WSDOT manager is temporarily assigned to the MAP Team. The next team leader will require careful selection in order to work well with and facilitate the existing MAP Team.

APPENDIX 5 – EXTERNAL SURVEY

EXTERNAL SURVEY OF STATE DEPARTMENTS OF TRANSPORTATION (DOTs)

INTERVIEWS WITH ADDITIONAL STATE DOTs:

ALASKA

ILLINOIS

INDIANA

IOWA

MAINE

MISSISSIPPI

MISSOURI

NEVADA

NEW HAMPSHIRE

OKLAHOMA

SOUTH CAROLINA

TENNESSEE

VIRGINIA

WISCONSIN

EXTERNAL SURVEY ALASKA DEPARTMENT OF TRANSPORTATION & PUBLIC FACILITIES (ADOT&PF)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
Proactive Regulatory Affairs Activities	1) ADOT&PF has developed an Interagency Streamlining Agreement. The document is an umbrella agreement with supporting work agreement documents.	1) Ongoing	1) No additional information provided.	1) Interagency cooperation.	1) No barriers noted.
Business Process Re-engineering	No information provided.				
Agency Resources	2) ADOT&PF and the Army Corps of Engineers negotiated an agreement for two ADOT&PF liaison positions within the COE office.	2) Agreement signed Nov. 5, 2004. To be implemented.	2) ADOT&PF believes the liaison program will expedite permits, which is critical due to the shortened construction season in Alaska.	2) Interagency cooperation.	2) No barriers noted.
Technology	No information provided.				
Time Management	No information provided.				

EXTERNAL SURVEY ILLINOIS DEPARTMENT OF TRANSPORTATION (IDOT)					
Proactive Regulatory Affairs Activities	1) Wetlands Action Plan and Programmatic Agreement	1) Completed	1) Agreement on a series of "standard actions" will Illinois Dept. of Natural Resources (DNR)• No need to coordinate with DNR• Can do mitigation and avoidance, etc.• Allowed to accumulate mitigation area if <0.3 acre	1) Interagency cooperation.	1) No barriers noted.
Business Process Re-engineering	No information provided.				
Agency Resources	2) DOT funds positions in other agencies to cover:• Biological surveys ($3.1 million).• Cultural ($3.3 million).• Special Waste ($1.8 million).	2) Ongoing.	2) Interagency cooperation.	2) Interagency cooperation.	2) Downsizing of state government has placed more emphasis on interagency agreements.
Agency Resources	3) IDOT *Bureau of Design and Environment Manual (BDE Manual)* provides procedural consistency for IDOT personnel and consultants.	3) Completed, but updated as needed.	3) BDE Manual available on the IDOT website. Manual updates available through an IDOT list serve subscription.	3) No information provided	3) No barriers noted.
Technology	No information provided.				
Time Management	4) Agreement with Illinois Geological Survey. Environmental Survey Process covers:• Biological• Cultural• Special Wastes	4) Implemented	4) Agreement has reduced successful Third Party lawsuits and made project completion dates more predictable.	4) Interagency cooperation. Process initiated by IDOT District on basis of right of way.	4) No barriers noted.

EXTERNAL SURVEY INDIANA DEPARTMENT OF TRANSPORTATION (InDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) Advance mitigation partnership to enhance significant regional wetland and migratory bird habitat.	1) Completed	1) Specific information not provided.	1) Specific information not provided.	1) No barriers noted.
Business Process Re-engineering	2) Indiana's Streamlined EIS Process establishes a coordinated planning and project development process for major transportation projects in Indiana for which the FHWA is or may be required to prepare an EIS under NEPA.	2) Implemented	2) These procedures: • Allow NEPA documents developed by FHWA to be used as substantial documentation by other permitting and funding agencies. • Implement the streamlining requirement in Section 1309 of the Transportation Equity Act of the 21st Century (TEA-21) to establish a coordinated review process, including time limitations, concurrent reviews, and a dispute resolution process. • Fulfill the major investment analysis requirements in 23 CFR 450.318 and the alternatives analyses requirements of the Federal Transit Act when discretionary Section 3 "New Start" funding is sought. • Serve as the vehicle for accomplishing project development coordination functions and public involvement functions.	2) These procedures streamline the NEPA EIS process and achieve "one decision-making process" to identify and address resource agency issues at three milestones in the process. The Streamlined EIS Process is flexible and adaptable and may be revised to achieve further procedural improvements.	2) No barriers noted.
Agency Resources	No information provided.				

EXTERNAL SURVEY INDIANA DEPARTMENT OF TRANSPORTATION (InDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Technology	No information provided.				
Time Management	No information provided.				

EXTERNAL SURVEY IOWA DEPARTMENT OF TRANSPORTATION (Iowa DOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	No information provided.				
Business Process Re-engineering	1) Iowa DOT developed an initiative to merge NEPA and Section 404 (Clean Water Act) processes. Implemented informal review and concurrence meetings with the Corp of Engineers, Fish & Wildlife, EPA, State Dept of Natural Resources	1) Ongoing	1) Front-loaded initiative, but it has not reduced costs. Has built better working relationships and has established a beneficial product delivery comfort zone. Initiative development has established contact lists and routine communications.	1) Interagency cooperation.	1) No barriers noted.

EXTERNAL SURVEY IOWA DEPARTMENT OF TRANSPORTATION (Iowa DOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	and Federal Highways.				
Business Process Re-engineering	2) Established program agreements with Federal Highways and individual Native American Tribes, thereby creating a formal consultation process.	2) Other agencies chose not to participate, but agree to support.	2) Front-loaded initiative, but it has not reduced costs. Has built better working relationships and has established a beneficial product delivery comfort zone.	2) Interagency cooperation.	2) As noted under "Status," several agencies have decided not to develop agreements for a formal consultation process with Iowa DOT.
Agency Resources	No information provided.				
Technology	No information provided.				
Time Management	No information provided.				

EXTERNAL SURVEY MAINE DEPARTMENT OF TRANSPORTATION (MaineDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) Fish Passage Policy was developed.	1) Completed	1) No specific information provided.	1) No specific information provided.	1) No barriers noted.
Business Process Re-engineering	2) Integrated Transportation Decision.	2) Completed	2) Sensible Transportation Policy Act puts 404 and NEPA together. Includes early scoping and "check-ins" with all stakeholders.	2) Maine DOT has refined the "12-step process" into a "10-step process."	2) No barriers noted.
Agency Resources	3) Projex-linked categorical exclusion (CE) system per agreement with the Corps of Engineers.	3) Completed	3) New electronic CE checklist.	3) Interagency cooperation.	3) No barriers noted.
Technology	4) Electronic CE under NEPA documentation.	4) Completed	4) New electronic CE checklist.	4) Interagency cooperation.	4) No barriers noted.
Time Management	5) Projex is a mainframe-based system.	5) Completed	5) Saves time when coupled with new checklist and 10-step checklist. Also pre-NEPA feasibility study.	5) Interagency cooperation.	5) No barriers noted.

EXTERNAL SURVEY MISSISSIPPI DEPARTMENT OF TRANSPORTATION (MDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) Proactive regulatory/legislative action is not pursued. MDOT has provided comment in the past on some proposals, but not in a routine or systematic manner. Interviewee noted that MDOT does not have the expertise to perform this function on an ongoing basis.	1) N/A	1) No comments.	1) No comments.	1) No barriers noted.
Business Process Re-engineering	2) This DOT has one of the first wetland banking initiatives. While not in place in all Districts, MDOT is promoting wetland banking in all Districts. MDOT is also pursuing stream mitigation in all Districts. In addition, MDOT is pursuing MOAs with Native American Tribes as a means to streamline reviews and approvals.	2) Ongoing	2) Relationships with involved parties have improved. The improved relationships indicate that the time involved in reviews will be reduced.	2) Be proactive; do not wait for the resource agencies. Think outside of the box; identify and address problems that may occur down the line.	2) No barriers noted.
Agency Resources	3) MDOT funds a position at US Fish & Wildlife (the action is driven by FHWA). This	3) Ongoing	3) This liaison position supports actions with sister agencies and provides good turn-	3) Liaison traits should include being intelligent, energetic, willing to work with all groups, and bridge	3) No barriers noted.

EXTERNAL SURVEY MISSISSIPPI DEPARTMENT OF TRANSPORTATION (MDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	action has worked well due to the personnel selection and assignment process.		around.	ecological and transportation gaps (balance priorities). This has led to good communications and trust.	
Technology	4) Use aerial photographs, 3D, visualization, GIS to lay out plans options, identify affected areas, show economic and land use affects. MDOT is working with Mississippi State University to develop remote sensing capabilities to support its GIS program.	4) Ongoing	4) No comments.	4) No comments.	4) No barriers noted.
Time Management	5) MDOT is considering merging the environmental and planning units in order to increase coordination and reduce planning/design time.	5) Not Developed	5) No comments.	5) Streamlining is dependent on relationships.	5) MDOT is 5 to 6 years out on their studies, but they have not assessed the impact on program delivery.

EXTERNAL SURVEY MISSOURI DEPARTMENT OF TRANSPORTATION (MoDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) MoDOT is a proactive participant in the review of proposed state legislation. Reviews are conducted to assess fiscal, environmental and other issue impacts.	1) Ongoing	1) While this method is not failsafe, it does provide MoDOT with numerous looks at potential impacts.	1) Coordination with members of the Missouri State Legislature.	1) No barriers noted.
Proactive Regulatory Affairs Activities	2) MoDOT has effective and reliable communications with the Missouri Congressional Delegation with regard to transportation and environmental issues.	2) Ongoing	2) No specific information provided.	2) Open communication with the Congressional Delegation opens doors for federal funding of transportation projects.	2) No barriers noted.
Proactive Regulatory Affairs Activities	3) MoDOT believes that they have an excellent working relationship with FHWA.	3) Ongoing	3) No specific information provided.	3) This relationship provides them with quality involvement in FHWA's proposals.	3) No barriers noted.
Proactive Regulatory Affairs Activities	4) MoDOT is also actively involved with environmental issues through the Transportation Research Board.	4) Ongoing	4) No specific information provided.	4) No specific information provided.	4) No barriers noted.
Business Process Re-engineering	5) MoDOT uses ad-hoc teams to study major construction projects.	5) This process has been in place for more than three years.	5) Proven to be an effective focus for numerous project related issues	5) Informal team assesses project prior to commitment of major funding.	5) No barriers noted.
Business Process Re-engineering	6) MoDOT uses Environmental Quality Circles, in which an interagency team focuses on environmental issues for a specific project.	6) This process has been in place for more than three years.	6) Processes are considered to be effective and most desired.	6) Interagency cooperation.	6) No barriers noted.
Agency Resources	7) MoDOT has considered, but has not provided, cooperative funding of	7) No action taken.	7) No action taken.	7) No action taken.	7) MoDOT has received mixed

EXTERNAL SURVEY MISSOURI DEPARTMENT OF TRANSPORTATION (MoDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	full-time employee positions in other agencies.				reviews regarding the success of liaison staffing.
Agency Resources	8) MoDOT is currently rewriting its Project Development Manual.	8) Ongoing	8) Environmental issue management is a significant component of the rewrite.	8) The revised Project Development Manual will address environmental issues.	8) No barriers noted.
Technology	9) MoDOT has an agreement with other state department(s) that allows them access to a database of sensitive species information. This database provides significant GIS-based information, including critical environmental constraints. DOT uses this information for impact analysis and to validate projects specific concerns.	9) Ongoing	9) MoDOT recognizes that the database information may or may not be current and that decisions made using these interagency databases must be validated.	9) Interagency cooperation.	9) Data may not be current and require confirmation.
Time Management	10) MoDOT develops program agreements for broad initiatives, but not for individual projects.	10) Ongoing	10) For example, MoDOT has an agreement with FHWA regarding categorical exclusions.	10) Interagency cooperation.	10) No barriers noted.
Time Management	11) MoDOT used a long-term project schedule and presented it (in 1999) to numerous state agencies and involved groups.	11) Response was not focused on environmental issues, but was critical of the need for specific projects.	11) Interagency review was not successful.	11) The initiative established better rapport and achieved some cooperative efforts between MoDOT and other agencies.	11) While the initiative established better relationships with outside agencies, the needed focus on environmental issues was lost.

