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**Scoring Criteria 2: Samples (3) of Policies, Procedures and Practices Prepared for a Client Providing Guidance Regarding the Strategic Planning, Funds Management, Acquisition and Administration of Federal Transportation Grant Funding**

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Packet A Appendix attachment Policies/Procedures/Practices developed by Leslie Rifkin, Spectrum Design:

**A3: Options for Ongoing Grant Program Management & Administration (2011), California High-Speed Rail Authority**

# eed Rail Authority



## Options for Ongoing Grant Program Management & Administration

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Seattle, WA  
June 2011

**California High-Speed Rail Authority  
Options for Ongoing Grant Program Management &  
Administration )**

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# California High-Speed Rail Authority Options for Ongoing Grant Program Management & Administration )

## A. Executive Summary

The California High-Speed Rail Authority (the Authority) is the State entity charged with planning, designing, building, and operating a new High Speed Rail system envisioned to stretch initially from Anaheim/Los Angeles through the Central Valley to San Francisco, and later to Sacramento and San Diego. The Authority has existed largely as a planning organization, staffed by a small number of highly dedicated state employees, supported by an equally committed team of consultants. Over the past year, the Authority has executed grant agreements with the Federal Railroad Administration (FRA) for \$2.5 billion for Phase 1 preliminary engineering and environmental review for seven sections of its rail system from San Francisco to Anaheim, as well as construction of an initial construction section from Fresno (Madera County-south of Merced) to North Bakersfield. The Authority has been awarded an additional \$1 billion in federal aid to extend construction of its initial construction section further north and south. This will bring the total federal aid for the Authority to over \$3.5 billion making the Authority one of the largest recipients of federal transportation funding in the nation (see Appendix A). Given this influx of federal aid, the Authority is now transitioning to an implementation agency responsible for what will be one of the most significant public works infrastructure projects in state history.

Managing federal funding well is both an art and a science. With federal aid comes the necessity for careful administration - interpreting, communicating and implementing federal rules, requirements and reporting across the organization in order to safeguard the federal investment and maintain the agency's eligibility to receive federal funding. Equally important is the strategic management of the federal grant program - working creatively within the constraints of the federal funding agency (in this case the FRA) to maximize the use and flexibility of existing funding in the best interest of the agency while developing ongoing sources of grant funding for the program. With the complexity of federal funding requirements and the particular skill sets required to strategically manage federal funding, the majority of public transportation agencies throughout the country have dedicated grant program staff with many years of specialized experience in grant program management. Staffing commonly includes a Grant Program Manager who plots the strategic direction of the federal funding program in concert with the agency's management team, as well as a Grant Administrator who is typically responsible for implementing the day-to-day administrative requirements of the funding. These staff serve as the primary points of contact with federal grantors on most issues, while also ensuring agency-wide integration of federal requirements within their respective agencies.

### ***Near-term Grant Program Challenges***

The Authority faces a number of near term challenges related to its federal program:

1. \$Communications protocols and coordination with and between numerous Authority, Consulting, State agency staff and FRA staff have not yet been formalized. With the recent departure of the Chief Deputy Director, a new administrative liaison with the FRA needs to be established.
2. \$The Authority's grant agreements define FRA requirements that impact numerous program areas. Agency-wide integration of those requirements will necessitate planning, monitoring, interpretation and communication to impacted staff. Federal requirements are constantly being updated and refined. In the area of Civil Rights for instance, USDOT funding has

broad Civil Rights requirements. FRA has most recently asked the Authority what its plan is for administering Civil Rights requirements of the ARRA grant and has requested a Title VI Program with an economically and socially disadvantaged contracting plan. The FRA has also attached a 30-day civil rights deliverable as part of a newly executed agreement between the Authority and FRA for a Positive Train Controls grant.

3. \$FRA-approved grant scope, budget and schedules for its current grants (and all future agreements) are living documents that must be revised periodically through a continuous, iterative process with the FRA to ensure they fully reflect the evolving aspects or phases of the project. The Authority needs to strategically manage these documents to reflect the changing circumstances and needs of the project. This will require thoughtful analysis, ongoing staff and FRA coordination and negotiation. The administration of the Authority's currently approved Grant Budget requires input and ongoing coordination among the Authority's accounting and contract staff, local agencies, State Dept of General Services (DGS), consultant Project Management Team (PMT) and consultant Grant Program Manager (GPM).

