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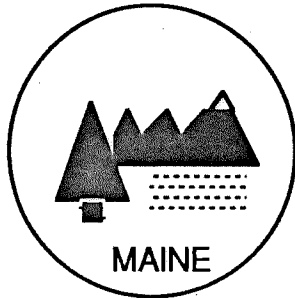


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**Land Use Regulation Commission
MAINE DEPARTMENT OF CONSERVATION**

MANAGEMENT STUDY

PEAT MARWICK MAIN & CO.

March 1989

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March 10, 1989

Susan J. Bell
Deputy Commissioner
Department of Conservation
Station #22
Augusta, Maine 04333

Dear Ms. Bell

Enclosed is the final report of our management study of the Maine Land Use Regulation Commission. The report contains the findings which we have previously reviewed with you and other members of the project team, and our recommendations to strengthen LURC management in a number of different areas.

We have enjoyed the opportunity to work with the Department of Conservation on this project and we greatly appreciate the assistance which you and Commissioner Meadows have provided throughout the engagement. We would also like to thank the LURC Commission and its Director and staff for the cooperation and courtesies which have been extended to us over the last several months. We wish you every success in your future efforts.

Very truly yours,

Peat Marwick Main & Co.

PH:dh/CONSV309

LAND USE REGULATION COMMISSION

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I. Study Purpose and Objectives

STUDY PURPOSE AND OBJECTIVES

STUDY PURPOSE:

- ANALYZE THE LAND USE REGULATION COMMISSION'S ORGANIZATION, MANAGEMENT SYSTEMS, INTERNAL FUNCTIONS AND ACTIVITIES TO DETERMINE ITS EFFECTIVENESS;
- FORMULATE ALTERNATIVES TO IMPROVE THE DELIVERY OF SERVICES TO THE PEOPLE OF THE STATE OF MAINE; AND
- RESTORE PUBLIC CONFIDENCE IN THE WORK OF THE AGENCY.

OBJECTIVES:

- REVIEW THE PRESENT FUNCTIONS, RESPONSIBILITIES, STRUCTURE AND OPERATING RESOURCES OF THE LAND USE REGULATION COMMISSION;
- DEVELOP ALTERNATIVES FOR IMPROVING PRESENT OPERATING PROCEDURES;
- DEVELOP ALTERNATIVE ORGANIZATIONAL STRUCTURES AND PRESENT STRENGTHS AND LIMITATIONS OF SUCH ALTERNATIVES;
- REVIEW THE AUTOMATION POTENTIAL OF EXISTING AND PROPOSED SYSTEMS;
- REVIEW PROGRAM AND ADMINISTRATIVE STAFFING LEVELS;
- REVIEW OFFICE SPACE; AND
- DEVELOP RESOURCE ESTIMATES AND A PROPOSED SCHEDULE FOR THE IMPLEMENTATION OF STUDY RECOMMENDATIONS.

II. Approach

STUDY APPROACH

- DEFINE MAJOR ISSUES:
 - INTERVIEW MANAGERS AND SUPERVISORS
 - INTERVIEW ENVIRONMENTAL GROUPS, MAJOR LANDOWNERS, INDUSTRY REPRESENTATIVES, AND PERMIT APPLICANTS
 - INTERVIEW INDIVIDUAL STATE LEGISLATORS
- REVIEW AVAILABLE DATA AND REPORTS
- DISTRIBUTE AND REVIEW JOB ANALYSIS QUESTIONNAIRES
- ANALYZE WORKLOAD, ACTIVITIES, AND PRODUCTIVITY
- ASSESS STAFFING LEVELS AND TECHNICAL SKILLS
- ANALYZE FUNDING SOURCES AND FUTURE FUNDING NEEDS
- CONDUCT ORGANIZATION ANALYSIS OF AGENCY
- EVALUATE OFFICE SPACE AND COMPUTER FUNCTIONS
- DEVELOP PRELIMINARY FINDINGS AND RECOMMENDATIONS
- DEVELOP IMPLEMENTATION SCHEDULE AND ESTIMATE OF RESOURCES NEEDED TO CARRY OUT RECOMMENDATIONS
- PRESENT FINAL REPORT

III. Executive Summary

EXECUTIVE SUMMARY

The Land Use Regulation Commission is a unique public agency which exercises broad planning, zoning and regulatory authority over Maine's unorganized territories. Since its inception in 1971, development activities throughout its jurisdiction have grown steadily, which have, in turn, substantially increased its own permitting and enforcement responsibilities, as well as the need to coordinate its activities with a variety of other state regulatory agencies. In addition, LURC faces new responsibilities with the passage of the new growth management and other development land use laws in Maine.

These increases in workload have been especially marked during the last five years, and have prompted intense public discussion over the agency's ability to exercise its responsibilities, as well as the resources required to do so. In 1988, to help meet the increased demand for agency services, the Legislature authorized 10 new positions for LURC, bringing total authorized staffing to 28.

This management study was undertaken concurrent with the agency's recruitment and hiring of its new positions, as well as the replacement of other LURC employees who left the agency during 1988. Thus, the study was conducted during a period of great transition for LURC, and consequently focuses upon both the challenges and the opportunities which these changes present.

In brief, our study shows LURC to be at a critical juncture in its evolution as a regulatory agency. Its ability to carry out its statutory duties and enforce its regulations through a small, central office with a minimum of formal policies and procedures has clearly been exceeded by the volume and complexity of its current workload. Furthermore, the agency's historical emphasis on developing and implementing environmental policies and regulations must now be joined by an equal emphasis on developing sound management systems. These systems are essential to assure effective utilization of LURC's resources as well as timely and consistent permitting and enforcement decisions. This transition will require new skills, new attitudes, and a clearly defined strategy that will guide the agency through the next several years.

The components of this transition are outlined in Section IV of this report. In brief, we believe that, while some additional personnel are needed to strengthen the agency's planning and administrative activities, it is more critical that changes be made in the agency's management practices and standard operating procedures. In addition, these changes must be accompanied by greater employee training, improvements in automated information and word processing systems, and the utilization of more standardized methods for much of the agency's internal and external communications. Of equal importance, we believe, are changes in the agency's organizational structure, and a new emphasis on LURC's regional offices, to be accompanied by a gradual delegation of certain permitting, enforcement and public information responsibilities to each regional staff.

Finally, we recommend that the Department of Conservation and the LURC Commissioners undertake an assessment of the agency's future role and responsibilities, as seen by the many different perspectives brought to our attention during the course of this study. The goal of this review is to have a common understanding of roles, responsibilities, mission and purposes by the Department, the Commission and LURC staff and to help managers focus on policies and program priorities.

LURC's evolution to a larger agency with greater emphasis on regional services presents important opportunities to improve management at the present time. These opportunities are highlighted on the following page, and presented in more detail in the body of this report.

OPPORTUNITIES FOR CHANGE

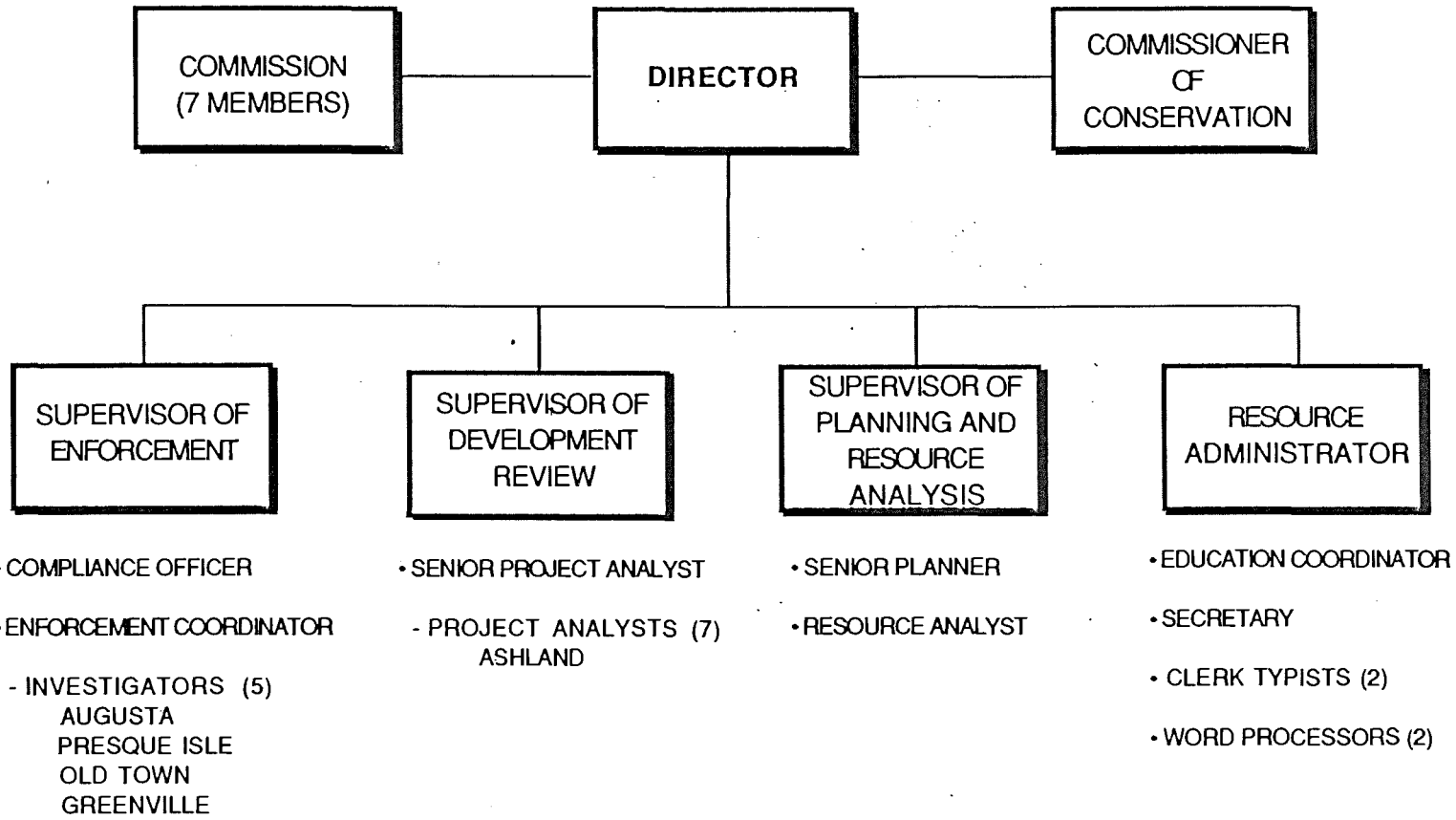
- IMAGE:** BUILD MANAGEMENT "TEAM" CONCEPT
STRENGTHEN ROLE AND VISIBILITY OF FIELD STAFF
REDUCE/ELIMINATE BACKLOGS BY SPECIFIED TIME
- SERVICE DELIVERY:** UNDERTAKE AN ANALYSIS OF THE AGENCY'S SERVICE GOALS
RESTRUCTURE TO IMPROVE COORDINATION AND RESOURCE UTILIZATION
BUILD AND STAFF FIELD OFFICES WITH A WELL-DEFINED STRATEGY
- PERSONNEL:** DEFINE SUPERVISORY ROLES AND DUTIES MORE CLEARLY
DEVELOP/IMPLEMENT EMPLOYEE TRAINING PROGRAMS
REDEFINE POSITION DUTIES/NEW CAREER LADDERS
- POLICIES:** DOCUMENT AND INDEX POLICY DECISIONS, INTERPRETATIONS AND AGENCY ACTIONS
SUMMARIZE AND CATALOG FOR EMPLOYEE REFERENCE, ETC.
- PROCEDURES:** STANDARDIZE CORRESPONDENCE WHERE POSSIBLE
ESTABLISH PRIORITIES AND DEADLINES FOR DIFFERENT PERMIT CATEGORIES
ACQUIRE MORE WORD PROCESSING STATIONS; INTEGRATE WITH EXISTING SYSTEM
AND TRAIN EMPLOYEES TO USE
DEVELOP AND AUTOMATE MORE COMPREHENSIVE RECORDING/TRACKING SYSTEMS
IMPLEMENT A PERIODIC NOTIFICATION SYSTEM TO ADVISE APPLICANTS OF STATUS
- MANAGEMENT:** DEFINE AND ENFORCE PRIORITIES FOR DEVELOPMENT REVIEW, ENFORCEMENT CASES,
AND AGENCY'S PLANNING RESPONSIBILITIES
BUILD SUPERVISORY SKILLS
REFOCUS ON MANAGEMENT RESPONSIBILITIES
PROVIDE CLEAR STATEMENT OF AGENCY'S ROLE, CAPABILITIES, AND LIMITATIONS,
AND ADJUST AS NEEDED

IV. Findings and Recommendations

MAINE LAND USE REGULATION COMMISSION

CURRENT ORGANIZATION STRUCTURE

(Authorized Positions)*



*(AS OF JANUARY, 1989: TOTAL AUTHORIZED STAFF = 28 PERMANENT POSITIONS,
PLUS SHORT-TERM TEMPORARY POSITIONS IN EACH DIVISION AS NECESSARY)

ORGANIZATION STRUCTURE

MAJOR FINDINGS:

The current organization structure of LURC reflects the three primary activities that the agency performs:

- Land use planning
- Development review and permit approval
- Enforcement

In addition to these services, LURC's remaining organizational unit provides the internal clerical and support functions for all of the agency's staff. Each of the four units reports to the Director, through unit supervisors, who essentially comprise LURC's senior management team.

