

CTFP Payment Process Review Recommendations

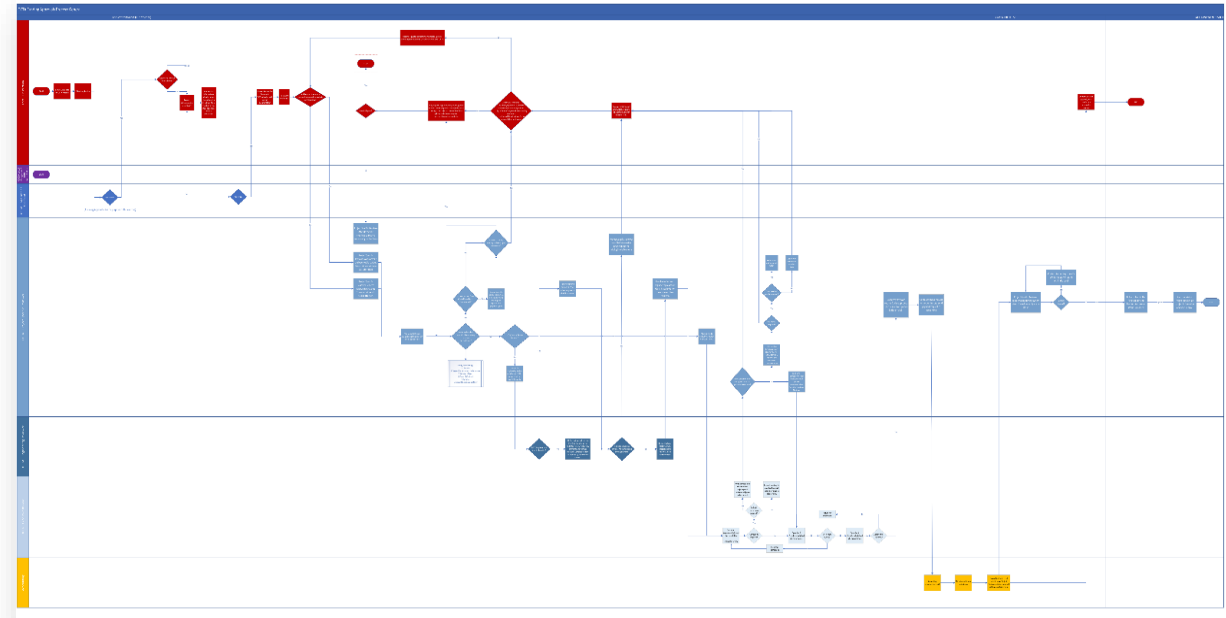
Cumming Group

Problem Statement and Action

- High volume of reimbursement requests to review
- Extended review times that span well beyond the ideal turnaround time
- Inefficiencies in the Review Process
- Cumming Group:
 - Document the currently occurring processes
 - Create observations around the existing state of request cycles.
 - Identify areas of improvement
 - Provide recommendations to streamline
 - Future – Help Implement