Issues affecting the upcoming FRA budget amendment due July 30 include: State Department of Finance (DOF) desire to recover ARRA-related administrative costs through the State-wide Cost Allocation Plan (SWCAP) under the Authority's ARRA grant; Authority go-no go decision to bill direct labor and PMT labor for grant administration to the grant.

4. \$The current ARRA Grant includes projects that will be implemented by local agencies who have also pledged local and in-kind match to the Authority's federal funding (Station Area Planning, Los Angeles Union Station-LAUS). While these funding agreements with local agencies do not represent a classic sub-recipient situation they will significantly extend the reach of the federal program beyond the Authority's doors. The Authority will need to ensure it has the resources to sufficiently monitor local agencies for technical performance and administrative/financial compliance with the Federal regulations and terms of the grant agreement the Authority is subject to.
5. \$The Authority has recently executed a grant agreement with FRA for \$16 million to fund a Positive Train Controls (PTC) project on behalf of CALTRAIN. It is estimated that the administration of that PTC grant agreement alone will cost the Authority, State and Consultants @\$100k/year. The Authority needs mechanisms to recoup these expenditures from this agreement.
6. \$The Authority must continually evaluate and respond to new requests from agencies to apply for grants on their behalf and/or include local projects in the Authority's own grant applications. The Authority must weigh the ongoing costs and risks of administering funding on behalf of others as it evaluates requests for support.
7. \$There are currently only seven third party agreements being invoiced to the FRA ARRA grant. It is anticipated that number will swell to over 330 agreements in the next fiscal year. In order to process invoices to the grant in a timely manner, the administrative burden to Authority, DGS and PMT staff (not to mention FRA staff) will grow exponentially. As an example, Authority staff currently estimate total labor hours of @10 hrs/agreement each month to process an FRA invoice. Authority, DGS and PMT staff need to plan for this influx of new work and determine how the existing FRA invoicing process might be streamlined.
8. \$The Authority has \$1 billion in unobligated ARRA and 2010 grant funding that will need to be incorporated into one or more grant agreements through negotiations with the FRA before September 30, the end of the federal fiscal year. The Authority will want to carefully develop and negotiate these agreements and supporting scope, schedule, and budget to maximize

their flexibility to implement the project in a timely and efficient manner while minimizing the long term administrative burden that multiple, complex grants may bring.

9. The Authority will need to develop additional grant applications for HSR funding as Notices of Funding Availability (NOFA) for 2012 HSR rail program (or other turned back funding) are issued. The 2011 NOFA for HSR required a full time staff effort over a 4-week period to coordinate the development of 3 applications for submittal. Numerous other Authority and PMT staff supported this effort with a considerable allocation of resources.
10. The Authority is dependent on a single-source of federal funding (high-speed rail), with all the political and financial risk that entails. Many recipients of federal funds work rapidly to expand their federal portfolio to help mitigate those risks over time. USDOT and other federal agencies regularly issue NOFAs that may provide additional sources of revenue for the Authority. New funding opportunities need to be tracked, analyzed and pursued, where appropriate. Opportunities for strategic partnerships with other public or private agencies pursuing funding for complementary projects also exist and should be evaluated.

### ***Organization and Staffing***

Despite rapid growth in the Authority's federal program and the demands thereof, there has not been a concurrent growth in staffing due to a State budget crises and hiring freeze. Existing staff has multiple, competing responsibilities that are continuously expanding due to expansion of the work program. On a daily basis, staff is forced to choose between any number of mission critical tasks which require immediate action. This staffing situation shows little sign of improvement in the upcoming fiscal year.

Under these circumstances, the Authority does not have dedicated, full time grant program staff. Nor does it have a grant program management plan in place to guide its federal program. Compounding the staffing shortfall and with few exceptions, permanent and consulting staff as well as other State resources supporting the grant program have limited to no experience in administering USDOT and FRA funding programs and requirements. Staff must bootstrap their way through these federal requirements, addressing the most critical pieces of the grant program as they arise, with limited time for coordination or planning. Consequently, the Authority has been forced to manage the grant program and its administrative requirements in a reactive rather than a deliberate manner.

Communications between the Authority and various FRA liaisons also tends to proceed on an ad-hoc basis as a number of individuals are consulting with or representing the Authority to the FRA with little time for internal vetting of issues, coordination and communication. Communications protocols and responsibilities with and between the Authority, Consulting teams, other State agencies and the FRA staff have not yet been established.

