



# LOCAL PROJECT ALLOCATION PROCESS

A LEAN 6 SIGMA EFFORT

KACEY RUGGIERO  
NOVEMBER 14, 2019

# PROJECT TEAM

## ■ CHAMPIONS:

- Ray Zhang – Local Assistance
- Bruce De Terra - Programming
- Clark Paulsen - Budgets

## ■ EXECUTIVE SPONSORS:

- Steven Keck, Finance
- Dave Moore, Planning and Modal

## ■ TEAM MEMBERS:

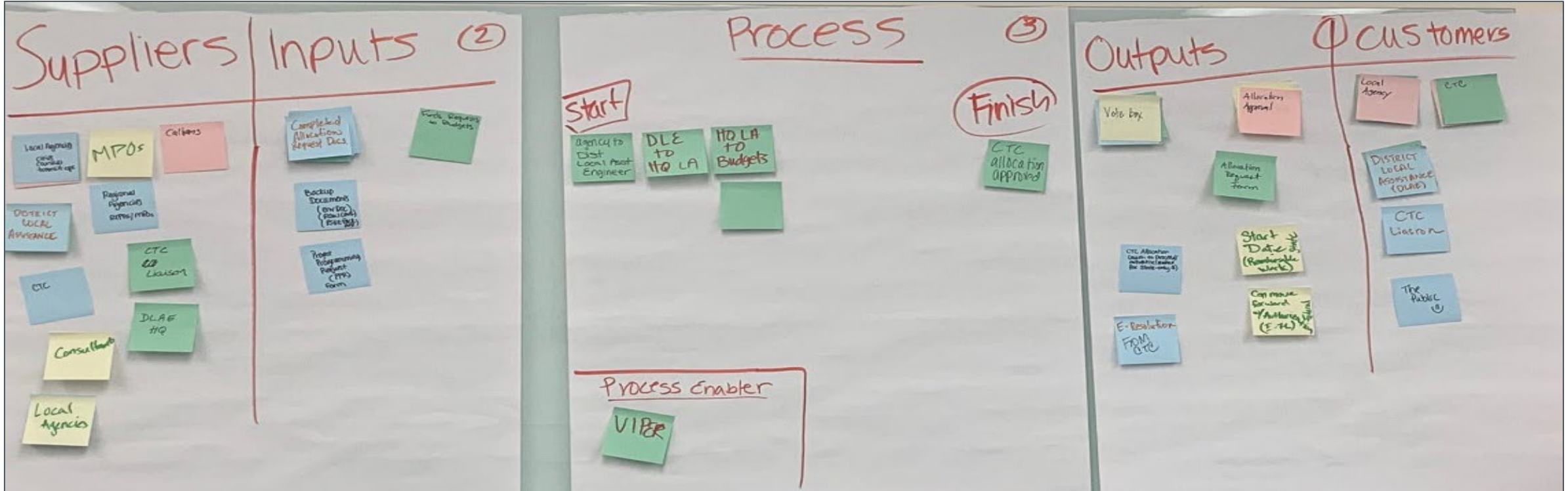
- Anja Aulenbacher – California Transportation Commission
- Bill Shuck – City of Sacramento
- Dawn Cheser – California Transportation Commission
- Jasmine Niroega – District 10 Local Assistance
- Kenneth Kao – Metropolitan Transportation Commission
- Kenni Fitzgerald – Programming, OCTCL
- Maura Twoney – Association of Monterey Bay Area Governments
- Nicole Jepsen – Budgets, COU
- Peter Anderson – HQ Local Assistance

# PROJECT CHARTER

**PROBLEM STATEMENT:** The average time to process an allocation request is 58 calendar days. This creates a delay to local agencies administering, advertising and awarding of locally administered projects.

