
Lean Government Event Scoping Guide



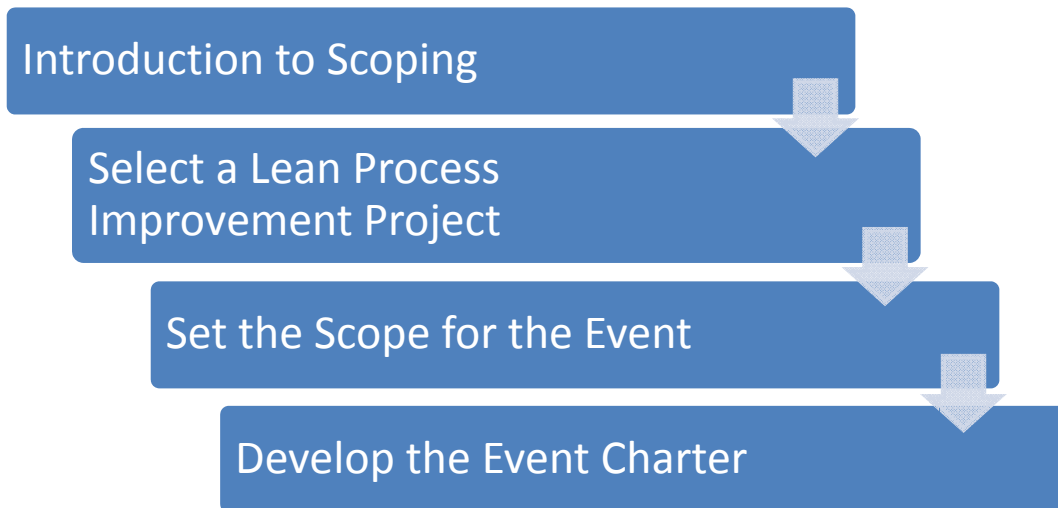
OTHER PUBLICATIONS FROM EPA'S LEAN GOVERNMENT INITIATIVE

- [Lean in Government Starter Kit](#)
- [Working Smart for Environmental Protection: Improving State Agency Processes with Lean and Six Sigma](#)
- [Lean in Air Permitting Guide](#)
- [Lean Government Metrics Guide](#)
- [Lean Leadership Guide](#)

These resources, as well as case studies and other information about Lean government, can be found on EPA's Lean Government website (www.epa.gov/lean/government).

Lean Government Event Scoping Guide

This Lean Government Event Scoping Guide is a resource to help government agencies select, scope, and charter successful Lean events. Each section includes lessons, examples, and/or quotes drawn from environmental agencies' experiences with scoping and conducting Lean events. This guide includes the following sections:



This guide assumes the reader is familiar with Lean government, which is the application of Lean methods to government processes. Lean enables environmental agencies to work more effectively and efficiently to protect human health and the environment by identifying and eliminating waste in government processes. Whether your organization has conducted Lean events in the past or is beginning to plan its first event, this guide provides practical advice for the critical initial steps for planning a Lean event. It is a supplement to the [Lean in Government Starter Kit](#), which provides overall guidance on how environmental agencies can use Lean methods to improve their processes.

Introduction to Scoping a Lean Event

What Does “Scope” Mean?

Scope refers to the segment of a work process—involving specific activities and steps—that is addressed in a Lean event. In any organization, there are typically numerous processes that are each designed to deliver a specific product, service, or result with specified features and functions. However, such processes often have blurry boundaries in the real world. Processes overlap, interconnect, and are embedded within each other. Some

IN THIS SECTION: INTRODUCTION TO SCOPING

- What Does “Scope” Mean?
- Why Does Scoping Matter?
- Managing Expectations Related to Scope

processes are dependent on outputs from other processes. Other processes share steps or resources, including people and equipment. The scope for a Lean event defines the specific part (or parts) of a process on which a team will focus its attention, including its beginning and end points.

Why Does Scoping Matter?

Lean initiatives often succeed or fail based on an organization's ability to scope Lean events effectively. Poor scoping not only limits a team's ability to meet its goals, it can also undermine support for future improvement activities. The stakes are high. How often have we heard, "we tried that before and it didn't work, we won't do that again!"? Disagreement or confusion about an event's scope can also make it difficult to create an atmosphere of trust at a Lean event.

So what happens when Lean events are not well scoped?

- **Unclear scope.** Teams spend excessive time trying to agree about what they will be focusing on in their event, limiting valuable time for discovering and addressing waste and improvement opportunities. Conflicts can emerge as team members debate divergent perspectives on the purpose of the event and on where the boundaries of the team's work begin and end.
- **Too large scope.** Teams have difficulty making meaningful progress because there is too much to discuss. Mapping the full current process consumes most of the event, leaving little time to focus on the desired future process. Teams seldom have time to identify problems, develop solution options, select solutions, and agree on next steps, meaning that the path to implementation is often unclear when team members return to their jobs. Teams can become bogged down by the complexity. Results are sparse and significant work lies ahead to develop a clear path for implementation.
- **Too narrow scope.** Teams waste time and resources that could be targeted to broader improvement activities. Overly narrow focus may blind a team to upstream or downstream opportunities or implications, obscuring bigger-picture understanding. Results may be significant in isolated areas, but process changes may disrupt overall process performance or other parts not included in the scope.