While the present organization structure adequately supports the agency's operating goals and mission, it does have a number of weaknesses which may be summarized as follows:

- The division of the agency into four distinct units has impeded communication and the development of a "team" approach to problem-solving and resource utilization
- The separation of enforcement staff from review/permit staff has contributed to occasional duplications of effort and an unnecessary specialization among staff positions
- The current structure does not facilitate the assignment of combined review and enforcement responsibilities to new field staff

These weaknesses in our opinion, take on added importance in view of the recent increases in LURC's authorized staffing levels (from 18 to 28), and the assignment of full-time field staff to LURC's regional offices. These developments, along with the communication problems outlined above, highlight the need to make some changes in current responsibilities and reporting relationships in order to better utilize staff resources and to strengthen agency service delivery. To accomplish this, several changes in LURC's organization structure, management roles and reporting relationships are recommended, as outlined below.

RECOMMENDATIONS:

1. Consolidate the existing Development Review and Enforcement Divisions into a new Regulatory Division and create a new, senior-level management position to direct this unit.

This change in the existing organization structure is designed to provide for a stronger linkage between the agency's review, permitting and enforcement activities (i.e., its regulatory responsibilities), and to assure that this coordination takes place on a daily basis without the direct involvement of the agency Director. While we do not feel that a Deputy or Assistant Director position is needed in an agency of LURC's current or projected size, there is a need to strengthen the management of the agency's regulatory activities, and to more properly utilize supervisory staff. In addition to the organizational consolidation of these units, it is essential that a single set of priorities be established for this unit in order to assure that all of the agency's regulatory activities are governed by common priorities and standards.

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2. Create two sections within the new Regulatory Division for field operations and central operations respectively; designate separate supervisors for each section.

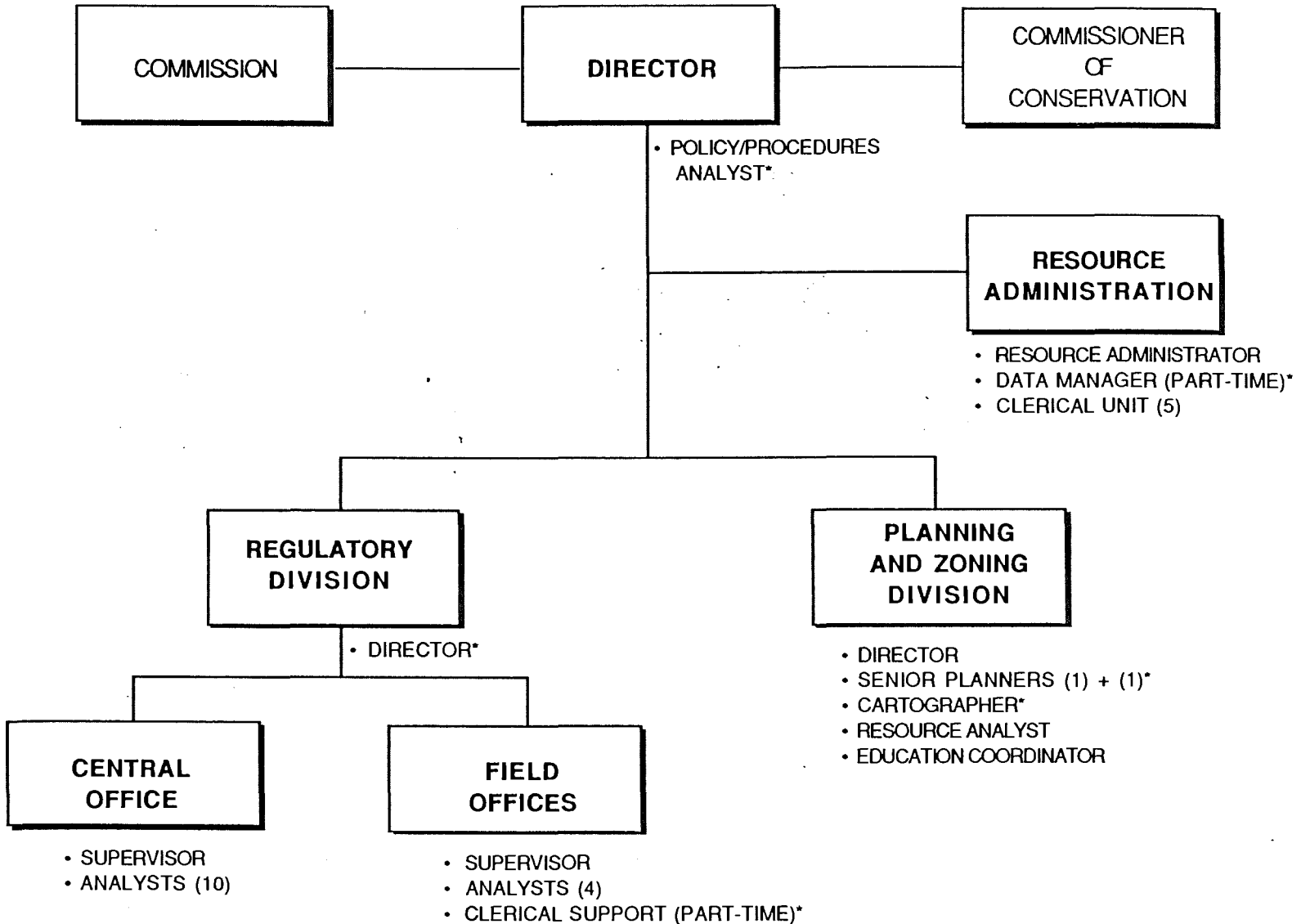
In addition to consolidating the review and enforcement units, we also recommend that staff within this unit be organized into separate sections comprised of regional field personnel and headquarters personnel. This change, in our view, is required to properly supervise and coordinate the activities of LURC's regional field staff, and to assure that common operating procedures, policy interpretations and enforcement standards are applied in all of LURC's regional offices.

3. Redefine position responsibilities for review/enforcement staff and develop new position descriptions for a combined project analyst/investigator position.

To fully achieve the benefits of a combined review and enforcement unit, it is recommended that staff positions in this unit be given a broader range of responsibilities, to include the duties now carried out separately by project analysts (in Development Review) and investigators (in Enforcement). This expanded position description, in our view, is essential if the agency's field staff are going to be able to perform both of these functions in the field as recommended in this report.

Also, however, a broader set of responsibilities for headquarter's staff can provide for more flexibility in staff utilization, as well as greater job satisfaction through an increased variety of tasks and more responsibility for all aspects of the regulatory process (review, permit approval, compliance investigations, etc.). In addition to broadening job duties, a combined analyst/investigator position can create opportunities for new career ladders for staff.

RECOMMENDED ORGANIZATIONAL STRUCTURE



*RECOMMENDED NEW POSITIONS

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4. The Resource Administration unit should be clearly designated as a staff unit within the table of organization, to better reflect its role in providing administrative support to all units of the agency.
 5. The Planning and Resource Analysis unit should be redesignated as the Planning and Zoning Division, to better reflect its primary responsibilities.

This unit, although considerably smaller in size than the proposed Regulatory Division, is responsible for carrying out all of LURC's land use planning, zoning and mapping responsibilities, and should be viewed as "equivalent" to the Regulatory Division in all respects. As with the proposed Director of the Regulatory Division, the Director of Planning and Zoning should report directly to the agency director and be responsible for directing all of LURC's planning, zoning, mapping and new growth management programs.

IMPLEMENTATION:

It is envisioned that the recommended organizational changes to LURC would be implemented over a period of time, in conjunction with the recommended changes in job descriptions and new positions discussed elsewhere in this report. The revised organization structure and staffing assignments are illustrated on the opposite page. The implementation of the organizational change in itself will not require additional positions. Rather, it is anticipated that existing position descriptions would be amended, through the state personnel system, to accommodate the recommended changes in duties and supervisory responsibilities. We would recommend that the new Regulatory Division Director position be offset by the elimination of another position within the agency.

LURC REGIONAL OFFICES

PROPOSED STAFFING AND FUNCTIONS/EACH REGION

	<u>SHORT-TERM</u>	<u>LONG-TERM</u>
STAFFING	<ul style="list-style-type: none"> • ENVIRONMENTAL ANALYST (COMBINED INVESTIGATOR/ PROJECT ANALYST POSITION) • CLERICAL SUPPORT 	<ul style="list-style-type: none"> • REGIONAL OFFICE SUPERVISOR • 2-3 ENVIRONMENTAL ANALYSTS • PLANNER (SHARED) • CLERICAL SUPPORT
DUTIES	<ul style="list-style-type: none"> • FIELD INVESTIGATION OF ALLEGED VIOLATIONS, FORESTRY NOTIFICATIONS, ETC. • MINOR PERMIT REVIEW AND APPROVAL • GENERAL INFORMATION AND APPLICATION ASSISTANCE • REGIONAL TRAVEL FOR HEARINGS, EDUCATIONAL PRESENTATIONS, MEETINGS WITH TOWN, REGIONAL, INDUSTRY OFFICIALS 	<ul style="list-style-type: none"> • INVESTIGATION, PARTICIPATION IN NEGOTIATING SETTLEMENT AGREEMENTS • INCREASED DEVELOPMENT REVIEW AND PROCESSING RESPONSIBILITIES • MORE AGGRESSIVE/PROACTIVE FIELD REVIEW OF POTENTIAL VIOLATIONS • PARTICIPATION IN REGIONAL PLANNING ACTIVITIES • COORDINATION WITH OTHER STATE ENVIRONMENTAL, CONSERVATION STAFF IN REGIONS • MORE EXTENSIVE LURC REPRESENTATION THROUGHOUT REGIONS

The recommended organization structure can provide a strong foundation for carrying out the other management and operational improvements which are identified in this study. It can also accommodate future changes in the staffing levels, roles and responsibilities of LURC's regional offices. While we believe that the regional offices can provide a variety of permit review, approval, enforcement and informational activities in the immediate future (with appropriate job restructurings), it is also anticipated that they can greatly increase their participation in all of LURC's regulatory and planning responsibilities over the next several years. Such an expanded role is illustrated in the Exhibit on the opposite page. To this end, we recommend the following:

6. The agency should develop a short-term and long-term plan for the gradual delegation of selected regulatory, planning and public information duties to its regional field offices, to be coordinated and implemented by the Regulatory and Planning/Zoning Division Directors.

