Small Retailer Consolidated Renewal Project

Project Book

Project Notebook Preface

Small Retailer Consolidated Renewal Project

This notebook is offered in the hope that other multi-agency projects that contribute to Oregon's Regulatory Streamlining Initiative will be effectively planned, better informed and successfully implemented by building on past successes and lessons learned.

The following Project Notebook is provided as a template or case study for multi-agency projects in general and licensing consolidation projects in particular. This notebook includes the source documents for the project overall, the policy and procedural challenges and options in implementing the project and the project evaluation approach. Since every project involves project management and planning, we have included project management best practices and tips that served the project and participants in an effective manner.

Two aspects of the project that were exceptionally critical. The first, was to define the macro process for licensing that was shared by all the agencies involved. From this macro process the major policy decisions, risks and project milestones were identified and addressed in sequence. The second was to clearly define the criteria and population that was to be the subject of the project. Defining the universe of customers was much more difficult and complex than expected and we recommend that this is carefully determined early in the project and that the customer data set is thoroughly evaluated.

As a pilot project, the policy and procedural changes of the involved agencies were deliberately kept to a minimum. In any subsequent phases significant cultural, administrative, procedural and information technology changes would be needed. These changes would include but not be limited to consolidating the administrative functions or delegating licensing administrative processes to a single agency, carefully developing a memorandum of agreement (MOU) among participating agencies and designating a timely issue resolution process.

To your success,
The Small Retailer Consolidated Renewal Pilot Project Team Members

Office of Regulatory Streamlining Small Retailer Consolidated Renewal Project Book

Table of Contents

Planning:

Schedule:

Rule Making:

Process Planning and Decisions

Customer Communication

Customer Service Plan

Customer Survey

Project Evaluation

Project Testing

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

Office of Regulatory Streamlining

Project Sponsorship
Patrick Allen, Manager, Office of Regulatory Streamlining

Project Management
Laura Lesher, Project Manager, Office of Regulatory Streamlining
Debra Shaffer, Project Manager, Dept. of Agriculture
Donna Wimer, Project Manager, Secretary of State

Version 2.1
November 30, 2004

Prepared by
Donna Wimer, Project Manager, Secretary of State
Debra Shaffer, Project Manager, Dept. of Agriculture

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

TABLE OF CONTENTS

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

1 Document Control Log

Date	Description	Author
11/5/04	First draft, version 1.0	Donna Wimer
11/19/2004	Second draft modifications	Donna Wimer
11/30/2004	Add'l second draft modifications	Donna Wimer

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

2 Executive Summary

Governor Kulongoski's first executive order after taking office in January 2003 instructed state agencies to streamline business regulatory processes. The governor's goal was to reduce the regulatory burden on businesses as part of his economic revitalization effort, without compromising consumer, worker, environmental and other protections Oregonians expect. The governor's executive order created an Office of Regulatory Streamlining with the Department of Consumer & Business Services, to coordinate the streamlining initiative and serve as a resource for state agencies. While the initiative is making important progress on streamlining specific regulatory processes that apply to particular kinds of businesses and/or business functions, the overall success of this effort will also depend on the state's ability to identify and streamline situations where a given business is subject to regulation by multiple agencies.

The small retailer consolidated renewal project is one of those projects that cross agency lines. This project is a pilot to combine licensing for small retailers such as convenience stores. These stores are regulated by over a dozen agencies, each of which is implementing a public policy objective (e.g. food safety) that most would agree is valuable, yet the combined effect is clearly burdensome as the business is forced to deal with a dozen sets of applications, forms, fees, inspections, and reports or audits. These retailers have been chosen for the pilot because small retailers represent a large number of relatively low risk businesses that are subject to significant regulatory, reporting and record keeping requirements. In an effort to simplify and reduce the regulatory burdens we have gathered the respective agencies that regulate small retailers to explore the objective of reducing the burdens by working toward a master renewal for licenses, and review inspection, reporting and record keeping requirements for potential simplifications.

The small retailer category is defined as a convenience or general merchandise retailer. The products offered include prepared foods (deli), packaged foods, beer, wine and tobacco products, and lottery tickets. They also have employees, accept food stamps and WIC program vouchers and have an ATM. They also sell gasoline. These businesses may be part of a large chain, franchise or a small independent business. They are also defined by the square footage of retail space and sales volume they generate. It is assumed that if the small independent retailer experiences some streamlining of regulatory requirements it will benefit the manner in which these businesses operate.

3 Strategic Business Alignment

3.1 Governor's Mission Context

This project supports the Governor's vision to streamline regulatory processes, reduce bureaucracy that govern businesses and eliminate duplicative practices, without sacrificing any of the citizens' protections or quality of life. This will be accomplished by consolidating the renewal application and fees, and combined informational and filing requirements. These efforts will reduce the manual effort currently required to administer the renewal of licensees for the small retailers.

This project fulfills the direction of EO 03-01
- To assist agencies in identifying and eliminating duplication where there is overlapping regulatory authority.
- To use technological means to make it easier to do business with regulators.
- To improve customer service

3.2 Streamlining Criteria	To streamline regulations, agencies need to explore the answers to three main questions:

1. *Will the project or initiative make regulations simpler for business?*
   Can we eliminate an obsolete, burdensome, overlapping, or conflicting rule, activity, or process? Will the project improve consistency and predictability in a manner visible to business?

This project meets the criteria by eliminating overlapping billing processes between the three subject agencies. This should reduce licensing renewal paperwork the small retailers currently do.

2. *Will the project or initiative make regulatory processes faster for business?*
   Can we reduce the time it takes for a business to receive a permit, license, charter, or other authorization to conduct business? Will the project improve coordination and communication among agencies in a manner visible to business?

This project will improve communication between multiple agencies in their billing processes. The custom invoice will significantly reduce the business's need to provide agencies with data, allowing the individual business to just confirm data, as well as reducing the number of invoices a business receives and the number of payments they need to make.

3. *Will the project or initiative reduce the cost of regulatory compliance for business?*
   Can we eliminate or reduce business's cost for obtaining or maintaining permits and licenses? Can we reduce government fees or taxes levied on business or reduce the cost of filing with or reporting to a regulatory body?

This project should permit the overall agency time in preparing, sending and tracking payments to be reduced. It should also reduce the amount of time businesses spend in renewing licenses.

3.3 Project Stakeholders

The sponsor of this project is:

Patrick Allen, Manager, Office of Regulatory Streamlining

Other stakeholders and customers include:

Dan Croy, License Processing, OLCC

Lauren Henderson, Administrator, Administrative Services, Dept. of Agriculture

Ron McKay, Administrator Food Safety, Dept. of Agriculture

Michael Miliucci, Assistant Director, Regulatory Program, OLCC

Wendy Wiles, Underground Storage Tank Program Manager, Dept. of Environmental Quality

Small Retailers who are the subject of this pilot.

State Controllers Office

Oregon State Treasury

Statewide Financial Management Services

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

4 Project Definition

4.1 Mission

The purpose of the Small Retailer Consolidated Renewal Project is to successfully administer and coordinate the consolidated renewal of annual licenses and certification requirements of the participating state regulatory agencies for the pilot population of small retailers.

4.2 Objectives

The goal of this project is to provide the small retailer

1. Simplified regulatory processes for the renewal of their DEQ, OLCC and Dept. of Ag annual licenses;

2. Provide a combined renewal application and fees;

3. Combine the informational and filing requirements;

4. Create a seamless master renewal/fee that is user friendly, adaptive to the various aspects, products and services the business wishes to engage in;

5. To answer renewal provisions, costs and billing cycle impacts to the retailer as well as delinquent payments, grace periods, payment plans and effects that delinquent fees have on the status of the business;

6. To ensure customer service and access to knowledgeable agency concerning business questions, counseling and supports.

The goal of this pilot is also to:

7. To provide a project evaluation in order to conduct additional process improvements and other multi-agency regulatory streamlining projects.

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

5 Project Scope

5.1 Scope

The scope of this project is to

Phase 1 –
1. Develop the business case and project plan for Governor Kulongoski's November announcement of the small retailer consolidated renewal pilot project.
2. Successfully administer and coordinate the consolidated renewal of annual licenses and certification requirements of the participating state regulatory agencies for the pilot population of the small retailers.
3. The agencies participating in the pilot project are limited to Oregon Liquor Control Commission (OLCC), Department of Environmental Quality (DEQ) and Department of Agriculture (ODA).
4. The objectives described in section 4.2 above and delivery of all major deliverables described in section 5.2.
5. Overall system planning and design including prototyping for the pilot.
6. The pilot is limited to renewals of licenses and permits for the small retailer.
7. All licenses and renewals are limited to paper form.
8. ODA's customer group will be limited to small retailers with less than $500,000 in gross annual sales revenue and less than 12 pumps.
9. OLCC's customer group will be limited to businesses that sell liquor that is to be consumed off premises and who have gas pumps. These businesses will be Region III stores that have an April billing cycle.
10. DEQ's customer group will be limited to businesses that have underground storage tank permittees that are the actual permittee (as opposed to a lease).
11. Agriculture will be in all the renewals for food safety and weights & measures licenses.

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

5.1 Scope - continued

12. For the pilot, the selected population will include all three agencies, unless the population size is not large enough. If we need to expand the dataset for the pilot we will use businesses that have renewals with ODA and DEQ or ODA and OLCC, as well as businesses that have renewals from all three agencies.
13. The desired population size is 300 to 500 renewals. The minimum population size will be 100 renewals.

Phase 2 – Incorporate the streamlining and customer service improvements into other multi-agency regulatory requirements or other businesses or may involve coordinated inspections/audits.

5.2 Major Deliverables

1. Project Plan;
2. Pilot dataset;
3. ODA database changes;
4. Lobby go-ahead;
5. Governor's announcement;
6. Consolidated invoice;
7. Consolidated payment receipt process;
8. Consolidate statement process
9. Consolidated customer service process;
10. Training for participating agencies;
11. Customer education/awareness. Training may not be necessary. At minimum communication to the businesses that their invoices will look different is needed.
12. Process to handle penalties;
13. Test plan and results;
14. Evaluation of pilot project.
15. Legislative changes.

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

5.3 Scope Exclusions

The scope of this project does not include
- New licenses will be excluded from phase 1 of this pilot. However, a process needs to be developed that will permit OLCC and DEQ to notify ODA that they have a new license that is a candidate for the consolidated renewal license.
- Any business other than small retailers,
- Any agencies other than OLCC, DEQ, and ODA.
- A business can use Visa or MasterCard to make their payment for OLCC or ODA, but SecurePay, the state's web payment services will not be used for phase 1 of the pilot project.

5.4 Quality Definitions

- Revenue to the agencies is disbursed correctly.
- Invoices are correct.
- No duplicate billings.
- All internal and external users are comfortable using the consolidated billing process.
- The billing process between the multiple agencies is streamlined.
- A limited number of billing questions from the businesses. If invoices, statements and other communications with businesses are concise, and easy to understand, billing questions will be reduced. We will know that our communication efforts were successful if the retailers pay the invoices on time, with the correct amount and without needing to call the agencies with a number of billing questions.
- Customer service is able to handle any billing questions that occur.

5.5 Success Factors

- The quantity and quality of communication will be a critical success factor for this project. Team members need to be fully informed of the business drivers, benefits, and status of the project. Training and support tools need to be provided to eliminate unnecessary frustration with the consolidation.
- User acceptance through various training aids (such as surveys, ensure that agency office staff are adequately trained to assist customers,)
- Ensure that agency staff are involved and communicated with at all levels (early and often).

6 Assumptions

Small Retailer Consolidated Renewal Project
Charter, Scope & Plan

The following assumptions were made when developing the Project Charter:

- Funds will be available to complete the project.
- The project meets with the Governor's approval.
- DEQ, OLCC and ODA want to consolidate their billing and license renewal processes.
- The small retail businesses are in agreement with a consolidated multi-agency renewal.
- The agency resources are available to do the work.

7 Constraints

The following limitations have been identified for this project.

Constraint:	Imposed by:
License/certification fees are a major funding source to the agencies. Disruption of the revenue flow to the agencies can impact the agencies' budgets and cash flow.	Statewide budget problems
DEQ, OLCC and ODA have small, limited IT resources that might impact how quickly data extracts can be done and other system work that is needed for the success of this project.	Limited internal resources.
Existing rules, statutes and laws that govern billing and licenses for the pilot agencies.	Mandated filing due dates and existing filing process methods.

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

8 Roles and Responsibilities

Name	Div	Project Member	Role & Responsibilities
Patrick Allen	Office of Regulatory Streamlining	Steering Committee	Project Sponsor and Steering Committee member. Approve project charter, scope, and plan and any changes. Approve Office of Regulatory Streamlining budget expenditures for project. Resolve resource conflicts. Project oversight and policy decisions. Liaison to lobby groups. Legislative leader and contact to Governor's staff.
Dan Croy	License Processing, OLCC	Steering Committee	Steering Committee member. Reviews project charter, scope, and plan and any changes. Has input into OLCC budget expenditures for project. Participates in selecting project resources and resolving OLCC resource conflicts. Coordinate information regarding business regulation; including licenses, permits, filing, reporting inspection, record keeping, fees and taxes the permit/licensing aspects of the consolidated/coordinated requirements. Review and approve business process /data requirements, prototype/acceptance test plans.
Ron McKay	Administrator Food Safety, Dept. of Agriculture	Steering Committee	Steering Committee member. Approve project charter, scope, and plan and any changes. Approve ODA budget expenditures for project. Provide project resources. Resolve ODA resource conflicts. Coordinate information regarding business regulation; including licenses, permits, filing, reporting inspection, record keeping, fees and taxes the permit/licensing aspects of the consolidated/coordinated requirements. Review and approve business process /data requirements, prototype/acceptance test plans.

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

Name	Div	Project Member	Role & Responsibilities
Michael Miliucci	Assistant Director Regulatory Program, OLCC	Steering Committee	Steering Committee member. Approve project charter, scope, and plan and any changes. Approve OLCC budget expenditures for project. Provide project resources. Resolve OLCC resource conflicts. Coordinate information regarding business regulation; including licenses, permits, filing, reporting inspection, record keeping, fees and taxes the permit/licensing aspects of the consolidated/coordinated requirements. Review and approve business process /data requirements, prototype/acceptance test plans.
Wendy Wiles	Underground Storage Tank Program Manager, Dept. of Environmental Quality	Steering Committee	Steering Committee member. Approve project charter, scope, and plan and any changes. Approve DEQ budget expenditures for project. Provide project resources. Resolve DEQ resource conflicts. Coordinate information regarding business regulation; including licenses, permits, filing, reporting inspection, record keeping, fees and taxes the permit/licensing aspects of the consolidated/coordinated requirements. Review and approve business process /data requirements, prototype/acceptance test plans.
Lauren Henderson	Division Administrator, Administrative Services, Dept of Agriculture	Steering Committee, Technical Team Leader, Fiscal/Acctg Team	Steering Committee member. Approve project charter, scope, and plan and any changes. Approve ODA budget expenditures for project. Provide project resources. Resolve ODA resource conflicts. Coordinate information regarding business regulation; including licenses, permits, filing, reporting inspection, record keeping, fees and taxes the permit/licensing aspects of the consolidated/coordinated requirements. Review and approve business process /data requirements, prototype/acceptance test plans. Oversee requirements process and technical processes. Determine and facilitate financial and accounting needs and processes.

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

Name	Div	Project Member	Role & Responsibilities
Laura Lesher	Office of Regulatory Streamlining	Steering Committee, Technical Team	Project Controller. Project planning and control. Task and resource scheduling. Describe, assign, and track completion of project tasks. Budget estimates and tracking. Project status reporting and communication of variances, problems and issues. Manage Requirements process, testing, training, and implementation. Primary contact for changes to scope and charter.
Donna Wimer	Secretary of State	Technical Team Member	Project Manager. Liaison to OLCC and DEQ IS teams to assist in gathering information and to facilitate in technical requirements and tasks. Describe tasks to OLCC and DEQ IS staff and track completion of tasks for project controller.. Assist Project Controller. in planning, task and resource scheduling and controlling tasks as they pertain to OLCC and DEQ.
Debbie Shaffer	Department of Agriculture	Technical Team Member	Project Manager. Liaison to ODA IS team to assist in gathering information and to facilitate in technical requirements and tasks. Describe tasks to ODA IS staff and track completion of tasks for project controller. Assist Project Controller in planning, task and resource scheduling and controlling tasks as they pertain to ODA.
Anu Patra Mitch Sheels, Stephanie Holmes	IS, Dept. of Environmental Quality	DEQ Technical Team	DEQ IS Technical Expert. Subject Matter Expert on DEQ systems. Participate in data extraction, data matching, system integration, construction, testing and implementation. Maintain system after implementation.
Juan Quiroz, Rick Marinelli, Mark Stuller	IS, Dept. of Agriculture	ODA Technical Team	ODA IS Technical Expert. Subject Matter Expert on ODA systems. Participate in data extraction, data matching, system integration, construction, testing and implementation. Maintain system after implementation.
Roger Deming	IS, OLCC	OLCC Technical Team	OLCC IS Technical Expert. Subject Matter Expert on OLCC systems. Participate in data extraction, data matching, system integration, construction, testing and implementation. Maintain system after implementation.