"I don't think it is possible to overstate the importance of scoping in the overall success of the event!"

Kristin Brier, Indiana Department of Environmental Management

Effective scoping is critical to successful Lean events. This guide discusses practical steps and tips for scoping successful Lean events.

Managing Expectations Related to Scope (and Vice Versa)

Before we explore specific steps and considerations related to scoping Lean events, it is important to recognize *the connection between scope and expectations*. The scope of a Lean event directly influences the results that can likely be achieved from the event. Project sponsors,

facilitators, and participants can calibrate their expectations by explicitly discussing the types of results that are realistic under various event scopes.

In many cases, the magnitude and complexity of the process improvement being sought will be beyond that which can be fully addressed in a single Lean event. By acknowledging this honestly, managers and teams can scope their Lean events to achieve rapid progress in the context of a broader improvement strategy. This guide will help you consider event scope in the context of expectations, results, and broader improvement strategies. The next section discusses steps and considerations for selecting a Lean improvement project.

Select a Lean Process Improvement Project

The first stage in planning for a Lean event is to select a process to target for improvement. This important step should take place before the pre-event scoping meeting, which should typically be held three to six weeks before the event. There are three key steps for selecting a Lean process improvement project.

Step 1: List Potential Processes to Target

Selection of a process to target in a Lean event is typically guided either strategy or “pain” (or both)—that is, the greatest perceived problems. Problems could include backlogs, bottlenecks, complaints, funding constraints, or quality and performance concerns. The box below lists several example reasons for selecting processes for Lean events.

STEPS FOR SELECTING A LEAN PROJECT

- Step 1: List Potential Processes to Target
- Step 2: Assess Project Desirability
- Step 3: Screen for Readiness to Select the Process

STRATEGY AND PAIN-DRIVEN PROCESS SELECTION¹

Strategy-Driven Process Selection

- Based on new initiatives or regulatory programs
 - New challenges or needs
 - New or shifting agency priorities
- Based on connections to other organizational changes or initiatives
 - Reorganization

Pain-Driven Process Selection

- Based on organizational concerns
 - Inadequate capacity or resources due to workload or budget cuts
 - Concern for meeting regulatory deadlines
- Based on process problems
 - Backlogs

¹ Based on a presentation by Guidon Performance Solutions, “How to Scope a Lean Event,” at the Lean Government Exchange in Des Moines, IA, 9-11 June 2009, www.slideshare.net/guidon/how-to-scope-a-lean-event.

- Other process improvement efforts
- Based on a value stream map analysis of the organization or process area²
 - Missed deadlines
 - Quality issues
 - Customer, stakeholder, or staff complaints about process or outputs
 - Productivity problems

Either approach—strategy or pain, or a blend of both—can be used to generate a list of potential processes to target in a Lean event or process improvement project. For each process added to the list of potential candidates for a Lean project, try to identify the high-level purpose of a potential improvement effort (e.g., reduce lead times, improve quality, or eliminate rework). These processes with high-level improvement needs form the universe of potential Lean projects to consider.



Step 2: Assess Project Desirability

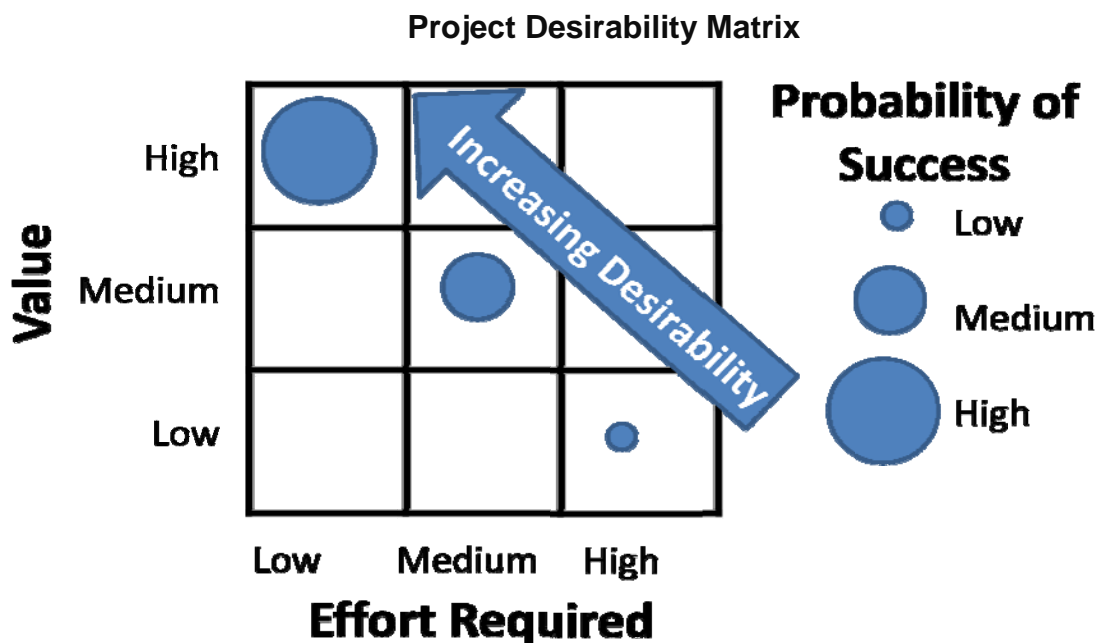
The next step in project selection is to assess the processes being considered for improvement to determine if they would work well in a Lean event. An efficient way to assess project desirability is to qualitatively rate (high, medium, and low) each process identified in Step 1 according to the following three criteria:

- **Value to the organization.** Refers to the effect potential improvements to the process will likely have on the organization or its stakeholders. Value could be considered in terms of environmental outcomes, quality of service, or cost-effectiveness of budget investments, among others.
 - It is important to consider that improvement of large volume, low variability processes may have significant value to an organization since potential results are realized each time the process is used (e.g., each time a permit is issued).
 - While certain low volume, high variability processes (e.g., leadership transition processes, periodic planning processes, etc.) may be important to an organization, the cumulative value of potential improvements may not be as high. For example, reducing permitting timeframes may be medium to high value.

² Value stream mapping refers to a process of mapping the current state and desired future state for key high-level processes in an organization. Value stream maps are frequently used to guide selection of specific areas (e.g., processes, sub-processes) where improvement activities are needed to move towards the desired future state.

- **Effort required.** Refers to the amount of time and resources that will likely need to be devoted to the Lean event and follow-up activities to realize the value. Processes that are complex (e.g., changing an organizational strategic planning process, changes that affect regulatory interpretations, guidance, or rules, etc.) and involve many participants or organizations may require a high level of effort, whereas processes that involve fewer people may require a low level of effort. Processes that are well established by years of tradition and institutional knowledge may also require a high level of effort to change. Another factor to consider is whether the process is politically sensitive and therefore may require significant and potentially significant communications with the public and legislators, in addition to managers and staff.
- **Probability of success.** Refers to a reflection on the various risk factors that may affect the likelihood of identified improvements being successfully implemented. Factors that make for a low probability of success can include:
 - Projects that will not likely show benefits for more than a year
 - Projects that depend on completion of other risky projects (e.g., changes needed through regulatory processes)
 - Projects that require substantial assistance from extremely busy people
 - Projects that are not clearly aligned with the organization’s strategic priorities and objectives
 - Project fixes that require a large financial investment

Once each potential project is rated for each of the criteria above, it can be plotted on a project desirability matrix.



Source: Based on a presentation by Guidon Performance Solutions, “How to Scope a Lean Event,” at the Lean Government Exchange in Des Moines, IA, 9-11 June 2009, www.slideshare.net/guidon/how-to-scope-a-lean-event.

It is important to note that agencies may choose to select Lean projects other than those that fall in the most desirable section of the project desirability matrix—that is, the section representing *high value, low effort, and high probability of success*. There may be important reasons to continue with the event; however, it is important to calibrate everyone’s expectations about the types of results that can reasonably be expected.

Step 3: Screen for Readiness to Select the Project

Next, the most desirable projects should be screened for readiness. To assess readiness, consider the following factors:

- **Presence of a “champion.”** If there is no obvious individual to oversee and lead a Lean event on the process and motivate others to change (a “champion”), then it is not likely a good candidate for improvement.
- **Engagement of key managers.** If key managers show resistance or opposition to an improvement effort, it can be difficult to move forward with implementation following the event.

Many environmental agency managers with Lean experience and other experienced Lean practitioners attest that leadership engagement and commitment is the single most important factor for the long-term success of Lean initiatives. For guidance on effective roles for leaders in Lean initiatives, see EPA’s [Lean Leadership Guide](#) on EPA’s [Lean Government website](#). The next section discusses factors to consider when setting the scope for a Lean event.

Set the Scope of the Lean Event

To enable a successful Lean event, it is critical to define exactly what the team will be asked to accomplish. The event scope sets the “fence posts” that the team will be operating within. Scoping helps answer the following questions:

- What is the purpose of the event?
- What specific process or part of the process will be targeted in the event?
- What are the desired outcomes?

