Enforcement Assessment 2000

Released February 22, 2000

KEY ISSUE: Compliance is the goal. Enforcement is one of many tools to achieve compliance

RECOMMENDATION 1: Create a set of Departmental Guiding Principles on Enforcement by April 1, 2000

RECOMMENDATION 2: Develop Meaningful Measures of DENR’s Enforcement Efforts by May 1, 2000
STEP Team Charter
Launched February 23, 2000

Chartered to create an enforcement framework to implement the recommendations of the enforcement assessment and to integrate enforcement with other compliance tools

Coached through the School for Managing and Leading Change (Peter Block)

Built on the original initiatives by Secretary McDevitt

Developed under leadership of Secretary Holman
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Principles of Enforcement

Released March 31, 2000

1. Enforcement will be balanced with education, technical assistance, and incentives to achieve compliance and encourage stewardship.

2. DENR will support the development and use of alternative tools to traditional enforcement that achieve compliance and encourage going beyond compliance.

3. DENR will foster partnerships internally and externally to realize shared responsibilities in environmental stewardship.
Compliance Report

First Released Nov 14, 2001

New Administration | New Initiatives

Implemented under leadership of Secretary Ross

Baseline Year 2000 (reports through 2008).

Create common standards across all regulatory programs (Metrics Team)

Recognized enforcement was one aspect – later reports included metrics for compliance assistance, education, and performance incentives
Compliance Report (cont.)

Background

1. STEP Team produced an implementation plan

2. DENR support for alternative tools to traditional enforcement that achieve compliance and encourage going beyond compliance.

3. DENR partnerships to realize shared responsibilities in environmental stewardship.

Nearly four years ago, the Department of Environment and Natural Resources (DENR) began looking at how we ensure compliance with North Carolina environmental regulations. In the Division of Water Quality (DWQ), a new enforcement policy took effect July 1, 1998, resulting in a measurable improvement in compliance rates. As fines increased in the NPDES program, the compliance rate rose from a threshold barrier of 80% in 1998 to 88.4% in 2000 [see Figure 4, page 12].

Early in 1999, DENR decided to build on the success in DWQ to strengthen enforcement in DENR’s other regulatory agencies. Senior management initiated a department-wide enforcement assessment designed to better understand DENR’s strengths and weaknesses and identify opportunities for improvement.

The enforcement assessment was completed and released to the public on February 22, 2000 and called for DENR to create a set of departmental enforcement principles, develop meaningful performance measures, and improve public access to enforcement information.

On February 23, 2000, DENR chartered a team to develop a framework from which enforcement programs could implement the major recommendations. The team brought together DENR staff from various program perspectives within the department, all experienced practitioners in enforcement and compliance assistance. The team became known as the STEP Team, an acronym for Stewardship Through Enforcement Principles.

The STEP Team produced an implementation plan that provides a schedule to act on the major recommendations of the February 2000 assessment. The implementation plan also develops several stewardship strategies that will be implemented over the next several years.

Since the beginning of 2001, departmental enforcement received continuing support from the new administration. Bill Ross was named as secretary of DENR, and enforcement is strong among his priorities. In April of 2001, Secretary Ross directed staff to prepare this compliance report and establish calendar year 2000 as a baseline year to begin annual reporting.
Environmental Stewardship Initiative

April 2002

Formalized a program of recognition

Early Stewards set a high bar

Not based on regulatory incentives, but rather met two expectations of early adopters:
• Recognition
• Access (to the Secretary)

Program has achieved critical mass - 4 Governors, 5 Department Secretaries, 15 years