EXTERNAL SURVEY NEVADA DEPARTMENT OF TRANSPORTATION (NDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) NDOT managers maintain that streamlining efforts will not be effective until mandated time periods are shortened.	1) Not implemented	1) Not implemented	1) Not implemented	1) Not implemented
Business Process Re-engineering	No information provided.				
Agency Resources	2) NDOT personnel use positive working relations and face to face communications with other stakeholders to drive the permitting process.	2) Ongoing	2) No specific information provided.	2) Interagency cooperation.	2) No barriers noted.
Technology	No information provided.				
Time Management	No information provided.				

EXTERNAL SURVEY NEW HAMPSHIRE DEPARTMENT OF TRANSPORTATION (NHDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) New Hampshire Dept. of Environmental Services has proposed legislation for an "in lieu fee" for wetlands. This legislation would provide an alternative to buying or developing wetlands.	1) Pending.	1) Not implemented yet.	1) Cooperation among state agencies, but still requires change to law on environmental permitting	1) Not implemented yet.
Business Process Re-engineering	2) Context-sensitive solutions are being led by consultant with full support of the Commissioner.	2) Nearing implementation.	2) Not implemented yet.	2) No specific information provided.	2) Baldridge quality activities and environmental management system (EMS) are stalled.
Agency Resources	3) Pilot project for identifying habitat connectivity and wildlife crossing needs.	3) Pilot completed.	3) No specific information provided.	3) No specific information provided.	3) Foundering for lack of resources, including a hiring freeze and a partial consultant freeze. Retirement rush poses challenge to retain knowledge.
Technology	4) PDA-based programs for Risk Assessment for: • Site Contamination and Appraisal of Land • Inventory of Miscellaneous Property • Surplus Property Inventory	4) RASCAL now up and running; IMP soon.	4) Innovative PDA has upload capability to website for multi-agency use. Has GPS and digital photo capability. Now incorporates DOT checklists.	4) No specific information provided.	3) No barriers noted.
Time Management	5) Monthly coordination meeting for key federal and state agencies. Meetings held twice monthly for New Hampshire Historical Preservation.	5) In place for 20 years and expanding.	5) Plan to implement use of MS Project.	5) Coordinated through NHDOT Bureau of Environment.	5) No barriers noted.

EXTERNAL SURVEY OKLAHOMA DEPARTMENT OF TRANSPORTATION (ODOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	No information provided.				
Business Process Re-engineering	No information provided.				
Agency Resources	1) ODOT has worked with FHWA and US Fish and Wildlife to implement a Memorandum of Agreement that establishes a biologist position within USF&W. This full time position does the research associated with a specific species and the potential impact from ODOT construction projects.	1) The agreement is not completely implemented.	1) There is high degree of confidence in the process. Construction contractors that meet the environ-mental constraints of a specific project will have reduced the potential of penalty and/or liability for an environmental consequence.	1) Benefits are anticipated. This approach may achieve time savings across multiple projects.	1) No barriers noted.
Technology	No information provided.				
Time Management	No information provided.				

EXTERNAL SURVEY SOUTH CAROLINA DEPARTMENT OF TRANSPORTATION (SCDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	No information provided.				
Business Process Re-engineering	1) Advance mitigation for the long range plan, as well as cooperation in implementing watershed and habitat conservation priorities.	1) Completed.	1) No specific information provided.	1) No specific information provided.	1) No barriers noted.
Agency Resources	No information provided.				
Technology	No information provided.				
Time Management	No information provided.				

EXTERNAL SURVEY TENNESSEE DEPARTMENT OF TRANSPORTATION (TDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) During the past 3-6 months, a person was assigned to the TDOT environmental policy office to coordinate efforts with outside agencies. Responsibilities include looking at the "big picture" to track potential impacts on TDOT, solicit comments and input from TDOT staff, and provide comments and input to outside agencies. TDOT has been talking with staff from Ohio, Florida, North Carolina and other DOTs that have well-established streamlining programs.	1) Starting	1) Too recent to report.	1) Learn from others. Use available forums and organizations (e.g., AASHTO) to develop a network with which to share information.	1) Too recent to report.
Business Process Re-engineering	2) Have conducted two Peer Review Exchanges with other DOTs (six states, including Washington) to look at what other DOTs are doing to restructure their processes. They have gone to North Carolina, Florida, and Ohio also. TDOT is in the very early stages of development of a new initiative, Program Project Resource Management (PPRM). TDOT has hired a coordinator for these efforts.	2) Starting	2) Too recent to report.	2) Learn form others. Appointed a person to coordinate streamlining efforts. Embrace the concept of early involvement by various parties. A new Governor and a new TDOT Commissioner provided (and committed to) the impetus for looking at better ways to move projects along (break away from "that's the way it's always been done").	2) Too recent to report.
Agency Resources	3) TDOT is funding three positions in the Tennessee Department of Environment and Conservation; these positions will be dedicated to reviewing and acting upon TDOT plans and submittals. They also have established routine meetings with other agencies (particularly those involved in the planning stages) to improve relationships and review cycles. These agencies include MPOs and other public agencies.	3) Starting	3) Too recent to comment.	3) Too recent to comment.	3) Too recent to comment.
Technology	4) The PPRM is a scheduling tool that the	4) Starting	4) Too recent to	4) Build on existing systems and tools	4) Too

EXTERNAL SURVEY TENNESSEE DEPARTMENT OF TRANSPORTATION (TDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	TDOT has been using to track progress – the tool has not been used to track environmental reviews, approvals, and actions, but is now being updated to include tracking of environmental-related actions.		comment.	to avoid unnecessary costs, ensure familiarity of DOT personnel with the system(s) used, and take advantage of existing expertise.	recent to comment.
Time Management	5) Beginning steps to get rid of separate pieces, steps, systems used for environmental permits and reviews. This includes coordinated (as opposed to separate) reviews by and presentations to MPOs and other agencies.	5) Starting	5) Too recent to comment.	5) These activities may take more time and money up front, but offer the potential to trim dollars and time overall. For example, early coordination and resolution can reduce cost and time associated with mitigation measures.	5) Too recent to comment.

EXTERNAL SURVEY VIRGINIA DEPARTMENT OF TRANSPORTATION (VDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) VDOT has a Policy Division responsible for coordinating the review of breaking laws and regulations. The Environmental Division has an individual in each work unit responsible for identifying and commenting upon new laws and regulations.	1) Ongoing	1) Successful in influencing and adapting to state requirements.	1) In regard to state requirements, VDOT supports early and consistent involvement, and assignment of review responsibilities.	1) VDOT noted that it has participated in Federal actions (TEA-21 reauthorization) through an advisor assigned to the Governor's office. However, VDOT's comments were not addressed, but the interviewee was unsure as to why.
Business Process Re-engineering	2) VDOT hired a consultant to re-engineer the Department, which resulted in the development and implementation of a new streamlined project development process. VDOT is continuously developing streamlined environmental procedures and streamlining agreements with federal and state agencies.	2) Ongoing	2) Streamlining considerations and actions are an ongoing process within the Environmental Division.	2) Development of specific guidance and procedures provides structure for consistent streamlining efforts.	2) VDOT noted, "Regulations implementing the National Environmental Policy Act should be consolidated." However, VDOT can not resolve federal legislation and rules.
Agency Resources	3) VDOT does not fund positions in environmental regulatory agencies.	3) N/A	3) No comments.	3) No comments.	3) DOT "believes that providing human resources to other agencies hides a problem that should be addressed by those who have the authority to make budgeting decisions."
Technology	4) VDOT has an effective GIS with multiple environmental layers, as well as a system dedicated to managing statewide environmental	4) Ongoing	4) Streamlining is aided by the use of systems that facilitate capture and integration of	4) Virginia recently established an agency with statewide systems oversight. Coordination	4) No barriers noted.

EXTERNAL SURVEY VIRGINIA DEPARTMENT OF TRANSPORTATION (VDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	tasks.		environmental information.	with that agency is now required for the development and implementation of most VDOT systems.	
Time Management	5) VDOT has two processes that involve close coordination with resource agencies: • "Partnering" is initiated during the NEPA stage. • "Interagency Coordination" is initiated during the permit stage. Both processes involve established meetings, outcomes, etc.	5) Ongoing	5) Agency coordination has improved.	5) No specific information provided.	5) No barriers noted.

EXTERNAL SURVEY WISCONSIN DEPARTMENT OF TRANSPORTATION (WisDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) WisDOT participated in statewide habitat conservation plan for the Kamer Blue butterfly.	1) Completed.	1) Management program recognizes that there are pockets of habitat of the Kamer Blue Butterfly adjacent to highways.	1) Agreement between state agencies (including WisDOT, Dept. of Natural Resources (DNR), and Fish & Wildlife) regarding management of habitats near highways, which creates mutual expectations and speeds the process.	1) No barriers noted.
Business Process Re-engineering	No information provided.				
Agency Resources	2) WisDOT has the ability to move projects, having water impacts, forward within reasonable timeframes.	2) In place and functioning.	2) Per Wisconsin statute, WisDOT was relieved of obtaining permits related to water impacts, but only as long as there is an established and functional relation-ship with the DNR. All of the projects are performed in the districts.	2) The DNR assigns at least one person per district to transportation issues. That DNR person is a decision maker and writes the project letter of concurrence. When the project moves into the construction phase, this same DNR person inspects erosion control. Endangered resources are addressed by DNR through a position funded by WisDOT.	2) No barriers noted.
Technology	No information provided.				
Time Management	No information provided.				

EXTERNAL SURVEY OF STATE DEPARTMENTS OF TRANSPORTATION (DOTs)

FOCUS GROUP OF TEN STATE DOTs:

CALIFORNIA

FLORIDA

LOUISIANA

MINNESOTA

NORTH CAROLINA

OHIO

OREGON

PENNSYLVANIA

TEXAS

UTAH

EXTERNAL SURVEY CALIFORNIA DEPARTMENT OF TRANSPORTATION (Caltrans)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
Proactive Regulatory Affairs Activities	1) Caltrans Environmental Streamlining White Papers in 2001 and 2003.	1) 2001 White Paper Submitted to US DOT Secretary Mineta. 2003 white paper for internal use.	1) USDOT acknowledged white paper and considered concepts on environmental streamlining initiative development. Substantial increase in FHWA California Division Office streamlining focus.	1) USDOT/ FHWA environmental streamlining activities address Caltrans concerns in a timely manner.	1) Resistance and long timeframe involved in changing the way federal rules are applied.
Proactive Regulatory Affairs Activities	2) Caltrans Environmental Analysis Office Director Presentation to California Transportation Commission (CTC) on Environmental Process Requirements.	2) Made presentation in December 2000.	2) Improved CTC understanding of complex array of environmental requirements and the need to allocate substantial amount of staff and funding resources to compliance and streamlining.	2) Staff and funding resources made available for streamlining and less criticism for long project delivery timeframes.	2) Staff time and resource allocation.
Proactive Regulatory Affairs Activities	3) Tri-Agency Partnership/Streamlining Agreement With 3 California State Agencies: • Business, Transportation, and Housing Agency.• Resources Agency.• Environmental Protection Agency.	3) Signed in February 2001.	3) Regularly scheduled interagency meetings held to coordinate environmental streamlining activities among upper managers. Teams formed to develop streamlining mechanisms.	3) Environmental streamlining and program delivery issues are resolved in a timely manner. Streamlining mechanisms developed and implemented.	3) Upper management and staff time to prepare for and participate in meetings and follow-up.
Proactive Regulatory Affairs Activities	3a) Tri-Agency Goal 2 Team Permit Streamlining Subteam Recommendations.	3a) Finalized in June 2003.	3a) Developed permit streamlining mechanisms.	3a) Permit streamlining mechanisms are implemented.	3a) Staff time and funding to implement recommendations.