STEPS FOR SETTING THE SCOPE OF THE LEAN EVENT

- Step 1: Define Key Components of the Event Scope
- Step 2: Consider Whether Scope is Sufficiently Narrow
- Step 3: Consider Implications of Scope and Align Expectations

Answering these questions can significantly increase the probability that the event is successful. Effective scoping is as much art as science. Refining the scope of the event is usually done during the pre-event scoping meeting, three to six weeks prior to the event; sometimes more than one pre-event meeting is needed. For a detailed explanation of the pre-event meeting, see chapter 3 of the Lean in Government Starter Kit.

Step 1: Define Key Components of the Event Scope

Discuss and identify the key components of the Lean event scope that will keep the team focused on the specific areas and work steps that will best enable them to improve the process and address the purpose of the Lean project. The scope should include the following information:

- **Process and purpose.** Identify the process targeted for improvement, as well as the high-level purpose of the improvement project.
- **Event name.** Identify a name for the Lean event that is easily recognized. Event names should be descriptive, but not too long.
- **Process trigger.** Identify the process trigger that sets in motion the action in the first step. The trigger should answer the question, “How do the people who perform the first step know to begin work?” The trigger could be the receipt of something such as a request or application. With scheduled activities, the calendar or a schedule may be the trigger.
- **First step in the process.** Identify the first activity in the process (beginning “fence post”) that the team should focus on in the event.
- **Last step in the process.** Identify the last activity in the process (ending “fence post”) that the team should focus on in the event.
- **Specific conditions.** Identify the specific process conditions that should be assumed by the team during the event. Processes often vary depending on specific conditions or circumstances, such as geography, type of work product or service delivered, or type of customer, among others.

Be as specific as possible when documenting this information to avoid confusion.

Step 2: Consider Whether Scope is Sufficiently Narrow

Once you have clearly documented the components of the event scope, step back and consider whether the scope is sufficiently narrow. Will the team be able to fully map and examine the current state process steps, develop a desired future state map, identify specific improvement needs and solutions, and plan for their implementation during a two- to five-day event? While some events may be scoped too narrowly, the tendency is often to set the scope for a Lean event too broadly.

If the scope feels too large, consider the following approaches for narrowing the scope further:

- **Adjust the specific conditions.** Consider whether it is helpful to focus the event on a specific type of work product (e.g., Title V air permit renewals instead of all air Title V air permitting). Alternatively, it may be useful to

“The selection and scoping of the event was critical. For our first event, we selected one specific aspect of our audit process—tracking corrective actions. We deliberately started small—yet that one aspect took a full week to work through. We resisted the temptation to allow for scope increase and managed to stay focused on one single issue with good results in the end.”

Barbara Freggens, EPA Office of the Chief Financial Officer

focus on how the process is implemented in a specific geographic region or in a specific sector. It may also be helpful to consider if certain cases in the process can be segmented by complexity or in some other manner. For example, some processes may have cases that trigger a certain type of analysis, review, or consultation—if so, it may be useful to focus on or exclude these cases from the event scope. If the event is narrowed to address a specific subset of cases in the broader process, the team can later consider the relevance of applying identified improvements to other cases in the broader process.

- ***Move the fence posts.*** It may be worth considering whether the starting or ending point in the process outlined in the scope can be adjusted. Event planners should carefully weigh the benefits of narrowing the process steps examined during the event, with the potential loss of information about upstream or downstream implications from focusing improvement activities on a specific portion of the process.
- ***Divide into multiple events.*** In some cases, it may be helpful to break the Lean project into a series of two or more coordinated events to address specific aspects of the process.

The textbox below discusses several environmental agencies' lessons regarding event scoping.

LESSONS LEARNED ABOUT SCOPING EVENTS TOO LARGE

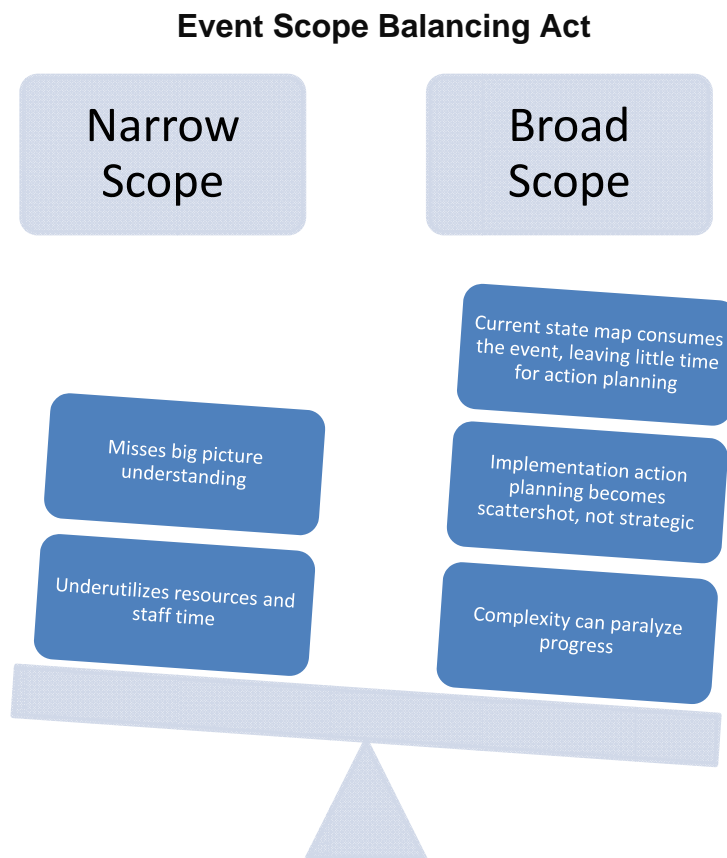
Especially when agencies begin their Lean journeys, it's easy to want to try to do too much in a single Lean event. Here are some experiences environmental agencies have had:

- ***EPA Region 7, Iowa DNR, Kansas DHE, Missouri DEQ, and Nebraska DEQ:*** EPA Region 7 and the States of Iowa, Kansas, Missouri, and Nebraska set the scope of their second joint event to address both permitting and enforcement in the NPDES process. Although they were able to work through the current and future state mapping, participants did not get as far into the implementation planning as they might have with a narrower scope. Some managers felt that it might have been better to have separate events on permitting and enforcement, in order to have more success with implementation afterwards.
- ***EPA Office of the Chief Financial Officer (OCFO):*** EPA OCFO had very different experiences in its first two Lean events based in part on how the teams scoped the events. In the first event, which was a kaizen event, OCFO focused narrowly on tracking corrective actions in its audit process and developed an action plan that the team could readily implement following the event. In the second event, a value stream mapping event with a much broader scope, the team looked at the entire budget and planning process. Many participants were frustrated that the outcomes from the value stream mapping event were not more concrete or implementation-focused.
- ***Minnesota Pollution Control Agency (MPCA):*** MPCA initially addressed the entire NPDES water permitting process in a Six Sigma project, but found that it was too much to tackle in a reasonable amount of time. MPCA then narrowed the scope of the process improvement efforts to focus on re-issuance of permits. The agency has found more success by implementing a few

projects over time rather than an occasional “mega project,” and has also shifted from relying on longer-term Six Sigma projects to implementing short, focused Lean events.³

Step 3: Consider Implications of the Scope and Align Expectations

As the image below suggests, setting the event scope is a balancing act. On the one hand you want to scope the event broadly enough to enable a strategic and systems-focused improvement approach; on the other hand, you want to be able to focus in enough detail to be able to drive timely and effective implementation actions during or immediately following the event.



When considering whether the current scope strikes the right balance, consider the likely outcomes that may be achieved from the event as currently scoped. If the scope remains broad, it is especially helpful to consider the following steps to ensure that the investment of staff time and resources in the event yield results.

- *Be prepared for follow-up implementation planning and support.* Make sure that the team is prepared to allocate significant time following the Lean event to plan for and to conduct follow-up implementation. Ideally, you should scope and design the event so that implementation begins the work day right after the event.

³ For more information on MPCA’s Lean and Six Sigma efforts, see U.S. EPA and Environmental Council of the States, *Working Smart for Environmental Protection: Improving State Agency Processes with Lean and Six Sigma*, March 2008, EPA-100-R-08-007, www.epa.gov/lean/toolkit/LeanGovtPrimer.pdf, and the State of Minnesota Enterprise Lean website, www.lean.state.mn.us.

- *Be open to conducting additional Lean events.* In some cases, it may be appropriate to identify—and carve out—specific parts of a process to be examined in a separate, coordinated Lean event. This can enable a team to devote more concentrated attention on specific areas during the next Lean event.

Finally, remember to align leaders’ expectations for results with what can realistically be achieved. Many teams see management support for a project erode when they expect a Lean event to yield substantial (and often unrealistic) results that do not rapidly materialize. In reality, particularly for broadly-scoped events, the Lean event typically marks the beginning of a longer improvement effort. The event should be a powerful start to a longer improvement journey.

Develop the Lean Event Charter

The *team charter* for a Lean event is one of the most important documents for ensuring the success of the process improvement effort. The Lean event charter defines the scope, goals, and objectives of the event, as well as the participants, meeting logistics, and work that must be completed prior to the event. The Lean team develops the charter in the pre-event scoping meeting or meetings, ensuring that team members develop a common understanding of what the team wants to accomplish and what success will look like. The entire Lean team should support the items they decide to include in the charter. The charter also serves as the basis for external communications about the event, along with the event report-out presentation. For guidance on communications associated with Lean, see chapter 3 of the Lean in Government Starter Kit.

The textbox below lists the seven steps to follow when developing a charter.