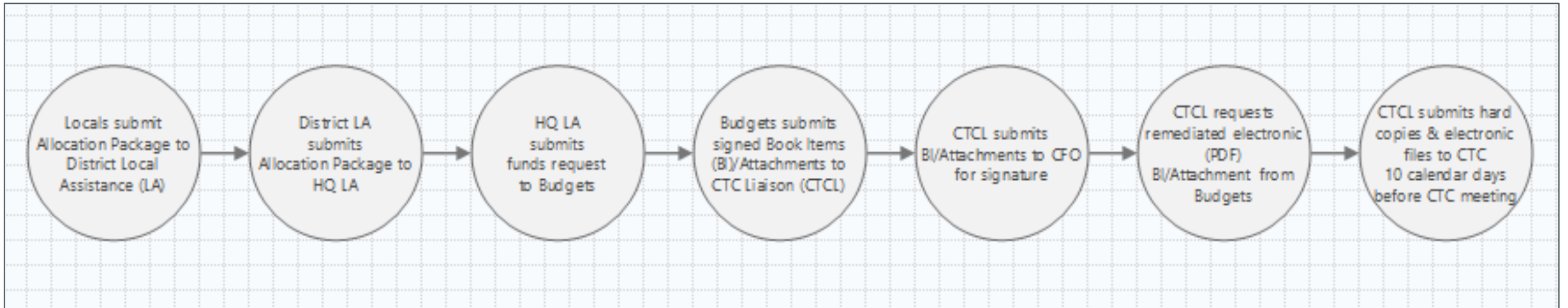
**OBJECTIVE:** To reduce processing time so that 95% of the requests are processed within XX days.

**PRIMARY METRIC:** Allocation request processing time by Caltrans (from receipt by Caltrans District Office to CTC allocation (vote) of funding).



## SIPOC ANALYSIS

- Identified Customers and Suppliers in the process
- Identified the Inputs involved in the process
- Identified the high-level process from start to finish



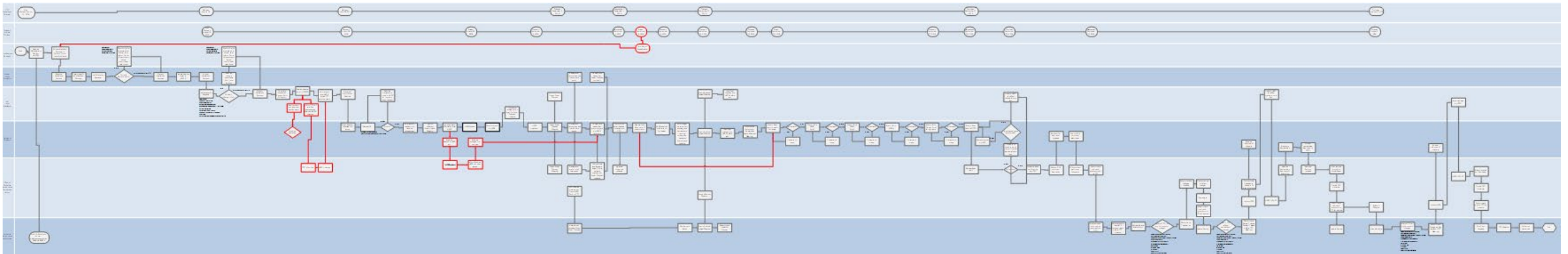
Please note: CTCL is a reference to Caltrans' Office of CTC Liaison and not the California Transportation Commission (CTC)