All of these organizational challenges can be very common for new recipients of federal funding as they attempt to staff up and concurrently adjust to here-to-fore unknown federal regulations and processes. Federal agencies understand this and tend to offer quite a bit of leeway to the grantee in the "honeymoon" phase of the grant program development. However, while fragmentation of grant administrative tasks, coordination issues and missteps are fairly common early on, they will clearly undermine the grant program in the long run. Unfortunately, many agencies only reach this conclusion when a major catastrophe occurs – the federal agency withholds funding due to lack of technical capacity, gross errors lead to well publicized federal findings that undermine the credibility of the public sector entrusted with federal funds, federal agencies will not allow the project to proceed to subsequent phases of project development, federal oversight reviews reveal glaring holes in the grant program that the agency must then scramble to remedy, and ultimately federal agencies mandate the hiring of dedicated grants

staff. The Authority has the opportunity to address critical issues in the management and substance of its grant program now before such events may occur.

### ***Recommendation***

Given the constraints on existing staff, near term challenges and complexity of the federal program, it is recommended that the Authority immediately create a dedicated Grant Program Manager's staff position requiring expertise in both grant development and administration. The position would be a "working manager", blending strategic development, planning and managerial responsibilities usually held by a Program Manager with the day-to-day responsibilities of a typical Grant Administrator. This position should eventually be supplemented by and assume supervisory responsibility over a Grant Administrator, as the federal program expands.

The Grant Program Manager position should be established as the first line of administrative contact with FRA to properly address, coordinate and filter issues related to the administration of the Authority's grant funding, a responsibility currently dispersed among various Authority, consulting and Department of General Services staff. The position should also be vested by the Chief Executive Officer with the full authority necessary to ensure agency-wide coordination and integration of FRA requirements within the Authority's various departments. This position should provide coordination and support of existing staff who are tasked with responsibility for various pieces of the grant program while also taking on many of the day-to-day grant administrative tasks required of the federal funding that have here-to-fore been assigned to others. This position could be State-funded or it could be incorporated into existing and future FRA grant budgets as a Program Administration budget line item, reimbursable under the terms of the FRA agreement. Detailed roles and responsibilities for this position are described in Section C of this report. Actual job descriptions from other transit agencies for this type of position are included in Appendix D and E. Potential Job Classifications for this type of position within the State of California Civil Service Scale are described in Section C of this report and included in greater detail in Appendix F.

There are several employment mechanisms the Authority might consider in securing this position including the hiring of a full time, permanent staff, contracting with another public or private entity, or a combination of both. These options along with their pros and cons are described in Section D of this report.

## **B. Overview of Ongoing Federal Administrative Requirements**

The Authority has an executed agreement with FRA to fund Phase 1 preliminary engineering and environmental review of seven sections of its rail program from San Francisco to Anaheim. The agreement also includes construction funding for its initial construction section from south of Merced to North of Bakersfield. The Authority has also recently executed a grant agreement for \$16 million for Positive Train Controls with FRA on behalf of Caltrain. The Authority is in the process of negotiating an additional agreement with FRA for 2010 HSR funding it has been awarded over the past year. It is anticipated that by the end of 2011, the Authority will have 3-4 active grant agreements with FRA for over \$3.5 billion (federal) that will need to be carefully administered. (see Appendix A: Summary of Funding)

The Authority is responsible for administration of its FRA grants in compliance with its grant agreements and other incorporated documents, including federal statutes and regulations. Every federal grant agreement for funding establishes both programmatic administrative requirements for the funding – those requirements that are agency, program and/or funding specific – as well as defining those uniform governing regulations required of the grantee. In accepting federal funding through the execution of a grant or cooperative agreement, the grantee commits to maintaining the technical capacity to administer federal funds in accordance with all federal requirements – both programmatic and uniform. Federal agencies usually require clear lines of authority and responsibility for grant administration to maintain technical capacity.