EXTERNAL SURVEY CALIFORNIA DEPARTMENT OF TRANSPORTATION (Caltrans)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
Proactive Regulatory Affairs Activities	4) NEPA/Section 404 Agreement With FHWA and All Federal Agencies.	4) Signed in 1993. Working to update for 4 years.	4) NEPA and Section 404 analyses, documentation, and approvals are integrated.	4) Fewer project delays due to independent NEPA and Section 404 compliance.	4) Inability to get interagency focus and cooperation in updating the agreement.
Proactive Regulatory Affairs Activities	5) Mare Island Accord Summit and Interagency Partnering Agreement With U.S. EPA, FHWA, and Caltrans.	5) Agency Summit in 1999. Partnering Agreement signed in 2000. Meeting to update Agreement in November 2004.	5) Ongoing maintenance of agency working and interpersonal relationships.	5) Improved program delivery through cooperative working relationships.	5) Management and staff time to maintain working relationships and to update the Accord.
Proactive Regulatory Affairs Activities	6) Caltrans/FHWA division office monthly brown bag lunch meetings to discuss environmental program issues and build relationships.	6) Held monthly since April 2001.	6) Improved understandings and relationships.	6) Improved Caltrans and FHWA teamwork under a heavy workload.	6) Management and staff time to participate in meetings and to follow-up on critical concerns, issues, and ideas.
Business Process Re-engineering	7) Programmatic Categorical Exclusion (CE) Agreement.	7) Original Caltrans/FHWA Agreement executed in 1990 and updated on Nov. 19, 2003.	7) Agreement allows Caltrans to assume primary responsibility for NEPA analysis, documentation and approvals for CE eligible projects.	7) CE requirements did not delay project delivery. FHWA CE process reviews show full compliance.	7) Staff experience and training on CE procedures.
Business Process Re-engineering	8) Environmental Document Quality Improvement Teams for Caltrans Projects and Local Assistance Projects. Document Quality Control Policy.	8) Caltrans and local assistance teams issued their respective final reports in 1997 and 1998. Statewide Document Quality Control Policy issued	8) FHWA recognizes substantial improvement in quality of environmental documents.	8) High quality environmental documentation, timely reviews, and minimal errors identified. Increased delegation of NEPA	8) Staff experience and training and huge document preparation and review workload.

EXTERNAL SURVEY CALIFORNIA DEPARTMENT OF TRANSPORTATION (Caltrans)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
		in 2001.		responsibility to Caltrans central office and district offices (12).	
Business Process Re-engineering	9) Merced County/ Caltrans Partnership for Integrated Planning.	9) Partnership initiated in 2000. Merced County Association of Governments regional transportation plan with integrated environment and land use elements completed in 2004.	9) Successfully integrated environmental protection and land use elements into the long range (20 years) transportation plan.	9) Achieved integration through cooperative, well-led efforts to achieve transportation system management and land use management compatibility and sustainability.	9) Staff time and funding. No models or guidelines to follow. Complexity and magnitude of the effort.
Business Process Re-engineering	10) Preliminary Environmental Assessment Report (PEAR) prior to project development.	10) Required since December 2001.	10) Provides transportation program development process with pre-NEPA environmental scoping information. Makes establishing project priorities, time frames, and budgets more realistic and attainable.	10) Predictable and reliable program delivery with up-front knowledge of environmental context and goals.	10) Staff time and funding to conduct PEARS.
Business Process Re-engineering	11) Standardized Report Formats for Categorical Exclusions (CEs), Environmental Assessments (EAs), Environmental Impact Statements (EISs), Noise Reports, and Biological Opinions.	11) Established for: CEs, EAs and EISs in January 2003; Noise Reports in July 2002; and Biological Opinions in May 2003.	11) Established a standardized format for these reports.	11) Report format consistency statewide.	11) Staff time to develop format guidelines and training.

EXTERNAL SURVEY CALIFORNIA DEPARTMENT OF TRANSPORTATION (Caltrans)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
Business Process Re-engineering	12) Caltrans Project change control process for making major changes to projects.	12) In effect since July 2000.	12) Mandates gathering the "right information at the right time" to make critical project decisions to avoid rework and time delays.	12) Major changes in projects are avoided.	12) Staff experience and training in gathering information and making decisions.
Business Process Re-engineering	13) "Purpose and Need" Team and Recommendations.	13) Finalized in 2003.	13) Project "purpose and need" guidance.	13) Project "purpose and need" analysis and documentation is improved.	13) Staff time to participate in team and to conduct training.
Business Process Re-engineering	14) Environmental Considerations in Planning Team.	14) Formed in October 2003.	14) No progress.	14) Future development of guidance for integrating environmental considerations into transportation systems planning.	14) Staff time and resources to develop guidance.
Business Process Re-engineering	15) Cultural Resources Section 106 Programmatic Agreement for all projects.	15) Executed in September 2003. Very successful implementation.	15) Delegates major responsibility to Caltrans qualified professionals.	15) Substantial improvement in project delivery.	15) Continuously heavy project workload.
Business Process Re-engineering	16) Environmental Certification for Ready to List (Advertise Construction Contract) Projects.	16) In effect. Procedures drafted in October 2003.	16) Ready to List Projects receive an environmental certification that all requirements are met before they are listed for advertisement.	16) All environmental requirements are incorporated into the construction bid proposal.	16) Staff time to certify projects. Large project letting schedule.
Business Process Re-engineering	17) "Inferred Presence" Endangered Species Consultation Approach.	17) In effect.	17) Caltrans can use best available scientific information without project	17) Costly and time consuming field survey work of 1 to 2	17) Resource agency workload and willingness to accept

EXTERNAL SURVEY CALIFORNIA DEPARTMENT OF TRANSPORTATION (Caltrans)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
			field survey work.	years is minimized.	best available scientific information.
Business Process Re-engineering	18) Consolidated Mitigation Funding Approach Pilot for Route 99.	18) Concept developed in 2003.	18) Concept developed to fund landscape scale mitigation to apply to Route 99 improvements over 20 years.	18) Project-by-project mitigation for Route 99 is replaced by a consolidated mitigation program implemented in advance of construction.	18) Funding availability for long range mitigation.
Business Process Re-engineering	19) Guidelines for Pre-Project Capital Costs for Mitigation.	19) Issued in June 2003.	19) Guidelines issued but funding has been unavailable.	19) Advanced mitigation for streamlining project delivery.	19) Funding availability.
Agency Resources	20) One Week Environmental Planner Academy for 800 Environmental Professionals.	20) Started in 1999 and ongoing based on demand.	20) Caltrans environmental professionals get continuing education and training.	20) Highly qualified and experienced professional personnel are retained.	20) Staff time to develop and conduct training.
Agency Resources	21) Four Central Office Environmental Analysis Division Environmental Coordinators.	21) All in place by June 2003.	21) Continuous liaison between Central and District Office environmental professionals.	21) District Offices have easy access to Central Office environmental professionals.	21) Project workload and travel time and costs.
Agency Resources	22) Deputy District Directors for Environment in all 12 Districts.	22) In place in 2002.	22) High level of environmental emphasis in the District Office organization and operations.	22) Environmental stewardship and streamlined project delivery.	22) Hiring and retaining highly qualified professionals.
Agency Resources	23) Eight Assistant Chief Counsels for Environmental Affairs.	23) Positions created in 2001.	23) Proactive legal advice is provided to build legal sufficiency into environmental and related	23) All Caltrans projects are in compliance and/or successfully	23) Hiring and retaining highly qualified professionals.

EXTERNAL SURVEY CALIFORNIA DEPARTMENT OF TRANSPORTATION (Caltrans)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
			analyses and documents.	defended when challenged.	
Agency Resources	24) Environmental Analysis Division moved into Project Delivery from Planning.	24) In effect in January 2001.	24) Placed the Caltrans environ-mental organization in the project development mainstream.	24) Environmental considerations are well-integrated into project development.	24) Ensuring that all Caltrans organizations have easy access to environ-mental expertise.
Agency Resources	25) Funding 21 Resource Agency Positions to Streamline Program Delivery.	25) Started in 2000.	25) Twenty-one professionals in place.	25) Streamlined program delivery and environmental stewardship.	25) Hiring, training, and retaining highly qualified and experienced professionals. Resource agency willingness to dedicate full-time staff to transportation project reviews.
Agency Resources	26) Risk Management Process. Continuously assess risk in terms of cost, scope, and schedule as projects.	26) Ongoing.	26) Risk is proactively managed.	26) Project cost, scope, and schedule are commensurate with risks.	26) Staff time to assess and discuss risks.
Agency Resources	27) Caltrans Excellence in Transportation Awards Competition. 8 Criteria and 8 Categories. Streamlining related criteria are: functional efficiency; compatibility with or enhancement of the environment; and preservation and conservation of natural resources. One of the categories is the "environment."	27) Annual schedule, with applications in November and awards in March.	27) Statewide recognition of efficiency and environmental stewardship. Information on Caltrans website.	27) Improved program delivery and environmental stewardship.	27) Staff time to apply.
Technology	28) Caltrans Standard	28) As of March 2004,	28) One-stop, on-line	28)) All Caltrans	28) Staff time to

EXTERNAL SURVEY CALIFORNIA DEPARTMENT OF TRANSPORTATION (Caltrans)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
	Environmental Reference (SER) established on the web to provide a single, standard reference on compliance With the National Environmental Policy Act (NEPA) and Related Federal Laws, Executive Orders, Regulations, and Policies. Four volumes are on-line and 2 are in preparation.	volumes on-line are:• 1 - General Guidance on Compliance• 2 - Cultural Resources• 3- Biological• 4 - Community Impact Assessment. Volume 5, Stormwater, and Volume 6, Hazardous Waste Management, are in preparation.	shopping for Caltrans project development environmental policies and procedures and all applicable state and federal environmental and related rules affecting project development.	environmental and related policies and procedures for project development are on-line.	develop and update the SER.
Technology	29) Electronic Data Management Feasibility Study.	29) Report recently completed.	29) Report recently completed.	29) Enterprise electronic data management system links all Caltrans information systems.	29) Staff time and funding to develop and deploy system and security.
Technology	30) Archaeological Database.	30) Under development.	30) Under development.	30) Archaeological data is easily stored, secure, but accessible.	30) Staff time and funding to develop database and enter data and security.
Time Management	31) Monthly project issue meetings between four Caltrans Environmental Analysis Division environmental coordinators and FHWA Division environmental coordinator.	31) Held monthly since April 2003.	31) Improved resolution of project environmental concerns and issues.	31) Fewer project delays due to unaddressed issues.	31) Staff time to prepare for, participate in, and follow-up on issues.
Time Management	32) Various project scheduling software tools.	32) Ongoing.	32) Various project scheduling tools are available to program and project managers.	32) Program and project management information is accurate, reliable, and readily available.	32) Staff training and experience.