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

Name	Div	Project Member	Role & Responsibilities
Karen Walsh	OLCC	Fiscal / Accounting Team	OLCC Fiscal/Accounting Expert. Subject Matter Expert on OLCC fiscal/accounting systems. Participate in discussion on receipt of payments, methods of revenue transfers and liaison for OLCC with SFMA, Treasury and SCD. Participate in business process/data requirements definition and analysis. Participate in testing and implementation.
Laura Arcidiacono	DEQ	Fiscal / Accounting Team	DEQ Fiscal/Accounting Expert. Subject Matter Expert on DEQ fiscal/accounting systems. Participate in discussion on receipt of payments, methods of revenue transfers and liaison for DEQ with SFMA, Treasury and SCD. Participate in business process/data requirements definition and analysis. Participate in testing and implementation
Valerie Pascal	Dept of Agriculture	Fiscal / Accounting Team (Business/ Licensing Team)	ODA Fiscal/Accounting Expert. Subject Matter Expert on ODA fiscal/accounting systems. Participate in discussion on receipt of payments, methods of revenue transfers and liaison for ODA with SFMA, Treasury and SCD. Participate in business process/data requirements definition and analysis. Participate in testing and implementation.
Kim Buckout	State Treasury	No	Treasury Fiscal/Accounting Expert. Subject Matter Expert on treasury fiscal/accounting systems. Participate in discussion on receipt of payments and methods of revenue transfers. Participate in business process/data requirements definition and analysis.
Jon DuFrene/ Lisa VanLaanen	SCD	No	SCD Fiscal/Accounting Expert. Subject Matter Expert on treasury fiscal/accounting systems. Participate in discussion on receipt of payments and methods of revenue transfers. Participate in business process/data requirements definition and analysis.

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

9 Materials/Equipment Procurement

To be determined during the project.

10 Schedule Estimate

(These dates are tentative and are subject to change.)

Major Deliverable	Activity Number	Event/Milestone/Deliverable	Estimated Start	Estimated Finish	Resource Assigned	Comments
1. Project Plan						
	1.	Identify the Project Sponsor and other major roles and responsibilities.		11/15/2004		
	2.	Create project plan		11/15/2004	Donna Debbie	1st Draft
	3.	Review project plan and make changes, if needed.		11/17/2004	Work group	
	4.	Project plan is approved and signatures are obtained.		11/23/2004	Work group	(Note: there isn't much time to review and finalize the Project Plan)
2. Pilot Dataset						
	5.	Determine criteria for each agency's dataset		11/15/2004	ODA	**Done**. Lic # or business ID, name, location address, phone
	6.	Determine what period of data (months) to request from the agencies		11/15/2004	Work group	**Done**. For ODA – Annual; OLCC – Qtr; DEQ - Annual
	7.	Determine format for data needed from Ag, OLCC, and DEQ		11/15/2004	ODA	**Done**.Tab or comma delimited text file.
	8.	Collect data from OLCC and DEQ, copies to CD and send to Ag		11/15/2004	Donna – OLCC, DEQ; Debbie - ODA	**Done**.
	9.	Match Data sets (Ag). If Ag can't repeat steps above.		11/19/2004	ODA	**Done**.
	10.	Examine records in matched dataset. Determine if selected set is large enough for pilot, if not repeat steps above.		11/19/2004	ODA	ODA can evaluate and provide analysis to work group. **Done**.

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

Major Deliverable	Activity Number	Event/Milestone/ Deliverable	Estimated Start	Estimated Finish	Resource Assigned	Comments
	11.	Determine who and set-up meeting(s) with IT staff from each Agency to ensure accurate data transfer from ODA to Agencies.		12/15/2004	Donna will notify technical staff for each agency.	**Done. First meeting 12/14/2004**
3. ODA database changes						
	12.	Determine if a centralized data system is required.		11/1/2004	ODA	***Done***. Seems likely that ODA will be the gatekeeper therefore ODA will need to manage consolidated licensing and distribute information to participating agencies.
	13.	Determine what the Consolidated Number should look like. What do the ID's look like for DEQ, OLCC, Ag?		12/1/2004	Work group	
	14.	The consolidated licensing may require changes to Ag License System.		3/15/2005	ODA	ODA will need to make modifications to its licensing system to accommodate management of the consolidated licenses.
	15.	Create cross-reference table that holds agency's unique ID and a consolidated unique ID.		12/15/2004	ODA	
4. Lobby go ahead						
	16.	Lobby group meeting and discussion		11/10/2004	Pat Allen	**DONE**
	17.	Lobby group gives their go-ahead.		11/15/2004	Lobby group	Pat Allen communicates to work group. **DONE**
5. Governor's Announcement						
	18.	Governor's announcement		????	Pat Allen / Governor	
6. Consolidated Invoice						

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

Major Deliverable	Activity Number	Event/Milestone/ Deliverable	Estimated Start	Estimated Finish	Resource Assigned	Comments
	19.	Determine team members of Agency Pilot implementation group.		11/15/2004		
	20.	Determine frequency of Agency Pilot implementation meetings (weekly, bi-weekly?)		11/15/2004		
	21.	Determine who will print the consolidate renewals/invoices.		11/1/2004	ODA	
	22.	Determine who and the set-up of meeting(s) with licensing staff from each Agency.		2/1/2005		
	23.	Collect ORSs / OARs from participating agencies		12/1/2005	Donna – OLCC, DEQ; Debbie - ODA	*Done*.
	24.	Obtain invoice and/or renewal copies from each agency		11/19/2004	Donna – LCC, DEQ; Debbie – ODA	*Done*.
	25.	Determine a common renewal time period.		12/1/2004	Work group	
	26.	Design consolidated invoice / renewal.		12/15/2004	ODA – Val	1st draft completed
	27.	Determine the business process that will prevent pilot customers from being billed twice.		12/19/2004	ODA to prepare a draft	Renewals should only be generated by ODA. Make sure other agencies mark their records to prevent sending a renewal.
	28.	If a consolidated ID number is used will it be printed on the renewals. If the answer is yes, then will each agencies id number also be used? What number will the pilot group refer to?		1/1/2005		
	29.	Determine "Go live" date		4/2/2005		
7. Consolidated Payment Receipt Process						
	30.	Determine which agency will receive renewals / invoices.		11/1/2004	ODA	

Small Retailer Consolidated Renewal Project Charter, Scope & Plan

Major Deliverable	Activity Number	Event/Milestone/ Deliverable	Estimated Start	Estimated Finish	Resource Assigned	Comments
	31.	Determine business processes for receiving consolidated renewal and money distribution		12/15/2004	ODA	ODA will prepare a draft
	32.	Determine how agencies are notified of a renewal.		12/19/2004	ODA	ODA will prepare a draft
	33.	Determine how partial payments and refunds will be handled.		12/19/2004	ODA	ODA will prepare a draft
	34.	Meet with SCD, SFMA and Treasury (if needed) to advise them of project and get accounted for in SFMA		11/19/2005	ODA	***Done***.
8. Consolidated Statement Process						
	35.	Obtain copies of license / statement/ permit from each agency.		11/15/2004	Donna – OLCC, DEQ; Debbie - ODA	
	36.	Determine who will print the license / permit.			Work group	
	37.	Determine how many licenses/ statements/ permits to create for consolidated effort.		12/20/2004	Work group	Outcome of number 6
	38.	Design consolidated license / statement / permit.		12/15/2004	ODA - Val	
	39.	Determine business processes for sending consolidated renewal		12/15/2004	ODA	ODA will prepare a draft
9. Consolidated customer service process						
	40.	Determine who answers public questions (billing, renewals, pilot…)		1/1/2005		
	41.	Consider designing a script that customer service can use to answer questions				
10. Training for participating agencies						

Small Retailer Consolidated Renewal Project
Charter, Scope & Plan

Major Deliverable	Activity Number	Event/Milestone/ Deliverable	Estimated Start	Estimated Finish	Resource Assigned	Comments
	42.	For customer service, data that is transferred between agencies. What consolidated bill will look like. Where relevant information is on the bill.				
11. Customer education/aware ness						
	43.	Determine if an outreach program to participants is needed		1/15/2005	Work group	
	44.	Determine who will notify pilot participants prior to renewal notification?		1/19/2005	Work group	
	45.	Determine who will send a postcard to pilot participants.		1/15/2005	Work group	
12. Process to handle penalties						
	46.	Collect information regarding penalty phases		12/1/2004	Donna – OLCC, DEQ; Debbie – ODA	
	47.	Ideally, the penalty phases should be consistent		1/1/2005	Pat Allen	This would be adjusted through legislation.
13. Test plan and results						
	48.	Determine testing milestones for implementation.		1/5/2005		There will be various testing phases/milestones throughout this project.
	49.	Test new processes				
14. Evaluation of Pilot project						
	50.	Determine who will evaluate pilot project				

Major Deliverable	Activity Number	Event/Milestone/ Deliverable	Estimated Start	Estimated Finish	Resource Assigned	Comments
	51.	Develop evaluation criteria				Use Quality Measures and Success Factors for evaluation of project along with business and agency evaluations
	52.	Perform evaluation				
	53.	Summarize evaluation data. Post to whom and where?				Possibly RLS annual report, website and website of respective agencies.
15. Legislative changes						
	54.	Can agencies "legally" change renewal period? Introduce information to legislation to make the consolidated licensing happen.		1/1/2005	Pat Allen	This part of draft legislation that Pat Allen will introduce to legislature pending the outcome of meeting with the lobby groups.

11 Budget Estimate

Administrative and project management:

Hardware: Little or no modification of OLCC or DEQ IT infrastructures will be required. There will be various soft dollar costs associated with ODAs IT infrastructure to re-factor the current system and to accommodate the consolidated licensing information.

Software: No software procurements should be required.

Fiscal impacts:

Small Retailer Consolidated Renewal Project
Charter, Scope & Plan

Approvals

Approval Form

Small Retailer Consolidated Renewal Project:

I have reviewed the information contained in the Project Charter, Scope and Plan dated November 5, 2004, and agree to the statements specified in it.

_____   _____
Patrick Allen, Project Sponsor, Manager, Office of Regulatory Streamlining   Date

_____   _____
Lauren Henderson, License Processing Manager, Dept. of Agriculture   Date

_____   _____
Laura Lesher, Project Manager, Office of Regulatory Streamlining   Date

_____   _____
Ron McKay, Administrator Food Safety, Dept. of Agriculture   Date

_____   _____
Michael Miliucci, Assistant Director, Regulatory Program, OLCC   Date

_____   _____
Wendy Wiles,   Date
Underground Storage Tank Program Manager, Dept. of Environmental Quality

Consolidate Licensing Project
Management Control Plan

Activity Number	Event/Milestone/Deliverable	Estimated Start	Estimated Finish	Resource Assigned	Comments
17	Collect copies of each Agency's renewal notice.				This is the same as activity number 15
22	Determine who will print the license / permit.				Same as Activity number 21.
20	Determine which agency will receive renewals / invoices.		11/1/04	ODA	
21	Determine who will print the consolidate renewal.		11/1/04	ODA	
39	Determine if a centralized data system is required.		11/1/04	ODA	***Done***. Seems likely that ODA will be the gate keeper therefore ODA will need to manage a consolidated licensing and distribute information to participating agencies.
9	Lobby group meeting and discussion		11/10/04	Pat Allen	
1	Determine criteria for each agency's dataset		11/15/04	ODA	***Done***. Lic # or business ID, name, location address, phone
2	Determine what period of data (months) to request from the agencies		11/15/04	Work group	***Done***. For ODA – Annual; OLCC – Qtr; DEQ - Annual
3	Determine format for data needed from Ag, OLCC, and DEQ		11/15/04	ODA	***Done***.Tab or comma delimited text file.
4	Collect data from OLCC and DEQ, copies to CD and send to Ag		11/15/04	Donna – OLCC, DEQ; Debbie - ODA	
10	Lobby group gives their go-ahead.		11/15/04	Lobby group	Pat Allen communicates to work group
11	Create project plan		11/15/04	Donna Debbie	1st Draft

Activity Number	Event/Milestone/Deliverable	Estimated Start	Estimated Finish	Resource Assigned	Comments
14	Identify the Project Sponsor and other major roles and responsibilities.		11/15/04		Done?? Would the Sponsor be Pat Allen?
23	Obtain copies of license / statement/ permit from each agency.		11/15/04	Donna – OLCC, DEQ; Debbie - ODA	
43	Determine frequency of Agency Pilot implementation meetings (weekly, bi-weekly?)		11/15/04		
44	Determine team members of Agency Pilot implementation group.		11/15/04		
12	Review project plan and changes are made.		11/17/04	Work group	
25	Governor's announcement (Nov. 17)		11/17/04	Pat Allen / Governor	
5	Match Data sets (Ag). If Ag can't repeat steps above.		11/19/04	ODA	
6	Examine records in matched dataset. Determine is selected set is large enough for pilot, if not repeat steps above.		11/19/04	ODA	ODA can evaluate and provide analysis to work group.
15	Obtain invoice and/or renewal copies from each agency		11/19/04	Donna – LCC, DEQ; Debbie – ODA	
18	Determine how many licenses/ statements/ permits to create for consolidated effort.		11/19/04	Work group	Outcome of number 6
13	Project plan is approved and signatures are obtained.		11/23/04	Work group	(Note: there isn't much time to review and finalize the Project Plan)
8	Determine what the Consolidated Number should look like. What do the ID's look like for DEQ, OLCC, Ag?		12/1/04	Work group	
19	Determine a common renewal time period.		12/1/04	Work group	
41	Collect information regarding penalty phases		12/1/04	Donna – OLCC, DEQ; Debbie – ODA	
7	Create cross-reference table that holds agency's unique ID and a consolidated unique ID.		12/15/04	ODA	
16	Design consolidated invoice / renewal.		12/15/04	ODA – Val	1st draft completed

Activity Number	Event/Milestone/Deliverable	Estimated Start	Estimated Finish	Resource Assigned	Comments
24	Design consolidated license / statement / permit.		12/15/04	ODA - Val	
26	Determine business processes for sending consolidated renewal		12/15/04	ODA	ODA will prepare a draft
27	Determine business processes for receiving consolidated renewal and money distribution		12/15/04	ODA	ODA will prepare a draft
28	Determine how agencies are notified of a renewal.		12/19/04	ODA	ODA will prepare a draft
29	Determine how partial payments will be handled.		12/19/04	ODA	ODA will prepare a draft
30	Determine the business process that will prevent pilot customers from being billed twice.		12/19/04	ODA to prepare a draft	Renewals should only be generated by ODA. If this is the case there will be no duplicates. Make sure other agencies mark their records to prevent sending a renewal.
31	Determine who answers public questions (billing, renewals, pilot…)		1/1/05		
36	If a consolidated ID number is used will it be printed on the renewals. If the answer is yes, then will each agencies id number also be used? What number will the pilot group refer to?		1/1/05		
37	Can agencies "legally" change renewal period? Introduce information to legislation to make the consolidated licensing happen.		1/1/05	Pat Allen	This part of draft legislation that Pat Allen will introduce to legislature pending the outcome of meeting with the lobby groups.
42	Ideally, the penalty phases should be consistent		1/1/05	Pat Allen	This would be adjusted through legislation.
47	Determine testing milestones for implementation.		1/5/05		There will be various testing phases/milestones throughout this project.
33	Determine if an outreach program to participants is needed		1/15/05	Work group	

Activity Number	Event/Milestone/Deliverable	Estimated Start	Estimated Finish	Resource Assigned	Comments
34	Determine who will send a postcard to pilot participants.		1/15/05	Work group	
35	Determine who will notify pilot participants prior to renewal notification?		1/19/05	Work group	
32	Meet with SCD, SFMA and Treasury (if needed) to advise them of project and get accounted for in SFMA		2/1/05	ODA	Not sure this will be applicable since ODA can distribute the funds. These agencies will not be directly involved.
45	Determine who and set-up meeting(s) with licensing staff from each Agency.		2/1/05		
46	Determine who and set-up meeting(s) with IT staff from each Agency to ensure accurate data transfer from ODA to Agencies.		2/1/05		
40	The consolidated licensing may require changes to Ag License System.		3/15/05	ODA	ODA will need to make modifications to it licensing system to accommodate management of the consolidated licenses.
48	"Go live" date		4/2/05		
38	Collect ORSs / OARs from participating agencies		12/1/05	Donna – OLCC, DEQ; Debbie - ODA	

Project Management Best Practices and Tips for Success

General project planning

The project was set up with careful planning. The planning elements included establishing a process map for the licensing processes, setting mailing date targets and back planning the major milestones for the overall project goals. The meeting schedule was set in advance with the assumptions and rationale in place. As the meetings were being set, it become clear that there were three major needs for the project including policy making decisions, financial and accounting issues resolution and information technology needed to implement the policy and financial decisions. The schedule left a 2 week contingency timeframe for the project as a way to address any issues in advance of mailings.