At a minimum, this strategy should clearly establish decision-making and review responsibilities for Augusta and regional staff in the areas of application review, permitting and enforcement actions. Based upon our analysis of these activities currently performed by Augusta staff, we would recommend that several types of permits and approvals be considered for delegation to field staffs, once appropriate communications and information linkages are in place. These include:

- minor building permits (for example, decks, porches, small structures, etc.)
- minor permit amendments (including legal, name change, etc.)
- forestry notifications

With these delegations, the Augusta staff can allocate their resources to more of the major development reviews and enforcement activities which consume the largest amounts of staff time. Over the longer term, and with the development of strong staff capabilities and procedures in the regional offices, it is envisioned that additional review, enforcement and planning functions can be performed outside of LURC's central office.

MANAGEMENT AND SUPERVISION

MAJOR FINDINGS:

- POLICY DIRECTIONS, PRIORITIES, AND PERFORMANCE STANDARDS HAVE NOT BEEN ARTICULATED CLEARLY TO STAFF.
- COMMISSION POLICIES AND PROCEDURES HAVE NOT BEEN TRANSLATED INTO WRITTEN, EASILY ACCESSIBLE AND UNDERSTANDABLE GUIDELINES AND CRITERIA FOR FUTURE REFERENCE AND TRAINING. THIS HAS CAUSED MISUNDERSTANDINGS ABOUT WHAT POLICIES ARE IN EFFECT, THE NEED FOR EXCESSIVE SUPERVISORY INVOLVEMENT IN ROUTINE CASES, AND LACK OF CONSISTENCY IN POLICIES AND PROCEDURES.
- DIVISION SUPERVISORS HAVE NOT EXERCISED THEIR OWN MANAGEMENT AND SUPERVISORY ROLES EFFECTIVELY. SUPERVISORS ARE ACTIVELY INVOLVED WITH A HEAVY CASELOAD OR OTHER DUTIES AND ARE NOT EASILY ACCESSIBLE FOR QUESTIONS OR GUIDANCE. INADEQUATE EFFORT HAS BEEN EXPENDED IN DEVELOPING STANDARD PROCEDURES TO DEAL WITH COMMON REVIEW ISSUES (CRITERIA, CHECKLISTS, FORMS, STANDARDIZED LETTERS/PARAGRAPHS, ETC.)
- THERE IS NO FORMAL PROGRAM FOR STAFF TRAINING TO ADDRESS BASIC SKILLS AND SPECIFIC TECHNICAL KNOWLEDGE NEEDED TO EFFECTIVELY PERFORM JOB DUTIES.
- THE AGENCY'S ENFORCEMENT PROGRAM IS NOT ADEQUATELY STRUCTURED OR MANAGED, SO AS TO ASSURE CONSISTENT APPLICATION OF STANDARDS AND TIMELY FOLLOW-UP TO COMPLAINTS. ALSO, THERE ARE NO CLEARLY DEFINED PRIORITIES ESTABLISHED FOR THE USE OF LIMITED STAFF RESOURCES IN THIS AREA. THIS HAS DAMAGED LURC'S CREDIBILITY AS A REGULATORY AGENCY IN THE VIEW OF MANY OF ITS "CONSTITUENTS".
- THERE IS INADEQUATE UNDERSTANDING BY MOST STAFF REGARDING THE ROLE OF THE COMMISSION AND THE ATTORNEY GENERAL'S OFFICE AS THEY RELATE TO STAFF ACTIVITIES. ALSO, THERE IS A LACK OF UNDERSTANDING AMONG SOME COMMISSION MEMBERS ABOUT THEIR ROLE AND HOW THEY SHOULD INTERACT WITH STAFF AND WITH THE DEPARTMENT OF CONSERVATION.

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- THERE IS A GENERAL LACK OF COHESIVENESS BETWEEN THE STAFF IN DIFFERENT DIVISIONS. THIS HAS CAUSED SOME DUPLICATION OF EFFORT, ESPECIALLY WHEN A PERMIT APPLICATION HAS AN ENFORCEMENT ACTION PENDING.
 - THERE IS EXCESSIVE REVIEW/EDITING OF WRITTEN DOCUMENTS (PERMITS, REQUESTS FOR INFORMATION, ETC.) AT THE DIVISION SUPERVISOR LEVEL; THIS IS A MAJOR BOTTLENECK.
 - THERE IS LITTLE MEANINGFUL EMPLOYEE COUNSELING, COACHING OR CONSTRUCTIVE EVALUATION OF PERFORMANCE BY SUPERVISORS.

RECOMMENDATIONS:

7. THE LURC DIRECTOR MUST EXERCISE A STRONG LEADERSHIP ROLE WITH RESPECT TO LURC POLICIES, PRIORITIES, PUBLIC REPRESENTATION, AND MANAGEMENT PRACTICES. THE OBJECTIVES AND EXPECTATIONS IN THESE AREAS MUST BE CLEARLY ARTICULATED AND COMMUNICATED TO LURC'S "CLIENT GROUPS" AND ITS EMPLOYEES. THESE PRIORITIES AND OBJECTIVES SHOULD BE REVIEWED AND DISCUSSED WITH THE LURC COMMISSION AND STAFF ON AN ON-GOING BASIS.
8. **TRAINING**
 - DEVELOP AND/OR LOCATE MANAGEMENT AND SUPERVISORY TRAINING PROGRAMS TO BUILD SKILLS IN THE FOLLOWING AREAS:
 - EMPLOYEE MOTIVATION AND COUNSELING
 - EMPLOYEE DISCIPLINE
 - NEGOTIATION SKILLS
 - CONFLICT MANAGEMENT
 - LISTENING SKILLS
 - EMPLOYEE TRAINING AND ORIENTATION
 - PROVIDING CONSTRUCTIVE FEEDBACK
 - SELECTION AND HIRING
 - DELEGATION
 - EVALUATING EMPLOYEE PERFORMANCE

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- DEVELOP AND/OR LOCATE SPECIFIC SKILL TRAINING PROGRAMS FOR EMPLOYEES, INCLUDING:
 - ON-SITE INVESTIGATION TECHNIQUES
 - SOILS
 - FORESTRY

 - DEVELOP AND/OR LOCATE BASIC SKILL TRAINING PROGRAMS FOR EMPLOYEES INCLUDING:
 - COMMUNICATION SKILLS (VERBAL AND WRITTEN) TO HANDLE APPLICANT CALLS, MEETINGS, AND GENERAL CORRESPONDENCE
 - ORAL PRESENTATIONS
 - PREPARING WRITTEN RECOMMENDATIONS FOR PERMIT APPROVAL/DENIAL, VIOLATION CITATIONS AND SETTLEMENT AGREEMENTS
 - COMPUTER SKILLS (WORD PROCESSING AND DATA BASE)
 - TIME MANAGEMENT
 - STRESS MANAGEMENT
9. DEFINE DUTIES OF SUPERVISORY POSITIONS AND HOLD SUPERVISORS ACCOUNTABLE FOR THE PERFORMANCE OF THESE DUTIES.
10. ESTABLISH A NEW POSITION TO DEVELOP WRITTEN POLICIES AND PROCEDURES IN ORDER TO PROVIDE GUIDANCE AND CRITERIA FOR STAFF TO PERFORM THEIR JOBS. THIS POSITION SHOULD BE ASSIGNED TO THE AGENCY DIRECTOR'S OFFICE. ASSIGN RESPONSIBILITY FOR ON-GOING MAINTENANCE OF AGENCY POLICIES AND PROCEDURES TO THIS STAFF PERSON. DEVELOP AN ORIENTATION PROGRAM FOR NEW EMPLOYEES TO INCLUDE, AT A MINIMUM, THE FOLLOWING:
- COMMISSION DECISIONS
 - POLICY INTERPRETATIONS AND CASE PRECEDENTS
 - APPLICATION REVIEW PROCEDURES
 - ENFORCEMENT GUIDELINES
 - CITIZEN CONTACTS
 - ADMINISTRATIVE PROCEDURES
 - RECORD-KEEPING AND STANDARD FILING PROCEDURES

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11. DEVELOP STANDARDS FOR WRITTEN DOCUMENTATION. THIS MAY BE FACILITATED BY DEVELOPING GENERIC PARAGRAPHS AND CHECKLISTS AS MUCH AS POSSIBLE. STAFF MEMBERS SHOULD BE HELD ACCOUNTABLE FOR THE ACCURACY OF PERMIT INFORMATION, CONDITIONS, ETC. SUPERVISORS SHOULD PRIMARILY REVIEW DOCUMENTATION FOR THE ACCURACY OF THE INFORMATION AS IT PERTAINS TO POLICY AND INTERPRETATION OF LAWS AND REGULATIONS.
 12. DEVELOP AN ORIENTATION PROGRAM FOR NEW LURC COMMISSIONERS.
 13. HOLD PERIODIC WORKSHOPS AND SEMINARS WHERE STAFF AND COMMISSION MEMBERS CAN MEET AND DISCUSS ISSUES IN A WORKSHOP SETTING. THE ROLES OF ALL MEMBERS (INCLUDING THE COMMISSIONER OF CONSERVATION AND THE ATTORNEY GENERAL'S OFFICE) SHOULD BE REVIEWED AND DISCUSSED. WORKSHOP TOPICS SHOULD INCLUDE STAFF AND COMMISSION "EXPECTATIONS" (AMOUNT AND DETAILS OF INFORMATION NEEDED TO TAKE ACTION) AND SAMPLE PRESENTATIONS.

STAFFING AND PERSONNEL UTILIZATION

MAJOR FINDINGS:

- MANY ADMINISTRATIVE RESPONSIBILITIES HAVE BEEN FRAGMENTED AMONG THE AGENCY'S SUPERVISORS. THE NEW RESOURCE ADMINISTRATOR POSITION, RECENTLY ESTABLISHED BY THE LEGISLATURE, WILL GREATLY ASSIST IN COORDINATING THESE ADMINISTRATIVE RESPONSIBILITIES AS WELL AS RELIEVE THE PRESENT SUPERVISORS OF THESE DUTIES.
- THE CLERICAL STAFF ENTER PERMIT APPLICATIONS INTO THE DATA BASE AND CREATE REPORTS FOR DEVELOPMENT REVIEW BUT NOT ENFORCEMENT COMPLAINTS AND INVESTIGATIONS. THE ENFORCEMENT COORDINATOR OR A SPECIAL PROJECT PERSON (IF AVAILABLE) MUST MAINTAIN THE ENFORCEMENT FILE DATA BASE AND CREATE REPORTS. THIS CLERICAL FUNCTION PERFORMED BY THE ENFORCEMENT COORDINATOR TAKES AWAY VALUABLE TIME FOR MORE IMPORTANT TASKS.
- LIMITED RESOURCES IN THE PAST FOR THE PLANNING FUNCTION HAVE LED TO A NUMBER OF NEEDS THAT HAVE GONE UNMET INCLUDING: PERIODIC RULE MAKING CHANGES, UPDATES TO THE COMPREHENSIVE PLAN, AND PLANNING ASSISTANCE TO COMMUNITIES. THE NEW SENIOR PLANNER POSITION, RECENTLY ESTABLISHED BY THE LEGISLATURE, WILL ASSIST IN MEETING THESE NEEDS.
- ADDITIONAL DEMANDS WILL BE PLACED ON THE AGENCY, SPECIFICALLY THE PLANNING DIVISION, WITH THE STATE'S NEW GROWTH MANAGEMENT PROGRAM. AS A PLANNING AND REGULATORY AGENCY, LURC WILL ALSO BE REQUIRED TO ADDRESS THE GOALS OF THE GROWTH MANAGEMENT LEGISLATION IN ITS PLANNING AND OTHER ACTIVITIES. THE AGENCY WILL BE REQUIRED TO REVIEW PLANS AND ORDINANCES OF CONTIGUOUS MUNICIPALITIES (ESTIMATED 200) AS WELL AS PROVIDE GUIDANCE (AND/OR ACTUAL PLANNING) FOR MUNICIPALITIES THAT MAY RECEIVE FINANCIAL ASSISTANCE FROM THE OFFICE OF COMPREHENSIVE PLANNING.