EXTERNAL SURVEY FLORIDA DEPARTMENT OF TRANSPORTATION (FDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) FDOT attorney assigned on a 1-year internship to FHWA Headquarters. This person worked with FHWA on the reauthorization of TEA-21 with a Florida senator's office.	1) Ongoing.	1) Coordinated efforts with AASHTO and FHWA on monitoring and modifying legislation to reflect needs/interests of FDOT.	1) Early involvement pays off down the road.	1) Changes in old ways of doing business were driven by senior management who were "visionaries." Management support and vision are keys to these types of efforts that are difficult to measure and whose returns may be several years away.
Proactive Regulatory Affairs Activities	2) Legislative Programs Office established to track legislation, solicit comments from the DOT, and provide input to draft legislation and regulations that may affect the DOT.	2) Ongoing.	2) This Office helps plan for and address requirements, but the nature of the effort makes it difficult to measure success in terms of dollars or time.	2) Early involvement pays off down the road.	2) Same as 1).
Proactive Regulatory Affairs Activities	3) FDOT assigned a Legislative Liaison in Washington, D.C. to monitor federal legislation and regulations.	3) Ongoing.	3) Same as 2).	3) Early involvement pays off down the road.	3) Same as 1).
Business Process Re-engineering	4) Efficient Transportation Decision Making (ETDM) represents a completely re-engineered way of doing business – from project development through planning and design. Teams provide information early in the development process. Teams consist of about 50	4) Ongoing.	4) An ETDM Manual is under development. The effort has been underway for a couple of years, but is just at the point where some benefits would be showing – the expected benefits are reduced overall project costs and shortened review cycles. The ETDM Manual links project	4) Improved relationships derive from the outreach and involvement efforts incumbent in the ETDM process. FDOT (along with about 6 other participating agencies) is currently putting together performance	4) Reluctance of other agencies to cede control and remain in stovepipes has been overcome through persistence, education of the various agencies in the possibilities and potential environmental and business benefits of early

EXTERNAL SURVEY FLORIDA DEPARTMENT OF TRANSPORTATION (FDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	people from more than 20 agencies that have or will be signing Memoranda of Understanding (MOUs).		development with other processes. It also includes training.	measures to track their progress as well as overall cost, time, and environmental benefits.	involvement, use of management teams, consistency (of message and approach), and senior management vision and commitment.
Agency Resources	5) FDOT has established three basic types of agreement as part of its ETDM process – a master agreement that outlines how streamlining will be practiced overall, a second tier that establishes agency responsibilities, and a third tier that establishes funding for some agencies, including for travel, staff, and computers.	5) Ongoing. Of more than 20 MOUs with various agencies, most have been signed (the last few are expected to be signed in the near term).	5) Improved relationships with and understanding by other agencies of the problems faced by FDOT and the need to resolve issues and needs as quickly as possible to serve the public. Benefits (cost, time, and environment) are expected but the effort is still a work in progress. They hope to have measurable results within 2 years.	5) Commitment of senior management at the state executive level, as well as by senior management in the various agencies.	5) Established hierarchies in various agencies have been a barrier (the higher the level the more issues identified). Early involvement of legal staff in the various agencies has been key to removing this barrier.
Technology	6) Various tools and screens have been developed to support the ETDM process. These tools, which are all encompassing (e.g., GIS, reviews, input, public comment, plans for review, local government plans and needs) continue to evolve and be developed. In the future, they would like to have electronic posting and review of NEPA documents. NCHRP has prepared a draft report including a description of their technology. They	6) Ongoing.	6) The technology applications support and facilitate the overall ETDM process. With the recent hurricanes, FEMA used the ETDM info to locate waste areas and temporary housing locations for displaced residents. MPOs are using the ETDM technology screens and applications for early project review and selection before even submitting for detailed review and selection. The tool has also helped to identify needs/gaps early on.	6) Senior management commitment of resources based on longer-term expected benefits.	6) No comment provided.

EXTERNAL SURVEY FLORIDA DEPARTMENT OF TRANSPORTATION (FDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	also hope to have "visualization" capabilities in addition to GIS in the future.				
Time Management	7) The ETDM process is more than just technology. It is an overall integrated process that assigns and tracks responsibilities for various agencies. In the past, NEPA documents to develop the environmental context were prepared once projects advanced to the current year. With ETDM, metropolitan planning organizations (MPOs) now review and select projects well in advance (i.e., transportation plans are integrated with resource plans) so that NEPA actions and materials begin as early as possible.	7) Ongoing.	7) The ETDM process has helped to bridge and integrate jurisdictional requirements. Agencies have been asked to not only look from afar but to help in streamlining.	7) Using the ETDM process to identify data needs and gaps as early as possible has helped in improving relationships as well as in advancing projects through the review cycle.	7) As noted previously, agency "stovepipes" had to be addressed and surmounted.

EXTERNAL SURVEY LOUISIANA DEPARTMENT OF TRANSPORTATION (LDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	No information provided.				
Business Process Re-engineering	No information provided.				
Agency Resources	1) Developing new NEPA manual.	1) Under Review.	1) Under Review.	1) Under Review.	1) Under Review.
Technology	2) Context Sensitive Design to protect wetlands (Highway 1 project written up).	2) Completed.	2) Context Sensitive Design to protect wetlands (Highway 1 project written up).	2) Collaborative with FHWA.	2) No barriers noted.
Time Management	No information provided.				

EXTERNAL SURVEY MINNESOTA DEPARTMENT OF TRANSPORTATION (MNDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) MNDOT Government Affairs Office internally and externally coordinates legislative, regulatory, and policy proposal development and reviews.	1) Ongoing.	1) MNDOT has input into the promulgation of state and federal laws, regulations, policies, and procedures affecting the environmental aspects of project delivery.	1) Rules promulgated positively affect project delivery.	1) Staff time to conduct reviews and coordinate resolution of comments and issues.
Proactive Regulatory Affairs Activities	2) MNDOT participation in Governor Pawlenty's Drive to Excellence. Potential transformation processes include: reengineering; strategic sourcing; automation; functional consolidation; and facilities strategies. Steering Committee will select most promising opportunities and guide implementation.	2) Phase I: gathering and assessing information (9/10/04-10/29/04); Phase II: analyzing (10/29/04-12/03/04); and Phase III: prioritizing(12/3/04-1/7/05).	2) Phase 1 initiated.	2) MNDOT gains support for program delivery streamlining initiatives.	2) Staff time to participate in Phases 1, 2, and 3.
Business Process Re-engineering	3) MNDOT Project Delivery Streamlining Program for design, environment, and right-of-way started in February 2001. Seven Focus Areas:• Consultant Process Improvements.• More Concurrent Project Development Process.• Environmental Process Streamlining.• Organizational Changes.• Technology Advances.• Right-of –Way Process Improvements.• Construction Plan Content. Eighty-two separate	3) As of July 2003, over 59 initiatives completed. As of April 2004, work on 14 Initiatives currently underway.	3) As of July 2003, over 59 Initiatives completed. No data available on time and cost savings.	3) Success factors include:• Strategic plan.• Executive management leadership and commitment to process change. Dedicated fulltime streamlining team. Steering committee.• Consultant budget.• Proactive stakeholder involvement.• Information sharing.	3) Staff time to guide changes in policies, procedures; organizational resistance to change; staff turnover; rigid legal requirements; political leadership change; and funding scarcity.

EXTERNAL SURVEY MINNESOTA DEPARTMENT OF TRANSPORTATION (MNDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	streamlining initiatives. Project delivery stream-lining team, steering committee, and management oversight committee formed in Spring 2001.				
Business Process Re-engineering	3A) Environmental Coordinators in 8 Engineering Services Division Offices.	3A) Completed.	3A) Readily available environmental expertise. Improved regulatory/environ-mental resource agency relationships and coordination.	3A) Environmental expertise in district and improved relationships.	3A) Hiring and retaining qualified environmental professionals.
Business Process Re-engineering	3B) Enhanced Project Engineering and Environmental Scoping Process in Districts.	3B) Ongoing.	3B) More accurate project scopes of work, decreasing scope creep, and fewer project delays.	3B) Reliable and predictable project quality, delivery schedules, and budgets.	3B) Staff time to participate in scoping activities and project priority changes.
Business Process Re-engineering	3C) Annual Regulatory and Resource Agency Program Coordination Meetings in Districts.	3C) Ongoing.	3C) Improved interagency cooperation through information-sharing, prioritization, workload management, and issue identification and resolution.	3C) Improved project quality and delivery schedules.	3C) Management and staff time to arrange, prepare for, and conduct meetings.
Business Process Re-engineering	3D) Concise EIS Preparation.	3D) Ongoing.	3D) Applying concise EIS concepts to reduce production costs and improve readability.	3D) Brief, concise, and legally sufficient EIS within 150 pages, per Council on Environmental Quality guideline.	3D) Reluctance of EIS authors and expert reviewers to reduce amount of text and to summarize and cross reference.
Business Process Re-engineering	3E) Combining Preliminary and Final Design and Assigning One Project Manager.	3E) Ongoing.	3E) Smoother and seamless development of the project design, improved public credibility	3E) Improved design quality and project delivery schedules.	3E) Organizational resistance to change, staff experience, and training.

EXTERNAL SURVEY MINNESOTA DEPARTMENT OF TRANSPORTATION (MNDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
			and trust, and better fulfillment of commitments.		
Business Process Re-engineering	3F) Quality Control/Assurance Procedures and Checklists. Delegation of quality control/assurance responsibilities to District Offices.	3F) Ongoing.	3F) Quality control/assurance responsibilities assigned to districts.	3F) High quality environmental and design products are produced by districts with minimal rework.	3F) Depth of experience and skills of district staff.
Business Process Re-engineering	3G) Context-Sensitive Design (CSD) Policy, Standards, Procedures, and Training.	3G) CSD Policy adopted in 2000. Implementation ongoing.	3G) National Pilot State for CSD, CSD policy, design visualization tools, CSD website, CSD training curriculum, and CSD staff.	3G) Environmental protection and enhancement is designed in according to the project area context.	3G) Persistent emphasis on NEPA and related analysis and documentation rather than CSD.
Business Process Re-engineering	3H) Early Engineering and Environmental Mapping for Project Studies.	3H) Ongoing.	3H) Aerial photography (digital orthophotos) and mapping are available before or at the start of design.	3H) Design activities can commence immediately with design authorization.	3H) Staff time to identify and order photography and mapping early.
Business Process Re-engineering	4) Right-of-Way Corridor Preservation Using Official Map.	4) Ongoing.	4) Potentially developing right-of-way is preserved for transportation purposes. Costly and time-intensive acquisition of developed proper-ties may be avoided.	4) Important transportation corridors are preserved.	4) Private property rights, negative economic impacts, and environmental approval/permitting process.
Business Process Re-engineering	5) Environmental Factors in Transportation Systems Planning.	5) National Transit Institute course conducted on linking planning and NEPA in Minnesota.	5) Identified potential changes to transportation planning and project development process in Minnesota to consider environmental factors prior to project development.	5) Project purpose and need and environmental context is identified before project development. Environmental mitigation is on a regional or eco-region	5) Organization resistance to change. Lack of established guidelines, experience, and training. Availability of transportation.