As the meetings began the three project managers on the project met weekly to provide horizon planning and to develop the agendas, review the documentation for accuracy and completeness and structure the meetings.

Meeting management

Meeting management was given attention and care in a number of ways. In terms of logistics all meetings had conference call capability with the physical meeting location having the responsibility to call the missing participants. All materials were provided to the entire project contact list regardless of the team they served on. All meetings were open to any participants regardless of membership to the various teams. Power Point presentations were developed for each meeting and used to focus the discussion and agenda topics in order. All agendas had a consistent flow and order that the participants could rely on, including agenda overview, action item status reports, topics for decision/discussion at the specific meeting, review of risks and status on actions to reduce risks as applicable and lastly a summary of new action items. Over the course of the project work, the meeting location was moved at least once to each agency.

Accountability

Establishing accountability and roles was critical for success and was attended to early in the process. Given the array of decisions and work that would be required of the project teams were established as the Business/licensing team, the Financial/accounting team and the Information Technology Team as noted above. Each team had clear roles and decision or

recommendation development responsibilities. Each team was assigned one project manager to follow-up on action items, communicate information that any member had missed from any meetings and to request direction, assistance or support for various phases of the project.

Action items were assigned with the owner and due date as soon as they were identified. At each meeting the action items were reviewed with status and carried forward until completed. The updated action item list was posted to the website and sent to all participants within 3 days of each meeting.

As new policy choices came on the horizon, the project managers developed matrices that provided the alternatives and implications. Related project customer communication documents were frequently drafted by the project managers after initial discussion by the Business/Licensing team and amended as directed by this group until the communication need was satisfied. The project managers provided substitution for each other as needed and other team members provided substitutions as needed for various action items (mostly due to illnesses).

Risks were reviewed with a status update at each meeting.

Documentation

All documentation was sent to all project people at least two days prior to their meetings
All materials were distributed to all project participants regardless of team membership
Action items and meeting notes were sent to the group generally within 3 days of meetings.
Action items lists were posted and updated weekly on the project website
Project Managers supplied all staff work that was general to the project for team decisions and approvals.

Results
Transparency of decision-making, clear documentation, advance planning and meeting management resulted in open processes and dialogue, and teamwork. The hallmarks of the Small Retailer Consolidated Renewal Project were trust, accountability, commitment and cooperation and ultimately a successful project.

Schedule

Small Retailer Project Schedule

Mon	Tue	Wed	Thu	Fri
10	**11** Bus/Lic and F/A meeting	**12** F/A meeting	**13**	**14**
17	**18** Bus/Lic and F/A meeting	**19** F/A meeting	**20**	**21**
24	**25** Bus/Lic mtg Majority of issues resolved	**26** F/A meeting	**27**	**28**
31	**1** Bus/Lic mtg	**2** F/A mtg	**3**	**4**
7	**8** Bus/Lic mtg Business processes reviewed & changes identified Financial processes reviewed & changes identified (ODA)	**9** F/A meeting	**10**	**11**
14	**15** Bus/Lic mtg Financial processes reviewed & changes identified (OLCC & DEQ) Identified computer sys program chgs (ODA) (ODA make programming changes 2/15 – 3/15)	**16** F/A meeting =========	**17** ======	**18** ======
21	**22** Bus/Lic mtg Identified computer sys program chgs (OLCC / DEQ) (OLCC/DEQ make programming changes 2/22 – 3/15) ==========	**23** F/A meeting ====	**24** ===	**25** ===
28 ===	**1** Implementation Meeting (All groups?) ======	**2** ====	**3** ===	**4** ===
7 ===	**8** Implementation Meeting (All groups?) ======	**9** ====	**10** ===	**11** ===
14 ===	**15** Implementation Meeting (All groups?) Testing Begins (3/15 through 4/1) =============	**16** ========	**17** =====	**18** =====
21 ======	**22** Implementation Meeting (All groups?) ============	**23** ========	**24** =====	**25** =====
28 ======	**29** Implementation Meeting (All groups?) ============	**30** ========	**31** =====	**1** Send Invoices
4	**5** Status (All groups?)	**6**	**7**	**8**
11	**12** Status (All groups?)	**13**	**14**	**15**
18	**19** Status (All groups?)	**20**	**21**	**22**

Workgroup Focus
Meeting Schedule

Business/licensing workgroup meetings:

     Every Tuesday beginning Jan 11, 2005

     Anyone can attend these meetings. Discussion notes will be emailed to all workgroups.

     Tentative time will be 9:30-11:30. Teleconference will be available.

Financial/accounting workgroup meetings:

     Every Wednesday beginning Jan 12, 2005

     Their focus is on payments, disbursements, refunds, and partial payments.

     Anyone can attend these meetings. Discussion notes will be emailed to all workgroups.

     Tentative time will be 9:30-11:30. Teleconference will be available.

     All financial/accounting meetings held in conference room C

Business/Licensing Schedule

Date	DOA Basement	Workgroup Discussion Focus	Notes	Time	Conference Call Information
				9:30 to 11:30	
1/11	Conf. D	Consolidated payment receipt process	Financial/accounting workgroup needs to attend	9:30 to 11:30	
1/18	Conf. D	Consolidated invoice	May be resolved via email	9:30 to 11:30	
		Consolidated Notification of payment to customer	Only OLCC and ODA		
		Discuss what data needs to be stored at central location.	All workgroups need to attend ??		
		Feedback from 1/12 Fin/Acct Mtg			
1/25	Conf. C	Consolidated customer service	May be resolved via email	9:30 to 11:30	
		Discuss penalties	Review spreadsheet OAR/ORS		
		Discuss testing	Use Madge's flowchart		
		Other			

Date	DOA Basement			Time	
2/1	Conf. D	Training for agencies.	May be resolved via email		
		Determine evaluation criteria for pilot	May be resolved via email		
2/8	Conf. D	US Bank meeting		9:30 to 11:30	
2/15	Conf. C			9:30 to 11:30	

Financial/accounting

Date	DOA Basement	Workgroup Discussion Focus	Notes	Time	Conference Call Information
1/12	Conf. C	Transfer of funds		9:30 to 11:30	
			Will funds be transferred to SFMA, Agencies or Treasury		
			Will funds be individual or batch		
			Will funds be check or agency-to-agency transfer		
			How will OLCC & DEQ be notified that funds have been transferred to them?		
		Cash and document reconciliation	What if the cash does not balance/ with the documents, who is responsible		
		Exception Handling			
			Handling NSF, closed accounts		
			Under and over payment resolution		
			Refunds		
		What information do we need to track in a centralized data store at ODA?	*See handout		

1/19	Conf. C			9:30 to 11:30	
1/26	Conf. C			9:30 to 11:30	
2/2	Conf. C			9:30 to 11:30	
2/9	Conf. C			9:30 to 11:30	
2/16	Conf. C			9:30 to 11:30	

Policy
Decisions

Emergency Rule Making
SBR Project

Question > What are the emergency rule-making implications for the three agencies involved with the Small Business Retailer's (SBR) project in the delivery of a combined invoice and payment process?

Emergency rule making, statutorily referred to as "temporary rule" making, is procedurally prescribed under ORS 183.335(5). The methodology permits an accelerated rulemaking timeline that allows an abbreviated notice and hearing process when statutory requirements are followed.

Complicating the rule making process for the SBR project is the need for each agency to enact their own rules. While permitting each agency to delegate rule-making authority to an "officer or employee," the statutory implication is that the delegate must come from within the agency (ORS 183.325). Clearly, the ability for the three agencies to delegate a single consolidated person to orchestrate rules for a joint business process would provide greater efficiency.

The recent discussion of enacting legislation (HB2284) offering singular "oversight" <u>may</u> offer some relief. Presumably, legislation with specific provisions for joint rule making could offer this benefit.

Where the agencies wish to address internal processes, for instance – how a mailing is to be addressed and sent, that process could be addressed with internal policies and procedures. Those policies and procedures might be referenced in interagency agreements that clarify each agency's roles and responsibilities. Here again, HB2284 may also be a help.

The operation of the temporary rule making process is well described in ORS 183.335(5). Additional advice and "practice tips" are available in the publication, *Oregon Attorney General's Administrative Law Manual and Uniform and Model Rules of Procedure under the Administrative Procedures Act*.

Because of the atypical nature of a joint rule making process requiring a cooperative of multiple agencies, consultation with legal counsel on this topic is advisable.

Rules Coordinator Resources:
Filing forms   http://arcweb.sos.state.or.us/rules/coordinator_resources.html
OAR filing forms in PDF and Word formats.

Rulemaking checklists   http://arcweb.sos.state.or.us/rules/checklists.pdf
From Oregon Attorney General's Administrative Law Manual-3 page PDF.

Contact an agency rules coordinator   http://arcweb.sos.state.or.us/rules/coordinators.html
Includes names, phone numbers, mailing addresses, and e-mail addresses. Contact these people if you have questions about the content of specific OARs.

Small Retailer Consolidated Renewal Project
ORS/OAR and requirements matrix

Agency	ORS/OAR	license/permit	renewal	fees	penalties	bill lead time allowed	new application triggers
ODA	Food Safety ORS 616.706 OAR 603-025	Retail food establishment	Annual July 1 to June 30	Schedule J- by gross annual sales (some things are not included grocery items)	After August 30, If not paid within 60 days after expiration Late fees are for license fees under $100 or less, $30 or the amount of the license whichever is less. For license fees greater than $100 30% of the license fee amount or $750 maximum whichever is less.	First Notice: May 15 Second Notice: August 1 Penalty Notice: September 10	Change of entity, licensee or membership of a partnership/ ownership With prior approval location can be changed without requiring a new license, if owner remains the same but does need to inspected but does not require new license. Cancelled automatically if establishment discontinues operations Failure to pay renewal DOA continues the inspection schedule, staff requests then goes to Revenue.
ODA	Measurement Standards ORS 618.121 through ORS 618.161 OAR 603-027-0030	Scales 0-400 pounds Manufacture's Rated Capacity Scale Type A (small retailers will rarely have over 401 to 1160 pounds Scale Type B)	Annual July 1 to June 30	$20 each device annually $30 each device annually	After August 30, If not paid within 60 days after expiration Late fees are for license fees under $100 or less, $30 or the amount of the license whichever is less. For license fees greater than $100 30% of the license fee amount or $750 maximum whichever	All ODA consolidated in one	If new business and new scales, adding additional scales

					is less.		
ODA	ORS 618.121 through ORS 618.161 OAR 603-027-0030	LPG Meter Type M, 1" diameter or under (propane bottle fill)	Annual July 1 to June 30	$70 each device annually	After August 30, If not paid within 60 days after expiration Late fees are for license fees under $100 or less, $30 or the amount of the license whichever is less. For license fees greater than $100, 30% of the license fee amount or $750 maximum whichever is less	All ODA consolidated in one	New installation of propane refill service
ODA	ORS 618.121 through ORS 618.161 ORS 646.949 OAR 603-027-0030	Service Station Type F (under 20 gallon per minute capacity) fuel meter	Annual July 1 to June 30	$30 each device annually	After August 30, If not paid within 60 days after expiration Late fees are for license fees under $100 or less, $30 or the amount of the license whichever is less. For license fees greater than $100, 30% of the license fee amount or $750 maximum whichever is less. If not properly licensed dispensing devices can be sealed to prevent commercial	All ODA consolidated in one	Additional pumps or installing for the first time, (replacement or upgrade for same number of devices is a renewal)

Agency	ORS/OAR	Permit/License	Renewal	Fee	Late Fee	Billing	Other
							use.
DEQ	ORS 466.760: 466.785 OAR 340-150-0163; OAR 340.150.0110 OAR 341.50.0006	UST General Permit Registration Certificate. Underground Storage Tank Permit		$85 per tank annually. January 1 to Dec 31	Late fee of $35 per tank, 45 days after due date	Bill is somewhat fluid, goal to send out 1st or 2nd business day in January	New tank installations
OLCC	ORS 471.186, ORS 471.311 OAR 845-005	Off premises with pumps	Renew July 1 for District 3, Benton, Coos, Curry, Douglas, Lane, Lincoln, Linn, City of Portland south of Burnside street	$100 annually	If fee received 20 days or less prior to expiration the fee is 25% of the annual license fee ($25). If received after expiration but no more than 30 days after expiration the fee shall be 40% of the annual fee ($40).	Sent out 2nd to 4th week of April	Change in actual licensee or business location, failure to renew before 30 days after license expiration. Allows for conditional letter of authority use until settled on renewal, or proposal to deny for failure to maintain wide variety of food and general consumer products (over 5K value) until commission action.

The following are not expected to need any adjustment but are an aspect of the financial requirements of the project.

Items shared by State Treasurer relating to the project

293.445 Definition for ORS 293.445 to 293.460; authority to make refunds; moneys held for refund or payment to claimants; deposit; rules; drawing checks. (1) As used in ORS 293.445 to 293.460, agency means any state officer, department, commission or institution.

(2) When any agency determines that moneys have been received by it in excess of the amount legally due and payable to the agency or that it has received moneys to which it has no legal interest, the agency, within three years from the date the money was paid to the agency, shall refund the excess or erroneous payment to the person who made the payment or to the persons legal representative , and such moneys hereby are continuously appropriated for such purpose.

(3) Unless otherwise provided by law, any agency having in its possession any moneys held for refund or payment to claimants or distributees, or for determination or adjustment of license fees or of other amounts due the state, may, with the consent of the State Treasurer and in accordance with rules prescribed by the State Treasurer, deposit such funds in designated accounts with the State Treasurer and make lawful payments or adjustments therefrom to proper claimants or distributees, by checks or orders drawn on the State Treasurer signed by the officer or administrative head of the agency depositing such funds.

(4) If the amount owed is less than a minimum sum established by rule of the agency authorized to make the refund, any agency by rule may provide that refunds shall be paid upon receipt of a written request from the person who paid the money or the legal representative thereof. [Formerly 291.508; 1983 c.246 §4]

291.001

(3) The State Treasurer, in consultation with the Oregon Department of Administrative Services, may establish or designate, whenever necessary or convenient to the carrying out or administration of the accounting, budget preparation, cash management, financial management, financial reporting or similar laws of this state, subaccounts, accounts and funds in addition to or within the subaccounts, accounts and funds created by the Oregon Constitution and statutes. Subaccounts, accounts and funds established or designated under this subsection shall be administered as prescribed by written directive or policy issued or approved by the State Treasurer. The authority granted by this subsection is in addition to, and not in limitation of, the authority granted by ORS 293.445 and 293.447. [1993 c.73 §5; 1997 c.122 §4; 2003 c.17 §1]

293.445 Definition for ORS 293.445 to 293.460; authority to make refunds; moneys held for refund or payment to claimants; deposit; rules; drawing checks. (1) As used in ORS 293.445 to 293.460, "agency" means any state officer, department, commission or institution.

(2) When any agency determines that moneys have been received by it in excess of the amount legally due and payable to the agency or that it has received moneys to which it has no legal interest, the agency, within three years from the date the money was paid to the agency, shall refund the excess or erroneous payment to the person who made the payment or to the person's legal representative, and such moneys hereby are continuously appropriated for such purpose.

(3) Unless otherwise provided by law, any agency having in its possession any moneys held for refund or payment to claimants or distributees, or for determination or adjustment of license fees or of other amounts due the state, may, with the consent of the State Treasurer and in accordance with rules prescribed by the State Treasurer, deposit such funds in designated accounts with the State Treasurer and make lawful payments or adjustments therefrom to proper claimants or distributees, by checks or orders drawn on the State Treasurer signed by the officer or administrative head of the agency depositing such funds.

(4) If the amount owed is less than a minimum sum established by rule of the agency authorized to make the refund, any agency by rule may provide that refunds shall be paid upon receipt of a written request from the person who paid the money or the legal representative thereof. [Formerly 291.508; 1983 c.246 §4]

293.447 Establishment of accounts for purposes other than those in ORS 293.445 authorized; rules. (1) With the consent of and in accordance with rules prescribed by the State Treasurer, agencies may establish accounts with the State Treasurer for purposes other than those described in ORS 293.445 (3). These accounts may be established when required by federal law or regulation or when it is impractical for the agency to use funds established with the Oregon Department of Administrative Services.

(2) Unless approved by the department, accounts established under this section shall be for deposit purposes only and the agencies shall not have authority to order disbursements from the accounts by check or order. Disbursements from these accounts for which the department has not approved check or order authority shall be made by the transfer of moneys in the account to funds for which the department may draw warrants. [1989 c.569 §2]

HOUSE BILL 2005

73rd OREGON LEGISLATIVE ASSEMBLY--2005 Regular Session Enrolled House Bill 2005 Sponsored by Representative MINNIS; Representatives BOQUIST, BROWN, DALLUM, GILMAN, KITTS, KRIEGER, KROPF, NELSON, SCOTT, P SMITH, Senators BATES, BROWN, DEVLIN, JOHNSON, METSGER, MONNES ANDERSON, MORRISETTE, PROZANSKI, RINGO, VERGER, WALKER CHAPTER ....