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- THE AGENCY IS IN NEED OF NEW UPDATED BASE MAPS THAT WILL ALSO AID OTHER AGENCIES AND WILL BENEFIT THE GEOGRAPHIC INFORMATION SYSTEM. SOME MONEY HAS BEEN REQUESTED TO PERFORM THIS ACTIVITY BY OUTSIDE CONSULTANTS BUT WILL REQUIRE APPROXIMATELY \$250,000 IF PERFORMED SOLELY BY AN OUTSIDE CONSULTANT. WITH AN IN-HOUSE CARTOGRAPHER, OUTSIDE CONSULTING FEES FOR THE PROJECT COULD BE SIGNIFICANTLY REDUCED.
 - THE AGENCY'S USE OF CONSULTANTS FOR DEVELOPMENT REVIEW HAS BEEN LIMITED TO DATE AND HAS NOT BEEN AS EFFICIENT AS EXPECTED. SIGNIFICANT AGENCY STAFF TIME HAS STILL BEEN REQUIRED TO WORK WITH CONSULTANTS.
 - COMMISSION MEETINGS REQUIRE SIGNIFICANT STAFF TIME TO PREPARE AND COPY MATERIAL. BECAUSE PREPARATION DEADLINES ARE NOT BEING MET, MATERIAL CANNOT BE SENT TO THE PRINT SHOP AND MUST BE DUPLICATED IN-HOUSE. ALSO, AS A RESULT OF THESE DELAYS, COMMISSION AGENDA PACKAGES ARE FREQUENTLY INCOMPLETE WHEN THEY ARE DISTRIBUTED FOR PRIOR REVIEW. THE ADDITION OF THE RESOURCE ADMINISTRATOR HAS HELPED TO ALLEVIATE THIS PROBLEM.
 - APPLICATIONS ARE RECEIVED AND DISTRIBUTED TO ANALYSTS WITHOUT ANY ASSIGNED PRIORITY. SOME PERMITS ARE RELATIVELY ROUTINE IN NATURE (AMENDMENTS TO BUILDING PERMITS) AND COULD BE ASSIGNED TO A "JUNIOR" STAFF PERSON FOR MORE EXPEDIENT PROCESSING.
 - ANALYSTS ARE "ON-CALL" AT ALL TIMES WITH NO SCHEDULING OF "QUIET TIME" FOR WRITING DURING THE WEEK. PHONE CALLS AND WALK-INS ARE DISRUPTIVE TO THE PERMIT WRITING PROCESS. SOME ATTEMPTS TO REMOVE STAFF FROM THE BUILDING FOR WRITING OF PERMITS HAVE RESULTED IN A LARGE VOLUME OF PERMITS COMPLETED.
 - THE FOREST SERVICE HAS OFFERED HELP TO PROVIDE FIELD ASSISTANCE FOR SITE REVIEWS AND ENFORCEMENT WORK. THUS FAR, LURC HAS NOT TAKEN THE LEAD IN ESTABLISHING GUIDELINES FOR THIS ASSISTANCE.
 - TRAVELING TIME TO THE JURISDICTION CONSUMES A LARGE NUMBER OF HOURS FOR ALL PERSONNEL. THIS WILL BE REMEDIED TO SOME EXTENT FOR ENFORCEMENT STAFF WITH THE USE OF PERMANENT FIELD OFFICES.

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- THE AGENCY HAS NOT DEVELOPED AN OPERATING STRATEGY FOR THE USE OF STAFF IN PERMANENT FIELD OFFICES. EFFORTS HAVE BEEN GEARED TO HIRING PERSONNEL AND PROVIDING TRAINING IN AUGUSTA FOR AN UNDETERMINED TIME PERIOD. ACTUAL OPERATION AND RESPONSIBILITIES OF THE FIELD OFFICES HAVE NOT BEEN DETERMINED.
 - THE EDUCATION COORDINATOR'S POSITION HAS BEEN MOVED TO VARIOUS PARTS OF THE AGENCY SINCE ITS INCEPTION. FREQUENT TURNOVER IN THE POSITION HAS IMPEDED THE DEVELOPMENT OF A PUBLIC EDUCATION AND INFORMATION PROGRAM, INCLUDING UPDATES TO LITERATURE, OUTREACH ACTIVITIES, ETC.
 - PRIORITY OF PERMIT ACTIVITY IN THE PAST HAS CAUSED THE AGENCY TO CONSTANTLY BORROW STAFF FROM ENFORCEMENT AND PLANNING. THIS HAS LEFT BOTH THE PLANNING AND ENFORCEMENT PROGRAMS WITHOUT SUFFICIENT SUPPORT.

RECOMMENDATIONS:

14. ASSIGN A PRIORITY STATUS TO THE DEVELOPMENT AND ADMINISTRATION OF LURC'S EDUCATION PROGRAM. ESTABLISH TIMEFRAMES FOR THE COMPLETION OF SPECIFIC TASKS TO BE ACCOMPLISHED IN THIS AREA. THE EDUCATION COORDINATOR SHOULD REPORT TO THE DIRECTOR OF PLANNING AND ZONING IN ORDER TO ENSURE APPROPRIATE COORDINATION WITH LURC'S FIELD ACTIVITIES AND PLANNING PROGRAMS.
15. A NEW CARTOGRAPHER POSITION SHOULD BE ADDED TO THE PLANNING DIVISION TO OVERSEE THE BASE MAP PROJECTS AND PROVIDE ASSISTANCE TO LURC PLANNING AND ZONING ACTIVITIES.
16. A SENIOR PLANNER POSITION SHOULD BE ADDED TO THE PLANNING DIVISION TO ASSIST IN CURRENT PLANNING ACTIVITIES AND TO HELP MEET THE SIGNIFICANT INCREASES IN WORKLOAD ANTICIPATED BY THE NEW GROWTH MANAGEMENT LEGISLATION.

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17. PROJECT ANALYSTS WORK WEEK SHOULD BE DIVIDED INTO SEPARATE BLOCKS OF "QUIET TIME" (PERMIT WRITING) AND PHONE DUTY. 50% OF THE CALLS RECEIVED IN TO THE DIVISION ARE GENERAL IN NATURE AND CAN BE ANSWERED BY ANY ONE OF THE ANALYSTS. QUIET TIME SHOULD BE HELD TO 4 HOURS A DAY SO THAT CALLS DIRECTED TO A SPECIFIC ANALYST WOULD BE RETURNED WITHIN A RELATIVELY SHORT TIME. MONDAYS ARE A DAY WHEN THERE ARE MANY PHONE CALLS SO NO QUIET TIME SHOULD BE SCHEDULED. DURING PHONE DUTY PERIODS, ANALYSTS SHOULD UTILIZE THEIR TIME BY PREPARING ADMINISTRATIVE DOCUMENTATION, RESEARCH OF FILES, ETC. AND NOT TRY TO WRITE PERMITS KNOWING THEY WILL BE INTERRUPTED BY PHONE CALLS. (THIS SYSTEM IS BEING TRIED CURRENTLY BUT WILL NEED TO BE REFINED.)
 18. TRANSFER DATA ENTRY AND REPORT PREPARATION FUNCTIONS RELATED TO ENFORCEMENT CASES TO THE CLERICAL STAFF.
 19. FUNDING FOR CONSULTANT SERVICES AND PROJECT POSITIONS SHOULD BE REQUESTED TO PROVIDE TECHNICAL ASSISTANCE DURING THE PEAK PERMIT SEASON AND IN AREAS WHERE SPECIFIC EXPERTISE MAY NOT BE AVAILABLE IN-HOUSE (E.G., STRIP MINING). CONTRACTS SHOULD SPECIFY DELIVERABLES, FORMAT, AND TYPE OF ISSUES TO BE REVIEWED.
 20. LURC SHOULD WORK CLOSELY WITH THE FOREST SERVICE TO STRUCTURE AND IMPLEMENT THE FIELD ASSISTANCE PROGRAM.

WORKLOAD, ACTIVITIES, AND PRODUCTIVITY

MAJOR FINDINGS:

DEVELOPMENT REVIEW

- THERE IS NO GEOGRAPHIC GROUPING OF APPLICATIONS SO THAT AN ANALYST CAN DEVELOP A REGIONAL PERSPECTIVE OF WHAT IS HAPPENING IN A PARTICULAR AREA.
- PENDING APPLICATIONS WHICH ARE INCOMPLETE ARE BEING REVIEWED AND RETURNED TO APPLICANTS.
- THERE HAS BEEN A GENERAL LACK OF FOLLOW-UP TO APPLICANTS REGARDING APPLICATION STATUS. A RECENT PROCEDURE TO FOLLOW UP THE RECEIPT OF AN APPLICATION WITH A POSTCARD HAS BEEN IMPLEMENTED.
- APPLICATION FORMS ARE IN NEED OF REVIEW AND CHANGE. MANY CHANGES WERE IDENTIFIED IN A PREVIOUS STUDY BUT LITTLE PROGRESS HAS BEEN MADE TO DATE. THERE IS A NEED TO COORDINATE PERMIT REQUIREMENTS AND CONDITIONS WITH ENFORCEMENT PERSONNEL SO THAT "ENFORCEABLE" PERMITS ARE ISSUED.
- MOST PERMIT REQUESTS ARE SENT TO OUTSIDE REVIEW AGENCIES. THE REVIEW AGENCIES ARE ASKED TO RESPOND WITHIN 3 WEEKS BUT OFTEN TAKE TWO TO THREE MONTHS. THESE DELAYS FREQUENTLY HOLD UP LURC ACTIONS ON APPLICATIONS.
- THERE IS A SIGNIFICANT SEASONAL FLUCTUATION IN PERMIT APPLICATIONS (SEE EXHIBITS FOLLOWING THIS SECTION).
- APPROXIMATELY 25% OF APPLICATIONS ARE AMENDMENTS (SEE EXHIBITS FOLLOWING THIS SECTION). MANY AMENDMENTS REQUIRE ONLY MINIMAL REVIEW, AND SHOULD BE CANDIDATES FOR PROCESSING IN LURC'S REGIONAL OFFICES.

ENFORCEMENT

- ENFORCEMENT ACTIONS MAY TAKE OVER A YEAR, FROM INITIAL COMPLAINT TO FINAL RESOLUTION. LIMITED STAFF AND TURNOVER HAVE CAUSED MAJOR ENFORCEMENT BACKLOGS, LEAVING THE AGENCY WITH A POOR REPUTATION FOR ENFORCING ITS REGULATIONS.
- PRIOR PRACTICE OF THE AGENCY WAS TO LOG IN ALL COMPLAINTS AS VIOLATIONS. THE VIOLATIONS REMAIN "ON THE BOOKS" UNTIL REMOVED BY A DECISION OF THE COMMISSION. MANY OF THESE REPORTS CANNOT BE PURSUED BECAUSE OF A LACK OF INFORMATION OR EVIDENCE WHEN FILED. SINCE THE FALL OF 1988, COMMISSION POLICY HAS BEEN TO VOTE TO DISMISS CASES WITHOUT SUFFICIENT INFORMATION. IN ADDITION, A NEW PROCEDURE HAS BEEN IMPLEMENTED WHEREBY A COMPLAINT IS NOT GIVEN A VIOLATION NUMBER UNTIL IT HAS BEEN INVESTIGATED AND A CONCLUSION DRAWN THAT THERE IS AN ACTUAL VIOLATION.