EXTERNAL SURVEY MINNESOTA DEPARTMENT OF TRANSPORTATION (MNDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
				scale.	
Business Process Re-engineering	6) Statewide Section 106 Programmatic Agreement for Historic Bridges, Historic Bridge Survey, and Preservation Plan.	6) Agreement in place. Bridge survey and management plan to be developed.	6) Request for consultant proposal to be issued soon.	6) Bridge-by-bridge Section 106 eligibility, effect, and preservation option determinations are eliminated.	6) Staff time and funding to manage survey and preservation plan.
Business Process Re-engineering	7) Statewide Memorandum of Agreement for Storm Water Management to Comply With National Pollutant Discharge Elimination System (NPDES) Permit Rules.	7) Completed.	7) Being implemented.	7) Full compliance with NPDES Permit conditions.	7) Staff time and funding to develop and implement permit conditions.
Agency Resources	8) MNDOT Distributive Services Model. Transfer program delivery responsibilities to District Offices.	8) Ongoing.	8) Transferred 78 Central Office positions and $million to District Offices with delegated program delivery responsibilities.	8) Improved program delivery and environmental stewardship.	8) Organizational resistance to change, changing roles of personnel, training, and maintaining productivity and quality in the short term.
Agency Resources	9) Temporarily Funding 6 Regulatory/Resource Agency Positions.	9) Discontinued 5 positions due to internal management policy change in 2002.	9) Some improvement in program delivery.	9) Same as Accomplishments.	9) Management policy on use of transportation funds for non-transportation agency personnel.
Agency Resources	10) Annual Environmental Conference in cooperation with the University of Minnesota.	10) Conducted first conference in 2004. Plan to conduct conference in April 2005.	10) Over 200 participants. Very favorable comments on value of conference.	10) Relationship building, information-sharing, and training.	10) Staff time and funding to organize and conduct conference.
Agency Resources	11) Environmental Consultant Pre-Qualification Process and Task Order Contracts.	11) Ongoing.	11) Qualified consultants available to districts are identified in advance of contract advertisement. Task order contracts are	11) Highly qualified consultants are identified and hired in a timely manner.	11) Staff time to pre-qualify consultants and execute contracts.

EXTERNAL SURVEY MINNESOTA DEPARTMENT OF TRANSPORTATION (MNDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
			readily available to districts.		
Agency Resources	12) Project Managers Academies include Environmental Training and Streamlining Tools.	12) Ongoing. Streamlining tools added to curriculum in June 2003.	12) Project managers have adequate knowledge to incorporate environmental considerations into project development in a streamlined manner.	12) Project designs include appropriate environmental protection and enhancement.	12) Staff time to develop and conduct training.
Agency Resources	13) MNDOT Productivity and Project Management Group.	13) Formed in March 2004.	13) Developed group charter. Primary mission is to determine what it costs to deliver the transportation program.	13) Program delivery costs are identified and tracked on an ongoing basis.	13) Availability of accurate cost information for program and a tool to monitor and report costs.
Technology	14) Minnesota Predictive Model for Archaeological Resource Identification.	14) In use.	14) Timely, efficient, and accurate location of archaeological resources without costly field surveys.	14) Early identification of and protection of archaeological resources.	14) Staff time and funding to maintain the predictive model and to manage data.
Technology	15) Cultural Resource Database Development.	15) Coming on-line.	15) Database software developed and tested. Data entry underway.	15) Cultural resource data is easily stored and accessed.	15) Converting historical data to electronic format, data entry, and security issues.
Technology	16) MNDOT Electronic Data Management System (EDMS).	16) Parts of MNDOT in early stages of implementation.	16) Office of Technical Support using EDMS for project data management and project tracking. Project environmental commitments can be tracked.	16) Project data is easily stored and accessible. Environmental commitment implementation is tracked.	16) Converting cultural resource data to electronic format, data entry, and security issues.
Time Management	17) MNDOT Strategic Plan, Long Range Transportation Plan, 10 Year Work Plan, and 3 Year State Transportation Improvement	17) Ongoing.18) In use.18a) Developed and being deployed.	17) MNDOT effectively uses planning tools to identify transportation needs and priorities and to manage transportation	17) MNDOT adjusts its course and focus by taking a big-picture look and using systematic approaches to program	17) Human nature of desiring to “DO” rather than “Plan to DO.”18) Data entry.18a) Staff time to learn and use

EXTERNAL SURVEY MINNESOTA DEPARTMENT OF TRANSPORTATION (MNDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	Plan.18) Project Program Management System (PPMS).18a) Project Program Management System enhancement to include resource allocation and workload management with project schedules.		program delivery while staying in touch with customers.18) Basic project description, milestone and cost information is in an internal network. 18a) Resource allocation and workload management tool developed and avail-able agency-wide.	delivery.18) Project information is readily available.18a) Program delivery is streamlined through improved resource allocation and workload management.	tool effectively and availability of training.

EXTERNAL SURVEY NORTH CAROLINA DEPARTMENT OF TRANSPORTATION (NCDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
Proactive Regulatory Affairs Activities	1) Identification of interagency policy issues embedded in project planning interagency meetings.	1) Being implemented.	1) Now part of 1- and 3-year work plan development.	1) Project delays avoided.	1) Insufficient time for policy discussions.
Proactive Regulatory Affairs Activities	2) NCDOT staff review of all proposed environ-mental laws, regulations, policies, and procedures.	2) Ongoing.	2) Continuous awareness of rule changes. Opportunity to positively affect rule changes.	2) Project delays and non-compliance avoided.	2) Insufficient staff time for review and follow up.
Proactive Regulatory Affairs Activities	3) Memorandum of Understanding (MOU) between NCDOT and Dept. of Environment and Natural Resources (DENR) for secondary and cumulative impacts.	3) MOU was executed.	3) Training manual developed and training being conducted.	3) Project delays and non-compliance avoided.	3) Availability of expertise and experience.
Proactive Regulatory Affairs Activities	4) Environmental Stewardship and Streamlining Initiative Inventory.	4) Database in place and updated in Summer 2004.	4) Database is in place to manage and communicate environmental streamlining initiatives.	4) Readily available status and progress information. High level of agency and public awareness.	4) Staff time to maintain updated inventory.
Proactive Regulatory Affairs Activities	5) Recognition of Excellent Environment Performance, Partnering, and Program Delivery.	5) Received 14 awards.	5) State and national recognition.	5) Increased agency and public confidence and trust based on excellent results.	5) Sustaining excellence over time. Time and resources to monitor and recognize excellence. Program delivery is the priority.

EXTERNAL SURVEY NORTH CAROLINA DEPARTMENT OF TRANSPORTATION (NCDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
Proactive Regulatory Affairs Activities	6) Creation of the Board of Transportation's Environmental Planning and Policy Committee.	6) Established in 2001.	6) Keeps NC Board of Transportation abreast of NCDOT environmental performance and issues.	6) Well-informed Board of Transportation on NCDOT environmental affairs.	6) Staff time to prepare information for the Board and to follow up on assignments.
Proactive Regulatory Affairs Activities	7) Development of a Permit Review Process in Highway Design Branch.	7) Under development.	7) No information.	7) Mechanism is in place to monitor and report on compliance.	7) Staff time and resources to develop process, operating procedures, and training.
Business Process Re-engineering	8) NCDOT Self-Monitoring and Immediate Corrective Action for construction and maintenance sediment and erosion control with area roadside environmental engineers.	8) Being implemented.	8) Minimum number of notices of violation.	8) Lack of notices of violation.	8) Staff time to monitor and report on compliance.
Business Process Re-engineering	9) Memorandum of Agreement (MOA) with DENR, DOT, and COE with specific goals to improve relationships and processes.	9) MOA executed on May 7, 2001.	9) Several environmental streamlining and relationship building initiatives in the agreement are implemented.	9) Improved agency working relationships, program delivery, and environmental protection.	9) Staff turnover, time, and resources to develop and implement initiatives.
Business Process Re-engineering	10) Context Sensitive Design Policies, Procedures, and Training.	10) Policies, procedures, and training developed and underway.	10) Policies, procedures, and training developed and underway.	10) Projects fit into their surroundings and streamlined project delivery.	10) Changing attitudes and training capacity.
Business Process Re-engineering	11) Construction Waste and Borrow Pit Environmental Screening	11) Being implemented.	11) No violations associated with waste and borrow activities.	11) No violations and improved environmental protection.	11) Staff time and resources for screening.

EXTERNAL SURVEY NORTH CAROLINA DEPARTMENT OF TRANSPORTATION (NCDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
	Process.				
Business Process Re-engineering	12) NCDOT Division Environmental Officers and Role Consistency.	12) All NCDOT Divisions have environmental officers on staff. Guidance on roles and responsibilities issued.	12) NCDOT Divisions have in-house environmental expertise.	12) NCDOT Divisions comply with environmental rules without project delays.	12) Maintaining statewide consistency and training.
Business Process Re-engineering	13) Programmatic CE Forms and Checklists.	13) Fully implemented.	13) Standardized forms and checklist in use.	13) Analysis and documentation consistency and quality control/assurance.	13) Training availability and staff time to monitor performance.
Business Process Re-engineering	14) Programmatic Section 4(f) Evaluation Forms.	14) Fully implemented.	14) Standardized form.	14) Analysis and documentation consistency and quality control/assurance.	14) Training availability and staff time to monitor performance.
Business Process Re-engineering	15) Merger '01 Environ-mental Streamlining Process for project development with four agency concurrence points.	15) Fully implemented, and continuously refined and updated.	15) Improved agency relationships and streamlined project delivery.	15) Improved program delivery.	15) Staff time to monitor performance and update process.
Business Process Re-engineering	16) Developing high quality natural resource identification and special protocols for planning, designing, and constructing projects.	16) Ongoing. High quality resource guidelines to be implemented in 2004.	16) Ongoing. High quality resource guidelines to be implemented in 2004.	16) High quality resources are protected and enhanced.	16) Sufficient time to gather field data during project development.
Business Process Re-engineering	17) Pre-TIP Planning Process (pilot and analysis).	17) Awaiting dedication of resources.	17) Initiative identified by NCDOT Transportation Planning Branch.	17) Environmental and community context information is available before project development.	17) Sufficient staff time and funding to scope and collect data before project development.
Business	18) Best Environmental	18) Manual	18) Manual published in	18) No notices of violations.	18) Staff time to

EXTERNAL SURVEY NORTH CAROLINA DEPARTMENT OF TRANSPORTATION (NCDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
Process Re-engineering	Management Practices for Maintenance, Emergencies, and Construction.	published in November 2003 and available online for maintenance and construction. Design manual being developed.	November 2003 and available online.		develop manuals and training.
Business Process Re-engineering	19) Proposed General Environmental Permits for Maintenance and Operations for Environmental Streamlining.	19) Under development.	19) Under development.	19) Individual permits for projects are no longer required.	19) Staff time to develop permits, procedures, training, and monitoring.
Business Process Re-engineering	20) Multi-Modal Needs Assessment for Statewide, Regional, and Local Areas as part of NC Multimodal Long Range Transportation Plan.	20) Under development.	20) Developed concept, engaged stakeholders, updated plan website, and completed revenue forecasts.	20) Multimodal transportation needs are well established, documented, and reviewed before project development is initiated.	20) Staff time and resources to conduct needs assessment.
Business Process Re-engineering	21) Project Planning Study Selection Criteria for Merger ’01 Environ-mental Streamlining Process Candidates.	21) Criteria developed and applied.	21) Identified projects that must follow Merger ’01 Environmental Streamlining Process.	21) All eligible projects follow the Merger ’01 Process.	21) Retroactive application of criteria and possible project delays.
Business Process Re-engineering	22) NC Department of Environment and Natural Resources Permit Fee Charge Account.	22) Under development.	22) Under development.	22) Individual payments for permit fees are eliminated.	22) Staff time to develop charge account procedures and training.
Business Process Re-engineering	23) Flexible Environmental Mitigation Strategies.	23) “Wish List” of potential strategies under development.	23) “Wish List” of potential strategies under development.	23) The best environmental mitigation is realized.	23) Existing rules prescribe environ-mental mitigation criteria and ratios.
Business Process Re-	24) Environmental Green Sheets listing project	24) Fully implemented.	24) Project environmental mitigation	24) Project environmental mitigation commitments are	24) Requires continuous training