- Seven steps were initially identified in the high-level process

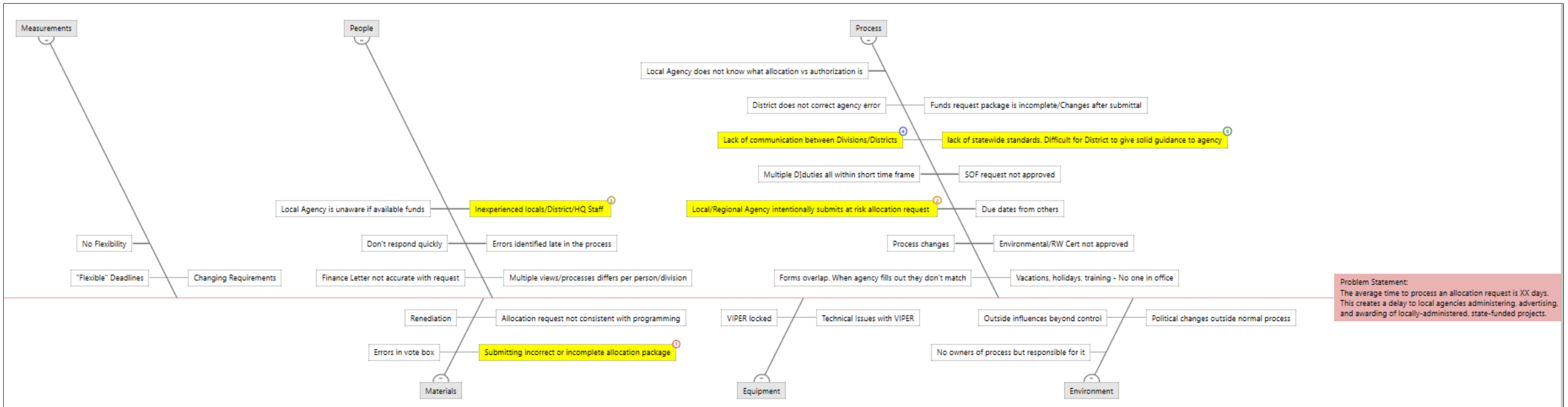
## HIGH-LEVEL PROCESS

# SWIM LANE

- The swim lane displays a complex process
- Noted above the process are two timelines:
  - Caltrans' Office of CTC Liaison Preparation Calendar
  - Budgets Internal Calendar



# FISHBONE DIAGRAM



- FIVE POTENTIAL ROOT CAUSES IDENTIFIED:
  - Incomplete allocation packages from local agencies
  - Intentional risk vote (intentional incomplete allocation package)
  - Lack of communication (Caltrans and local agencies)
  - New staff/high turnover (Caltrans and local agencies)
  - Lack of procedures/processes statewide (Caltrans and local agencies)

## BASELINE CAPABILITY

- 58 calendar days
  - Start: Local submittal of allocation package to district
  - End: CTC Meeting

STEPS	DETAILED PROCESS	Calendar Days
1	District Local Assistance (DLA) processes Local agency's allocation package	7
2	HQ Local Assistance processes allocation package from DLA	7
3	Budgets processes funds request from HQ Local Assistance	7
4	Super Tuesday Meeting Occurs	1
5	Draft Agenda Items to OCTCL	1
6	HQ Local Assistance, OCTCL, Budgets finalizing vote boxes	14
7	Budgets submits Book Items and its attachments to OCTCL	2
8	CTCL submits Book Item and its attachments to CFO for signature	5
9	CTCL requests remediated electronics (Book item and Attachments) from Budgets	2
10	CTCL submits hard copies and electronics to CTC for posting 10 calendar days prior to CTC Meeting	2
11	CTC Meeting	10
	<b>TOTAL</b>	<b>58</b>

Please note: CTCL is a reference to Caltrans' Office of CTC Liaison and not the California Transportation Commission (CTC)



# MEASUREMENT ANALYSIS UTILIZED

- Caltrans' Office of CTC Liaison Preparation Schedule
- Caltrans' Division of Budgets Internal Preparation Schedule

## 2019 PREPARATION SCHEDULE CALIFORNIA TRANSPORTATION COMMISSION (CTC) MEETINGS AGENDA ITEM(S) DUE DATES

Prepared by:  
OFFICE OF CTC LIAISON  
DIVISION OF TRANSPORTATION PROGRAMMING  
CALIFORNIA DEPARTMENT OF TRANSPORTATION  
<http://www.dot.ca.gov/hq/transprog/ctcliaison.htm>

Updated:  
November 2018

2019 California Transportation Commission (CTC) Meeting Schedule	Local Agency Submits <b>Off System</b> Funds Requests, Program Amendments, and Time Extensions to Caltrans Districts	District Submits <b>Off System</b> and <b>On System</b> Requests to HQ Divisions	Supplement Funds Request & Signed Book Item from the Districts due to the Office of CTC Liaison	HQ Divisions Submit Final <b>Off System</b> and <b>On System</b> Requests to Budgets	Final Agenda Language Due From HQ Divisions to Office of CTC Liaison	Final Book Items Due from HQ Divisions to Office of CTC Liaison
Date and Location:	10:00 AM District & CTC	10:00 AM HQ Divisions/ Funds Request email	10:00 AM <a href="mailto:ctc.supplemental.fr@dot.ca.gov">ctc.supplemental.fr@dot.ca.gov</a>	5:00 PM Budgets	10:00 AM CTC Liaison	10:00 AM CTC Liaison
Jan 30 -31 - Sacramento Area	Mon, Dec 3, '18	Mon, Dec 10, '18	Thu, Dec 6, '18	Mon, Dec 17, '18	Fri, Dec 21, '18	Thu, Jan 3, '19
March 13-14 - Los Angeles	Mon, Jan 14, '19	Fri, Jan 18, '19	Wed, Jan 16, '19	Mon, Jan 28, '19	Wed, Feb 6, '19	Thu, Feb 14, '19
May 15-16 - San Diego	Mon, Mar 18, '19	Mon, Mar 25, '19	Thu, Mar 21, '19	Fri, Mar 29, '19	Wed, Apr 10, '19	Thu, Apr 18, '19
June 26-27 - Sacramento Area	Mon, Apr 29, '19	Mon, May 6, '19	Thu, May 2, '19	Mon, May 13, '19	Wed, May 22, '19	Thu, May 30, '19
August 14-15 - San Francisco	Mon, Jun 17, '19	Mon, Jun 24, '19	Thu, Jun 20, '19	Mon, Jul 1, '19	Wed, Jul 10, '19	Thu, Jul 18, '19
October 9-10 - Central Valley	Mon, Aug 12, '19	Mon, Aug 19, '19	Thu, Aug 15, '19	Mon, Aug 26, '19	Wed, Sep 4, '19	Thu, Sep 12, '19
December 4-5 - Riverside	Mon, Oct 7, '19	Mon, Oct 14, '19	Thu, Oct 10, '19	Mon, Oct 21, '19	Wed, Oct 30, '19	Thu, Nov 7, '19