PLANNING

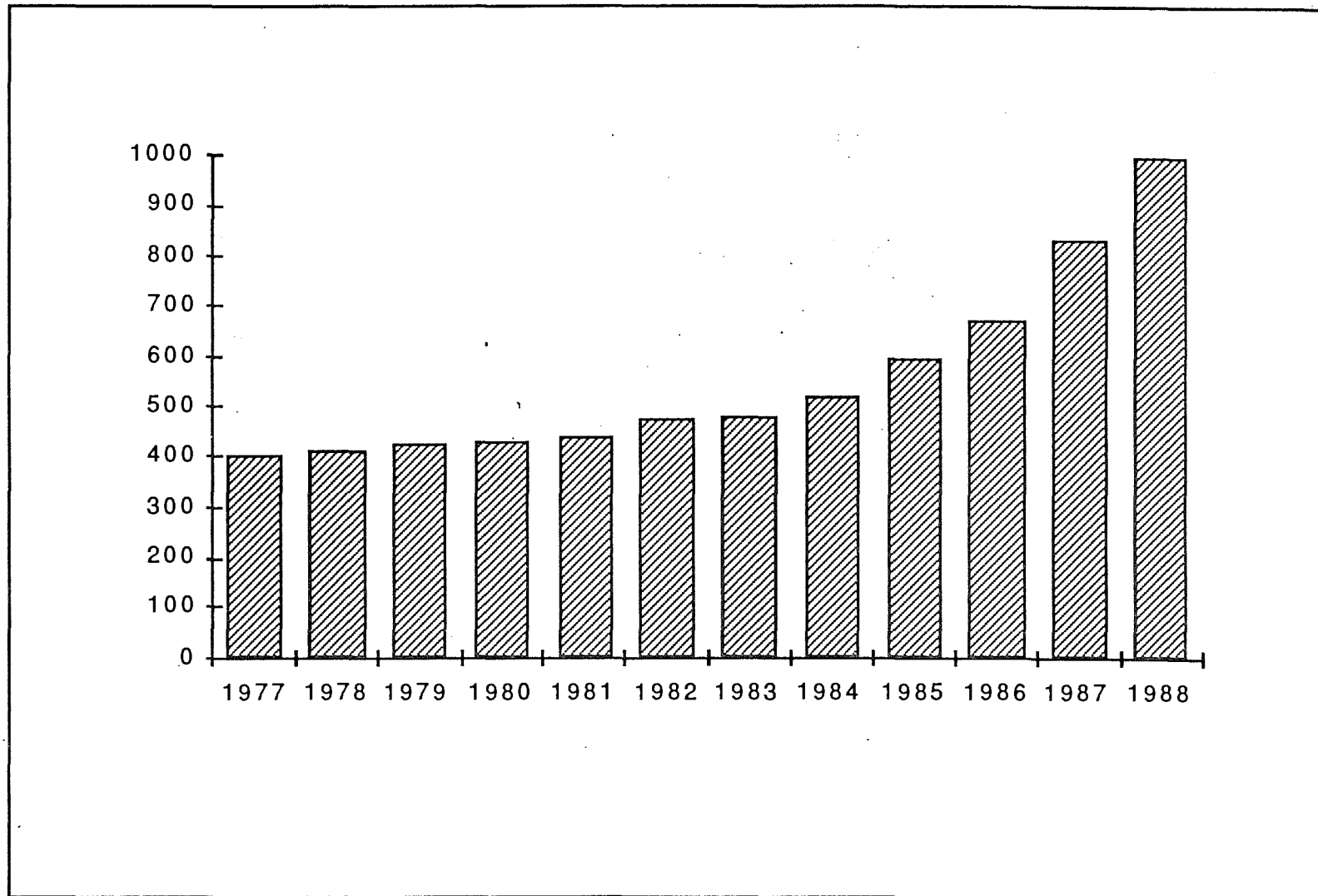
- IT IS ANTICIPATED THAT THE PLANNING WORKLOAD OF THE AGENCY WILL INCREASE WITH THE REQUIREMENTS IMPOSED BY THE NEW GROWTH MANAGEMENT LEGISLATION. THERE HAS ALSO BEEN RENEWED INTEREST BY SOME COMMUNITIES TO TAKE ON LOCAL LAND USE CONTROL AS WELL AS OTHER COMMUNITIES WISHING TO DEORGANIZE AND THUS PLACE THEMSELVES UNDER THE COMMISSION'S JURISDICTION; CONSIDERABLE DEMAND WILL BE PLACED ON THE AGENCY'S PLANNING DIVISION BY THESE LOCAL ACTIONS.

RECOMMENDATIONS:

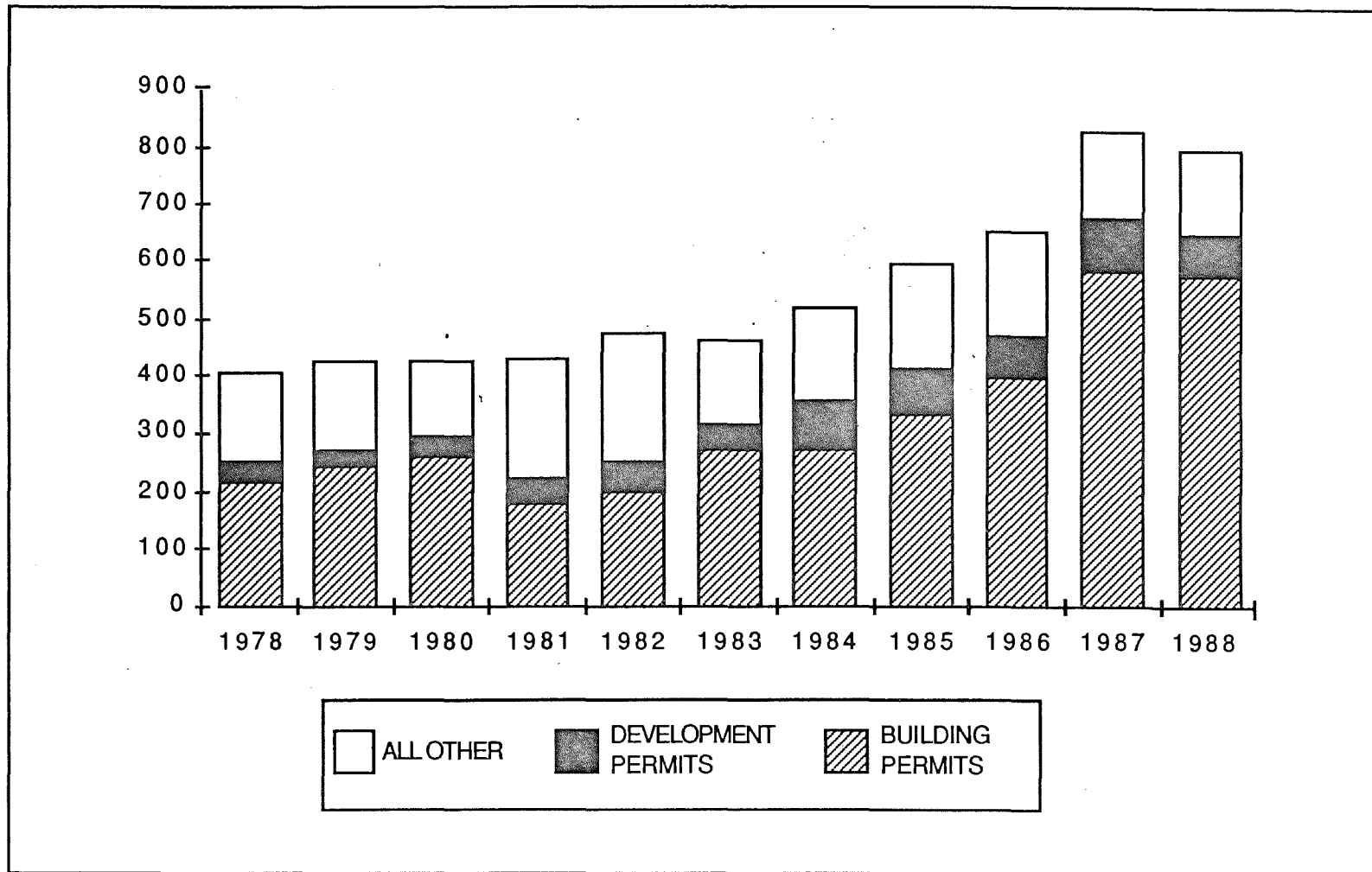
21. INSTITUTE A REGULAR FOLLOW-UP/NOTIFICATION PROGRAM FOR ALL APPLICATIONS WHICH ARE NOT APPROVED/DENIED WITHIN 30 DAYS; SEND A STANDARD FORM LETTER OR POSTCARD TO APPLICANTS EACH 30/60 DAYS ADVISING OF APPLICATION STATUS.
22. ASSIGN RESPONSIBILITY FOR THE REVIEW AND UPDATE OF APPLICATION FORMS AND SET A DEADLINE FOR THIS TASK.
23. REVIEW PROCEDURES WITH OUTSIDE AGENCIES TO IMPROVE COORDINATION AND TIMELINESS OF RESPONSES. MOST OUTSIDE REVIEWS ARE NOT RETURNED WITH ANY NEGATIVE COMMENTS. THE OUTSIDE AGENCIES SHOULD NOTIFY LURC AFTER A PRELIMINARY REVIEW IF THEY ANTICIPATE MAKING SUBSTANTIVE COMMENTS.

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24. CONTINUE THE REVIEW AND DISPOSAL OF PENDING INCOMPLETE APPLICATIONS AND ENFORCEMENT ACTIONS.
 25. THE AGENCY NEEDS TO WORK CLOSELY WITH THE OFFICE OF COMPREHENSIVE PLANNING IN THE NEXT SEVERAL MONTHS TO BETTER DEFINE WHAT THE FULL IMPLICATIONS OF THE GROWTH MANAGEMENT LEGISLATION ARE TO THE COMMISSION.