### ***FRA Programmatic Requirements***

In the case of the Authority, the Federal Railroad Administration has identified a wide range of programmatic requirements for its High Speed Rail funding through Cooperative Agreement FR-HR-0009-10-01-00 and its amendment. This includes statutory and administrative requirements by specific program area:

- Legal
- Financial
- Technical
- Procurement, Contract Requirements and Flow Down
- Buy America
- Civil Rights
- EEO
- DBE
- ADA
- Drugs & Alcohol
- Environmental Protection
- Debarment & Suspension
- Labor Provisions
- Labor Protective Agreements
- Davis Bacon – Prevailing Wages
- Property, Equipment & Supplies Management
- Relocation & Land Acquisition
- Transfer, Withdrawal or Encumbrance of Project Property
- Reporting Requirement (ARRA and FRA)
- Accounting Records
- Request for Reimbursement
- Allowable Costs
- Record Retention
- Audit & Inspection



- Project Closeout

These requirements reach into every facet of the agency and its organizational structure, impacting a variety of individuals responsible for their implementation – both permanent staff and consultants. The specific programmatic requirements of the FRA grant funding referenced above are detailed in an administrative manual entitled **California High-Speed Train Program ARRA Grant** that was developing by the CAHSRA's consulting team and has been provided to key Authority and Parsons Brinckerhoff staff. This manual includes the original grant agreement and amendment (annotated), a listing of FRA administrative requirements that flow-down to contractors and sub-contractors as well as examples of various administrative reporting and grant drawdown information required by the FRA. Specific FRA administrative reporting requirements for the Authority are summarized in Appendix B and include:

ARRA Certifications & Reports:

- Sec. 1201 Maintenance of Effort Cert - one-time submittal due 30 days after enactment (3/09)
- Sec. 1607 Appropriate Use of Funds Cert - one-time submittal due 45 days after enactment (4/09)
- Sec. 1511 Responsible Investments Cert - one-time submittal required before FRA will reimburse for any costs
- Sec 1512c Report – Quarterly (jobs) submittal filed by the Authority through CAATS
- Sec 1201c Report – Annual (jobs) submittal due Feb 17 of each year

FRA Administrative Reports:

- Financial Status Report SF-425 – Quarterly submittal, due within 30 days of end of quarter
- Technical Progress Report – Quarterly submittal, due within 30 days of end of quarter
- Quarterly Grant Project Schedule Update - Summary and detailed schedules outlining milestones for deliverables – due 30 days after executing amendment (Jan 29) and updated quarterly
- Quarterly Grant Project Budget Update - Detailed Project Budget by task, subtask, fiscal yr, and performing entity – due 30 days after executing amendment (Jan 29) and updated quarterly

FRA Reimbursement:

- SF-270 Request for Reimbursement
- FRA Invoice Cover

***FRA Project-Level Deliverables***

The grant agreement also includes numerous **project-level deliverables** for the PE/NEPA/CEQA phase project development as well as construction Phase:

**Phase 1 PE/NEPA/CEQA**

Task 1: Environmental Review

- Revised Summary and Detailed Budget and Schedule for Phase 1
- Agency Coordination Plan
- Purpose and Need Statement
- Preliminary Alternatives Analysis Reports and, if necessary, Supplemental Alternatives Analysis Reports
- Project Definition/Description
- Administrative Drafts of the EIR/EISs for both the draft and final documents, including any required Section 4(f) Statement(s)

- Draft and Final EIR/EISs, including any required Section 4(f) Statement(s)
- NOD for the decisions it makes related to each Final EIR
- Draft ROD for each Final EIR
- Statewide agency agreements with environmental resource agencies as required to support the environmental permitting
- Required environmental permits

#### Task 2: Preliminary Engineering

- 15% design for each Section
- Approximately [30% design] for each Section
- Systemwide design standards
- CHSTP Design Manual
- O&M plans, including maintenance plans, and design criteria
- Rolling stock specifications.

#### Task 3: Other Related Work

- Station area plans
- ROW acquisition plans
- ROW acquisition documentation
- Ridership forecasts
- Construction contract documents ready for bid

#### ***Federal Uniform Governing Regulations***

The FRA grant agreement references specific governing regulations the Authority as a State Agency must adhere to, the primary regulations being:

- OMB Circular A-102 - Grants and Cooperative Agreements With State and Local Governments (10/07/1994) (further amended 08/29/1997)  
<http://www.whitehouse.gov/sites/default/files/omb/assets/omb/circulars/a102/a102.pdf>
- OMB Circular A-87 - Cost Principles for State, Local, and Indian Tribal Governments  
[http://www.whitehouse.gov/omb/circulars\\_a087\\_2004/](http://www.whitehouse.gov/omb/circulars_a087_2004/)

#### ***Chain of Administrative Responsibility***

There is currently no formal work plan in place with dedicated assignments specific to grant program administration or communications. Many federal agencies require such a detailed plan in order to ensure that the proper technical capacity exists to manage the federal funding. A number of individuals at CAHSRA, consultants and other State agencies share responsibility for implementing only the most critical pieces of the FRA grant program at this time. A detailed listing of staff managing pieces of the federal program, either formally or informally, is included in Appendix C: FRA Administrative Responsibilities.