\* No Scheduled Meetings in: February, April, July, September and November

Conflict - MLK

Conflict - MLK

Moved - Cesar Chavez

Moved - Christmas

## Internal August 15-16, 2018 Due Dates

JUNE						
S	M	T	W	T	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30

JULY						
S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

AUGUST						
S	M	T	W	T	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

Holidays July 4, 2018

Meeting August 15-16, 2018 San Francisco

Budgets Key Code	
Level	Contact
Budget Analyst	Ok to Add
SSMIII	Athena Gliddon
Division Chief (Acting)	Ron Sheppard
Preparation Schedule	Hard Dates

### Monday

June 25, 2018 - Districts submits Funds Request to HQ Divisions and Programs.

### Monday

July 2, 2018 - HQ Divisions (Local Assistance, Mass Transit, Rail, etc.) and Programs submit Funds Requests to Budgets. *Verify phase is setup correctly in AMS.*

### Tuesday

July 3, 2018 - Last Day to submit New Fund Requests via e-mail confirmation to Budgets' Staff

### Monday

July 9, 2018 - **VIPER LOCKED**. COU will group projects within VIPER by 12:00 p.m. STIP Analyst compiles Super Tuesday Vote List to be e-mailed out by COB to CTC Liaison, Programming, and Programs for review.

### Tuesday

July 10, 2018 - **VIPER UNLOCKED**. Super Tuesday Meetings. Budget CTC Coordinator compiles Agenda Language to Supervisor by 2:00p.m.

### Wednesday

July 11, 2018 - Budget CTC Coordinator e-mails Agenda Language to CTC Liaison for review by 10:00 a.m.

### Friday

July 13, 2018 - Draft Book Items are due on Budgets Server by COB.

### Monday

July 16, 2018 - Budget CTC Coordinator compiles Draft Vote List to SSM 1 for review by 1:00 p.m.

### Tuesday

July 17, 2018 - Agenda Review Meeting at 2:00 p.m. Programs are to submit final changes in VIPER by COB today.

### Wednesday

July 25, 2018 - **VIPER LOCKED**. Final Book Items, Vote Boxes, and Pink Slips with tape due to Budget CTC Coordinator by 10:00 a.m. Final Book Items, Vote Boxes, and Pink Slips with tape due to Budgets Supervisor for review by COB.

### Friday

July 27, 2018 - Manager's review of Final Book Items and to Ron by 3:00 p.m. (Final Documents).

### Monday

July 30, 2018 - Final Documents with signed Pink Slips delivered to CTC Liaison by 10:00 a.m. CTC Liaison has up to 2 days to edit Book Items.

### Tuesday

July 31, 2018 - Budget CTC Coordinator distributes edits from CTC Liaison to Peers. COU will save vote boxes on server by reference number. Budget CTC Coordinator emails Electronic Book Items and Vote Boxes to CTC Liaison upon request.

### Thursday

August 9, 2018 - Briefing Meeting at 2:00 p.m. Ron's Binder with CTC Meeting Materials and RTPA meeting information.

# BASELINE CAPABILITY

## Locally Administered Off-System (20.30) CTC Allocations - Fiscal Year 18-19

vs.