AN ACT Relating to combined license processing pilot projects; and declaring an emergency. Be It Enacted by the People of the State of Oregon:

SECTION 1.
 (1) The Department of Consumer and Business Services may establish one or more combined license processing pilot projects. Participation in a combined license processing pilot project by a state agency is voluntary. Notwithstanding any other provision of law, agencies participating in a combined license processing pilot project may: (a) Use combined license applications; (b) Adopt standardized license terms under subsection (2) of this section; (c) Charge adjusted license fees established under subsection (2) of this section; (d) Issue combined license documents; and (e) Take any other action authorized under rules adopted pursuant to subsection (4) of this section that provides a simplified procedure for processing licenses issued pursuant to the pilot project. (2) Notwithstanding any other provision of law, the Department of Consumer and Business Services may establish a standardized term for licenses of state agencies participating in a combined license processing pilot project. If the department establishes a standardized term under the provisions of this subsection, the agencies participating in the project shall adjust the fees established by statute for each license in an appropriate manner to ensure that there is no revenue loss by reason of the change in the term of the license. (3) As soon as possible after the effective date of this 2005 Act, the Department of Consumer and Business Services shall prepare a proposal for combined license processing pilot projects for the Oregon Liquor Control Commission, the Department of Environmental Quality and the State Department of Agriculture. The proposal shall specify the manner in which those agencies may offer combined license processing for retail establishments that are licensed by one or more of those agencies. (4) The Department of Consumer and Business Services may adopt rules necessary for implementation of combined license processing Enrolled House Bill 2005 (HB 2005-INTRO) Page 1 pilot projects. Any agency participating in a combined license processing pilot project may: (a) Agree to be bound by the rules adopted by the Department of Consumer and Business Services; and (b) Adopt any other rules necessary for participation in a combined license processing pilot project.

SECTION 2.
 Section 1 of this 2005 Act is repealed June 30, 2008.

SECTION 3.
The repeal of section 1 of this 2005 Act by section 2 of this 2005 Act does not affect any license issued pursuant to a combined license processing pilot project before July 1, 2008. Upon the expiration of a license issued by a participating state agency pursuant to a combined license processing pilot project, a person seeking renewal of the license must make application and pay the fee in the manner provided by law and by the rules of the agency in effect at the time of the renewal.

SECTION 4.
This 2005 Act being necessary for the immediate preservation of the public peace, health and safety, an emergency is declared to exist, and this 2005 Act takes effect on its passage.
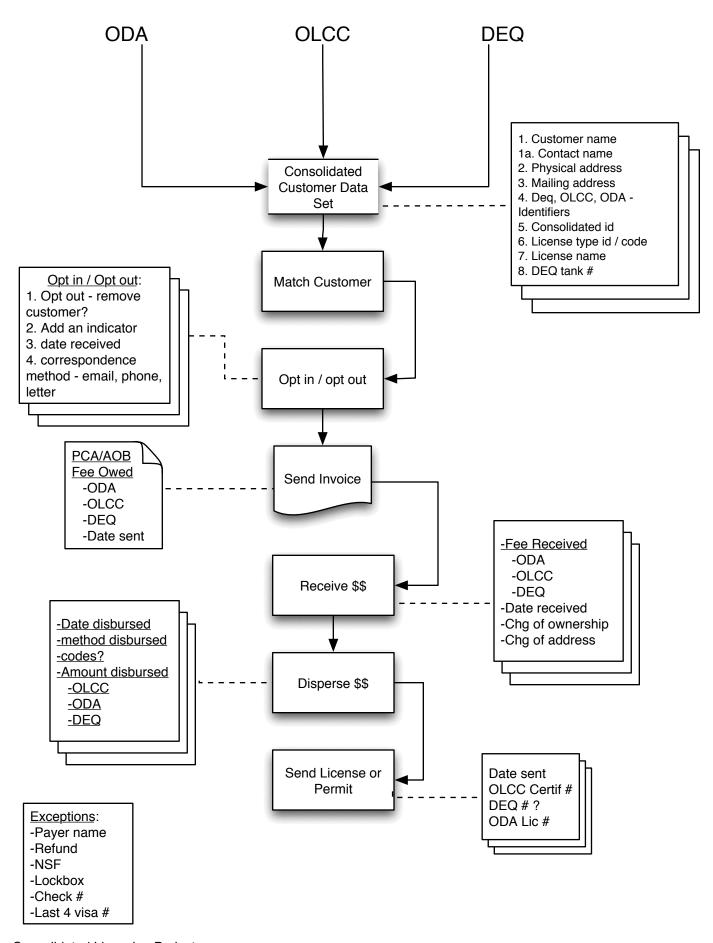Passed by House April 4, 2005
Chief Clerk of House
Speaker of House
Passed by Senate May 12, 2005
President of Senate

Process
Planning &
Decisions

ODA   OLCC   DEQ

Consolidated
Customer Data
Set

1. Customer name
1a. Contact name
2. Physical address
3. Mailing address
4. Deq, OLCC, ODA -
Identifiers
5. Consolidated id
6. License type id / code
7. License name
8. DEQ tank #

Match Customer

Opt in / Opt out:
1. Opt out - remove
customer?
2. Add an indicator
3. date received
4. correspondence
method - email, phone,
letter

Opt in / opt out

PCA/AOB
Fee Owed
-ODA
-OLCC
-DEQ
-Date sent

Send Invoice

-Fee Received
-ODA
-OLCC
-DEQ
-Date received
-Chg of ownership
-Chg of address

Receive $$

-Date disbursed
-method disbursed
-codes?
-Amount disbursed
-OLCC
-ODA
-DEQ

Disperse $$

Send License or
Permit

Date sent
OLCC Certif #
DEQ # ?
ODA Lic #

Exceptions:
-Payer name
-Refund
-NSF
-Lockbox
-Check #
-Last 4 visa #

Consolidated Licensing Project
1/7/05

Financial Decisions

This paper covers decisions that are needed to ensure complete and accurate financial
accounting. In the January 11, 2005 meeting we are stetting the stage to resolve numerous
issues related to the financial aspects of the project.

The financial issues that are listed below can be resolved in various ways. Using the following
decision tree will help project members focus their time upon concerns that are directly
related to the project.

Is the issue part of the pilot?
♦ No
o No discussion is needed at this time.

♦ Yes
o B/L Direction
Business/license workgroup will decide and the project will act upon their
direction.
o F/A Recommendation
Financial/Accounting workgroup will collaborate and provide options for
resolution. Business/license workgroup will make final determination.
o F/A Direction
Financial/Accounting workgroup will determine the best solution and the
project will act upon their direction. This branch might be used when the issue is clearly
an accounting matter and the financial/accounting people are the better equipped to make
this decision.

Part Of Pilot	Topic	Responsibility	When Needed/ Complete	Comments/ Resolution
Yes	Which agency will collect fees?	ODA	12/14/04	ODA
Yes	Which agency will be accounting for fees?	ODA	1/11/05	ODA
Yes	How quick do the funds need to be transferred to individual agencies?	B/L	1/11/05	ODA will strive for daily transfers. Treasury will assist to make sure accounts are set up correctly
	Document handling			
Yes	How do OLCC/DEQ receive copies of the documents	B/L	1/11/05	See next row for note

	that were sent with the fees?			
ODA will receive documents and payments. OLCC and DEQ would like to have documents sent with a batch transmittal via shuttle (or mail for DEQ). In addition ODA will send a batch transmittal via fax or electronically.				
DEQ needs: payer name, amount of payment, invoice number, date and total amount of batch. This information can be sent to DEQ in paper form or electronic form.				
Customers make changes on the documents DEQ will need copies of the documents noting the changes. OLCC will already have copies of the documents and will be able handle on their end				
Yes	If the documents are sent separately from the money (ie snail mail versus cash transfer), who will do the reconciling of the renewals to cash?	B/L	1/11/05	Each agency
Yes	What if the cash does not balance/ with the documents, who is responsible?	Recommend goes to F/A group	1/19/05	ODA will initiate a conference call with either one or both agencies to work out.
	Lock-box fees			
Yes	How will the fees charged by the lockbox vendor be split between agencies?	B/L	1/11/05	Not an issue for pilot
Yes	Who will be responsible for ensuring that the fees are paid by all agencies involved?	B/L	1/11/05	Not an issue for pilot
Yes	Visa fees	B/L, (ODA has agreed to absorb for pilot if under $2500)	1/11/05	Not an issue for the pilot
Yes	Should we track the amount of employee's time that is spent for the consolidated accounting (for all back office accounting needs and documents)	B/L	1/11/05	Not part of the project. Agencies can
Yes	Transfer of funds			

Yes	Will funds be transferred to SFMA, Agencies or Treasury	Recommend goes to F/A group	1/12/05	To SFMA[p1]
	Funds will be deposited to ODA's Treasury account and transferred to SFMA. ODA will transfer the funds to OLCC and DEQ Treasury accounts			
Yes	Will funds be individual or batch	Recommend goes to F/A group	1/12/05	batch
Yes	Will funds be check or agency-to-agency transfer	Recommend goes to F/A group	1/12/05	To each agency thru their own treasury accounts
Yes	How will OLCC & DEQ be notified that funds have been transferred to them?	Recommend goes to F/A group	1/12/05	Transmittals
Yes	Treasury bank account set up for deposits Will there be one combined bank account at Treasury for all deposits, or will deposits be made to each agency's individual account at Treasury?	Recommend goes to F/A group	1/12/05	One combined account that ODA uses to collect and distribute the money
	Exception Handling			
Yes	Handling NSF, closed accounts	Recommend goes to F/A group	1/19/05	See note in next row
	ODA will reduce the next transfer to each affected agency and each agency would use their own collection procedures to collect. ODA will inform agencies about any such checks.			
Yes	Under and over payment resolution	Recommend goes to F/A group	1/19/05	See note in next row
	Underpayments. ODA will not prorate the payments. If it appears that the payer deliberately did not pay a particular fee, then the agency will be notified and that fee will not be remitted to the affected agency. If the underpayment is a simple math error ODA will pay OLCC and DEQ first then keep the balance. ODA will bill for these underpayments. Overpayments. ODA will refund.			
Yes	Refunds	Recommend goes to F/A group	1/19/05	See note in next row
	Each agency will refund directly to the participants, if necessary, except in the case of credit card payments. Credit card payments must be refunded back through the credit card and so will be done by ODA. ODA will reduce a future transfer to the affected agency to recoup the money refunded. In all cases of refunds the affected agencies will notify the group or be notified so that both the central records and the agency records are updated **One problem arose.** DEQ refunds to the person or entity who paid the fee (the payer). ODA only collects the name of the invoice/applicant and not the name of the payer. **We may not be able to get the name of the payer from ODA. We may need to get legal guidance on whether we can make refunds to someone other than the one who paid. Jon Dufrene said he would look into this by consulting with Treasury.**			

Yes	What information do we need to track in a centralized data store at ODA?	Recommend goes to F/A group - bring to big group on 1/25/05	1/19/05	*See handout and next row.
Names and addresses, DEQ's invoice numbers and facility numbers and OLCC's premise numbers. For each payment: Name of participant, amount for each agency, PCA/AOB for each agency, total payment, the date received and the date transferred. DEQ may also need the name of the payer, if different from the name of the participant.				

Non-Sufficient Funds
Small Business Retailer Project

Question: Who can collect non-sufficient funds for the Small Business Retailer Project? Can ODA collect on non-sufficient funds for OLCC and DEQ?

Based on current Oregon Revised Statutes, ODA would not have the legal authority to collect NSF's on behalf of the other agencies. Currently that authority has only been established for the Department of Revenue and Private Collection Firms. Each agency would need to collect their NSF's independently.

In addition to the Oregon Revised Statute restrictions, each agency has very distinct internal processes in place to collect non-sufficient funds. These processes include:
- Agency specific fees
- License revocation and enforcement issues
- Agency specific ORS citations

Potential Solutions for Pilot Project:
- Seek legal advice to determine if interagency agreement would suffice.
- For pilot project only, accept credit cards.
- Work with Patrick Allen to include NSF issue within current statutory fix.

Long-term solutions for project acceptance "2,000" model:
- Obtain legal guidance on combining authority to collect NSF's.
- Review internal processes to determine where consistent processes can be adopted globally.

ORS Resources:

ORS 293.229; ORS 293.231; ORS 293.250:
http://www.leg.state.or.us/ors/293.html

Small Retailer Project
Late Notice Proposal

Option 1: Customer figures the late fees.

- ODA reprints application/invoice.

- As part of the title of the application either 'Late Notice" or "past Due" can be printed.

- Customer determines late fees from the amounts indicated on the application/invoice.

Option 2: We figure the late fee.

- Mid - June
    - Print 'Past Due' on the title.
    - Highlight DEQ and OLCC (indicates they are late)
    - Show DEQ's amount as original amount + $35 per facility.
    - Show OLCC's amount as original amount + $25.
    - Resend the application/invoice.

- Mid – July
    - Print 'Past Due' on the title.
    - Highlight DEQ and OLCC (indicates they are late)
    - Show DEQ's amount as original amount + $35 per facility.
    - Show OLCC's amount as original amount + $40.

- Mid-August we resent the application/invoice.
    - Print 'Past Due' on the title.
    - Highlight all three.
    - Show DEQ's amount as original amount + $35 per facility.
    - Show OLCC's amount as original amount + $40.

> *Note:* One low-tech option for the pilot would be to manually highlight the invoices and use a stamp that states 'Past Due' on the statement.

Option 3: Agency independent process.

- Each agency determines that the customer is late and handles per their present process.

Penalty Process Decisions

The matrix below outlines the differences between how the agencies handle their penalties. On the agenda for the January 25th meeting will be a discussion of how we should handle penalties.

The standard decision tree that we have been using will help us focus our time and help us make the decisions that belong to the pilot quicker.

We have captured the challenges that are unique to this effort as follows:

Challenges

1. Timeframes don't match up
2. The way penalties are figured
   a. %
   b. flat fee
3. Consequences when there is a penalty

If a uniform penalty program is desired than we need to identify:

1. Timing of penalties;
2. Division of penalty fee;
3. Amount of fee;
4. Consequences of penalties and enforcement. It is also important to make the penalties easy to enforce;
5. Stakeholder fairness (those in the pilot and those outside the pilot)
6. It is important to draft the penalties to be easily understood by the customer;

DECISION TREE

There are four different decision results 1) it is not part of the project, 2) B/L can decide on a course of action, 3) F/A can make recommendations on how to handle and have B/L make final decision or 4) F/A can make a decision that will set the direction on how the penalty challenge will be resolved.

Is the issue part of the pilot?

- No
  - No discussion is needed at this time.

- Yes
  - B/L Direction
    - Business/license workgroup will decide and the project will act upon their direction.
  - F/A Recommendation

- Financial/Accounting workgroup will collaborate and provide options for resolution. Business/license workgroup will make final determination.
  - o F/A Direction
    - o Financial/Accounting workgroup will determine the best solution and the project will act upon their direction. This branch might be used when the issue is clearly an accounting matter and the financial/accounting people are the better equipped to make this decision.

Penalty Matrix					
Agency	When begins	Penalty	Consequence	Issue with Current	2000
ODA	60 days after expiration (expire 6/1)	Whichever is less o Fee < 100: $30 or amt of license o Fee > 100: 30% or 750	o Failure to pay req new license. o They are locked until paid. o Bill goes to Revenue collection.	o Statutory authority to change o Stakeholder management	
DEQ	45 days after expiration (expire 1/1)	Late fee $35 per tank	o Bill goes to Revenue for collection.		
OLCC	20 days prior to expiration (6/10) (expire 7/1)	Received 6/10 – 7/1: $25 Received 7/1 – 8/1: $40	o After 8/1 new license req. o Investigated and prosecuted for non-compliance. o Conditional letter to continue operations is available at the discretion of OLCC. o Bill goes to Revenue for collection.		

Customer Service Decisions

This paper covers decisions that are needed to ensure quality customer service. In the January 25, 2005 meeting we are setting the stage to resolve numerous issues related to the customer service aspects of the project.

The customer service issues that are listed below can be resolved in various ways. Using the following decision tree will help project members focus their time upon concerns that are directly related to the project.

Is the issue part of the pilot?
♦ No
o No discussion is needed at this time.

♦ Yes
o B/L Direction
- Business/license workgroup will decide and the project will act upon their direction.
o F/A Recommendation
- Financial/Accounting workgroup will collaborate and provide options for resolution. Business/license workgroup will make final determination.
o F/A Direction
- Financial/Accounting workgroup will determine the best solution and the project will act upon their direction. This branch might be used when the issue is clearly an accounting matter and the financial/accounting people are the better equipped to make this decision.