STEPS TO DEVELOP A LEAN EVENT CHARTER

- Step 1: Document the scope of the process to be leaned
- Step 2: Identify goals and objectives
- Step 3: Clarify boundary conditions for the event
- Step 4: Determine participants for the event
- Step 5: Identify pre-work needed
- Step 6: Record event dates and location
- Step 7: Review the charter with management and the team

On the following page is an example charter, showing the key elements of scope, goals, objectives, participants, pre-work, and event logistics.

Example Team Charter

SCOPE

This event will address the Air Quality Bureau – Construction Permits section’s process for reviewing and issuing Complex Construction Projects. The event will focus on the point at which an initial application is received by the agency to the point at which a permit is issued.

Complex construction projects are generally those that involve Prevention of Significant Deterioration (PSD) permitting, Air Toxics review under 112g of the Federal Clean Air Act, Netting evaluations for PSD credit, Non-attainment State Implementation Plan (SIP) permitting, and other permitting that involves establishing facility-wide or extensive permitting to limit potential emissions to reduce the facility’s regulatory burden. The process is defined as beginning when an application is received, and ends when a permit is issued.

GOALS AND OBJECTIVES

The following will be accomplished within six months of the Lean event:

1. Issue 100% of Complex PSD permits in a maximum of 180 calendar days (132 work days) from the application received date.
2. Reduce lead time for processing projects from 210 days (including 40-day comment period) to 125 days (including 40-day comment period). (Reduction of 50% not including comment period).
3. Reduce requests for additional information by 50%.
4. Reduce the number of unanticipated comments in the comment period by 50%.
5. Streamline the process to review and issue Complex Construction Projects and reduce variability.
6. Develop a standard operating procedures guide for project reviewers and project applicants.

BOUNDARY CONDITIONS

No changes will be made to existing regulatory requirements.

PARTICIPANTS

Team	Daily Briefing Participants:
Facilitator: [Insert name here]	[Insert name here]
Team leader: [Insert name here]	[Insert name here]
Event sponsor: [Insert name here]	[Insert name here]
Team members: [Insert names here]	

PRE-WORK

- Process Mapping ([Insert name here]) – Complete draft by 8/16
- Matrix Construction ([Insert name here]) – Complete draft by 9/22
- Data Collection ([Insert name here]) – Complete draft by 10/17
- Guide Materials ([Insert name here]) – Complete draft by 11/11

EVENT LOCATION, DATES, AND TIMES

- Monday through Thursday, 11/15-11/18, 8:00 AM to 5:00 PM
- Friday, 11/19, 8:00 AM to 1:00 PM; Report-Out Presentation at 12:00 PM
- Location: Air Quality Bureau, Room XX

Step 1: Document the Scope of the Process to be Leaned

In the pre-event scoping meeting(s), the Lean event team should discuss the scope of the process that it will address in the Lean event and clearly define and document the start and end points of the process in the charter. See the above section, titled “Set the Scope of the Lean Event,” for an explanation of how to create an effective event scope.

Step 2: Identify Goals and Objectives

Having a clear target for your Lean event is critical to success. Goals and objectives enable this targeting. They are not the same, although they are often thought of together.

Lean Event Goals

Goals are statements of intent that focus team attention on the areas in which improvement results are desired. Goals typically precede objectives, and provide a useful starting point to ensure that the highest priority areas are targeted by an event. While there may be many goals for a specific event, it is important to have a shared understanding among the team of the 1-3 highest-priority goals. The textbox below lists common types of goals for Lean events.

Examples of goals include:

- *Reduce the lead time for reviewing air construction permit applications.*
- *Decrease response time for customer calls related to sewer back-ups.*
- *Increase the percentage of permit applications that are complete and accurate.*

TYPES OF LEAN EVENT GOALS

The following types of goals are common to many Lean events. For a specific Lean event, these types of goals would typically include some description of the specific activity or work product that is relevant to the goal statement.

- Reduce lead time
- Improve quality
- Improve productivity
- Free capacity
- Reduce response time to requests or inquiries
- Standardize the process
- Organize the workplace
- Define key performance indicators
- Clarify roles and responsibilities

Lean Event Objectives

Objectives differ from goals in that they are specific and measurable. A team should be able to observe and measure the current state relevant to the objective, as well as the status of progress made over time. Each objective should include:

- The goal
- Metrics associated with the goal (often related to time, quality, or cost)
- Targets (desired performance level relative to current performance level)
- Timeframes (if possible)

Examples of well-defined objectives include:

- *Reduce the maximum time for first response to permit applicant inquiries to 24 hours within 3 months.*
- *Improve first time quality of monthly water quality data submittals from 72 to 95 percent by June 1.*

In cases where there is not sufficient data to define specific quantitative objectives, set general goals and objectives that express a percentage improvement target. For example:

- *Reduce the average time it takes to conduct an administrative review of a permit application by 75 percent within the next three months.*

Objectives should be realistic, but set the bar to encourage the team to “stretch.” It may be useful to communicate that the organization is committed to achieving the objective, but that the Lean event team will not be penalized for failure to reach the objective—although significant progress towards the objective is expected.