EXTERNAL SURVEY NORTH CAROLINA DEPARTMENT OF TRANSPORTATION (NCDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
engineering	mitigation commitments included in construction contracts.		commitments are consistently implemented.	consistently implemented which builds credibility and trust with agencies and the public.	and monitoring.
Business Process Re-engineering	25) Ecosystem Enhancement Program for wetlands and streams mitigation initiated years in advance of construction.	25) Under development.	25) Fifty full-time staff to be in place by 2005.	25) High quality ecosystem enhancements are in place and functioning before project impacts occur.	25) Staff and funding resources to develop and implement program.
Business Process Re-engineering	26) Metal Truss Bridge Relocation and Reuse Program.	26) Implemented since 1978.	26) Several metal truss bridges were relocated and reused.	26) Saves project development time.	26) Number of parties interested in reusing a truss bridge. Maintenance costs.
Business Process Re-engineering	27) Integration of Systems Planning and Project Development Processes.	27) Under development.	27) Under development.	27) Well-documented, integrated planning process that enables a seamless transfer of information about transportation needs and environmental and community considerations, allows appropriate decisions to be upheld, meets legal requirements, and is consistent with the spirit of the NCDOT Merger '01 Process.	27) Existing rules and institutional arrangements are not set up to address environ-mental requirements in transportation planning.
Agency Resources	28) NCDOT funds positions for project development in state and federal regulatory and resource agencies.	28) 21 positions are funded in state and federal agencies. 20 more positions approved in 2003.	28) Program is supporting Merger '01 Environmental Streamlining Process and "working well."	28) Streamlined program delivery, enhanced agency relationships, and improving environmental stewardship.	28) Staff time to hire professionals and training.
Agency Resources	29) Formation of the Office of Human Environment.	29) In place within the Project Development and Analysis Branch.	29) Increased focus on environmental justice, indirect and cumulative impacts, land use planning, and	29) Increased focus on environmental justice, indirect and cumulative impacts, land use planning, and community impact assessment.	29) Widely accepted analysis methodologies and training.

EXTERNAL SURVEY NORTH CAROLINA DEPARTMENT OF TRANSPORTATION (NCDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
			community impact assessment.		
Agency Resources	30) Department of Environment and Natural Resources/NCDOT Senior Staff Meetings.	30) Monthly meetings are conducted.	30) Improved working relationships between agencies.	30) Streamlined program delivery through improved understanding and information flow.	30) Management time to prepare for and follow up on issues.
Agency Resources	31) Establishment of State Operations Environmental Engineering Section to address operational environmental issues.	31) Section established in 2001.	31) In-house environmental expertise readily available to the section.	31) Decreasing number of notices of violation.	31) Staff time to develop training.
Agency Resources	32) Formation of the Office of Environmental Quality to coordinate, facilitate, and promote environmental steward-ship throughout NCDOT.	32) Office established in 2003.	32) Improved environmental management oversight, coordination, and cooperation throughout the agency.	32) Several factors are responsible for successful implementation:• Improved environmental processes.• Promoted environmental stewardship.• Fostered effective working relationships.• Proactively integrated new laws and regulations into NCDOT programs and processes.• Coordinated stewardship and streamlining activities (internal and external).• Measured performance of environmental initiatives, programs, and processes.	32) NCDOT functional units understanding and carrying out their respective environmental management responsibilities.
Agency Resources	33) US Army Corps of Engineers/NCDOT Team Concept for environmental permitting for emergency hurricane repairs.	33) Informal arrangements in place for additional Corps of Engineers personnel to form hurricane repair teams.	33) Additional Corps of Engineers personnel will be made available as needed.	33) Rapid deployment of environmental permitting personnel.	33) Availability of experienced personnel.

EXTERNAL SURVEY NORTH CAROLINA DEPARTMENT OF TRANSPORTATION (NCDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors(How attained)**	**Barriers(How overcome)**
Agency Resources	34) NCDOT Office of Natural Environment assists agencies in field studies to enhance estuarine and riverine systems.	34) NCDOT staff assistance provided to assist in field studies.	34) Estuarine and riverine enhancement projects completed.	34) Interagency partnerships for environmental enhancements.	34) Availability of experienced personnel.
Technology	35) GIS Predictive Modeling for archaeological sites during transportation planning.	35) Pilot project is 70% complete. Waiting for funding for 7 more pilot projects.	35) Early identification and protection of archaeological resources.	35) Streamlining promotes early identification and protection of archaeological resources.	35) Staff time and funding to develop database and predictive models.
Time Management	36) Formal Elevation Process for Project Development Issues with NC DENR.	36) Process established in 2001 and updated in 2003.	36) Process used on an average of once a month. Project delays avoided with timely resolution of issues.	36) Prioritization of dispute resolution between NCDOT and DENR.	36) Staff and management time and effort to meet to resolve issues.
Time Management	37) Management Directive for 40% Reduction In Project Cycle Time. Evolved into Integrated Scheduling and Project Tracking System Known as PMii.	37) PMii under development. To be operational in 2004.	37) An integrated project scheduling and tracking system is operational and includes environmental aspects of projects.	37) Management directive pushed PMii development.	37) Staff time and funding to develop, test, and deploy system.

EXTERNAL SURVEY OHIO DEPARTMENT OF TRANSPORTATION (ODOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) ODOT conducted numerous meetings with FHWA and other Federal and state agencies to identify upcoming legislation and requirements in order to "influence the lay of the land" as the legislative and requirements development progresses. Through various efforts, ODOT is now part of ongoing DOT, FHWA, and AASHTO networks.	1) Ongoing. While not formally established (by position, unit, or group), these efforts now take place routinely.	1) ODOT staff and management firmly believe that the effort has improved relationships with involved parties. They also believe that the real payoff will come in the future (in the next three to four years) as their regulatory, review, and approval burdens are controlled and as projects are more readily and easily approved. Through these efforts they have also worked with the National Cooperative Highway Research Program (NCHRP) to focus research on developing/ upcoming issues. In addition, they have positioned ODOT in the planning/oversight loops of the AASHTO Center for Environmental Excellence and Standing Committee for the Environment (SCOE), and various AASHTO review and comment panels.	1) Early involvement pays off down the road. Originally driven by key individuals, management now fully backs the efforts (e.g., many trips are now taken at ODOT's own expense).Also, they have taken the time to explain to involved agencies the magnitude (time, money) of their decisions.	1) To reduce skepticism and obtain buy-in: rely on facts/don't embellish, don't be afraid to ask why, get out of your own box/level of comfort, avoid the "chicken little" scenarios, don't sweat the small stuff, look for the positives.
Business Process Re-engineering	2) Following from the Proactive Approach, ODOT has established programmatic agreements that define how ODOT does business with others (beginning with project	2) Ongoing.	2) Formerly, some projects avoided environmental issues, but at the "expense" of needing to resolve other issues (e.g., real estate, geotech, utilities). Now project development considers the whole picture –	2) Monthly video conferences for management review have enhanced accountability and avoid schedule deviations. With the number of eyes involved	2) Acceptance and performance has been built by educating people project by project over several years (effort was not widely accepted at the

EXTERNAL SURVEY OHIO DEPARTMENT OF TRANSPORTATION (ODOT)					
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	development). ODOT has also established an aggressive training and prequalification program for both ODOT and agency personnel as well as contractors.		ODOT believes that, while the efforts are still too new to have generated specific measurable results, there will be dollar and time savings within a few years. Training and coordination efforts have already improved relationships (reviews and approvals). These efforts have already shown improved readability in and coordination among various plans. There has been a noted improvement in the quality of construction plans.	in these reviews very little fluff (i.e., have avoided adding time to ensure that schedules can be met). The reviews and training has also helped to encourage the idea that we're all in this together. ODOT noted that through planning about 99% of their projects are CEs (planning for and doing projects based on impact not scope has helped). It is no longer automatic that there will be EAs.	beginning).
Agency Resources	3) ODOT finances personnel at other agencies (2 people at soil conservation, 1 person at the Forest Services for a particular project, 1 at Ohio EPA, 2 at Fish and Wildlife for programmatic considerations regarding the Indiana Bat, an endangered species). Will be placing personnel at the Corps District.	3) Ongoing.	3) The trust built through these efforts has helped ODOT improve review, comment, and approval turn around.	3) The turn around with SHPO came when ODOT said that a requested assessment would cost $3 million – they had not realized the magnitude of their impact. The caution is – don't exaggerate and have your facts straight.	3) Don't be afraid to face up to agencies so that they understand the dollars and time impacts of their requests and determinations.
Technology	4) ODOT (with ODNR and OEPA) has a large GIS effort that includes, among other	4) Ongoing.	4) The tracking system has helped improved performance by providing the means to	4) Senior management commitment of resources based on longer-term	4) Questions re: technology investments were

EXTERNAL SURVEY OHIO DEPARTMENT OF TRANSPORTATION (ODOT)					
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	things, endangered species information. In addition to the GIS system, the DOT has an existing platform (ELLIS) that they use to track projects. This system is being modified to include tracking of environmental deliverable, review, and approval schedules. The system would include notifications and reminders. As currently being used and planned, the notifications are a discussion point in the monthly management review meetings noted in Process Reengineering.		quickly determine adherence to planned schedules, provide notifications and reminders to help people keep abreast of their efforts, and, in turn, hold people accountable.	expected benefits.	addressed through a needs analysis. Another concern was addressed through definition of when to make the investment.
Time Management	5) ODOT uses its management review process and technology system to review the performance of agencies. In turn, ODOT noted that it is not afraid to go to the agencies.	5) Ongoing.	5) Agency coordination and response times have improved.	5) It helps to get all of the agencies in the same room – but you have to avoid the "feeding frenzy" mentality and must recognize that agencies don't like to cede their authorities.	5) Don't provide unrealistic schedules – this helps to overcome reluctance of agencies to be held accountable.

EXTERNAL SURVEY OREGON DEPARTMENT OF TRANSPORTATION (ODOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) National Oceanic and Atmospheric Administration (NOAA) Exemption to Section 9(a)(1) Take Prohibitions of Endangered Species Act (ESA)-listed salmonids for routine road maintenance program.	1) In effect since July 2000.	1) Avoided hundreds of individual ESA take determinations for routine road maintenance activities. Salmonid populations and habitats protected and enhanced.	1) Proactive involvement in ESA rulemaking to address routine road maintenance activities. Development of ODOT Manual. Ongoing training of maintenance personnel.	1) Staff time to develop rules, manual, and training.
Proactive Regulatory Affairs Activities	2) Five-Year NOAA Endangered Species Act (Section 4(d)) Permit for routine road maintenance.	2) In effect since July 26, 2004. Supersedes Section 9(a)(1) exemption cited above.	2) Updated routine road maintenance water quality and habitat guide.	2) Meeting commitments, updated manual, and ongoing training.	2) Staff time to update manual.
Proactive Regulatory Affairs Activities	3) Governor's Natural Resource Cabinet Seat for Transportation.	3) ODOT Secretary actively participates in natural resource cabinet activities.	3) Natural resource cabinet is informed of transportation-related natural resource issues. ODOT is informed of statewide natural resource issues. High level of management support for ODOT initiatives.	3) Early recognition of Governor's emphasis on natural resource stewardship. Cabinet well-informed of transportation natural resource protection and enhancement activities.	3) Management and staff time to participate in cabinet meetings.
Proactive Regulatory Affairs Activities	4) ODOT Revised Statute Annual Report for the State Legislature.	4) In effect for 5 years.	4) ODOT annually directs 4-5 percent of transportation funding for environmental protection and enhancement associated with regulatory compliance.	4) Very good record of regulatory compliance. Legislature well-informed of environmental-related expenditures.	4) Resistance to directing transportation funding to environmental protection and enhancement.