Part Of Pilot	Topic	Responsibility	When Needed/ Complete	Comments/ Resolution
Yes	Will there be any customer service training for the pilot projects regarding goals, scope, agencies involved, etc.?	B/L to direct P/Ms to draft back?	1/25/05 2/15/05	
Yes	Will there be any general customer service training for ODA, DEQ & OLCC employees regarding the pilot?	B/L to direct; agencies to draft back to PM for consolidation	1/25/05	
Yes	Which cross-functional customer service responsibilities do you want all licensing departments to be able to handle? (example: referrals, phone numbers, responsible agency, policy goals,	B/L workgroup	1/25/05	

	costs for each license/tank/device)			
Yes	How quick do we expect customer questions/issues to be addressed?	B/L workgroup	1/25/05	
	Expectations			
Yes	Tracking payments, receipt of funds, refunds license in process, estimate time to receive license?			
Yes	Decide if there are general/cross functional customer service requirements?	B/L workgroup	1/25/05	
Yes	If there are, what criteria, scope is required (see above)	B/L workgroup, each agency draft specifics	1/25/05	
Yes	What if the cross agency responsibility of/to each agency?	B/L workgroup	1/25/05	
	Training & purposes			
Yes	How will the information be provided to each agency?	B/L workgroup	1/25/05	
Yes	Who will be responsible for ensuring that the right people are trained/ involved?	Each agency B/L rep	1/25/05	
Yes	Is US Bank training on lock-box and receipt methods for future reference valuable?	Treasury to set up	1/25/05	
Yes	Should we track the customer service questions?	B/L workgroup	1/25/05	
Yes	Transfer of customers			
Yes	Will customers be transferred/referred to other agencies?	B/L workgroup	1/25/05	
Yes	Will every agency licensing contact have all contact numbers/names/questions matrix?	B/L workgroup	1/25/05	
Yes	Will funds tracking capability be checked by any agency contact?	B/L workgroup	1/25/05	
Yes	Will there be any follow-			

	up to ensure customer has been helped/close the loop e-mail or other method?			
Yes	How will OLCC & DEQ be notified that customer's questions have been transferred to them?	B/L workgroup	1/25/05	
Yes	<u>Customer service script</u> Will there be one combined script, FAQ, tracking at all agencies or will customers be referred to each agency's individual licensing division?	B/L workgroup	1/25/05	
	<u>Exception Handling</u>			
Yes	If some general or specific questions are to be addressed by any agency person contacted. Which items are referrals? Criteria established for decision making?	B/L workgroup	1/25/05	
Yes	Licensing requirements	B/L workgroup	1/25/05	
Yes	Applicable laws/ rules	B/L workgroup	1/25/05	
Yes	Grievances/denials/protests	B/L workgroup	1/25/05	
Yes	Issues that cause delay or non-renewal status?	B/L workgroup	1/25/05	
Yes	Each agency have a sample consolidated invoice/application so they can walk through it with the customers?	B/L workgroup	1/25/05	
	refunds	B/L workgroup		
	Information to agencies on type of payment	B/L workgroup		

Customer
Communication

Oregon Department of Agriculture (ODA)
Department of Environmental Quality (DEQ)
Oregon Liquor Control Commission (OLCC)

Consolidated Renewal Application for Small Retailer

ABC GAS AND MINI-MART   Mail number: 123456
STEVE PALMER   Phone: 503/555-5555
6782 MAIN ST.   Fax: 503/876-1234
PO BOX 1234
SALEM OR 97345

Business Location Address:
   ABC GAS AND MINI-MART   Phone: 541/555-1212
   JANE DOE   Fax: 541/562-6543
   6834 OATLEY RD   ODA firm number: 65432
   STAR ROUTE A   DEQ facility number: 8767
   PROSPECT OR 97536   OLCC premises number: 987654

INSTRUCTIONS

1. Make any name, address, telephone or fax number changes above.
2. Review and complete all Application Detail sections of this form.
3. Enter total license fee for ODA on line 1 below from page 2.
4. Enter late fee amount(s) on line 4, if applicable.
5. Add total amount owed and enter on TOTAL PAYMENT line.
6. Submit payment with all pages of this form.
7. If you have questions about this form, please call the agency contact
*   number listed in the Application Detail section.*

LICENSE FEES   PAYMENT DUE BY JUNE 10, 2005

1. Oregon Department of Agriculture (enter total from page 2) .... $ _____

2. Department of Environmental Quality .... $ 170.00

3. Oregon Liquor Control Commission .... $ 100.00

4. LATE FEES (if payment received after June 10)
   a. ODA - Enter amount, if any, from page 2 .... $ _____

   b. DEQ - If payment received after June 10, enter $35.00 .... $ _____

   c. OLCC - If payment received after June 10 but on or before June 30, enter $25.00
           - If payment received after June 30 but on or before July 30, enter $40.00 ... $ _____

TOTAL PAYMENT (add all amounts above) .... $ _____

To pay by credit card

Fill out and sign the credit card information box below.
Credit card payments may be faxed to 503/986-4746 or
mailed to the address at right.

☐ Visa   ☐ Mastercard

_____ _____ /_____
       Card number   Expiration date

_____
  Name of cardholder as shown on credit card

_____ $ _____
        Signature

To pay by check or money order

Make check or money order payable to
State of Oregon.

   Mail to:
     Oregon Dept. of Agriculture
     ATTN: Licensing
     635 Capitol St. NE
     Salem OR 97301-2532

Send or fax all pages of application with
payment. Make a copy for your records before
mailing.

APPLICATION DETAIL

Oregon Department of Agriculture   Phone: 503/986-4765

All areas must be completed to process your renewal. Incomplete forms will be returned for completion. For Meat Seller and Retail Food Establishment licenses, enter gross sales and corresponding fee from Schedule J. For other licenses, make corrections to number of scales or meters and corresponding fees, if applicable.

LATE PENALTY FEES will be charged if you do not pay your license fee within 60 days of the expiration date, as follows:
- For each license fee of $100 or less, $30 or the fee amount, whichever is less.
- For each license fee greater than $100, 30 percent of the fee amount or $750, whichever is less.

The penalty fee is assessed in addition to the license fee and applies to each license code.

Code	Qty	Description of license or fee	Check box if NOT required	Fee Amount
171524-21	3	LPG Meter Type M ($70.00 each) 1 inch diameter or under	☐	$ 210.00
75394-22	1	Scale License Type A ($20.00 each) 0 to 400 pounds capacity	☐	$ 20.00
138004-31	12	Service Station Type F ($30.00 each) Under 20 gallons per minute capacity	☐	$ 360.00
167893-38	1	Meat Seller (See Schedule J) Enter Gross Annual Meat Sales $_____	☐	$ _____
93615-77	1	Retail Food Establishment (See Schedule J) Enter Gross Annual Retail Sales $_____	☐	$ _____

TOTAL - Oregon Department of Agriculture $ _____

(Enter this amount on page 1, line 1)

LATE FEES - If payment received after August 29, compute and enter late fee total $ _____

(Enter this amount on page 1, line 4)

Schedule J - Food Safety Division

Gross Annual Sales	License Fee
$ 0 through $ 5,000	$ 75.00
5,001 through 50,000	125.00
50,001 through 500,000	175.00
500,001 through 1,000,000	300.00
1,000,001 through 5,000,000	450.00
5,000,001 through 10,000,000	600.00
Greater than 10,000,000	750.00

Owner's Name: _____

Date of Birth: _____ /_____ /_____

SSN: _____ - _____ - _____

Date: _____ /_____ /_____

Department of Environmental Quality   Phone: 503/229-5812

- The annual UST compliance fee for 2005 is $85 per tank compartment. Even if the tank is out of use, the $85 fee is owed each year until the tank is permanently decommissioned. This fee was established by the 2001 Oregon State Legislature.
- Tanks are not permanently decommissioned until the Department has received the UST decommissioning checklist and the UST site assessment report, which is due within 30 days after decommissioning.
- The fee must be paid by the due date shown. If the fee is not paid, the operating certificate may be terminated. In order to receive fuel deliveries in the State of Oregon, you must have a valid operating certificate.
- **A late fee of $35 will be applied to the unpaid balance if full payment is not received by the due date.**
- Every facility that dispenses fuel to a vehicle or container must have a trained UST system operator.
- Please leave a message on the toll free UST HELPLINE (800/742-7878) if you would like to discuss your tank status, a change in ownership, the operator training requirement, or other issues. Your call will be returned by the next business day. If you are calling from outside of Oregon, please contact Steve Paiko at 503/229-6652.
- For information about your DEQ underground storage tank fee, please call Dawn Gomez at 503/229-5812 or toll free in Oregon 800/452-4011 [TTY 503/452-4011].

Code	Qty	Description of license or fee	Invoice Number	Fee Amount
177852-340	2	Tank fee ($85.00 each)	UST05-68392	$ 170.00

TOTAL - Department of Environmental Quality $ 170.00

APPLICATION DETAIL

Oregon Liquor Control Commission   Phone: 503/872-5000

Code	Qty	Description of license or fee	Premises Number	Fee Amount
172436-845	1	Off-premises Sales	987654	$ 100.00
		TOTAL - Oregon Liquor Control Commission		$ 100.00

The Oregon Liquor Control Commission is required by state law to verify the following information from businesses licensed to sell alcoholic beverages. If the answer is yes to any of the questions, please include details on a separate sheet:

☐ Yes ☐ No   Has anyone who holds a financial interest in this business been arrested for any crime, violation, or infraction of any law during the past 18 months? *If yes, please include the following information about each alleged offense: Name of alleged offender, type of offense, date, city and state, and outcome. (Examples: Charges dropped, convicted, case pending, etc.)*

☐ Yes ☐ No   Will anyone who is not a licensee of this business have a share in the profits?

☐ Yes ☐ No   Were there any changes of ownership in the past year that were not reported to OLCC?

☐ Yes ☐ No   Has the business made any significant changes in operation in the past year that have not been reported to OLCC? *(Examples: hours of operation, types of other sales, remodeling.)*

☐ Yes ☐ No   Local jurisdiction renewal agency: Lane County Sheriff's Office, Fee: $25.00. Has this fee been paid? *NOTE: This application cannot be processed until the local jurisdiction renewal fee is paid.*

Mandatory disclosure of Social Security number: Federal and state laws require you to provide your Social Security number to the Oregon Liquor Control Commission (OLCC) on the license renewal application. OLCC will refuse a renewal if an applicant fails to provide his or her Social Security number. The Social Security number will be used only for child support enforcement purposes unless you authorize its use for the additional administrative purposes listed below. 42 USC 666(a)(13), ORS 25.785.

OLCC asks for your authorization to use your Social Security number for additional administrative purposes: helping OLCC keep accurate records about your identity, ensuring your identity in criminal background checks, and matching your application to your Alcohol Server Education class and test score. ORS 471.311, OAR 845-005-0312(6). You will not be denied a right, benefit, or privilege if you do not authorize OLCC to use your Social Security number for additional administrative purposes. 5 USC 552(a).

OLCC requires the full names, signatures, and Social Security numbers of all individuals who have a financial interest in this business. An authorized officer of a corporation, a member of a limited-liability corporation, or a partner of a limited partnership must sign.

Print Name	Social Security Number	Date of Birth	Date	Signature	SSN Authorization?
					☐ Yes ☐ No
					☐ Yes ☐ No
					☐ Yes ☐ No
					☐ Yes ☐ No
					☐ Yes ☐ No
					☐ Yes ☐ No

IMPORTANT: Failure to fully disclose any information requested or providing false or misleading information on this form is grounds to refuse to renew the license. YOUR LICENSE TO SELL ALCOHOL EXPIRES ON JUNE 30, 2005. If you do not renew before June 30, starting on July 1 you must immediately stop selling alcohol. NO EXCEPTIONS! Selling alcohol without a license is a crime.

IMPORTANT NOTICE

Thank you for your participation the small retailer license consolidation pilot project. Our goal is to make the license renewal and payment processes easier for businesses. We have been working to consolidate the Oregon Department of Agriculture (ODA), Department of Environmental Quality (DEQ) and Oregon Liquor Control Commission (OLCC) annual renewals. Your willingness to participate allows us to better understand what our customers value, as well as the costs and challenges of the changes. This information will allow us to determine if the pilot can be expanded or discontinued.

ODA, Food Safety Division
Retail Food Establishment License
You may have already received a letter for Katy Coba, Director of the Oregon Department of Agriculture, informing you of this agency's need to increase license fees. The letter explains several scenarios that may happen later this spring in the Legislature. Depending on the action the Legislature takes, you <u>may</u> receive a bill reflecting any fee increase above what is included in this application/invoice. We anticipate that in the event of a fee increase you will be notified of the difference by August 2005. We apologize we were not able to delay the pilot project billing until after this fee decision is made.

OLCC, Regulatory Program
<u>*Off-premises Sales License*</u>
We apologize that we were not able to include the OLCC renewal for all businesses in the pilot project. As you examine your application, you <u>may</u> notice your OLCC application is not included in this consolidated license renewal process. If this is the case, you will need to renew your OLCC license in the normal manner.
If you have questions regarding your OLCC license application, please contact Dan Croy at the OLCC. His phone number is 503-872-5137.

<u>*Follow-up*</u>
You will be contacted by phone shortly after your payment is received in order to gather your suggestions/comments on the pilot project and to improve customer services. We will use your feedback to help determine the continuation of the consolidated license project and/or other ways we can improve our services. If the project is not continued your 2006 license/fee billing process will return to the billing cycles used in the past. For instance, DEQ in January, ODA in June, OLCC in January, April, July or October depending on location of the business. Again, thank you for your participation in the small retailer license consolidation pilot project.

Small Retailer Consolidated Renewal Project
State-government pilot project aims to save you time

To make your business successful, you spend long days dealing with inventory and ordering, shelf stocking, bill paying — it all adds up — and on top of that, you have to comply with multiple state-agency requirements throughout the year. Good news: Beginning in January, a pilot project sponsored by several state agencies will combine the annual license and permit renewals common to convenience stores to test ways to reduce your regulatory burden.

The Small-Retailer Consolidated Renewal Project will combine the annual license/permit renewals for convenience stores into a store-specific invoice to save you time and hassle. The consolidated renewal will cover the annual renewal requirements of the departments of Agriculture and Environmental Quality and the Oregon Liquor Control Commission. The pilot project will take place in Multnomah County south of Burnside Street and throughout Coos, Curry, Douglas, Benton, Lane, Lincoln, and Linn counties.

If you operate a convenience store in these areas, you will receive information in January on how you can take part in the project. When you receive the postage-free reply postcard in January, you can simply check the box to "opt in," and drop the card in the mail. In the spring, you will receive one bill for license/permit renewals for the year from the three state agencies sponsoring the pilot project.

When he took office, one of Governor Kulongoski's primary goals was to streamline regulations for businesses as part of his economic revitalization effort. His goal was to accomplish this without compromising protections for consumers, workers, the environment, and public safety. The governor's executive order created an Office of Regulatory Streamlining within the Department of Consumer & Business Services to coordinate the streamlining initiative and serve as a resource for state agencies.

The Office of Regulatory Streamlining is sponsoring the Small-Retailer Consolidated Renewal project in collaboration with the Department of Agriculture, Department of Environmental Quality, and the Oregon Liquor Control Commission.

If you have questions about the pilot project, contact Patrick Allen, manager of the Office of Regulatory Streamlining, (503) 947-7061. If want to know more about Oregon's regulatory streamlining initiative in general, visit the Web site at www.streamline.oregon.gov.

December 21, 2004

To:

From: Office of Regulatory Streamlining
Oregon Department of Environmental Quality (DEQ)
Oregon Liquor Control Commission (OLCC)
Oregon Department of Agriculture (ODA)

SUBJECT: SMALL RETAIL LICENSE RENEWAL CONSOLIDATION PROJECT

The Office of Regulatory Streamlining, DEQ, OLCC, and ODA are working on a pilot project to consolidate OLCC's and ODA's license renewal forms and DEQ's tank fee invoice. Your company has been identified by the three agencies as one that might benefit from this effort. The goal is to make the license renewal and payment process easier. This means you will receive and complete one form and send one payment for all the annual licenses and fees for these three agencies. The results of the pilot program will assist the agencies in determining whether to expand the consolidated license renewal project.

You are not required to participate in the pilot program. If you choose not to participate, then the license renewal process will proceed in the normal manner. If you do not respond, we will assume you do not wish to participate in the pilot program.

If you choose to participate in the pilot, we would ask you to respond in one of three ways:

☐   Check the appropriate box below on this letter and return it in the postpaid envelope;
☐   E-mail Ron McKay (rmckay@oda.state.or.us) of your interest, or
☐   Call Val Pascal (Licensing Manager at ODA) at 503-986-4765.

In order to begin the implementation of the pilot project this spring, we will need to identify a list of interested firms as soon as possible. We would appreciate your response to this request by ***January 5, 2005***.

Please check one option only:

_____   I would like to participate in the Small Retailer's Consolidated Renewal Pilot Project.

_____   I am opting out, please do not include me in the pilot project.

Customer
Service Plan

Small Retailer Consolidated Renewal
Customer Service Plan 3/4/05

Project Purpose
The purpose of the Small Retailer Consolidated Renewal Project is to successfully administer and coordinate the consolidated renewal of annual licenses and certification requirements of the participating state regulatory agencies for the pilot population of small retailers. As a pilot project, the agencies are driving to improve and learn from the coordination/consolidation efforts inherent in the project. The project results will be used to inform decision making for possible extension/expansion and to inform the direction of any additional phases.