#### General Grant Program Administration

- In February of 2011, the Authority contracted for a ¼ time grant program manager (GPM) with expertise in administering USDOT and FRA funding, to supplement and support existing staff on a variety of grant administrative tasks while the Authority evaluates options for long-term management of the program.

#### Scope, Schedule, Budget

- The FRA-approved grant budget and schedule is jointly managed by Authority, GPM and PMT staff and updated Quarterly.

- Scope of Work and project deliverables in the grant agreement are managed by various PMT staff in consultation with Authority staff.

#### Contracting/Procurement

- Contracting and procurements are being managed by Authority staff with considerable expertise in federal contracting. Legal assistance and support is provided through the Attorney General's office, PMT and GPM.

#### Reporting

- Quarterly FRA reporting (progress, budget, schedule) is managed by the GPM and PMT in consultation with Authority management and staff.
- Quarterly FRA financial reporting is jointly managed by Authority and DGS staff with support from GPM.
- Quarterly ARRA reporting is managed by Authority staff through the State of California's ARRA and Accountability Tool CAAT.

#### Accounting/Invoicing

- Grant accounting and monthly federal reimbursement invoicing is shared by Authority and DGS staff with support from the PMT and GPM.

#### Civil Rights

- Initial request for a Title VI program and small business contracting plan is being managed by the PMT and their subs.

#### Communications

- Communications between the FRA's administrative and technical staff and the Authority are handled by numerous individuals depending on issue - the Authority's CEO, Deputy CEO, Transportation Planner, Dept of General Services, Attorney General's office and various PMT, GPM and other consulting staff.

### **C. !Staffing for Successful Grant Program Management and Administration**

In order to ensure coordinated communications with the federal agency, compliance with federal requirements and continued eligibility to receive funds, most public agencies have dedicated grant program management staff consisting of Grant Program Manager, Grant Administrator and/or Grant Analysts/Specialists, depending on size of agency and amount and complexity of federal grant funding. In the State of Washington for example, public transit agencies and State agencies with \$100 million to over \$1 billion in federal transportation funding have allocated annual budgets to fund 2-4 full-time equivalent (fte) dedicated grants staff to manage and administer federal funding. Salaries in the public transit sector for these kinds of positions range from \$70k to over \$100k per year depending on responsibilities. In the State of California, Caltrans State Department of Transportation uses the Transportation Planner series class for grant program management. Caltrans Rail Division uses the Rail Transportation Associate and Manager I classes to manage FRA funding. Salaries vary depending on responsibilities.

<b>Cal State Personnel Board</b>			
<b>Class Code</b>	<b>Class/Title</b>	<b>Range From</b>	<b>To</b>
<b>Caltrans</b>			
4768	Transportation Planner	\$37,272	\$41,100
4724	Senior TP	\$66,912	\$80,724
4725	Supervising TP	\$81,348	\$89,688
<b>Caltrans Rail Division</b>			
3188	Rail Transportation Associate	\$56,676	\$68,916
3193	Rail Transportation Manager I	\$65,304	\$78,816
4800	Staff Svs Manager (CAHSRA)	\$60,948	\$73,524
<b>Washington State DOT</b>			
	Grant Program Manager	\$75,072	\$96,276

These positions serve as strategic resources to upper management as well as technical resources to other divisions and project managers regarding grant requirements. These staff act as the grant “choreographers” within the agency ensuring that those responsible for managing various programmatic requirements affected by grant funding – attorneys, contract personnel, human resources, project managers, accountants - are well informed and working in synch. Job descriptions for these positions are included in Appendix D and E.