EXAMPLE EVENT OBJECTIVES

Below are examples of objectives drawn from environmental agency Lean events. Note that some of the objectives could benefit from more explicit refinement to targets and timeframes.

- ***Florida Submerged Lands and Environmental Resources Permit Process:*** Reduce time of the first phase of the Dredge and Fill application process by 50 percent.
- ***Vermont Department of Environmental Conservation, Wastewater Management Division:*** Reduce permit processing time (lead time) by 50 percent (while using the same environmental review standards); improve productivity by 100 percent.
- ***EPA Office of the Chief Financial Officer Corrective Action Tracking:*** Reduce missed milestones by 100 percent (e.g., no missed corrective actions); reduce rework and duplication by 75 percent (e.g., reduce the status-check phone calls, e-mails, and fire-drill mentality); reduce status update time by 50 percent (e.g., create one central place for data); make current data readily available to all stakeholders.

Step 3: Clarify Boundary Conditions for the Event

A crucial step in scoping a Lean event is for the event sponsor to establish clear boundaries. Boundaries define the limits of the event in advance, which helps the Lean team to remain focused only on potential solutions that they can reasonably expect to implement after the event.

Some solutions might be off-limits, such as policy changes. Some agencies have used an in-scope and out-of-scope list to help keep boundary conditions in mind throughout the event.

By establishing clear boundaries for a Lean event, the team can clarify the team’s expectations for what they will address during the event. It can also help address concerns that some stakeholders might have. A few advantages of setting discrete boundaries include:

- *Clear boundary conditions ensure that agency objectives—such as environmental protection and public participation—are not undermined.* For example, changes that would require rulemaking action are generally considered out of bounds during a Lean event, although these ideas could be held in a “parking lot” for future consideration.
- *Boundary conditions can be helpful in addressing key stakeholder concerns up front.* For example, when conducting a Lean event on a permitting process, it may be necessary to clearly state that public comment and participation opportunities will not be lessened.
- *Boundary conditions can help set clear expectations about the availability of additional resources.* Lean events are designed to strongly encourage creativity to find ways to reduce costs rather than to increase capital expenditures.

“The in-scope and out-of-scope list is very important. We had it right on the wall in the event.”

Paul Foster, Delaware Department of Natural Resources and Environmental Control

EXAMPLE IN-SCOPE AND OUT-OF-SCOPE LIST⁴

In Scope	Out of Scope
<ul style="list-style-type: none"> • Interpretation of agency rules, policies, and guidance documents • Internal organizational structure • Internal permit process and timing • Applicant internal process and timing • Electronic submittals • Application content and format • Permit and technical memo format • Special condition content • Communication (internal/external) 	<ul style="list-style-type: none"> • EPA regulations • Interpretation of EPA rules, policies, and guidance documents • Modifying existing agency rules • Additional resources • Permit appeal process • New software/computer systems • Mandated public participation requirements • Permit involving enforcement action • Public hearing process/officer

The pre-event scoping meeting(s) should include time to discuss the team’s thoughts about the scope and boundary conditions for the event, as well as time to incorporate any changes needed

⁴ In Scope, Out of Scope List from a presentation of the Delaware Department of Natural Resources and Environmental Control.

to ensure that the team is fully supportive. Sometimes, it becomes clear *during an event* that something outside the boundaries must be addressed in order to achieve the event’s goals. It is acceptable to change the boundaries, but the team should be explicitly clear about why it has decided to make the change, and evaluate whether the change will require any increase in team size or the timetable of the event.

Step 4: Determine Participants for the Event

Selecting the best possible combination of people to participate in a Lean event can have a tremendous impact on the success or failure of the event. Instruct team members that they should expect to participate fully by attending the entire event. Make sure that team members anticipate completing assignments before, during, and after the event.

Some key steps to follow when selecting the members of the event team include:

- Start with the “Thirds Rule.” This guideline will ensure that the team has representation across multiple functions. Select one-third of team members who work directly with the process, one-third who are managers or supervisors in the process, and one-third customers or stakeholders (see textbox).
- Select 8–14 team members for most events. Some processes are extremely complex and may require additional participants; however, teams should not be larger than 20 members. Very large teams can be difficult to manage and may require dividing into subgroups.
- Include high-level managers on the team to secure buy-in from decision makers and to ensure that implementation will continue after the event.
- Balance participants throughout the process, and avoid loading the team with members involved in just one part of the process. Consult with staff to identify all activities in the event’s scope and select participants with connections to those activities.
- Consider including a representative from the agency’s information technology and/or human resources, legal, or accounting branches, if the process involves these functions.
- Consider people’s personalities and informal leadership roles as well as their formal titles and relationship to the process. For example, it’s helpful to have people who are doers and connectors, as well as people who are open to change and can act as change agents after the event ends.