Governor's Mission Context
Governor Kulongoski's first executive order after taking office in January 2003 instructed state agencies to streamline business regulatory processes. The governor's goal was to reduce the regulatory burden on businesses as part of his economic revitalization effort, without compromising consumer, worker, environmental and other protections Oregonians expect. The governor's executive order created an Office of Regulatory Streamlining with the Department of Consumer & Business Services, to coordinate the streamlining initiative and serve as a resource for state agencies. While the initiative is making important progress on streamlining specific regulatory processes that apply to particular kinds of businesses and/or business functions, the overall success of this effort will also depend on the state's ability to identify and streamline situations where a given business is subject to regulation by multiple agencies.

The small retailer consolidated renewal project is one of those projects that cross agency lines. This project is a pilot to combine licensing for small retailers such as convenience stores. These stores are regulated by over a dozen agencies. Each agency is implementing a public policy objective (e.g. food safety) that most would agree is valuable, yet the combined effect is clearly burdensome as the business that is forced to deal with a dozen sets of applications, forms, fees, inspections, and reports or audits. These retailers have been chosen for the pilot because small retailers represent a large number of relatively low risk businesses that are subject to significant regulatory, reporting and record keeping requirements. In an effort to simplify and reduce the regulatory burdens we have gathered the respective agencies that regulate small retailers to explore the objective of reducing the burdens by working toward a master renewal for licenses, and review inspection, reporting and record keeping requirements for potential simplifications.

The small retailer category is defined as a convenience or general merchandise retailer. The products offered include prepared foods (deli), packaged foods, beer, wine and tobacco products, and lottery tickets. They also have employees, accept food stamps and WIC program vouchers and have an ATM. They also sell gasoline. These businesses may be part of a large chain, franchise or a small independent business. They are also defined by the square footage of retail space and sales volume they generate. It is assumed that if the small independent retailer experiences some streamlining of regulatory requirements it will benefit the manner in which these businesses operate.

This project supports the Governor's vision to streamline regulatory processes, reduce bureaucracy that govern businesses and eliminate duplicative practices, without sacrificing any

of the citizens' protections or quality of life. This will be accomplished by consolidating the renewal application and fees, combined informational and filing requirements and combined inspections and audits. These efforts will reduce the manual effort currently required to administer the renewal of licensees for the small retailers.

This project fulfills the direction of EO 03-01
- To assist agencies in identifying and eliminating duplication where there is overlapping regulatory authority.
- To use technological means to make it easier to do business with regulators.
- To improve customer service

Streamlining Criteria
To streamline regulations, agencies need to explore the answers to three main questions:
1. *Will the project or initiative make regulations simpler for business?*
   Can we eliminate an obsolete, burdensome, overlapping, or conflicting rule, activity, or process? Will the project improve consistency and predictability in a manner visible to business?

This project meets the criteria by eliminating overlapping billing processes between the three subject agencies. This should reduce licensing renewal paperwork the small retailers currently do.

2. *Will the project or initiative make regulatory processes faster for business?*
   Can we reduce the time it takes for a business to receive a permit, license, charter, or other authorization to conduct business? Will the project improve coordination and communication among agencies in a manner visible to business?

This project will improve communication between multiple agencies in their billing processes. It will also reduce the number of invoices a business receives and the number of payments they need to make.

3. *Will the project or initiative reduce the cost of regulatory compliance for business?*
   Can we eliminate or reduce business's cost for obtaining or maintaining permits and licenses? Can we reduce government fees or taxes levied on business or reduce the cost of filing with or reporting to a regulatory body?

This project should permit the overall agency time in preparing, sending and tracking payments to be reduced. It should also reduce the amount of time businesses spend in renewing licenses.

Oregon's License Database
Oregon's license database provides 24-hour access to license requirements to Oregon businesses and professionals. The Oregon license database includes information regarding: responsible agency, contact information, license fees, forms, renewal requirements, ORS/OAR links for close to one thousand Oregon licenses. As part of this pilot customers may be referred to the license database or customer service contacts may use the database to answer customer needs/questions.

http://lic.oregon.gov/cfmx/lic/index.cfm

Customer Service Outcomes/Goals

1) Each customer will have a positive experience regardless of the regulatory/issue resolution.

2) Each customer will have an answer or solution to their issues within 1 business day of their first contact.

3) Each agency customer service contact will have all the information and resources they need to successfully respond to the customer's needs.

4) Each customer service contact will "own' the customers problem or issues, and either provide the correct information, research the issue and respond to the customer promptly or make a referral to the appropriate agency contact.

5) Each question of concern will be tracked and later complied for the project.

6) All customer service contacts will work cooperatively and collaboratively to resolve the customers problems/issues.

Agency Customer Service Contacts
DEQ (invoice information)
Dawn Gomez
Phone: 503-229-5812
Toll free in Oregon Phone: 800-452-4011
TTY 503-229-6993
E-mail address: Gomez.Dawn@deq.state.or.us

Steve Paiko (facility changes such as removal
of tanks or changes in ownership and information on the operator
training program or other program issues)
Phone: 503-229-6652
Toll free in Oregon UST HELPLINE: 800-742-7878
E-mail address: Paiko.Steve@deq.state.or.us

ODA
Valerie Pascal (invoice information and financial tracking)
503-986-4765
E-mail address: Valerie.Pascal@state.or.us

OLCC
General reception   (invoice information, program issues)
503-872-5000

Financial Contacts (for inter-agency use)
DEQ
Laura Arcidiacono
503-229-5938
E-mail address: Laura.Arcidiacono@state.or.us

ODA
Valerie Pascal
503.986-4765
E-mail address: Valerie.Pascal@state.or.us

OLCC
Karen Walsh
503-872-5134
karen.walsh@state.or.us

Inquiry Tracking

Date	Customer to Agency	Question/issue or concern

Inquiry Tracking

Date	Agency to Agency	Question/issue or concern

Project
Evaluation

PROJECT PLANNING AND MANAGEMENT EVALUATION
Attachment A

Objectives	Description	Did we deliver?	Comments
1	Simplified regulatory processes for the renewal of DEQ, OLCC, and ODA annual licenses	Some-what	One due date, one bill, one payment for the customers was partiality achieved by delivering one bill to common customers in one region of OLCC's regions (for 11 customers) and by matching DEQ's permittees to ODA's licensees (for 38 customers).
2	Provide a combined renewal application and fees	Yes	
3	Combine the informational and filing requirements	Yes	
4	Create a seamless master renewal/fee that is user friendly and adaptive to various uses.	Yes	For additional information, please refer to customer survey.
5	To answer renewal provisions, details, costs and billing-cycle impacts to the retailer as well as delinquent payments, grace periods, payment plans and effects that delinquent fees have on the status of the business	Yes	
6	Ensure customer service and access to knowledgeable agency concerning business questions, counseling, and supports	Yes	Work has been developed. Each agency worked with staff. Primarily a manual process/flagging participants invoices was used since this was a small population.
7	Provide a project evaluation to improve processes for future multi-agency regulatory streamlining projects	Yes	Developed a project template notebook that is available at http://www.streamline.oregon.gov/

Major Deliverables			
1	Project plan	Yes	
2	Pilot dataset	Yes	Several iterations, adjusted criteria; designated business name and permute invoicing differences between ODA & DEQ; different billing by state-wide and region-wide between ODA/DEQ & OLCC
3	ODA database changes	Yes	
4	Lobby go-ahead	Yes	
5	Governor's announcement	Yes	
6	Consolidated invoice	Yes	
7	Consolidated payment receipt process	Yes	Data-entry process was manual for OLCC and DEQ
8	Consolidate statement process	Yes	
9	Consolidated customer service process	Yes	
10	Training for participating agencies	No	Each agency did own or relied on existing processes
11	Customer education/awareness.	Yes/No	Newsletter provided description of project and additional communication was included in billing. Lobbyist saturation is

				less than 50% of the business population. A different communication plan needs to be developed for next project to effectively respond to survey data.
12	Process to handle penalties/late fees.		Yes	ODA and DEQ did re-send one invoice. Each agency reverted to their own process.
13	Test plan and results		Yes	
14	Evaluation of pilot project		Yes	Included process step evaluation against desired outcomes, cost estimates by agency and phone survey of business participants and non-participants
15	Legislative changes		Yes	Passage was 6 weeks later than anticipated, which delayed invoicing to May 13, 2005. HB 2005 provides for wide variety of changes; sunsets 2008.

Costs				
1	Estimates for pilot by agency			
2	Estimated DEQ staff hours			Business Office: 47 hours Information Technology 80-100 hours Tank Program: 250 hours Incidental staff time: 20 hours
3	Estimated OLCC staff hours			Business Office/Financial: 44 hours Information Technology: 5 hours Operations: 12 hours Management: 98 hours Technical: 78 hours
4	Estimated ODA staff hours			Licensing: 60 hours Project Management: 60 hours Information Technology: 264 hours

Customer Satisfaction				
1	Phone survey of opt-in and opt-out retailers		Yes	Had high participation of opt-in and opt-out retailers in phone survey. See Attachment D.

PROJECT/PRODUCT EVALUATION
ATTACHMENT B

CONTEXT: Small Retailer Consolidated Renewal Pilot Project eligibility criteria:
1) Under $500,000 annual revenue
2) In District 3 of OLCC customers
3) Business was required to have pumps (any number)
4) Two or three-way match with at least two agencies with one always being ODA)

Category	Concern/Issue
General/Overall	ODA absorbed programming, licensing administration, and Visa card costs
	All agencies absorbed policy, management, and staffing costs (estimates in Attachment C above)
	Multi-agency project capacity was increased in all agencies
	Invoice, transmittal, population, and disbursements were somewhat automated using ODA databse.
	Had issues with retailer data for the following reasons: Different billing approaches, i.e., ODA bills business entity, DEQ bills individual permitee, DEQ permitee may be different than lessee of business property. OLCC billed one region in pilot as opposed to statewide participant customers
	Original participant list of 55 small retailer customers was reduced to 44 due to lessee and property owner being different as it relates to ODA/DEQ licensee/permitee
Customer Data Set	37.3% of population that fit overall project criteria (170/456)
	20% of opt-in population unable to match due to different customer billing issues (11/55)
Opt-In/Opt-Out	32.4% participation rate of total invited population (55/170)
	0.6% accurate (returned mail) (1/170)
Send Invoice/Application	75% participants received accurate invoice (no adjustments, names, amounts, not actions to adjust needed (33/44)
	32.4% participation of total invited population (55/170), only able to serve 25.9% (44/170)
	100% invoices were delayed six weeks from the date project originally targeted due to delayed passage of HB2005.

Category	Concern/Issue
Receive Payment	
	77.3% participant payments were received on time
	93.2% received correct amount of payment, with 3 billing letters sent
	90.9% payments were made without inquiries (of customer or other agency) (40/44)
	75% received payment documents without changes/notes or definitions (33/44)
	100% payments were received without penalty OLCC (staff called customers regarding misprinted invoice amount (11/11)
	6.8% ODA payments were late after 6/10/5 (3/44)
	18.4% DEQ payments were late payment prior to June 10 (7/38)
	2.6% DEQ payments were late after June 10 (1/38 remains unpaid)
Disbursement	77.3% disbursements were on time (34/44)
	77.3% correct disbursement amount (34/44)
	77.3% disbursements without inquiry (agency to agency) (34/44)
	98% ODA disbursements without exceptions (requiring customer follow-up, delay or denial of license (1/44 owner died)
	0% OLCC disbursements without exceptions (requiring customer follow-up due to invoice printing error)
	97% DEQ disbursements without exceptions (requiring customer follow-up)
Send License	91% of participants were sent licenses before expiration date (ODA 40/44)
	100% of participants were sent licenses before expiration date (OLCC 11/11 with 11 calls to customers due to inaccurate invoice)
	No license is required to be sent for DEQ (1/38 did not pay)
	75% licenses were sent to participants without customer counsel/agency counsel 33/44)
	100% of participating customers received licenses from both agencies (ODA & OLCC)

COST/BENEFITS TABLE
ATTACHMENT C

SMALL RETAILER PILOT PROJECT
COST ESTIMATE MODEL FOR AGENCIES

AGENCY COST		
Division	Time	Costs
IT		
DEQ	80 -100	
ODA	264	
OLCC	5	
Fiscal		
DEQ	47	
ODA	0	
OLCC	44	
Operational		
DEQ	250	
ODA	60	
OLCC	12	
Business Consulting		
DEQ	20	
ODA	0	
OLCC	98	
Technical staff		
DEQ	0	
ODA	60	
OLCC	78	
Totals	1018-1038 hrs	$30,540 – $51,900

Agencies estimate $30 to $50 per hour for loaded salary costs. Agencies felt they benefited from the hours spent on the pilot for other ongoing projects.

COST/BENEFITS TABLE
ATTACHMENT C

BENEFIT MODEL FOR AGENCIES

Tactical Benefits	Strategic Benefits
Cost avoidance due to enhanced legal regulatory information related to credit card transactions	Collection of decisions
44 invoices delivered to customers	Passage of HB2005
Customer feedback/data	Legislative goodwill
Customer survey developed	Successful intra-agency relationships
Testing scripts developed	Issue resolution methods
	Understanding of each agencies business, policy goals and programs
	Combined customer data set
	Methods for assessing and analyzing issues as a collective decision-making team
	Demonstrated action on the Governor's Executive Order 01-03
	Increased visibility
	Development of staff: increased customer and other agency perspective, data and technology experiences
	ODA staff experienced a degree of cross-training and job enrichment
	Improved customer satisfaction
	Template notebook/roadmap

**CUSTOMER EVALUATION INFORMATION
ATTACHMENT D**

Summary Report of the Small Retailers Pilot Project Survey
Small Retailer Consolidated Renewal Project

Office of Regulatory Streamlining

Patrick Allen, Manager
Laura Lesher, Project Manager

In Cooperation with the Department of Consumer and Business Services

Cory Streisinger, Director

Information Management Division

Dan Adelman, Administrator

Research & Analysis Section

Ronni Rachele, Manager
Derek Reinke, Research Analyst

September 2005

Summary Report of the Small Retailers Consolidated Renewal Project Survey

Background

The Office of Regulatory Streamlining (herein referred to as the Office), in collaboration with the Oregon Department of Agriculture (ODA), Department of Environmental Quality (DEQ), and the Oregon Liquor Control Commission (OLCC), implemented a pilot project to consolidate license and fee renewals for small retailers. The project, referred to as the Small Retailer Consolidated Renewal project, allowed convenience store participants to pay one license/permit renewal fee instead of receiving separate, multiple billings from the three agencies (ODA, DEQ, and OLCC). Small retailers were sent a letter in late December 2004 inviting them to participate in the project. Those that opted to participate were then sent one invoice from ODA in May 2005 for all license and permit renewal fees. The Research & Analysis Section (R&A) of the Information Management Division (IMD) assisted with the initial development phase and analysis phase of the survey.

Sample

The sample was comprised of two distinct groups. The first consisted of the 44 retailers who participated in the pilot project. These retailers were contacted by the Office (via telephone) sometime after they received the invoice from ODA in May 2005. The second consisted of approximately 120 retailers who chose not to participate. These were surveyed by phone beginning in March 2005.

Survey

The groups received different questions pertinent to their decision on whether or not to participate. For example, questions for non-participants were geared more toward why they chose not to participate in the pilot project. Questions for participants focused on why they chose to participate and how the pilot project worked for them.

Results

Because the survey was conducted by telephone, there were some hurdles to getting responses. In some cases, phone numbers were difficult to locate. Also, due to the nature of business, many retailers did not have time to respond to the survey.

The Office was able to contact about 70% of the 44 participants and 78% of the non-participants, however, not all respondents answered every question, and about 25 of the non-participant respondents did not have time to answer any of the questions. Because of this, a precise response rate is difficult to calculate.

Both groups were asked if they had heard about the pilot program from any other source (question 7 on participant survey, question 4 on non-participant survey). Ninety-six percent of participants and ninety-seven percent of non-participants indicated that the letter was the only source of information they received.

Both groups were also asked about the ease of complying with business regulations in general (question 11 on participant survey, question 5 on non-participant survey). Participants averaged 6.42 (where 1=Very Difficult and 10=Very Smooth/Easy) and non-participants felt business regulations were slightly less easy, averaging 6.14 on the 10-point scale.

When asked what efforts could be made to reduce the burden of regulatory compliance on small retailers, both participants and non-participants indicated that they are confused because of different regulations, complicated technical jargon, and lack of good information. They also felt there was a paperwork overload, often requiring them to supply the same information to multiple agencies using different forms. Many also indicated that it would ease their financial burden if fees could be made payable throughout the year, regardless of consolidation efforts.

The remaining questions were catered to each group, depending on whether or not they chose to participate. Participant questions differ from non-participant questions and the results for each group are listed below.

Participant Results:
The majority of respondents (89%) indicated that the program was what they expected (question 2). Almost all respondents (96%) felt that the effort to consolidate renewals was worthwhile (question 3) and eighty-eight percent felt the consolidation made it more simple to comply with regulations (question 4).

When asked to rate the clarity of the invitation letter (question 5), the average rating was quite high at 8.7 (where 1=Very Confusing and 10=Very Clear). All scores rated from 6 to 10.