## CTC Allocations Fiscal Year 18-19

20.30 CTC Allocations Fiscal Year 2018-19								
District	August	October	December	January	March	May	June	Total
01	4	4	0	5	1	3	11	28
02	5	5	2	1	5	4	1	23
03	5	4	3	6	0	2	20	40
04	7	3	4	6	3	2	5	30
05	4	0	1	0	4	5	12	26
06	1	5	2	2	2	10	8	30
07	2	0	3	1	4	7	12	29
08	3	2	2	0	4	2	3	16
09	9	2	0	0	1	2	2	16
10	3	4	1	3	3	2	6	22
11	5	2	2	2	1	5	3	20
12	3	4	3	0	2	2	8	22
<b>Total</b>	<b>51</b>	<b>35</b>	<b>23</b>	<b>26</b>	<b>30</b>	<b>46</b>	<b>91</b>	<b>302</b>

INCLUDES: ATP, LPP, SCCP, STIP, TCEP  
ALLOCATIONS ONLY

District	August	October	December	January	March	May	June	Total
01	8	7	1	6	5	4	14	45
02	7	12	7	3	7	5	5	46
03	10	8	11	14	5	8	28	84
04	35	22	15	11	8	9	16	116
05	16	19	7	3	7	9	18	79
06	7	12	6	3	3	13	16	60
07	25	16	8	2	11	12	34	108
08	27	8	7	6	7	6	11	72
09	3	2	1	2	2	2	2	14
10	10	8	1	5	14	4	13	55
11	11	10	5	3	6	8	4	47
12	6	7	5	3	2	6	14	43
50	0	0	0	1	1	0	0	2
75	3	1	2	0	1	0	0	7
VAR	4	4	0	0	0	0	0	8
<b>TOTAL</b>	<b>172</b>	<b>136</b>	<b>76</b>	<b>62</b>	<b>79</b>	<b>86</b>	<b>175</b>	<b>786</b>

INCLUDES: ATP, LPP, SCCP, SHOPP, STIP, TCEP, TIRCP

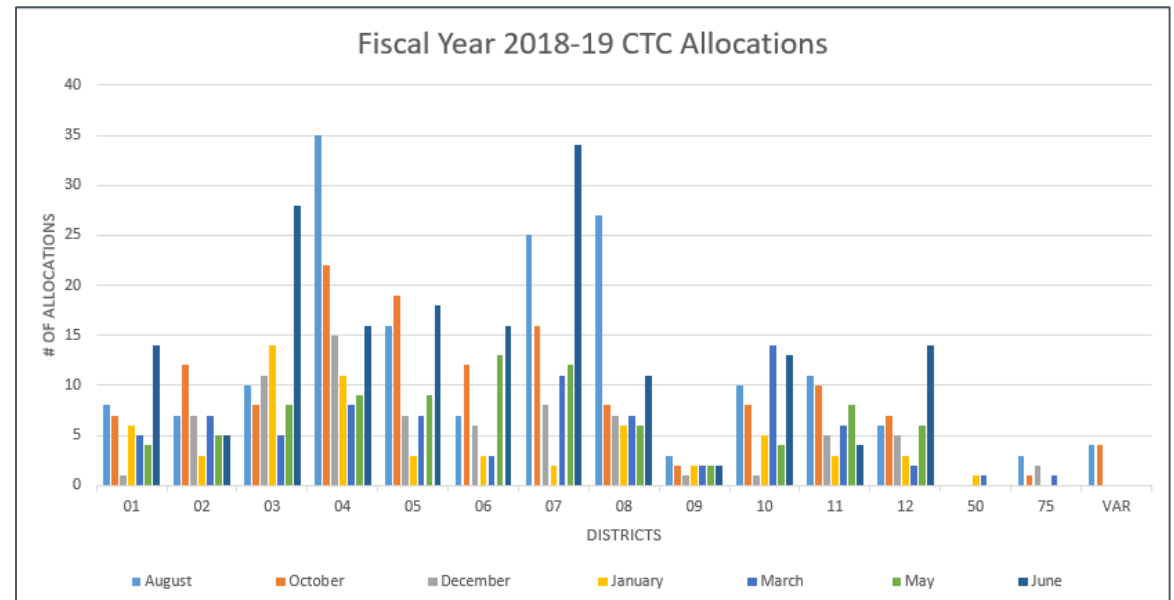
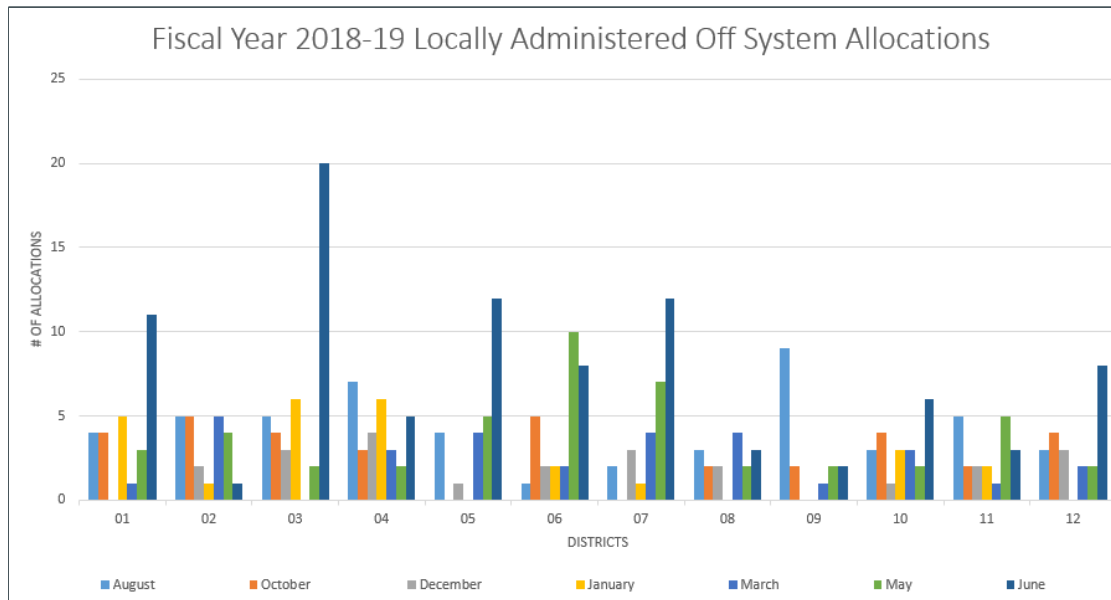
EXCLUDES RW LUMP SUM, MINOR LUMP SUM, EMERGENCY .130, SAFETY .010  
ALLOCATIONS ONLY