THE “THIRDS RULE”

The “thirds rule” provides a guide for structuring the Lean Team. Include:

- 1/3 of participants who work directly in the process
- 1/3 of participants who manage or supervise the process
- 1/3 of participants who are not directly involved in the process (e.g., people from the agency, external stakeholders, customers)

Key participants in the event should include:

- *Event Sponsor.* This person will own the process, helping team members by approving time away from work to participate in the event and by removing any roadblocks.

- Note that it is critical for the sponsor to kick off the event, enable Lean teams to make decisions during the event, participate in the report-out presentation, and monitor implementation after the event; however, in some cases, the sponsor may not participate in all of the day-to-day activities of the event. (See EPA’s Lean Leadership Guide for more guidance.)
- *Facilitator*: This person will guide team members through the Lean event, helping the team develop the event charter and scope by facilitating the pre-event scoping meeting, facilitating and managing the discussions during the event to ensure participants’ goals are achieved, and advising team members on assigning follow-up activities.
- *Team Leader*. This person should have previous experience with process improvement efforts. The team leader helps with logistics; supports the Lean facilitator during the pre-event meeting, Lean event, and follow-up meetings; and helps lead the team in the event.
- *Team Members*. These participants are key managers and staff who work within the process, with the process, or are customers of the process.

Step 5: Identify Pre-Work Needed

Collecting data on baseline metrics and other prep work related to the process prior to the event can help the team use event time efficiently and effectively. Pre-work assignments should include:

- Clear identification of the person responsible for each pre-work task
- Due dates
- People responsible for following up with those performing pre-work
- A clear link between data analysis and the event goals and objectives
- The goals and objectives that the team has defined for the event should be the primary drivers of data collection. For example, if one goal is to achieve 100 percent of permit evaluations completed within 60 days, then the team should collect data on the current number of permit evaluations that take longer than 60 days. In addition, in many cases, it can be difficult to define specific quantitative objectives when the Lean event charter is first drafted. Data gathered between the pre-event scoping meeting(s) and the Lean event can be used to refine the goals and objectives for the event to be more specific and measurable.

Step 6: Record Event Dates and Location

Use the charter to record key logistical information about the event, including meeting locations, event dates, and meeting times. Consider whether any special arrangements are needed for the final report-out presentation, which often involves additional people. Often the logistical arrangements for the event are made at the same time as the arrangements for the pre-event scoping meeting(s). For more information on preparing for a Lean event, see chapter 3 of the [Lean in Government Starter Kit](#).

EXAMPLES OF PRE-WORK

Categories of pre-work to be completed prior to the event could include:

- Data collection to establish baseline metrics
- Gathering background documents (such as existing process maps or examples of process outputs)
- Getting approval for making some types of changes during the event
- Analysis or documentation of related processes (e.g., a state process map when the event is focused on a regional review process)
- Gathering information on the perspectives of any groups who will not be represented at the event, such as stakeholders outside the process who are affected by it

Specific examples of pre-work assignments from Lean events include:

- Participants should bring copies of all forms and templates used in the process.
- Develop a timeline of national rule development activities showing how they connect to the State Implementation Plan process.
- States will map their current wastewater permitting process from application to draft permit.
- Collect baseline data related to the goals, including the lead time to process air construction permit applications.

Step 7: Review the Charter with Management and the Team

After the team has developed the charter during the pre-event scoping meeting(s), distribute the charter to everyone who will be involved in the event. Be sure that managers as well as staff have the opportunity to review the charter. This is also a good time to remind participants of their pre-work assignments. Make any appropriate revisions to the charter based on input from team members, and ensure that all participants support the charter. At the beginning of the Lean event, review the charter with the team. Make sure that event participants agree to the scope, goals, objectives, and boundary conditions for the event, including any modifications the team has made based on process data collected since the pre-event scoping meeting(s). In this way, the charter will serve as an effective and targeted guide for what the team intends to accomplish.

Conclusion

A carefully selected, clearly defined, and well documented scope is essential to the success of Lean process improvement events. It's important that Lean efforts get off on the right start through smart project selection, focusing project scope in order to ensure success, and developing charters that clearly define the expectations for the event. We hope that this Lean

Government Event Scoping Guide has been helpful in providing you and your Lean team with guidance for selecting, scoping, and chartering Lean events. For more Lean government resources, visit the EPA Lean Government website at www.epa.gov/lean/government. We wish you luck in your process improvement efforts, and encourage you to share your ideas and experiences.

EPA LEAN GOVERNMENT CONTACT

To learn more or to share your ideas and experiences, visit the EPA Lean Government website (www.epa.gov/lean/government) or contact:

Kim Green-Goldsborough
U.S. EPA, Office of Policy
(202) 566-2355
green-goldsborough.kimberly@epa.gov

This document was prepared for EPA by Ross & Associates Environmental Consulting, Ltd.

United States Environmental Protection Agency
www.epa.gov/lean
June 2011
EPA-100-K-11-002