Participants were also asked to rate the consolidation renewal form from 1 to 10 (question 6), where 1=Very Confusing and 10=Very Clear. The average rating was fairly high at 8.1, although two ratings of 4 and two ratings of 5 were recorded.

Overall comments from participants about the program were generally positive. They felt the program was easy and much more convenient, saving them time and paperwork. For most, the program is something they would like to do on a regular basis. A small group did indicate that it was difficult acquiring the money to pay all fees at once. The most common negative comment came from those that thought OLCC was going to be included in the program and then found it was not. Due to an administrative difficulty, OLCC was not a partner in the program for some retailers.

Ninety-six percent of participants indicated that they would like to see additional efforts to consolidate and streamline regulations (question 9).

<u>Non-Participant Results:</u>

Fifty-one retailers responded to the question asking if they remembered receiving a letter inviting them to participate in the program (question 1). Just over half (59%) remember receiving the letter, while forty-one percent do not recall receiving a letter.

Those that remember receiving the invitation were asked why they did not participate in the program (question 2). Three percent of respondents indicated that they do not recall why they opted out of the program. Another three percent did not have enough information about the pilot. Six percent said they did not have enough time to consider the option, and another six percent did not believe there were any cost savings presented. One percent said it seemed like an additional thing to comply with instead of a consolidation of three processes. One percent wanted to wait until the "kinks" were worked out, and another one percent did not want to change the accounting process/ bill payment schedule. No retailers chose the "Familiarity/comfort with the standard process" category.

Another forty percent offered other reasons for not participating. Over half stated that they would have participated, but didn't remember getting the letter, had lost the letter, or did not respond by the deadline. Invitation letters were sent out during the holidays and retailers were given only two weeks to respond to the invitation, so participation might have been higher if the letters were sent out at a more strategic time and respondents had a longer to respond. Others indicated that they did not participate because it was too much of a financial burden to pay all fees at one time.

Appendix

Small Retailer Project Test Scenarios

	A	B	C	D	E	F	G	H	J	K
1						**Validation**				
2						**Expected Outcome**	**Daily Check**		**Weekly**	
3	**Process**	**Scenario**	**Business**	**Script Number**	**Date**		Transmittal (email)	ODA Cash & Distribution Report	Check BRIO Report	**Agency**
4	Send Invoices					1. The invoices are **complete**. Penalties, amounts, telephone numbers, addresses are present.				All
5		All 55 invoices will be reviewed. Each Agency will review the invoices for their customers.			2/24/2005	2. The invoices are **accurate**. The penalties, amounts, telephone numbers, contacts and addresses are accurate. If only two agencies are on the application, please ensure that the formatting for the application is correct.				All
6	Receive Payments	Exact amount payment received for invoice that contains all 3 agencies. Credit Card.		1.1, 2.1, 3.1	3/3/2005	ODA processes payment. OLCC/DEQ will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the three agencies.				All
7		Exact amount payment received for invoice that contains all 3 agencies. Check.		1.2, 2.2, 3.2	3/1/2005	ODA processes payment. OLCC/DEQ will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the three agencies.				All
8		Exact amount payment received for invoice that contains all 3 agencies. Cash.		1.3, 2.3, 3.3	3/3/2005	ODA processes payment. OLCC/DEQ will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the three agencies.				All
9		Exact payment received for invoice that listed only ODA and OLCC. Check.		1.4, 2.4, 3.4	3/1/2005	ODA processes payment. OLCC will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the agencies.				ODA/OLCC
10		Exact payment received for invoice that listed only ODA and OLCC. CC.		1.5, 2.5, 3.5	3/2/2005	ODA processes payment. OLCC will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the agencies.				ODA/OLCC
11		Exact payment received for invoice that listed only ODA and OLCC. Cash.		1.6, 2.6, 3.6	3/3/2005	ODA processes payment. OLCC will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the agencies.				ODA/OLCC
12		Exact payment received for invoice that listed only ODA and DEQ. Cash		1.7, 2.7, 3.7	3/1/2005	ODA processes payment. DEQ will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the agencies.				ODA/DEQ
13		Exact payment received for invoice that listed only ODA and DEQ. CC		1.8, 2.8, 3.8	3/2/2005	ODA processes payment. DEQ will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the agencies.				ODA/DEQ
14		Exact payment received for invoice that listed only ODA and DEQ. CK		1.9, 2.9, 3.9	3/2/2005	ODA processes payment. DEQ will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the agencies.				ODA/DEQ

Small Retailer Project Test Scenarios

	A	B	C	D	E	F	G	H	J	K
1						**Validation**				
2	**Process**	**Scenario**	**Business**	**Script Number**	**Date**	**Expected Outcome**	**Daily Check**		**Weekly**	**Agency**
3							Transmittal (email)	ODA Cash & Distribution Report	Check BRIO Report	
15		<u>Over-payment</u> received for invoice that listed only ODA and OLCC. CK		1.10, 2.10, 3.10	3/3/2005	ODA processes payment. OLCC will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the agencies. **On overpayments ODA is to refund.**				ODA/OLCC
16		<u>Over-payment</u> received for invoice that listed only ODA and DEQ. CK		1.11, 2.11, 3.11	3/4/2005	ODA processes payment. DEQ will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the agencies. **On overpayments ODA is to refund.**				ODA/DEQ
17		<u>Under-payment</u> received for invoice that listed only ODA and OLCC. Purposely underpaid OLCC. CK		1.12, 2.12, 3.12	3/4/2005	ODA processes payment. OLCC will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the agencies. **Underpayments. ODA will not prorate the payments. If it appears that the payer deliberately did not pay a particular fee, then the agency will be notified and that fee will not be remitted to the affected agency. If the underpayment is a simple math error ODA will pay OLCC and DEQ first then keep the balance. ODA will bill for these underpayments.**				ODA/OLCC
18		<u>Under-payment</u> received for invoice that listed only ODA and OLCC. Payment didn't cover OLCC pmt. CK		1.13, 2.13, 3.13	3/4/2005	ODA processes payment. OLCC will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the agencies. **Underpayments. ODA will not prorate the payments. If it appears that the payer deliberately did not pay a particular fee, then the agency will be notified and that fee will not be remitted to the affected agency. If the underpayment is a simple math error ODA will pay OLCC and DEQ first then keep the balance. ODA will bill for these underpayments.**				ODA/OLCC
19		<u>Under-payment</u> received for invoice that listed all three agencies. Mathematical error. CK		1.14, 2.14, 3.14	3/1/2002	ODA processes payment. OLCC & DEQ will reconcile the transmittal and BRIO. Both should accurately show the payment listed for the agencies. **Underpayments. ODA will not prorate the payments. If it appears that the payer deliberately did not pay a particular fee, then the agency will be notified and that fee will not be remitted to the affected agency. If the underpayment is a simple math error ODA will pay OLCC and DEQ first then keep the balance. ODA will bill for these underpayments.**				All

Small Retailer Project Test Scenarios

	A	B	C	D	E	F		G	H	J	K
1						**Validation**					
2				**Script Number**	**Date**	**Expected Outcome**		**Daily Check**		**Weekly**	**Agency**
3	**Process**	**Scenario**	**Business**					Transmittal (email)	ODA Cash & Distribution Report	Check BRIO Report	
20	Exception processing	NSF. All three agencies.		4.1	3/3/2005	Handling NSF, closed accounts: **ODA will reduce the next transfer to each affected agency and each agency would use their own collection procedures to collect. ODA will inform agencies about any such checks.**					All
21		NSF.ODA and OLCC.		4.2	3/3/2005	Handling NSF, closed accounts: **ODA will reduce the next transfer to each affected agency and each agency would use their own collection procedures to collect. ODA will inform agencies about any such checks.**					ODA/OLCC
22		NSF.ODA and DEQ.		4.3	3/3/2005	Handling NSF, closed accounts: **ODA will reduce the next transfer to each affected agency and each agency would use their own collection procedures to collect. ODA will inform agencies about any such checks.**					ODA/DEQ
23		Refund credit card. All three agencies.		4.4	3/4/2005	Each agency will refund directly to the participants, if necessary, except in the case of credit card payments. **Credit card payments must be refunded back through the credit card and so will be done by ODA. ODA will reduce a future transfer to the affected agency to recoup the money refunded.**					All
24		Refund credit card. ODA and OLCC.		4.5	3/4/2005	Each agency will refund directly to the participants, if necessary, except in the case of credit card payments. **Credit card payments must be refunded back through the credit card and so will be done by ODA. ODA will reduce a future transfer to the affected agency to recoup the money refunded.**					ODA/OLCC
25		Refund check. ODA and DEQ.		4.6	3/4/2005	Each agency will refund directly to the participants, if necessary, except in the case of credit card payments. **Credit card payments must be refunded back through the credit card and so will be done by ODA. ODA will reduce a future transfer to the affected agency to recoup the money refunded.**					ODA/DEQ

TEST SCRIPT,

This script is designed to test all business functionality for the _____ module.

FUNCTIONS/ REQUIREMENTS TO BE TESTED

    a. (Copy general functions and numbers from Scenario/Requirements or Statutes).

TEST CASE SUMMARY

DEPENDENCIES

None or This script is designed to run after ___.

TEST DATA

Data required for this county is attached to the test script.

EXPECTED OUTPUTS AND MEASURES

All test cases passed. All identified requirements were met.

SETUP

1. Verify database has been restored if this is a rerun.

2.

START CHECKLIST

Tester:		Role:		County:		Start Date:		Start Time:
Workstation:		Printer:				Scanner:		
This script has been run __times		Module Version #:				Database:		

_____	Has the database been restored from the last time the script was run?
_____	Are the test documents or batches ready?
_____	Is there a fresh copy of the script available for taking notes?
_____	Is the system up and running?

Important! After each test case, collect test data, screen prints, reports, notes, etc and label it with the test case number. Fill out the pass/fall status at the end of the case. If multiple people are running the script, initial the individual test cases. Put all test case documentation in a folder for each run of the script.

If a bug is found as you are testing, and reviewer agrees, use feedback form to describe. Reference the tracking number on the test case page.

1. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass___ Conditional Pass based on_____ Fail___

2. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

3. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

4.   TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

5. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass___ Conditional Pass based on_____ Fail___

6. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

7. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

8. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

9.   TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

10. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass___ Conditional Pass based on_____ Fail___

11. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass___ Conditional Pass based on_____ Fail___

12. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass___ Conditional Pass based on_____ Fail___

CHECKING RESULTS

Upon completion of the test, the following checks should be done.

     a. (Things to check 1). Pass____ Fail ____

     b. (Things to check 2). Pass ____ Fail____

STOP CHECKLIST

Tester:		Stop Date:		Stop Time:		
Were you able to complete the script?	Yes		No	Why?		
How did this module meet expected results?	Met or Exceeded All		Met All		Met Some	Missed Most
Final Procedures:						
_____	1. Make screen prints of all problems, circle and write case number on sheet.					
_____	2. For Report problems, circle problems and write case number on pages of letter or report.					
_____	3. Send a copy of this completed document and problems to SOS Test Coordinator					
_____	4. Label and Store all test results					

FINAL COMMENTS AND OBSERVATIONS

TEST SCRIPT,

This script is designed to test all business functionality for the _____ module.

FUNCTIONS/ REQUIREMENTS TO BE TESTED

    a. (Copy general functions and numbers from Scenario/Requirements or Statutes).

TEST CASE SUMMARY

DEPENDENCIES

None or This script is designed to run after ___.

TEST DATA

Data required for this county is attached to the test script.

EXPECTED OUTPUTS AND MEASURES

All test cases passed. All identified requirements were met.

SETUP

1. Verify database has been restored if this is a rerun.

2.

START CHECKLIST

Tester:	Role:	County:	Start Date:	Start Time:
Workstation:	Printer:		Scanner:	
This script has been run __times	Module Version #:		Database:	

_____	Has the database been restored from the last time the script was run?
_____	Are the test documents or batches ready?
_____	Is there a fresh copy of the script available for taking notes?
_____	Is the system up and running?

Important! After each test case, collect test data, screen prints, reports, notes, etc and label it with the test case number. Fill out the pass/fall status at the end of the case. If multiple people are running the script, initial the individual test cases. Put all test case documentation in a folder for each run of the script.

If a bug is found as you are testing, and reviewer agrees, use feedback form to describe. Reference the tracking number on the test case page.

1. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

2. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

3. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass___ Conditional Pass based on_____ Fail___

4. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass___ Conditional Pass based on_____ Fail___

5. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

6. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

7. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass___ Conditional Pass based on_____ Fail___

8. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

9.   TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass____ Conditional Pass based on_____ Fail____

10. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass___ Conditional Pass based on_____ Fail___

11. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass___ Conditional Pass based on_____ Fail___

12. TEST CASE

INSTRUCTIONS	EXPECTED RESULTS	ACTUAL RESULTS
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
9.	9.	9.
10.	10.	10.
11.	11.	11.
12.	12.	12.
13.	13.	13.
14.	14.	14.
15.	15.	15.

Tester: _____ Reviewer: _____ Pass___ Conditional Pass based on_____ Fail___

CHECKING RESULTS

Upon completion of the test, the following checks should be done.

     a. (Things to check 1). Pass___ Fail ___

     b. (Things to check 2). Pass ___ Fail___

STOP CHECKLIST

Tester:		Stop Date:		Stop Time:		
Were you able to complete the script?	Yes		No	Why?		
How did this module meet expected results?	Met or Exceeded All		Met All		Met Some	Missed Most
Final Procedures:						
_____	1. Make screen prints of all problems, circle and write case number on sheet.					
_____	2. For Report problems, circle problems and write case number on pages of letter or report.					
_____	3. Send a copy of this completed document and problems to SOS Test Coordinator					
_____	4. Label and Store all test results					

FINAL COMMENTS AND OBSERVATIONS

Research Plan for Survey of Small Retailers

Small-Retailer Consolidated Renewal Project

Office of Regulatory Streamlining

Patrick Allen, Manager
Laura Lesher, Project Manager

In Cooperation with the Department of Consumer and Business Services

Cory Streisinger, Director

Information Management Division

Dan Adelman, Administrator

Research & Analysis Section

Ronni Rachele, Manager
Derek Reinke, Research Analyst

Draft Plan for Survey of Small Retailers

Background

In February 2005, the Office of Regulatory Streamlining contacted the Research & Analysis Section (R&A) of the Information Management Division (IMD) to discuss a pilot project that consolidates license and fee renewals for small retailers. The pilot project was recently described to Department of Consumer and Business Services (DCBS) employees in a brief newsletter article. From *Employee Connections*, DCBS, February 2005:

> "The Office of Regulatory Streamlining is sponsoring a regulatory streamlining project in collaboration with the Department of Agriculture, Department of Environmental Quality, and the Oregon Liquor Control Commission. Called the Small Retailer Consolidated Renewal project, it will allow convenience-store participants to pay one license/permit renewal fee instead.
>
> Store-specific renewal application invoices, to be sent out by ODA in April, will save retailers time and hassle, precluding separate billing — in some cases multiple ones — from the three collaborating agencies. ODA will receive funds and transmit.
>
> More than 50 convenience-store owners in Multnomah County south of Burnside Street and throughout Coos, Curry, Douglas, Benton, Lane, Lincoln, and Linn counties have signed up to participate in the pilot project since December.
>
> Laura Lesher, project manager in the Office of Regulatory Streamlining, coordinated the pilot. Pat Allen, manager, has legislative bill language in the works to support more pilots and moving existing pilot projects beyond pilot phase. The primary goal of the language will be to allow agencies the flexibility to conduct, learn from, and expand projects aimed at lessening the regulatory burden on businesses.
>
> One of the primary goals of Governor Kulongoski's term has been streamlining regulations for businesses as part of an economic revitalization effort. His goal is to accomplish this without compromising protections for consumers, workers, the environment, and public safety."

The Office of Regulatory Streamlining (here-in called the Office) expressed to R&A an interest in gathering information from retailers initially contacted about the pilot program – those who agreed to participate in the pilot program and those who chose not to participate. The intent of the effort is to gather feedback to better understand why such a large number of retailers chose not to take part in the program and – for those who did choose to participate – determine if the program met expectations, how it could be improved in the future, and if it is a worthwhile effort overall.

Research Plan

After consulting with the Office, R&A has developed the following draft research plan. The Office committed to meet the majority of the survey's staffing needs by drawing on resources at the three agencies involved and other contacts. IMD will consult and offer limited support, mostly during the initial development phase and later during the analysis phase.

Sample – The sample will be comprised of the full group of retailers invited to participate in the pilot program. This sample contains two distinct groups: the 55 participating retailers and the approximately 120 who decided not to participate. R&A anticipates a much higher response rate from the participating retailers.

Survey Instrument – A draft of the two survey instruments (one for each sample group) are included as Attachment A. The questions were developed and refined in consultation with the Office and based on direction from the project's steering committee. For obvious reasons, different questions have been directed to the two distinct groups of retailers included in the sample. The surveys were developed to gather a mix of qualitative and quantitative data.