EXTERNAL SURVEY OREGON DEPARTMENT OF TRANSPORTATION (ODOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	5) Oregon Transportation Investment Act (OTIA III) Environmental Stewardship Program for the replacement of 400 state-owned bridges for $1.3 Billion. See program development descriptions below.	5) OTIA III enacted in 2003 and directed ODOT to deliver the state bridge program in innovative, cost-efficient ways.	5) Worked over 22 months in partner-ship with state and federal transportation, regulatory, and resource agencies to establish a comprehensive OTIA III Bridge Delivery Environmental Stewardship Program.	5) Delivery of the 400 environmentally sound bridge replacement projects within 8 years.	5) Staff time and resources (over $5 million dollars) to develop the multi-million dollar environmental stewardship program and to deliver the bridge program.
Proactive Regulatory Affairs Activities	5a) Interstate 5 and 84 Bridge Replacement Program Stakeholder Workshops conducted in October 2002. Draft White Paper prepared in November 2002 established 7 Step Bridge Delivery Process.	5a) First 3 steps of bridge delivery program for over 400 bridges completed by August 5, 2004. An August 4, 2004 White Paper provides a historic look at the 2002 Bridge Program.	5a) Workshops and the White Paper documented the concepts and framework for the OTIA III Environmental Stewardship Program.	5a) Proactive stakeholder involvement in developing and implementing the bridge delivery program.	5a) Staff time and resources.
Proactive Regulatory Affairs Activities	5b) Development of Major Elements of Environmental Stewardship Program, including:• Environmental Performance Standards for Bridge Replacement.• US Army Corps of Engineers Regional General Permit for 400 Bridges.• Section 401 Water Quality Certification for 400 Bridges.• Programmatic Endangered Species Act Biological Opinion for 400 Bridges.• Programmatic Section 106 Agreement for Cultural Resources.• Oregon Department of State Lands General Authorization.• Comprehensive Mitigation and Conservation Strategy (Applies to All ODOT Projects).• Information Management System Including GIS.•	5b) Most of the major elements are in place. Work is continuing on the comprehensive mitigation and conservation strategy; implementation reporting, monitoring, and adaptive management system; and cost-savings documentation.	5b) An innovative, environmentally-sound and cost efficient bridge delivery program is place. Design-build contracts are being advertised for groups of bridges.	5b) Bridge Program is delivered in 8 years or less in an environmentally-sound manner.	5b) Staff time and funding resources and availability of qualified consultants and contractors.

EXTERNAL SURVEY OREGON DEPARTMENT OF TRANSPORTATION (ODOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	Construction Waste Management Strategy.• Implementation Reporting, Monitoring, and Adaptive Management System.• Cost-Savings Documentation.• Historical Context Statement for the Interstates.				
Proactive Regulatory Affairs Activities	5c) Design and construction of 400 bridges using design-build contracting. Management contract for the Oregon Bridge Delivery Partners Bridge Program was executed.	5c) Design-build contracts are being advertised for groups of bridges.	5c) An innovative, environmentally-sound, cost efficient bridge delivery program is place. A bridge program management team is in place.	5c) Bridge program is delivered in 8 years or less in an environmentally-sound manner.	5c) Staff time and funding resources and availability of qualified consultants and contractors.
Proactive Regulatory Affairs Activities	5d) Environmentally-sound maintenance of 400 bridges after construction.	5d) In design and construction.	5d) Environmental protection measures for maintenance are in strategies.	5d) Bridge maintenance activities include environmental protection measures.	5d) Information flow from design to construction to ensure follow-up on commitments.
Proactive Regulatory Affairs Activities	6) Environmental Violation Protocol for construction and maintenance activities.	6) Written policy and procedure in effect.	6) Written policy and procedure in effect.	6) Decrease in environmental violations during construction and maintenance.	6) Personnel turnover. Ongoing training and monitoring needed.
Proactive Regulatory Affairs Activities	7) OTIA III Stewardship Program Extension Working Group.	7) Team recently formed to look at how to extend the OTIA III Environmental Stewardship Program to all ODOT projects.	7) Team formed.	7) Identification and implementation of approaches to extend OTIA III Environmental Stewardship Program to all ODOT projects.	7) Staff time and organizational resistance to change.
Proactive Regulatory Affairs Activities	8) Programmatic Agreement Reporting and Implementation Team.	8) Team formed in September 2004.	8) Team formed.	8) Identification and implementation of approaches to monitor and report on implementation of	8) Staff time.

EXTERNAL SURVEY OREGON DEPARTMENT OF TRANSPORTATION (ODOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
				programmatic agreements.	
Business Process Re-engineering	9) Programmatic Endangered Species Act Biological Opinion (FHWA and NOAA) for statewide drilling, surveying, and hydraulic engineering activities.	9) In effect since February 6, 2003 and is currently being updated.	9) Eliminated project-by-project biological opinions.	9) Interagency partnering, cooperation, credibility, and trust.	9) Staff time (over a year) to develop and execute the agreement.
Business Process Re-engineering	10) Programmatic Endangered Species Act Biological Opinion for routine road maintenance (US Fish and Wildlife Service).	10) Draft agreement under review and execution expected within six months.	10) Draft agreement.	10) Eliminate maintenance activity-by maintenance activity biological opinions.	10) Staff time(over a year) to develop and execute the agreement.
Business Process Re-engineering	11) Regional (5 ODOT) Storm Water (NPDES) Permits for construction.	11) In effect.	11) Eliminated project-by-project storm water permits.	11) Interagency partnering, cooperation, credibility, and trust. Stormwater provisions in construction contracts.	11) Staff time to develop and execute the regional permits. Implementation monitoring and training.
Business Process Re-engineering	12) Section 106 Cultural Resources Programmatic Agreement for Minor Transportation Projects. Covers automatically excluded projects and those delegated to ODOT staff.	12) Execution anticipated in January 2005.	12) Draft agreement developed and under review by State Historic Preservation Office (SHPO).	12) Project-by-project Section 106 determinations for minor transportation projects are substantially reduced.	12) Staff time to develop and execute agreement. Monitoring, reporting, and training.
Business Process Re-engineering	13) Section 106 Cultural Resources Programmatic Agreement for Covered Bridges.	13) Execution anticipated in January 2005.	13) Draft agreement developed and under review by SHPO.	13) Project-by-project Section 106 determinations for covered bridge projects are substantially reduced.	13) Staff time to develop and execute agreement. Monitoring, reporting, and training.
Business Process Re-engineering	14) Section 106 Cultural Resources Programmatic Agreement for metal truss, arch, suspension, and movable historic bridges.	14) Execution anticipated in November 2005.	14) Draft agreement developed and under review by SHPO.	14) Project-by-project Section 106 determinations for bridge projects are	14) Staff time to develop and execute agreement. Monitoring,

EXTERNAL SURVEY OREGON DEPARTMENT OF TRANSPORTATION (ODOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
				substantially reduced.	reporting, and training.
Business Process Re-engineering	15) Section 106 Cultural Resources Programmatic Agreement for linear historic resources such as roads, canals, trails, and railroads.	15) Execution anticipated in Summer 2005.	15) Draft agreement developed and under review by SHPO.	15) Project-by-project Section 106 determinations for bridge projects are substantially reduced.	15) Staff time to develop and execute agreement. Monitoring, reporting, and training.
Business Process Re-engineering	16) Environmental Baseline Reports completed before project design studies.	16) Completed for all projects.	16) Environmental context is identified and mapped to promote context-sensitive project design.	16) Project design is context-sensitive.	16) Staff time, scheduling, and funding for completing baseline reports before project design.
Business Process Re-engineering	17) Asset Management: highway culvert, bridge, tunnel, retaining wall, pavement, wetland mitigation area condition assessment.	17) Data collection and management protocols under development.	17) Same as Status.	17) Condition of assets is documented. Life cycle maintenance programs are funded and implemented. Environment is protected, restored, and enhanced as assets are managed.	17) Staff time and funding to conduct condition assessments. Lack of as-built plans for assets.
Agency Resources	18) Collaborative environmental and transportation process for streamlining built on the Six Pillars:• Pillar #1, Environmental Management System.• Pillar #2, Habitat Mitigation Program.• Pillar #3, Statewide, Interagency Resource Mapping and Planning.• Pillar #4, Expanded Programmatic Approvals.• Pillar #5, Seamless	18) By Pillar:• Pillar #1– high-way maintenance EMS initiated.• Pillar #2– state-wide mitigation banking program ready in 2005.• Pillar #3– Archeology Site GIS in place in 2003. Salmon Resource and Sensitive Area Mapping	18) Same as Status.	18) Improved program delivery, environmental performance, interagency relationships, and public trust.	18) Management and staff time and funding resources.

EXTERNAL SURVEY OREGON DEPARTMENT OF TRANSPORTATION (ODOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	Performance by Local Governments and Contractors.• Pillar #6, Expanding CETAS Participants.	and Restricted Activity Zones GIS in place.• Pillar #4– Several programmatic agreements in place.• Pillar #5– Online FTP site with all required regulatory document forms and completed examples. Ongoing training on environmental regulatory law and required regulatory documentation. ODOT environ-mental staff participated in 49 pre-construction meetings in 2003.• Pillar #6-OTIA III Stewardship Program development and implementation.			
Agency Resources	19) ODOT Strategic Realignment – decentralization of project design and environmental management.	19) Underway.	19) New roles and responsibilities for Central Office and Regional Office(5) project design and environmental management staff.	19) Central Office performs policy development, research, technical assistance, training, and quality assurance functions. Regional Offices perform project design and environmental management functions.	19) Organizational resistance to change. Changing roles and responsibilities.
Agency Resources	20) Environmental Training Program – self learning.	20) Investigating feasibility of web-based environmental training	20) Same as Status.	20) Continuous availability of environmental training.	20) Staff time and funding to develop web-based

EXTERNAL SURVEY OREGON DEPARTMENT OF TRANSPORTATION (ODOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
		program.			environmental training materials.
Agency Resources	21) Roadside Development Coordinator Position to promote context-sensitive design.	21) ODOT position for a landscape architect created.	21) Same as Status.	21) Context-sensitive design technical assistance is readily available.	21) Availability of qualified candidates, training, and retention.
Technology	22) Environmental Regulatory Compliance Tracking and Documentation System.	22) In place as a shared drive on the ODOT Network.	22) Up-to-date information on regulatory compliance in all ODOT Regions.	22) Compliance is monitored and reported and corrective actions are taken in a timely manner.	22) Staff time to enter and update environmental permit information.
Technology	23) GIS Cultural Resource Inventory Database.	23) Under development by SHPO.	23) Same as Status.	23) Readily available cultural resource inventory.	23) Staff time and funding, and data security.
Technology	24) GIS Restricted Activity Zone Maps for Salmon Recovery.	24) Available to all ODOT maintenance personnel.	24) Maintenance work plans protect and enhance salmon habitat.	24) Salmon populations are protected.	24) Staff time to update maps and training.
Time Management	25) Monthly CETAS Meetings to review project schedules, progress, delays, and issues.	25) Ongoing.	25) Delays and issues are identified early and addressed. Interagency disagreements are elevated for resolution.	25) No project delays.	25) Management and staff time to prepare for and conduct meetings.
Time Management	26) Monthly Cultural Resource Review Status Meetings With State Historic Preservation Office (SHPO).	26) Ongoing.	26) Project review priorities are adjusted as needed and issues are addressed.	26) No project delays.	26) Management and staff time to prepare for and conduct meetings.
Time Management	27) Project Management Software.	27) Various project management software programs are available to ODOT staff on the agency network.	27) Project schedules are in an electronic form.	27) Project scheduling information is readily available.	27) Training staff time to develop and update schedules.