# BASELINE CAPABILITY

## Locally Administered Off-System (20.30) CTC Allocations - Fiscal Year 18-19

vs.

## CTC Allocations Fiscal Year 18-19



INCLUDES: ATP, LPP, SCCP, STIP, TCEP  
ALLOCATIONS ONLY

INCLUDES: ATP, LPP, SCCP, SHOPP, STIP, TCEP, TIRCP  
EXCLUDES RW LUMPSUM, MINOR LUMPSUM, EMERGENCY .130, SAFETY .010  
ALLOCATIONS ONLY

1

### Districts 1-12 & HQ LA 2018-19 Allocation Package History

Measuring incomplete  
allocation packages:

- Submitted vs.Allocated
- Risk Vote
- Late submittal of required documents

2

### Districts 1-12 Web Survey

Measure communication  
between districts and local  
agencies from Caltrans'  
perspective.

3

### Local Agencies Web Survey

Measure communication  
between districts and local  
agencies from local  
agencies perspective.

4

### December Meeting (Budgets & Caltrans' Office CTC Liaison )

Measure the review  
process and how many  
incomplete (programming  
and financial) items at  
various points within the  
timeline.

## MEASUREMENT ANALYSIS

Caltrans' Lean 6 Sigma Team is conducting an anonymous survey to better understand the Department's role in assisting local and regional agencies with the submittal of allocation packages. This effort is strictly for locally administered off system projects. Your response will benefit improvement efforts to better meet Caltrans and local agency needs. While participation is voluntary, we encourage you to provide your honest feedback in support of Caltrans' commitment to measuring and improving the allocation process for Caltrans and local and regional agencies.

Email

optional

Begin

# “CALTRANS’ ALLOCATION PROCESS” LOCAL AGENCY SURVEY

Distributed: November 1, 2019

Due: November 15, 2019

1

Review and analyze collected data:

- Surveys
- DLAE & DLA 2018-19 data
- Budgets & Caltrans' Office of CTC Liaison' prep. data for December CTC Meeting

2

Identify value added and non-value added steps

3

Review and analyze current documents and processes

4

Recommend Solutions

## NEXT STEPS

# Caltrans Lean 6-Sigma



THANK YOU!

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