Survey Procedures – The current plan is for various state employees to call small retailers in the sample and deliver the survey over the phone. Thus, the draft surveys include scripted language that directs the callers to ask questions the same way and code responses in a consistent manner. Interviews should take no longer than 5 minutes, unless the respondent wants to discuss a number of issues. Interviewers should take detailed notes and key in responses shortly after each call to preserve the intent of the respondent's comments. IMD will develop a data entry interface using the Internet Survey Tool so that responses can be stored in a central location via the web, no matter where the interviewer/data-enterer works.

Costs – R&A has developed a cost estimate for its services on the project. The estimate is included as Attachment B. Because the Office offered to gather staff resources for phone calls and data entry, R&A costs are minimal (just over $5,000). If the Office further offers to carry the bulk of the qualitative data analysis and summative report writing, the actual costs would be considerably reduced (to under $2,500). Please note that this is a rough estimate and may not reflect ultimate costs. The scope of this project appears to be narrowly defined, but several variables that will effect the actual amount of required R&A support are difficult to predict.

Timeline – The survey effort will be carried out in two logical phases. First, the retailers who chose not to participate will be contacted during the month of March. Nearly two months have past already since these retailers were contacted about the program. Whatever thoughts or impressions that they had about the pilot are likely fading already. Therefore, it is important to begin this phase in short order.

The second phase will include contact with the participating convenience stores. This phase will begin in late April or early May and may include a smaller number of callers. (The consolidated renewal forms are not scheduled to be mailed out until April 1st and responses are not considered late until June 10th.) Ideally, participants should have returned their renewal within the previous two weeks when they are surveyed. The timing is essential for capturing the impression of this

group before too much time has elapsed. Thus, rather than planning the second phase of survey calls for a particular two- or three-week period – R&A recommends setting up a mechanism that alerts staff to call each small retailer a week to ten days after their renewal paperwork is received.

Small-Retailer Consolidated Renewal Pilot Program Survey
Non-Participant Telephone Contact Dialogue

Business Name: _____

Owner/Manager's Name:_____

Date and time of call:_____

Caller's name: _____

"Hello, my name is:_____ and I'm calling today on behalf of Oregon's Office of Regulatory Streamlining. I need to speak with the owner or manager please." *(Be sure you are speaking with the person who would be responsible for dealing with regulatory issues.) (Repeat introduction if necessary, then continue)*…**The primary mission of the Office is to find ways to make complying with regulations simpler, faster, and cheaper for businesses. Do you have 3 or 4 minutes to speak with me about business regulations?"**

> If 'No' or 'Not a good time': **"Is there a better time for me to call?"**

>> If 'Yes', call back at: _____

>> If 'No' or 'Not interested': **"Thanks anyway…Goodbye."**

> If 'Yes', begin the survey…

1)   I specifically want to ask you about a regulatory consolidation effort aimed at small-retailers like yourself. The Consolidated Renewal pilot project allowed convenience store participants to pay one fee, and submit one form, replacing three separate billings. Do you remember receiving a letter around the first of the year that invited you to participate in this program?

>] Yes   ] No

> If 'No' please skip to question #4 on the next page.

2)   Do you recall why you chose not to participate in the program? *(Don't read the following choices – let the retailer respond – then mark as many of the codes that apply.)*
] Do not recall
] Lack of information about the pilot
] Lack of time to consider the option
] No cost savings were presented
] Seemed like a 4th thing to comply with instead of a consolidation of 3 processes
] Familiarity/comfort with the standard process
] Prefer to wait until all the 'kinks' are worked out
] Did not want to change accounting process/bill payment schedule
] Other, please specify:

3)   What would have made participating in the pilot program more attractive to you?

4)   Have you heard about this pilot program from any other source?   ] Yes   ] No

    If 'Yes', **"What was the source?"**_____

5)   For the next question, please rate the ease of complying with business regulations, in general, from 1 to 10 with 1 being very difficult - and 10 being very smooth and easy.

Very Difficult   Very Smooth/Easy
              1   2   3   4   5   6   7   8   9   10

6)   What has been your largest source of frustration in complying with regulations?(If necessary, ask a follow-up question that leads the respondent away from comments on fees.)

7)   What efforts do you think could be made to reduce the burden of regulatory compliance on small-retailers like yourself? (If necessary, ask a follow-up question that leads the respondent away from comments that focus narrowly on doing away with regulations and/or reducing fees.)

"Thanks for your time today…Goodbye."

Small-Retailer Consolidated Renewal Pilot Program Survey
Pilot Participant Telephone Contact Dialogue

Business Name: _____

Owner/Manager's Name:_____

Date and time of call:_____

Caller's name: _____

"Hello, my name is:_____ and I'm calling today on behalf of Oregon's Office of Regulatory Streamlining. I need to speak with the owner or manager please." *(Be sure you are speaking with the person who would be responsible for dealing with regulatory issues.) (Repeat introduction if necessary)…* **"Do you have a few minutes to speak with me about the consolidated renewal pilot program in which you've just participated?"**

> If 'No' or 'Not a good time': **"Is there a better time for me to call?"**

> If 'Yes', call back at: _____

> If 'No' or 'Not interested': **"We'd really like to hear from those who've been a part of this pilot program and it will only take a few minutes of your time."**

> If still 'No': **"Thanks anyway…Goodbye."**

> If 'Yes', begin the survey:

1) **What made you decide to participate in the pilot program?**

2) **Was the program what you expected?**] Yes] No
   Why or why not?

3) **Do you feel this effort to consolidate renewals was worthwhile?**] Yes] No

4) **Did the consolidation of renewals make it more simple for you to comply with regulations?**] Yes] No

5)   Please rate the clarity of the invitation letter from 1 to 10 with 1 being very confusing - and 10 being very clear.

Very Confusing   Very Clear

               1   2   3   4   5   6   7   8   9   10

If you rated the letter confusing, please explain:

6)   Please rate the clarity of the consolidated renewal form from 1 to 10 with 1 being very confusing - and 10 being very clear.

Very Confusing   Very Clear

               1   2   3   4   5   6   7   8   9   10

If you rated the form confusing, please explain:

7)   Did you hear about this pilot program from any other source besides the invitation letter?   ] Yes   ] No

     If yes, what was the source:_____

8)   Do you have any other comments about the consolidated renewal pilot?

9)   Would you like to see additional efforts to consolidate and streamline regulations?

                                             ] Yes   ] No   ] Unsure

10) What specific efforts do you think could be made to reduce the burden of regulatory compliance on small-retailers like yourself? (If necessary, ask a follow-up question that leads the respondent away from comments that focus narrowly on doing away with regulations and/or reducing fees.)

11) Please rate the ease of complying with business regulations, in general, from 1 to 10 with 1 being very difficult - and 10 being very smooth and easy.

Very Difficult   Very Smooth/Easy
           1   2   3   4   5   6   7   8   9   10

12) What has been your largest source of frustration in complying with regulations?(If necessary, ask a follow-up question that leads the respondent away from comments on fees.)

13) Do you have any other comments, in general, about dealing with regulations?

"Thanks for your time today…Goodbye."

Research Plan for Survey of Small Retailers

Small-Retailer Consolidated Renewal Project

Office of Regulatory Streamlining

Patrick Allen, Manager
Laura Lesher, Project Manager

In Cooperation with the Department of Consumer and Business Services

Cory Streisinger, Director

Information Management Division

Dan Adelman, Administrator

Research & Analysis Section

Ronni Rachele, Manager
Derek Reinke, Research Analyst

Draft Plan for Survey of Small Retailers

Background

In February 2005, the Office of Regulatory Streamlining contacted the Research & Analysis Section (R&A) of the Information Management Division (IMD) to discuss a pilot project that consolidates license and fee renewals for small retailers. The pilot project was recently described to Department of Consumer and Business Services (DCBS) employees in a brief newsletter article. From *Employee Connections*, DCBS, February 2005:

> "The Office of Regulatory Streamlining is sponsoring a regulatory streamlining project in collaboration with the Department of Agriculture, Department of Environmental Quality, and the Oregon Liquor Control Commission. Called the Small Retailer Consolidated Renewal project, it will allow convenience-store participants to pay one license/permit renewal fee instead.
>
> Store-specific renewal application invoices, to be sent out by ODA in April, will save retailers time and hassle, precluding separate billing — in some cases multiple ones — from the three collaborating agencies. ODA will receive funds and transmit.
>
> More than 50 convenience-store owners in Multnomah County south of Burnside Street and throughout Coos, Curry, Douglas, Benton, Lane, Lincoln, and Linn counties have signed up to participate in the pilot project since December.
>
> Laura Lesher, project manager in the Office of Regulatory Streamlining, coordinated the pilot. Pat Allen, manager, has legislative bill language in the works to support more pilots and moving existing pilot projects beyond pilot phase. The primary goal of the language will be to allow agencies the flexibility to conduct, learn from, and expand projects aimed at lessening the regulatory burden on businesses.
>
> One of the primary goals of Governor Kulongoski's term has been streamlining regulations for businesses as part of an economic revitalization effort. His goal is to accomplish this without compromising protections for consumers, workers, the environment, and public safety."

The Office of Regulatory Streamlining (here-in called the Office) expressed to R&A an interest in gathering information from retailers initially contacted about the pilot program – those who agreed to participate in the pilot program and those who chose not to participate. The intent of the effort is to gather feedback to better understand why such a large number of retailers chose not to take part in the program and – for those who did choose to participate – determine if the program met expectations, how it could be improved in the future, and if it is a worthwhile effort overall.

Research Plan

After consulting with the Office, R&A has developed the following draft research plan. The Office committed to meet the majority of the survey's staffing needs by drawing on resources at the three agencies involved and other contacts. IMD will consult and offer limited support, mostly during the initial development phase and later during the analysis phase.

Sample – The sample will be comprised of the full group of retailers invited to participate in the pilot program. This sample contains two distinct groups: the 55 participating retailers and the approximately 120 who decided not to participate. R&A anticipates a much higher response rate from the participating retailers.

Survey Instrument – A draft of the two survey instruments (one for each sample group) are included as Attachment A. The questions were developed and refined in consultation with the Office and based on direction from the project's steering committee. For obvious reasons, different questions have been directed to the two distinct groups of retailers included in the sample. The surveys were developed to gather a mix of qualitative and quantitative data.

Survey Procedures – The current plan is for various state employees to call small retailers in the sample and deliver the survey over the phone. Thus, the draft surveys include scripted language that directs the callers to ask questions the same way and code responses in a consistent manner. Interviews should take no longer than 5 minutes, unless the respondent wants to discuss a number of issues. Interviewers should take detailed notes and key in responses shortly after each call to preserve the intent of the respondent's comments. IMD will develop a data entry interface using the Internet Survey Tool so that responses can be stored in a central location via the web, no matter where the interviewer/data-enterer works.

Costs – R&A has developed a cost estimate for its services on the project. The estimate is included as Attachment B. Because the Office offered to gather staff resources for phone calls and data entry, R&A costs are minimal (just over $5,000). If the Office further offers to carry the bulk of the qualitative data analysis and summative report writing, the actual costs would be considerably reduced (to under $2,500). Please note that this is a rough estimate and may not reflect ultimate costs. The scope of this project appears to be narrowly defined, but several variables that will effect the actual amount of required R&A support are difficult to predict.

Timeline – The survey effort will be carried out in two logical phases. First, the retailers who chose not to participate will be contacted during the month of March. Nearly two months have past already since these retailers were contacted about the program. Whatever thoughts or impressions that they had about the pilot are likely fading already. Therefore, it is important to begin this phase in short order.

The second phase will include contact with the participating convenience stores. This phase will begin in late April or early May and may include a smaller number of callers. (The consolidated renewal forms are not scheduled to be mailed out until April 1st and responses are not considered late until June 10th.) Ideally, participants should have returned their renewal within the previous two weeks when they are surveyed. The timing is essential for capturing the impression of this

group before too much time has elapsed. Thus, rather than planning the second phase of survey calls for a particular two- or three-week period – R&A recommends setting up a mechanism that alerts staff to call each small retailer a week to ten days after their renewal paperwork is received.

Small-Retailer Consolidated Renewal Pilot Program Survey
Non-Participant Telephone Contact Dialogue

Business Name: _____

Owner/Manager's Name:_____

Date and time of call:_____

Caller's name: _____

"Hello, my name is:_____ and I'm calling today on behalf of Oregon's Office of Regulatory Streamlining. I need to speak with the owner or manager please." *(Be sure you are speaking with the person who would be responsible for dealing with regulatory issues.) (Repeat introduction if necessary, then continue)…***The primary mission of the Office is to find ways to make complying with regulations simpler, faster, and cheaper for businesses. Do you have 3 or 4 minutes to speak with me about business regulations?"**

> If 'No' or 'Not a good time': **"Is there a better time for me to call?"**

>> If 'Yes', call back at: _____

>> If 'No' or 'Not interested': **"Thanks anyway…Goodbye."**

> If 'Yes', begin the survey…

1) I specifically want to ask you about a regulatory consolidation effort aimed at small-retailers like yourself. The Consolidated Renewal pilot project allowed convenience store participants to pay one fee, and submit one form, replacing three separate billings. Do you remember receiving a letter around the first of the year that invited you to participate in this program?

>] Yes   ] No

> If 'No' please skip to question #4 on the next page.

2) Do you recall why you chose not to participate in the program? *(Don't read the following choices – let the retailer respond – then mark as many of the codes that apply.)*
] Do not recall
] Lack of information about the pilot
] Lack of time to consider the option
] No cost savings were presented
] Seemed like a 4th thing to comply with instead of a consolidation of 3 processes
] Familiarity/comfort with the standard process
] Prefer to wait until all the 'kinks' are worked out
] Did not want to change accounting process/bill payment schedule
] Other, please specify:

3)   What would have made participating in the pilot program more attractive to you?

4)   Have you heard about this pilot program from any other source?   ] Yes   ] No

       If 'Yes', **"What was the source?"**_____

5)   For the next question, please rate the ease of complying with business regulations, in general, from 1 to 10 with 1 being very difficult - and 10 being very smooth and easy.

Very Difficult   Very Smooth/Easy
             1   2   3   4   5   6   7   8   9   10

6)   What has been your largest source of frustration in complying with regulations?(If necessary, ask a follow-up question that leads the respondent away from comments on fees.)

7)   What efforts do you think could be made to reduce the burden of regulatory compliance on small-retailers like yourself? (If necessary, ask a follow-up question that leads the respondent away from comments that focus narrowly on doing away with regulations and/or reducing fees.)

"Thanks for your time today…Goodbye."

Small-Retailer Consolidated Renewal Pilot Program Survey
Pilot Participant Telephone Contact Dialogue

Business Name: _____

Owner/Manager's Name:_____

Date and time of call:_____

Caller's name: _____

"Hello, my name is:_____ and I'm calling today on behalf of Oregon's Office of Regulatory Streamlining. I need to speak with the owner or manager please." *(Be sure you are speaking with the person who would be responsible for dealing with regulatory issues.) (Repeat introduction if necessary)…* **"Do you have a few minutes to speak with me about the consolidated renewal pilot program in which you've just participated?"**

If 'No' or 'Not a good time': **"Is there a better time for me to call?"**

If 'Yes', call back at: _____

If 'No' or 'Not interested': **"We'd really like to hear from those who've been a part of this pilot program and it will only take a few minutes of your time."**

If still 'No': **"Thanks anyway…Goodbye."**

If 'Yes', begin the survey:

1) **What made you decide to participate in the pilot program?**

2) **Was the program what you expected?**] Yes   ] No
   Why or why not?

3) **Do you feel this effort to consolidate renewals was worthwhile?**] Yes   ] No

4) **Did the consolidation of renewals make it more simple for you to comply with regulations?**] Yes   ] No

5)   Please rate the clarity of the invitation letter from 1 to 10 with 1 being very confusing - and 10 being very clear.

Very Confusing   Very Clear

           1   2   3   4   5   6   7   8   9   10

If you rated the letter confusing, please explain:

6)   Please rate the clarity of the consolidated renewal form from 1 to 10 with 1 being very confusing - and 10 being very clear.

Very Confusing   Very Clear

           1   2   3   4   5   6   7   8   9   10

If you rated the form confusing, please explain:

7)   Did you hear about this pilot program from any other source besides the invitation letter?   ] Yes   ] No

      If yes, what was the source:_____

8)   Do you have any other comments about the consolidated renewal pilot?

9)   Would you like to see additional efforts to consolidate and streamline regulations?

                                                     ] Yes   ] No   ] Unsure

10)   What specific efforts do you think could be made to reduce the burden of regulatory compliance on small-retailers like yourself? (If necessary, ask a follow-up question that leads the respondent away from comments that focus narrowly on doing away with regulations and/or reducing fees.)

11) Please rate the ease of complying with business regulations, in general, from 1 to 10 with 1 being very difficult - and 10 being very smooth and easy.

Very Difficult   Very Smooth/Easy

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |

12) What has been your largest source of frustration in complying with regulations?(If necessary, ask a follow-up question that leads the respondent away from comments on fees.)

13) Do you have any other comments, in general, about dealing with regulations?

"Thanks for your time today…Goodbye."