It is recommended that the Authority immediately create a dedicated Grant Program Manager’s staff position requiring 5-8 years of experience in both grant development and administration. The position would be a “working manager”, blending strategic development, planning and managerial responsibilities usually held by a Program Manager with the day-to-day responsibilities of a typical Grant Administrator. This position should eventually be supplemented by and assume supervisory responsibility over a Grant Administrator, as the federal program expands. Initial responsibilities for such a position would include:

**Description - CAHSRA Grant Program Manager**

- Serve as front-line liaison to the FRA, other federal funding agencies and any local pass-through recipients on grant administrative issues.
- Identify and coordinate appropriate chains of communication between the Authority staff and FRA.
- Recommend appropriate chains of responsibility within the organization to implement/maintain various regulatory requirements.
- Establish and update quarterly and annual work plan for the Grant Program. Identify critical path to obligating all HSR funding awards as well as administering current awards. Provide monthly updates to management team on grant progress, issues and opportunities.
- Identify and develop new sources of national and state grant funding including identifying strategic partnerships for joint funding requests. Track sources of funding and coordinate internal analysis for go-no go pursuit of funding.
- Coordinate grant applications submitted under the CAHSRA banner, on behalf of other jurisdictions
- Strategically manage the obligation and execution of grant agreements for all awarded funding, including unobligated ARRA and 2010 funding. Identify needs for amendments to

existing grant agreements. Strategically develop and manage approved grant budgets, budget revisions and schedules.

- Develop and advocate positions and interpretation of federal rules and regulations that benefits the Authority and their projects in conjunction with the Attorney General's office.
- Advise the organization on maintaining the eligibility of various projects/project activities for federal funding.
- Develop and maintain grant administrative process and controls for the agency, advising the agency on grant requirements, regulations and opportunities.
- Serve as technical resource to other Authority, project partners and consulting staff impacted by grant requirements. Oversee interaction and sharing knowledge of grant program requirements across the organization, with partner agencies and the general public.
- Participate as team member in developing agreements for "pass-through" federal funds to other recipients (ex. Station Area Planning funding, LAUS funding, PTC grant).
- Identify, prepare and submit ongoing reports required by grantor agencies including monthly/quarterly/annual ARRA reporting, FRA progress reporting, budget and schedule updates.
- Develop and maintain reporting systems on grant activity, including grant monitoring by scope and line item.
- Oversee accurate, eligible and timely grant draw-downs and reimbursements with accounting staff and State Department of General Services.
- Coordinate federal oversight reviews as required.
- Support the development of the Authority's legislative agenda to increase federal funding.

## **D. Employment Models for Hiring**

There are several employment models in use by public agencies to secure the necessary resources to manage and administer grant-funding programs:

### **1. ! Hire Permanent FTEs**

Secure budget authority to hire permanent FTE staff. Most transportation agencies in Washington State, including Washington State DOT, Washington State Ferries, Sound Transit, Pierce Transit, Everett Transit, King County Metro, City of Seattle and Community Transit, have two or more permanent staff dedicated to Grant Program Management and Administration.

**Pros:** Dedicated staff is always available to address critical administrative needs. Permanent staff can be viewed more favorably by grantor agencies in assessing technical capacity to administer grant funds. Permanent staff can often garner more respect, and be perceived as having more authority than a consultant by other agency staff who must work closely with grant program staff in implementing the federal project.

**Cons:** For start-up organizations and organizations with budgetary restrictions, there may be significant lead time in securing necessary hiring authority for position.

### **2. ! Contracted Staff – Private Sector**

Where budget and/or hiring authority may restrict the hiring of permanent fte's for grant program management and administration, an agency may choose to issue an RFP for professional grant program management and administration services. Washington State Department of Transportation contracted for a full time Grant Program Manager for its ferry division through a

nation-wide RFP process, and used consulting staff exclusively to manage its very large and complex federal grant program for over seven years.

**Pros:** Can be a quicker way to bring resources on board with substantial expertise. Use and timing of consulting resources can be better managed to accommodate the peaks and valleys inherent in most grant program management. Use of the RFP or RFQ process to secure grant program resources can sometimes open up a broader national labor pool. Consultant contracts can often be built into the grant budget for Program Administration and billed 100% to the grant.

**Cons:** Use of consultants can often be perceived as being more expensive than permanent FTEs. Federal agencies like to see dedicated FTEs for grant program management when they assess agency's technical capacity to administer funds. Consultants can sometimes be perceived as "second class citizens" by the hiring agency staff, which can thwart their authority to successfully implement the federal program and work effectively with permanent staff.