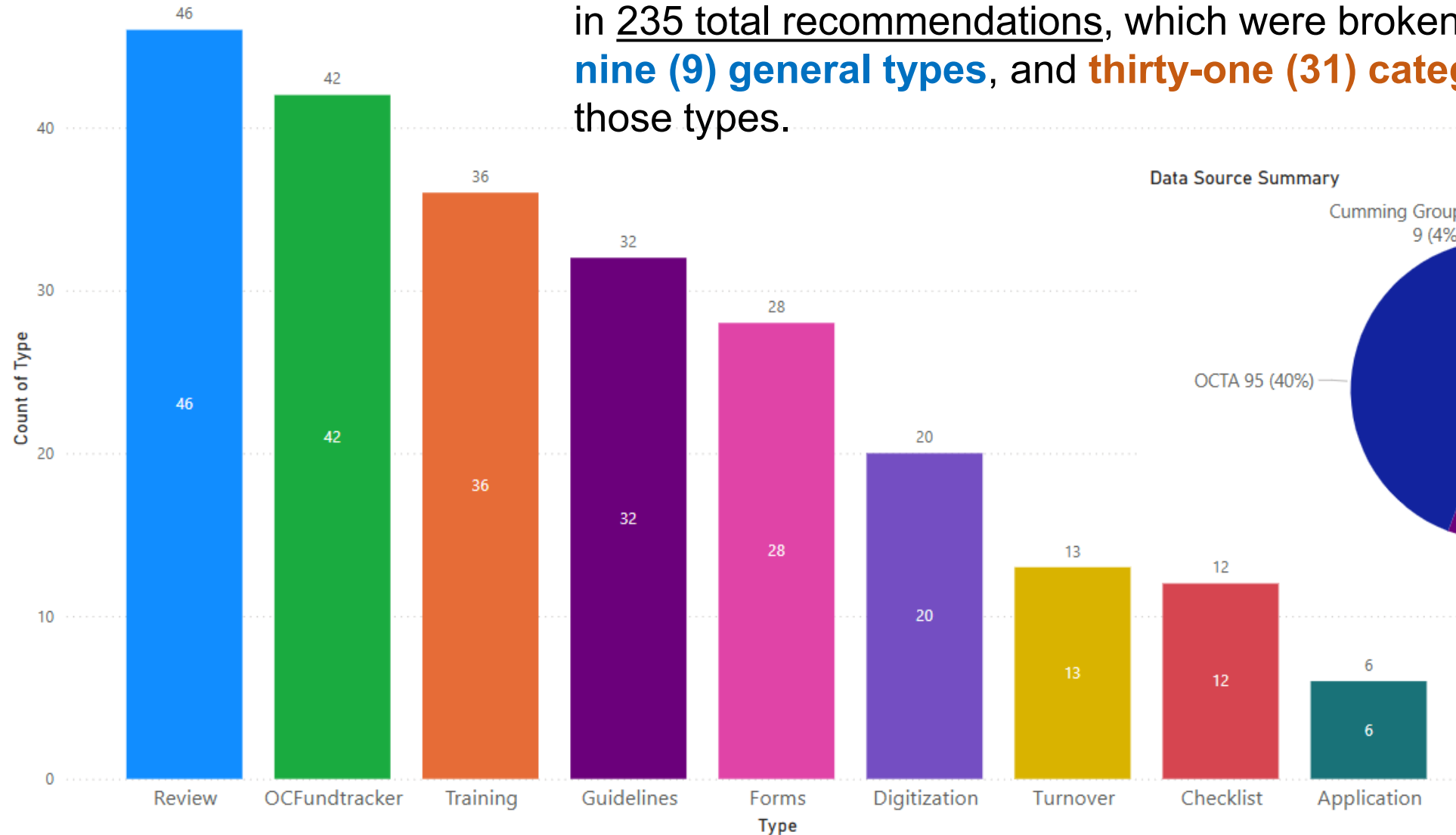
Approach

- Review Materials
- Survey – TAC Members and Project Managers
- Interviews
- Data Analysis
- Process Map
- On-Site Visit For Packet Review
- Correspondence Review
- Synthesis of Findings & Insight



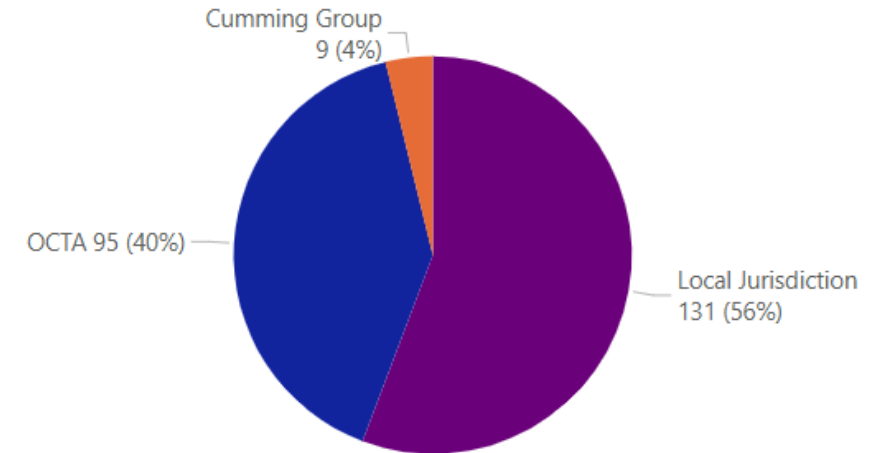
Data

Types Summary



The data synthesized from the survey and interviews resulted in 235 total recommendations, which were broken down into **nine (9) general types**, and **thirty-one (31) categories** within those types.