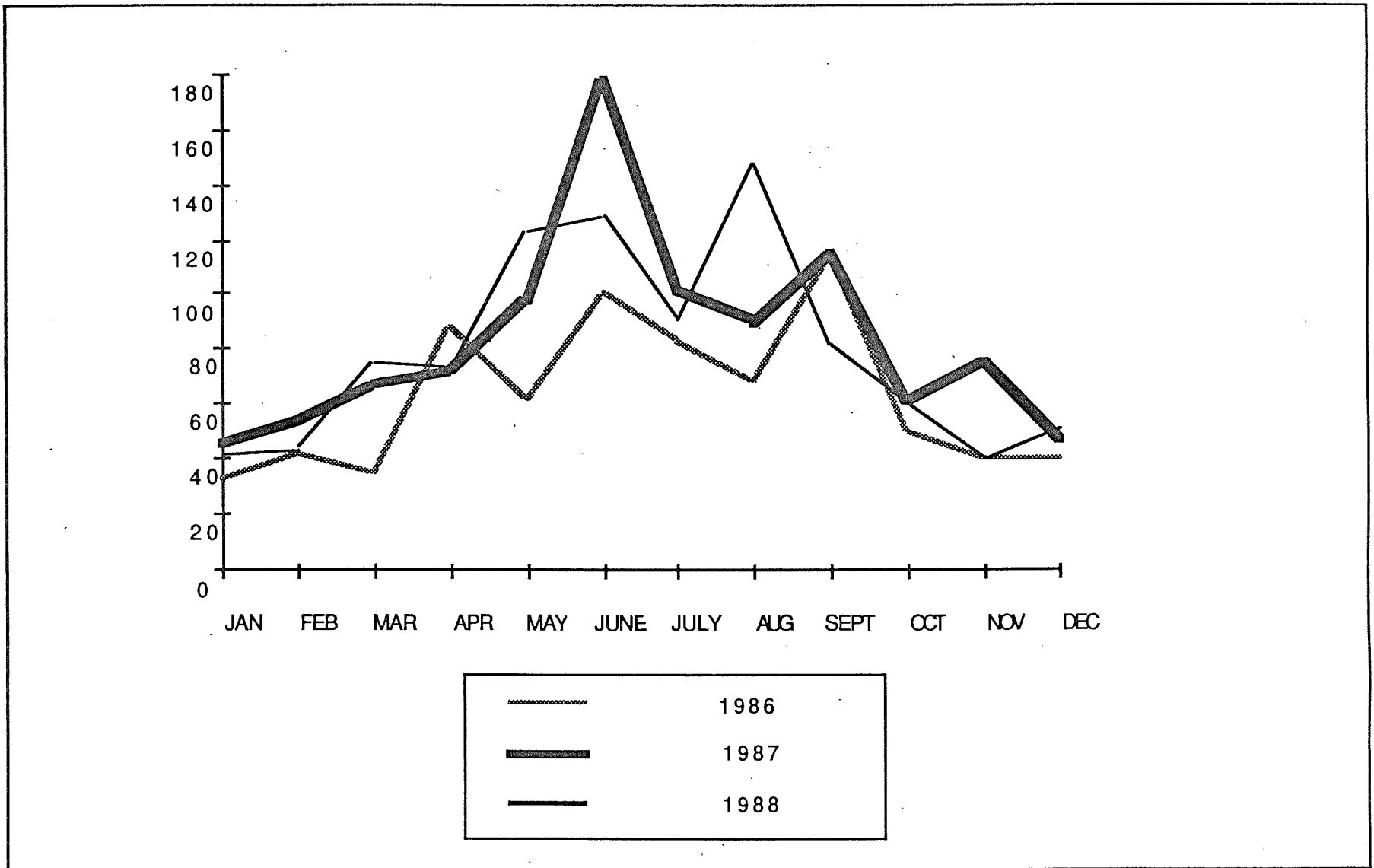
PERMIT APPLICATIONS RECEIVED



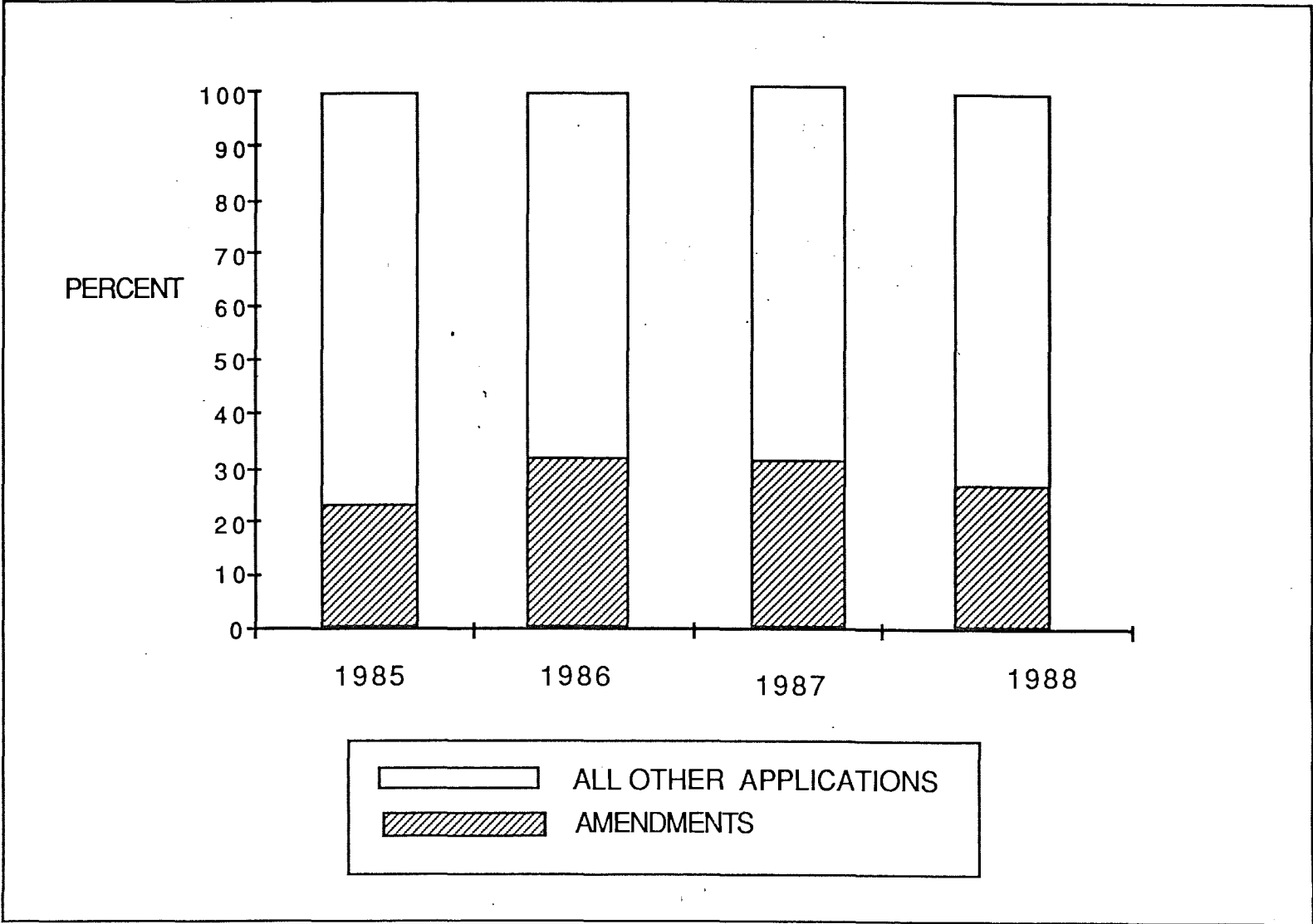
TOTAL PERMITS SIGNED - BY MAJOR CATEGORY



PERMIT APPLICATIONS RECEIVED - BY MONTH



**PERCENT OF APPLICATIONS THAT ARE AMENDMENTS
TO EXISTING PERMITS**



COMPUTER SYSTEMS

MAJOR FINDINGS:

- THE AGENCY DOES NOT HAVE ADEQUATE RESOURCES TO ADDRESS ITS COMPUTER NEEDS. THE RESULTS ARE:
 - RELIANCE ON PAPER FILES AND CARD SYSTEMS TO MAINTAIN INFORMATION
 - DUPLICATE INFORMATION KEPT IN SEVERAL DIFFERENT FILE CABINETS (E.G., APPLICATIONS ARE FILED IN ORDER OF RECEIPT, IN THE PARTICULAR TOWNSHIP, AND POSSIBLY ENFORCEMENT FILE)
 - APPLICATIONS ARE RECORDED ON SEVERAL MANUAL CARD SYSTEMS AND THEN ENTERED INTO THE DATA BASE
 - MANUALLY PRODUCED WEEKLY AND MONTHLY REPORTS OF ACTIVITY LOGGED INTO THE DATABASES
 - DEVELOPMENT REVIEW AND ENFORCEMENT STAFF KEEP MANUAL TRACKING SHEETS OF THE WORK THEY PERFORM. THIS INFORMATION IS NOT EASILY TRANSFERABLE INTO USEFUL MANAGEMENT REPORTS.

- THE SPECIAL LEGISLATIVE SESSION PROVIDED THE AGENCY WITH FUNDS TO PURCHASE SOME COMPUTER EQUIPMENT, BUT THERE IS STILL AN INADEQUATE NUMBER OF COMPUTER TERMINALS TO ACCOMMODATE LURC'S PROFESSIONAL STAFF. AS A RESULT, STAFF MEMBERS ARE UNABLE TO UTILIZE THE WORD PROCESSING CAPABILITIES AND ACCESS INFORMATION STORED IN THE DATA BASES. EFFICIENCY AND PRODUCTIVITY COULD BE INCREASED WITH MORE TERMINALS.

- THERE IS INADEQUATE TRAINING AND ASSISTANCE TO STAFF ON THE USE OF COMPUTER TERMINALS AND THE SOFTWARE AVAILABLE. CURRENT SOFTWARE IS NOT EASY TO USE WITHOUT TRAINING. THERE ARE A NUMBER OF DATA BASES THAT HAVE BEEN ESTABLISHED (PERMIT, ENFORCEMENT, LAKES, INVENTORY) THAT CAN PROVIDE STAFF WITH INFORMATION IF IT CAN BE ACCESSED. THERE ARE SOME PREWRITTEN REPORTS BUT EXTRACTING NEW REPORTS IN DIFFERENT FORMATS REQUIRES TRAINING.

- THERE ARE A LARGE NUMBER OF FILE CABINETS (OVER 100) THAT CONTAIN RECORDS DATING BACK TO THE ESTABLISHMENT OF LURC. THERE IS NO BACKUP COPY OF THESE FILES. TRANSFERRING INFORMATION TO THE FIELD OFFICES WILL BE A TIME CONSUMING AND COSTLY PROCESS.

-
- AS THE STATEWIDE GEOGRAPHIC INFORMATION SYSTEM (GIS) EVOLVES AND AS LURC BECOMES MORE ACTIVE IN GROWTH MANAGEMENT ACTIVITIES, LINKAGES WILL NEED TO BE ESTABLISHED BETWEEN CURRENT LURC DATA BASES AND THE GIS SYSTEM.

RECOMMENDATIONS:

26. A NEW PART-TIME POSITION SHOULD BE ESTABLISHED TO ASSIST IN MEETING THE AGENCY'S INFORMATION PROCESSING NEEDS. THIS POSITION SHOULD BE ASSIGNED TO THE RESOURCE ADMINISTRATION UNIT AND HAVE, AT A MINIMUM, THE FOLLOWING DUTIES:
 - DEVELOP A STRATEGY THAT WILL ELIMINATE OR MINIMIZE DUPLICATE FILES
 - AUTOMATE WEEKLY AND MONTHLY REPORTS
 - ADD NEW DATA BASES (OR COMBINE ALL DATA BASES)
 - DEVELOP A TRAINING PROGRAM FOR USE OF WORD PROCESSING, THE DATA BASES AND THE REPORT WRITER
 - DEVELOP TRACKING REPORTS FOR PROJECT ANALYSTS AND INVESTIGATORS
 - DEVELOP AND MAINTAIN A COMPUTERIZED FILE WHICH LISTS ALL COMMISSION ACTIONS BY CASE TYPE, ETC., WHICH CAN SERVE AS A REFERENCE INDEX FOR STAFF REVIEW OF RELATED POLICY ISSUES
27. REQUEST FUNDING TO UNDERTAKE AN ASSESSMENT OF AGENCY RECORDS, DECIDE WHAT RECORDS MUST BE KEPT, AND THEN PROCEED WITH A PLAN TO CONVERT TO MICROFICHE AND/OR MICROFILM. THE DIVISION OF RECORDS MANAGEMENT (DEPARTMENT OF STATE ARCHIVES) WILL CONDUCT A FEASIBILITY STUDY OF THE AGENCY'S NEEDS IN THIS AREA AND PROVIDE ASSISTANCE.
28. REQUEST FUNDING OVER THE NEXT TWO YEARS FOR ADDITIONAL COMPUTER HARDWARE AND ACCESSORIES FOR LURC'S PROFESSIONAL STAFF. (POSSIBLE SHARING OF ACQUISITION COSTS WITH OTHER DEPARTMENT OF CONSERVATION AGENCIES SHOULD BE EXPLORED). THE ADDITION OF TERMINALS SHOULD GREATLY IMPROVE STAFF PRODUCTIVITY AND ENHANCE THE AGENCY'S REGULATORY AND MANAGEMENT CAPABILITIES. A SUGGESTED AUTOMATION PLAN IS OUTLINED ON THE FOLLOWING PAGE.