EXTERNAL SURVEY PENNSYLVANIA DEPARTMENT OF TRANSPORTATION (PennDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) Regular meetings with Pennsylvania DEP and U.S. Army Corps of Engineers.	1) Fully implemented.	1) Identify issues before they become conflicts.	1) Use a Plan-Do-Check-Act approach. Make sure that decisions with state-wide implication are not made at the permitting level.	1) No barriers noted.
Business Process Re-engineering	2) Streamlining of Endangered Species Act focusing on "risk" and "jeopardy" species.	2) Implemented.	2) Regular meetings involve FHWA and Fish & Wildlife.	2) Empowerment in the Districts and establishment of "improvement cultures."	2) No barriers noted.
Agency Resources	No information provided.				
Technology	3) Focus on new applications for GIS and CAD Net to improve customer/stakeholder satisfaction.	3) Being tested.	3) Using consultants to lead modeling efforts. Current challenge is anticipating demands on any public hearing.	3) Analysis and documentation consistency.	3) No barriers noted.
Technology	4) Categorical Exclusion Expert System.	4) Implemented.	4) Web-based tool with smart forms intended to accelerate the process and reduce errors.	4) Analysis and documentation consistency.	4) No barriers noted.
Time Management	5) Design Manuals 1 and 1a address NEPA documents for categorical exclusions (CEs), environmental assessments (EAs), and environmental impact statements (EISs), including noise.	5) Implemented.	5) Analysis and documentation consistency.	5) Analysis and documentation consistency.	5) No barriers noted.

EXTERNAL SURVEY TEXAS DEPARTMENT OF TRANSPORTATION (TxDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) Established several formal structures and processes to obtain, review, and comment upon upcoming legislation and regulations. These include a Legislative Affairs Office, "networking" through established mechanisms and relationships) state government offices, FHWA and AASHTO meetings and coordination. Also have established schedules for meetings among agency senior management. Through established state processes, TxDOT has the opportunity to propose a legislative agenda and legislative agenda items.	1) Ongoing.	1) Coordination, outreach, contacts, and "forward thinking" have helped to obtain decisions and requirements that benefit the public and the environment while accommodating DOT fiscal, resource, and regulatory constraints. Have observed a reduction in the time required to let projects.	1) Take long view. Analyze impacts outside of typical framework/thought process. Work with and follow Ohio DOT-led efforts with FHWA and other regulators.	1) Recognize that decisions that accommodate one group or agency have impacts upon other entities. Solution is outreach, explanation of outcomes and options, and identifying potential influences.
Proactive Regulatory Affairs Activities	2) State law requires MOUs with TCEQ, Historical Commission, General Land Office, Native American Tribes, wildlife, etc.	2) Ongoing.	2) Have established mitigation banks and ecological protection agreements that improve relationships, shorten reviews, and provide format for defining needs and requirements.	2) Interagency cooperation.	2) No barriers noted.
Business Process Re-engineering	3) The DOT has established several programmatic agreements with various state and Federal agencies. For example, the NAFTA Highway (albeit a unique large scale project) uses a process manual that identifies decision points, milestones, and time frames. The DOT is also establishing programmatic agreements for everyday projects that also include similar decision points, milestones, etc.	3) Ongoing.	3) The programmatic agreements for routine projects have helped TxDOT to establish CEs for 95-96% for all projects. Some programmatic agreements allow for group clearances (NEPA, archaeology, biology, all bridges in a county).	3) Success of programmatic agreements is due, at least in part, to identification of affected parties, definition of involved party issues, and outreach to these parties.	3) Some tribes were originally reluctant – they now pay for tribal consultants to visit some sites/areas. Success of right-of-way acquisition process is dependent on a well-developed planning process.
Business	4) Semi-annual meeting (TERS) of	4)	4) Interagency cooperation.	4) Interagency	4) No barriers noted.

EXTERNAL SURVEY TEXAS DEPARTMENT OF TRANSPORTATION (TxDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Process Re-engineering	senior executives from various agencies: TCEQW, TxDOT, USGS, FHWA, and TX and US Forest Service.	Ongoing.		cooperation.	
Business Process Re-engineering	5) Developed procurement mechanisms for and established contracts with environmental and engineering consultants that can now include factors and requirements that were previously not available under Texas law and procurement requirements.	5) Ongoing.	5) Contracts may now include cost as a factor, extensive statements of work (SOWs), and requirements for quality, credibility, and accuracy.	5) Contract requirements provide needed project management controls.	5) Resistance to change.
Business Process Re-engineering	6) The DOT has the ability to purchase right of way (ROW) well in advance of need, thereby reducing cost of future acquisition and the time hurdles that could be faced in the future (the acquisitions take place several years before the actual need).	6) Ongoing.	6) Provides an opportunity to save a significant amount of money.	6) Provides an opportunity to save a significant amount of money.	6) Having funds available to purchase the right of way.
Agency Resources	7) Have dedicated a liaison person to work with the Corps to keep reviews moving.	7) Ongoing.	7) Reviews and approvals performed much more smoothly.	7) Identification of potential hurdles to target coordination and support needs.	7) No barriers noted.
Technology	8) TxDOT used existing data to populate various databases. For example, TxDOT financed a Texas historical/archaeological sites resource that is a web-based tool used in conducting reviews. For the NAFTA Highway project, TxDOT used a GIS-based system (the GIST/TEAP) that breaks down various routes into 1 square kilometer blocks and then applies a red-yellow-green color to identify areas that have no, little, or	8) Ongoing.	8) The GIST/TEAP system has helped to reduce time and resources needed to characterize and review various routes, thereby, streamlining the process.	8) Commitment of resources by senior management. Capture existing information – then, build on this information. Consider existing systems as the foundation for subsequent	8) Agree on data sets. Integrate across units. Distinguish between NEPA clearance and clearance for construction.

EXTERNAL SURVEY TEXAS DEPARTMENT OF TRANSPORTATION (TxDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
	significant concerns based on existing data. This system (while not as detailed) is used as a basis for other systems to support TxDOT's efforts.			platforms/systems.	
Technology	9) Building an Environmental Tracking System (ETS) to capture project data (schedules, time required, costs, decisions, resource needs, etc).	9) Ongoing.	9) ETS presents critical issues, central point for coordination, agreed upon schedules, decision points, resource needs, and parties involved. Streamlines reviews and approvals.	9) Provides needed project management controls.	9) No barriers noted.
Time Management	10) TxDOT's tracking systems and programmatic agreements all help to enable and improve time management.	10) Ongoing.	10) Agency coordination and response times have improved.	10) It helps to have well-defined issues, experiences, plans, schedules, and roles and responsibilities.	10) No barriers noted.

EXTERNAL SURVEY UTAH DEPARTMENT OF TRANSPORTATION (UDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Proactive Regulatory Affairs Activities	1) UDOT convenes an annual meeting (the "All Call") for all relevant federal and state agencies, non-government organizations (NGOs), and Native American representatives. UDOT has its Central Environmental Group, CO and project managers in attendance. EISs and EA are reviewed individually. Project scoping is done as a follow-up.	1) Ongoing. Also considering setting up a quarterly meeting with senior leaders from the various agencies.	1) Besides giving the attendees the opportunity to link a project with "a face," it provides a measure of efficiency to this process.	1) Interagency cooperation.	1) No barriers noted.
Business Process Re-engineering	2) Completed a Performance Efficiency/Quality Improvement evaluation and now using a new management methodology called Project-Level Budgeting (PLB).	2) Implemented.	2) Resulted in targeted priorities for programs, processes, and direct project activities. Time of each individual is coded into the system and management evaluates in terms of issues and future needs.	2) Same as Accomplishments.	2) No barriers noted.
Business Process Re-engineering	3) The "All Call" provides a means for all relevant federal and state agencies, non-government organizations (NGOs), and Native American representatives to meet with UDOT's Central Environmental Group.	3) Ongoing. Also considering setting up a quarterly meeting with senior leaders from the various agencies.	3) Besides giving the attendees the opportunity to link a project with "a face," it provides a measure of efficiency to this process.	3) Interagency cooperation.	3) No barriers noted.
Agency Resources	No information provided.				

EXTERNAL SURVEY UTAH DEPARTMENT OF TRANSPORTATION (UDOT)					
Streamlining Category	**Project/Initiative with Description (including reference to Summary Note Numbers)**	**Status**	**Accomplishments**	**Success Factors (How attained)**	**Barriers (How overcome)**
Technology	4) Categorical Exclusion Expert System.	4) In process.	4) Modeled on PennDOT. Web-based training is directed at preparers and users.	4) Analysis and documentation consistency.	4) No barriers noted.
Time Management	5) As indicated above, the "All Call" meeting provides access to stakeholders and creates a degree of efficiency.	5) Ongoing.	5) Besides giving the attendees the opportunity to link a project with "a face," it provides a measure of efficiency to this process.	5) Interagency cooperation.	5) No barriers noted.
Time Management	6) As indicated above, the Performance Efficiency/Project Level Budgeting (PLB) provides a means for management to track staff time against project activities and budgets.	6) Implemented.	6) Time of each individual is coded into the system and the Director evaluates in terms of issues and future needs.	6) Provides needed project management information.	6) No barriers noted.

APPENDIX 6 – BLUE RIBBON COMMISSION ON TRANSPORTATION RECOMMENDATIONS ON PERMIT STREAMLINING

The following is a list of permit streamlining activities that have been recommended in Washington State. The Blue Ribbon Commission on Transportation addressed streamlining in its December 2000 report; many of these recommendations later formed the basis of the legislation which created Transportation Permitting Efficiency and Accountability Committee (TPEAC).

PERMIT STREAMLINING RECOMMENDATIONS – BLUE RIBBON COMMISSION ON TRANSPORTATION

In its December 2000 final report, the Blue Ribbon Commission on Transportation issued a number of recommendations concerning the state's transportation system. The following recommendations specifically address permit streamlining:

1. Document and monitor project costs of environmental review, permitting and mitigation required; use these data as the basis for permit reform to reduce costs caused by process rather than substantive environmental protection
2. Perform environmental reviews early in project design; require early agreements among agencies and early involvement of stakeholders
3. Establish standards for environmental review and mitigation that are consistent across local, state and federal agencies
4. Make better use of existing environmental processes through better NEPA/SEPA integration, funding resource agency staff to expedite permit reviews, setting and honoring permit timelines, and creation of multi-agency project teams
5. Use watershed-based planning and mitigation strategies
6. Seek delegation of federal permit authority under section 404 of the Clean Water Act (placement of fill in waters, wetlands) to the state
7. Identify a significant highway project as a pilot for a streamlined permitting process; use the results to work towards goal of a one-stop permitting process with a single permit application