Data Source Summary





Process Diagram

- Stakeholder Relationships

- **Communicate** – who needs to be kept in the loop
- **Approve** – who had final decision authority
- **Responsible** – who will complete the work
- **Support** – who provides help or resources

- Current Process

- Local jurisdictions responsible to communicate opening a reimbursement request.
- OCTA bears majority of communication responsibility after local jurisdictions open a request.

Current Process

Current Process (CARS* Matrix) Final Payment Only

	City	OCTA	Accounting	Auditors
1. Open reimbursement request	R	S & C	n/a	C
2. Initial submission	S	S & R	n/a	C
3. Engineering requirements	S	S & R	n/a	C
4. Approve overall submission	C	A & R	C	C
5. Approve funds for payment	C	A & C	R	C

This matrix only covers the reimbursement process from time of submission to payment issuance. It does not cover subsequent steps in the process after funds are disbursed for payment.

Communicate

Who needs to be kept in the loop.

Approve

Who has final decision authority.

Responsible

Who will complete the work.

Support

Who provides help or resources.

**CARS flips the script a bit by focusing on who's in charge of communication, which is especially helpful in project plans that require multiple layers of approval and clear communication channels. CARS is often used in industries that require heavy compliance or formal approval processes, where miscommunication can cause serious delays.*

Optimal Process

Optimal Process (CARS* Matrix) Final Payment Only

This matrix only covers the reimbursement process from time of submission to payment issuance. It does not cover subsequent steps in the process after funds are disbursed for payment.

	City	OCTA	Accounting	Auditors
1. Open reimbursement request	R	S & C	n/a	C
2. Initial submission	R & C*	S & A*	n/a	C
3. Engineering requirements	R & C*	S & A*	n/a	C
4. Approve overall submission	C	A & R	C	C
5. Approve funds for payment	C	A & C	R	C

Communicate

Who needs to be kept in the loop.

Approve

Who has final decision authority.

Responsible

Who will complete the work.

Support

Who provides help or resources.

**CARS flips the script a bit by focusing on who's in charge of communication, which is especially helpful in project plans that require multiple layers of approval and clear communication channels. CARS is often used in industries that require heavy compliance or formal approval processes, where miscommunication can cause serious delays.*

Recommendations

General Observation 1: Conflicting Submission Date Definition

- Define a submission date and include this definition in training materials and discuss this in the semi-annual review meeting.

General Observation 2: Audit Awareness

- Share the goal of the auditing process with local jurisdictions to incentivize working together and foster mutual understanding around documentation requirements.

Recommendations

Type: Checklist

- Identifying submission stakeholders
- Require checklist review (**working on providing more information in checklists**)
- Checklist - QA/QC and specificity

Type: Digitization

- Examples of quality submissions (**working on this now**)
- Digital review (**working on this now**)
- Historical database
- Optimize MS 365
- Hardware/software provisions
- Centralized data
- Data Visibility and Accessibility
- Digital engineering review (**working on this now**)

Recommendations Continued

Type: Forms

- Forms QA/QC, standardization & consolidation
- Form linkages
- OCFundtracker – forms, performance, reliability, validation & capability
- Existing or new software question

Type: OCFundtracker

- OCFundtracker notifications
- Document standards

Type: Guidelines

- Guidelines accessibility **(already addressed)**
- Guidelines & requirements specific updates

Recommendations Continued

Type: Review

- Process and communication alignment
- Ineligibility review process (**working on this now**)
- Progress payments
- Review sequencing
- Prioritization

Type: Training

- Digital training delivery (**working on this now**)
- Training (multiple)
- Handover and onboarding standardization

Type: Staffing and Turnover

- Personnel visibility
- Distribution list updates
- Staffing (**working on this now**)

Next Steps

- Review recommendations to determine actions required and estimated timing for each
- Discuss implementation with Cumming Group
- Work on building up staffing levels to address recommendations
- Report back to the TAC on progress at April TAC meeting