LURC AUTOMATION PLAN

PHASE	OBJECTIVE	EQUIPMENT NEEDS**	FUNDING NEEDS
PHASE I (CURRENT)	ACCESS TO DATA BASES AND WORD PROCESSING IS LIMITED TO CLERICAL AND SOME PROFESSIONAL STAFF; SHARED PRINTER WITH OTHER D.O.C. BUREAUS	1 B38 MASTER (WITH WORKSTATION) 5 SLAVE WORKSTATIONS 1 PC 1 LASER PRINTER 1 DOT PRINTER	CURRENT INVENTORY
PHASE II	PROVIDE ADDITIONAL STAFF WITH TERMINALS; ADDITIONAL PRINTER WILL RELIEVE OVERLOADED LASER PRINTER; PROVIDE FIELD OFFICES WITH BASIC EQUIPMENT	4 SLAVE WORKSTATIONS 1 LASER PRINTER 1 40 MG HARD DISK 1 FLOPPY DRIVE 4 FAX MACHINES > FIELD OFFICES 3 TYPEWRITERS > OFFICES	FUNDS AVAILABLE FY 89
PHASE III	PROVIDE ALL STAFF, (INCLUDING FIELD STAFF) WITH WORKSTATIONS; PROVIDE RESOURCES FOR ADDITIONAL SOFTWARE/SYSTEM DEVELOPMENT	1 B39 MASTER 9 SLAVE WORKSTATIONS 3 PC'S WITH PRINTERS (FIELD OFFICES) 1 DOT PRINTER	ADDITIONAL RESOURCES NEEDED FY 90 - \$50,000 FY 91 - \$55,000
PHASE IV	GEOGRAPHIC INFORMATION SYSTEM (GIS) CAPABILITY	UNKNOWN	COST UNKNOWN

*Actual equipment purchased may differ depending on enhancements and upgrades in equipment at time of purchase

OFFICE SPACE

MAJOR FINDINGS:

- THE DEPARTMENT AND AGENCY DO NOT HAVE ADEQUATE SPACE TO SERVE CURRENT STAFF. OFFICE SPACE DOES NOT MEET MINIMUM STATE STANDARDS OF APPROXIMATELY 100 SQUARE FEET PER EMPLOYEE. THERE ARE CURRENTLY 4 - 5 PEOPLE IN OFFICES WHICH MEASURE 180 SQUARE FEET. THE CLERICAL SPACE IS CRAMPED AND NOISY AND IS NOT CONDUCTIVE TO A PRODUCTIVE ENVIRONMENT. THE DEPARTMENT OF CONSERVATION EXPECTS TO RELOCATE TWO BUREAUS TO THE BURLEIGH BUILDING SOMETIME IN 1991 WHICH WILL GIVE LURC ADDITIONAL SPACE BUT THERE WILL BE A SHORTAGE FOR THE NEXT YEAR OR SO. PRODUCTIVITY WILL CONTINUE TO SUFFER AS A RESULT.
- SPACE AND SOME PHONE ASSISTANCE HAS BEEN ASSIGNED IN THE DEPARTMENTS' BUILDINGS IN GREENVILLE, PRESQUE ISLE, AND OLD TOWN.

RECOMMENDATIONS:

29. REQUEST FUNDING TO MAKE SPACE AVAILABLE FOR 5-7 AUGUSTA POSITIONS OUTSIDE OF THE HARLOW BUILDING (APPROXIMATELY \$1500 PER PERSON).
30. REQUEST FUNDING FOR PART-TIME CLERICAL SUPPORT IN THE FIELD OFFICES. IN CONJUNCTION WITH FIELD CLERICAL STAFF, A PLAN TO ADDRESS TELEPHONE COVERAGE IN EACH FIELD OFFICE IS NEEDED. THIS PLAN MAY INCLUDE ANSWERING MACHINES OR A TIE-IN TO THE AUGUSTA CLERICAL STAFF.

FUNDING SOURCES AND FUTURE FUNDING NEEDS

MAJOR FINDINGS:

- CURRENT FEE LEVELS DO NOT BEGIN TO RECOVER THE COST OF PROCESSING PERMIT APPLICATIONS. A SURVEY OF ANOTHER STATE AGENCY PLUS SOME MUNICIPALITIES NEAR LURC TERRITORY INDICATES THAT COMPARABLE FEES ARE GENERALLY SET TO RECOVER PROCESSING COSTS (INCLUDING COSTS OF ADVERTISING PUBLIC HEARINGS AND APPLICATIONS THAT MUST GO BEFORE A PLANNING BOARD). LURC PUBLIC NOTIFICATION REQUIREMENTS ARE MORE DEMANDING THAN ANY OTHER STATE AGENCY. LURC MUST CURRENTLY PLACE NOTICES 3 TIMES WITH COSTS GENERALLY BETWEEN \$1500-\$3000 WHILE OTHER STATE AGENCIES ARE ONLY REQUIRED TO PLACE 1 NOTICE.
- SEVERAL TYPES OF LURC APPLICATIONS ARE NOT ASSESSED A FEE AT ALL INCLUDING AMENDMENTS, ADVISORY RULINGS, AND ZONE CHANGES. WHILE SOME AMENDMENTS (NOTIFICATION OF OWNERSHIP OF PROPERTY), ARE MINOR, MOST AMENDMENTS, ADVISORY RULINGS, AND ZONE CHANGES REQUIRE SIGNIFICANT STAFF TIME AND COMMISSION HEARINGS TO BE PROCESSED.
- THE AGENCY'S CURRENT FUNDING LEVELS ARE NOT ADEQUATE TO SUPPORT NEW CAPITAL INVESTMENTS NEEDED TO SUPPORT EXPANDED STAFF AND FIELD OPERATIONS.

RECOMMENDATIONS:

31. APPLICATION FEES SHOULD BE INCREASED FOR ALL CATEGORIES OF PERMITS. LURC MAY WISH TO ASSESS FEES BASED ON SQUARE FEET, COST OF CONSTRUCTION, AND/OR ACREAGE INVOLVED, WITH A MINIMUM AMOUNT ESTABLISHED. AMENDMENTS (OTHER THAN NOTIFICATIONS OF OWNERSHIP CHANGES, ETC.), ADVISORY RULINGS AND ZONE CHANGES SHOULD HAVE APPLICATION FEES ASSIGNED THAT GENERALLY REFLECT THE AMOUNT OF STAFF TIME NEEDED TO PROCESS THE APPLICATION. THE AGENCY SHOULD REQUEST THE LEGISLATURE TO REVIEW PUBLIC NOTICE REQUIREMENTS TO BRING IT INTO LINE WITH OTHER STATE AGENCIES OR LURC SHOULD BE ALLOWED TO CHANGE ITS APPLICATION FEE STRUCTURE TO INCLUDE NOTIFICATION AND HEARING COSTS. (AN INCREASED FEE SCHEDULE AND ESTIMATED REVENUES ARE SHOWN ON THE FOLLOWING PAGE).
32. ADDITIONAL FUNDING OF APPROXIMATELY \$315,000 SHOULD BE REQUESTED FOR FISCAL YEAR 1990 TO IMPLEMENT STAFFING INCREASES AND OTHER RECOMMENDATIONS OUTLINED IN THIS REPORT. (SEE IMPLEMENTATION PLAN IN FOLLOWING SECTION).

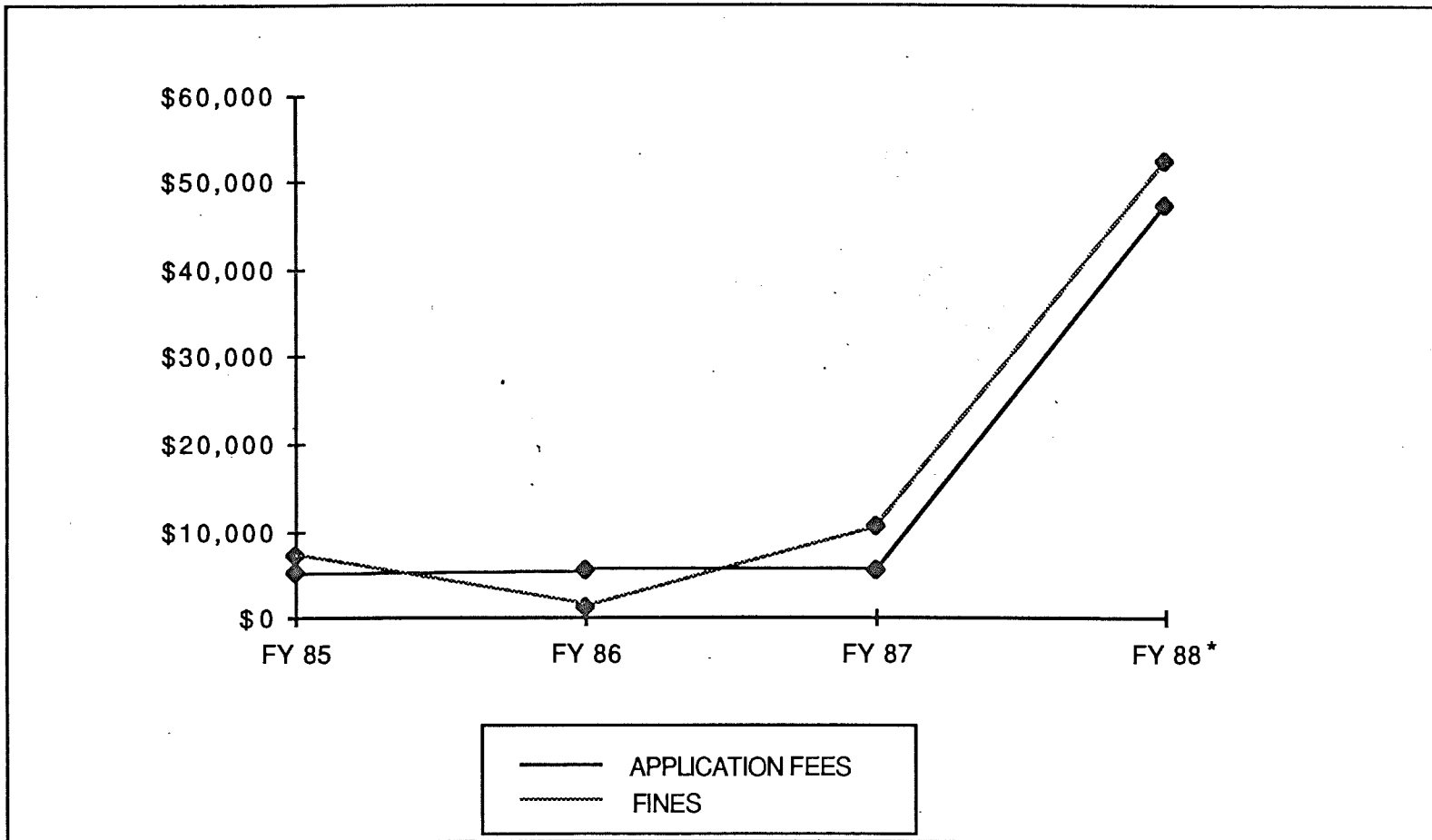
PERMIT FEE COMPARISONS

AGENCY/ JURISDICTION	<u>PERMIT FEES</u>				
	BUILDING PERMIT	AMENDMENT TO PERMIT (BUILDING, DEVELOPMENT, ETC)	DEVELOPMENT (SUBDIVISION, ETC.)	ZONE CHANGE	FRESHWATER WETLANDS GREAT PONDS
LURC	\$10	NO CHARGE	1/10 OF 1% OF CONSTRUCTION COSTS	NO CHARGE	\$10 \$10
DEP	N/A	1/2 PROCESSING FEE PLUS SAME LICENSE FEE	\$50 - \$250 PER LOT	N/A	\$100 PROCESSING \$50 LICENSE \$75 PROCESSING \$50 LICENSE
GREENVILLE	BASED ON SQUARE FEET: <500 \$20 <1000 \$30 <2000 \$30 + \$3 PER EACH 100 SQ FT >2000 \$60 + \$1 PER EACH SQ FT	SAME FEE STRUCTURE AS BUILDING PERMIT (NO. OF SQUARE FEET FOR DECK, GARAGE, ETC.)	SUBDIVISION: \$20 NOTIFICATION FEE; \$200 PLUS \$50 FOR EACH LOT OVER 3 CAMPGROUND: \$200 PLUS \$5 PER LOT	\$200 REVIEWED BY PLANNING BOARD	N/A
RUMFORD	BASED ON COST OF CONSTRUCTION: <\$10,000 \$10 \$10-49,999 \$20 >\$50,000 \$20 + \$2 PER EA \$5000 INCREMENT	SAME FEE STRUCTURE AS BUILDING PERMIT (COST OF DECK, GARAGE, ETC.)	\$100 SUBDIVISIONS, CAMP- GROUND, ETC. GO BEFORE PLANNING BOARD	\$100 ZONING CHANGES GO BEFORE PLANNING BD	N/A
PRESQUE ISLE	BASED ON SQUARE FEET: \$2 PER 1000; FIRST 10,000 \$1 PER 1000 OVER 10,000 MINIMUM \$5	N/A	N/A	N/A	N/A
RANGLEY	\$.10 SQUARE FOOT PLUS ADMINISTRATIVE FEE OF \$20 AVERAGE PERMIT \$300	\$.05 SQUARE FOOT NEW CONSTRUCTION; REPAIRS & ALTERATIONS \$20 + \$2/\$1000 COST OF CONSTRUCTION	N/A	\$30 BOARD OF APPEALS	N/A

N/A- NOT APPLICABLE OR NOT AVAILABLE

REVENUE GENERATED BY LURC

(ACTUAL COLLECTED FEES AND FINES; DOES NOT INCLUDE FINES LEVIED)



*IN 1988 ONE APPLICATION FEE OF \$37,100 WAS RECEIVED FROM SADDLEBACK;
FINES RECEIVED FROM NINE SETTLEMENTS, AVERAGE SETTLEMENT \$5,300

LURC PERMIT FEES

PERMITS	CURRENT FEE STRUCTURE			INCREASED FEE STRUCTURE	
	FEES	1988 VOLUME	ESTIMATED REVENUE	FEES	ESTIMATED REVENUE
BUILDING	\$10	570	\$5,700	\$25	\$14,250
DEVELOPMENT	\$50 (AVG)	67	3,350	\$100 (AVG)**	6,700
SUBDIVISIONS	\$500 (AVG)	18	9,000	\$1,000 (AVG)**	18,000
ZONING	0	23	0	\$200	4,600
OTHER	\$10	94	940	\$25	2,350
AMENDMENTS	0	211	0	SAME AS NEW PERMIT	3,100
TOTAL			\$18,990*		\$49,000

*DOES NOT INCLUDE SADDLEBACK PERMIT

**WOULD INCREASE FROM 1/10 TO 2/10 OF 1%

V. Implementation Plan

IMPLEMENTATION PLAN

The recommendations which are outlined in this report address a broad range of issues related to the organization, management and training of LURC personnel. While some of the weaknesses identified will require additional resources in order to be corrected, many of the recommendations can and should be implemented immediately. These changes in procedures, assigned duties, supervisory responsibilities and agency management should be of utmost priority as the agency moves forward with its new staff and expanded field activities. A suggested action plan for implementing the study recommendations is outlined in this section of the report.

Other changes, however, will require additional resources in order to fully realize the management and operational improvements which are possible. These recommendations may be generally grouped into 6 different areas, as follows:

- computer terminals and information systems
- employee training programs
- microfiche program/improved records management
- additional personnel
- office space
- consulting assistance

In each of these areas, some funding will be required over the next several years to implement the study recommendations. These funds, it is noted, are in addition to the increased appropriations authorized in FY 1989 by the Legislature for 10 new positions and supporting vehicles and equipment. While these additional resources will contribute greatly to improving LURC's development review and enforcement capabilities, they can have a much greater impact if they are accompanied by investments in staff training, information and record management systems, consulting assistance and additional office space. Also, funding for three new full-time positions and some part-time positions is recommended to fully address LURC's program responsibilities.

The estimated costs of implementing the study recommendations are outlined in summary form on the following page. Where possible, costs have been detailed (for computer equipment, information system improvements, and additional personnel). In other cases, costs shown are approximations based upon prior experience and staff estimates. Future year costs (for additional field personnel, space, equipment, etc.) beyond FY 1991 are not estimated and should be reviewed in detail once the agency's field operations and decentralized permit review and enforcement activities are fully operational.

ADDITIONAL FUNDING NEEDS: FY 1990-1991

	FY 90	FY 91
COMPUTER TERMINALS, NETWORK SYSTEMS*	\$50,000	\$55,000
TRAINING PROGRAMS	\$15,000	\$15,000
CONSULTING SERVICES • PERMIT REVIEW, SEASONAL • POLICIES & PROCEDURES	\$20,000 25,000	\$20,000
MICROFICHE, ETC. • CONVERSION • IN-HOUSE EQUIPMENT	\$20,000	\$30,000 10,000
STAFFING*	\$175,000	\$175,000
SPACE	\$10,000	\$10,000
TOTAL	\$315,000	\$315,000

* SEE DETAILED BREAKDOWN ON FOLLOWING PAGE

FUNDING ESTIMATES: COMPUTER EQUIPMENT AND NEW STAFFING

COMPUTER TERMINALS, NETWORK SYSTEMS	FY 90	FY 91
• 1 B39 MASTER	\$16,000	--
• 9 SLAVE WORKSTATIONS	10,000 (3)	\$20,000 (6)
• 3 PC'S WITH PRINTERS (FIELD OFFICES)	12,000	--
• 1 DOT PRINTER	2,000	--
• SOFTWARE/SYSTEM DEVELOPMENT	5,000	10,000
• SYSTEM IMPLEMENTATION	5,000	25,000
TOTAL	\$50,000	\$55,000
STAFFING RECOMMENDATIONS*		
• FUNDING FOR RECOMMENDED POSITION UPGRADES/ RECLASSIFICATIONS**	\$15,000	\$15,000
• CARTOGRAPHER	\$28,000	\$27,000
• SENIOR PLANNER	38,000	40,000
• POLICY/PROCEDURES ANALYST	32,000	34,000
• DATA MANAGEMENT POSITION (PART-TIME)	21,000	23,000
• CLERICAL SUPPORT (FIELD OFFICES) 10-12 HOURS/WEEK	41,000	36,000
TOTAL	\$175,000	\$175,000

*FY 90 COSTS INCLUDE SOME FUNDING FOR EQUIPMENT AND OTHER START-UP COSTS

**ESTIMATE PROVIDED BY DEPARTMENT OF CONSERVATION

PROPOSED ACTION PLAN

<u>SECTION/RECOMMENDATION</u>	<u>PRIMARY RESPONSIBILITY</u>	<u>ESTIMATED TIMING</u>
ORGANIZATION STRUCTURE		
1. Consolidate Development Review and Enforcement Units	• LURC Director	6 months
2. Create field and central office units within Regulatory Division, with different supervisors	• LURC Director	6 months
3. Combine project analyst and investigator into single position	• LURC Director • Resource Administrator	6 months
4. Designate Resource Administration as staff unit	• LURC Director	immediately
5. Rename Planning and Resource Analysis Unit	• LURC Director	immediately
6. Develop strategy for regional office utilization	• LURC Director • LURC Commission	6 months
MANAGEMENT AND SUPERVISION		
7. Articulate and communicate policies, priorities, and management objectives to LURC "clients" and employees	• LURC Director	6 months

PROPOSED ACTION PLAN

<u>SECTION/RECOMMENDATION</u>	<u>PRIMARY RESPONSIBILITY</u>	<u>ESTIMATED TIMING</u>
8. Establish and implement staff training programs	<ul style="list-style-type: none"> • LURC Director • Resource Administrator 	1 year
9. Define and monitor supervisory duties	<ul style="list-style-type: none"> • LURC Director 	3 months
10. Establish policy and procedure analyst position	<ul style="list-style-type: none"> • Legislature • Division of Admin Svcs. 	FY 1990
11. Develop standards for written documentation	<ul style="list-style-type: none"> • Supervisory staff 	3 months
12. Develop orientation program for LURC commissioners	<ul style="list-style-type: none"> • LURC Director • Senior staff 	3 months
13. Hold periodic workshops/seminars	<ul style="list-style-type: none"> • LURC Director • Senior staff 	6 months
STAFFING AND PERSONNEL UTILIZATION		
14. Establish timeframes and priorities for public education program	<ul style="list-style-type: none"> • Supervisor of Planning • Education Coordinator 	3 months
15. Add cartographer position	<ul style="list-style-type: none"> • Legislature • Division of Admin Svcs. 	FY 1990

PROPOSED ACTION PLAN

<u>SECTION/RECOMMENDATION</u>	<u>PRIMARY RESPONSIBILITY</u>	<u>ESTIMATED TIMING</u>
16. Add senior planner position	<ul style="list-style-type: none"> • Legislature • Division of Admin Svcs. 	FY 1990
17. Restructure analysts' work week	<ul style="list-style-type: none"> • Senior staff 	1 month
18. Transfer data entry and report preparation functions for enforcement cases to clerical staff	<ul style="list-style-type: none"> • LURC Director 	1 month
19. Request funding for temporary consultant services	<ul style="list-style-type: none"> • Legislature 	FY 1990
20. Structure and implement field assistance program with forest service	<ul style="list-style-type: none"> • LURC Director • DOC staff 	3 months

WORKLOAD, ACTIVITIES, AND PRODUCTIVITY

21. Institute applicant notification program	<ul style="list-style-type: none"> • Supervisor of Development Review 	1 month
22. Review and update application forms	<ul style="list-style-type: none"> • Supervisor of Development Review 	3 months
23. Review and revise procedures for outside agency review of LURC permit applications	<ul style="list-style-type: none"> • LURC Director 	3 months

PROPOSED ACTION PLAN

<u>SECTION/RECOMMENDATION</u>	<u>PRIMARY RESPONSIBILITY</u>	<u>ESTIMATED TIMING</u>
24. Continue review and disposal of incomplete applications and old enforcement actions	<ul style="list-style-type: none"> • LURC Commission • Development Review and Enforcement Supervisors 	ongoing
25. Coordinate planning activities with Office of Comprehensive Planning regarding impact of growth management legislation	<ul style="list-style-type: none"> • Supervisor of Planning 	ongoing
COMPUTER SYSTEMS		
26. Add part-time data management position	<ul style="list-style-type: none"> • Legislature • Division of Admin Svcs. 	FY 1990
27. Request funding for microfiche program	<ul style="list-style-type: none"> • Legislature 	FY 1990
28. Request funding for new computer hardware and systems	<ul style="list-style-type: none"> • Legislature 	FY 1990
OFFICE SPACE		
29. Request funding for temporary office space for Augusta staff	<ul style="list-style-type: none"> • Legislature 	FY 1990
30. Request funding for part-time clerical support for field offices	<ul style="list-style-type: none"> • Legislature 	FY 1990

PROPOSED ACTION PLAN

SECTION/RECOMMENDATION

PRIMARY RESPONSIBILITY

ESTIMATED TIMING

FUNDING

31. Increase fees for LURC permits

- LURC Director
- LURC Commission
- Legislature

3 months

32. Request funding to implement study recommendations

- Legislature
- DOC staff
- LURC Director

FY 1990

Appendix

LIST OF INTERVIEWEES

<u>NAME</u>	<u>POSITION/COMPANY</u>
PAUL FREDERIC	LURC DIRECTOR
FRED TODD	SUPERVISOR OF PLANNING AND RESOURCE ANALYSIS
JYM ST. PIERRE	SUPERVISOR OF ENFORCEMENT
GLORIA LEVASSEUR	SUPERVISOR OF DEVELOPMENT REVIEW
CATHERINE CARROLL	SENIOR PROJECT ANALYST
SCOTT FOSTER	ENFORCEMENT COORDINATOR
JIM JACOBSEN	PROJECT ANALYST
JOHN ADAMSON	ENFORCEMENT INVESTIGATOR
TOM WOOD	RESOURCE ADMINISTRATOR
DONNA MCLAUGHLIN	SECRETARY
BEN CREITON	ACTING EDUCATION COORDINATOR
ED MEADOWS	COMMISSIONER, DEPARTMENT OF CONSERVATION
SUE BELL	DEPUTY COMMISSIONER
DAVE CARLISLE	PRENTISE & CARLISLE
BOB ARSENAULT	SQUAW BAY
DANA MORTON	SMRT
KAREN TILBERG	MAINE AUDUBON
PETER BOURQUE	INLAND FISHERIES & WILDLIFE
DAVE COURTEMANCHE	DEPARTMENT OF ENVIRONMENTAL PROTECTION
BART HARVEY	GREAT NORTHERN
GLENN ANGELL	DEPARTMENT OF ENVIRONMENTAL PROTECTION
RICHARD ANDERSON	CONSULTANT/BARTON & GINGOLD
MARCIA SAWIN	INDIVIDUAL APPLICANT
JERRY BLEY	NATURAL RESOURCE COUNCIL
JEFF PIDOT	ASSISTANT ATTORNEY GENERAL
ELIZABETH SWAIN	CHAIRPERSON - LURC COMMISSION
CHARLES PRAY	SENATE PRESIDENT
MICHAEL MICHAUD	HOUSE CHAIRMAN ENERGY & NATURAL RESOURCES COMMITTEE
DAN GWADOSKY	MAJORITY LEADER - HOUSE OF REPRESENTATIVES
MALACHI ANDERSON	STATE REPRESENTATIVE - CARIBOU