### **3. Intergovernmental Agreement with Sister Agency for Administration**

Where budget and/or hiring authority may restrict the hiring of permanent fte's for grant program management and administration, an agency may choose to contract with a sister agency that has already developed the resources required to administer federal funding. In Washington State, Pierce County Ferries, King County Marine Division and numerous small transit agencies have chosen to contract with sister agencies for grant administration rather than staffing up independently. *The Authority currently relies on Dept. of General Services for some of its grant administrative services (quarterly financial reporting, requests for reimbursement).*

**Pros:** Can be more cost effective and allow an agency to bring on seasoned grants professionals quickly. Sister agencies usually have management systems in place to successfully administer funds. Existing policies and procedures of sister agencies have usually been fully vetted with federal and state auditors and have been accepted for the management of grant funding. Sister agencies usually have well-established relationships with grantor agencies.

**Cons:** Contracting agency has less control over its administrative processes. Contracting agency can some times become subservient to sister administrative agency. Sister agencies usually require a high % of grant funding as an administrative fee for these services. There can be strategic conflicts of interest where agencies may be competing for the same pots of federal funding. Prioritizing resources for grant competitions may be difficult.

### **4. Permanent Staff with Consulting Supplement**

Several agencies in Washington State use a combination of permanent and consulting staff for management and administration of grant funding, contracting for specialized grant program consulting expertise through an RFP or RFQ process. This includes Washington State Ferries, Sound Transit, Pierce Transit, City of Seattle and King County, in the Puget Sound region.

**Pros:** Can allow the agency to quickly bring on very specialized expertise to deal with specific "holes" in its staffing on a short term basis. Can reduce overall FTEs that must be dedicated to grant program management because it allows permanent staff to supplement with consultants during peaks in grant programs such as during annual and quarterly reporting cycles or during periods of intensive grant writing for new funding sources. Can allow for use of additional resources only when necessary (on-call consulting agreement). Resources are available on call for special projects and research as necessary.

**Cons:** Requires staff time to manage consulting contract. Most consultants will want a minimum time commitment from the client. May be difficult to secure consultants' time when needed if consultant has more than one client.

Summary of Executed and Pending Federal Grant Agreements								
Agreement Number	Amend	Source	Phase	Section	Fed Share	State Share	Local Share	Total
USDOT-Federal Railroad Administration: <a href="http://www.fra.dot.gov">http://www.fra.dot.gov</a> California High Speed Rail Authority: <a href="http://www.cahighspeedrail.ca.gov">http://www.cahighspeedrail.ca.gov</a> DUNS:011075376 IRS/Vendor No: 91-187937 FRA Grants Manager: Cherron Riddick (202) 493-6437, Cherron.riddick@dot.gov FRA Technical: Melissa Dumond (202) 493-6366, Melissa.dumond@dot.gov FRA Administrative Officer: Jennifer Capps (202) 493-0112, Jennifer.capps@dot.gov FRA Administrative Site: <a href="https://www.grantsolutions.gov/ct/display/mkt/Home">https://www.grantsolutions.gov/ct/display/mkt/Home</a>								
<b>PE/NEPA/CEQA</b>								
FR-HR-0009-10-01-00	0	2009 ARRA HSR	Phase 1: PE/NEPA/CEQA	7 Sections/520 miles: San Francisco - San Jose, San Jose-Merced Wye, Merced-Fresno, Fresno-Bakersfield, Bakersfield-Palmdale, Palmdale-Los Angeles, Los Angeles-Anaheim	\$194,000,000	\$194,000,000	\$0	\$388,000,000
FR-HR-0009-10-01-01	1	2009 ARRA HSR Ohio/Wis Redirected	Phase 1: PE/NEPA/CEQA	Station Area Planning (4 sections/7 station-areas)	\$5,500,000	\$0	\$5,500,000	\$11,000,000
				LAUS ROW Preservation	\$32,000,000	\$0	\$48,000,000	\$80,000,000
<b>Total ARRA: Phase 1 PE/NEPA/CEQA</b>					<b>\$231,500,000</b>	<b>\$194,000,000</b>	<b>\$53,500,000</b>	<b>\$479,000,000</b>
<b>Construction</b>								
FR-HR-0009-10-01-01	1	2009 ARRA HSR	FD/CN	Initial CN Section: Fresno-Bakersfield	\$1,656,000,000	\$1,656,000,000	\$0	\$3,312,000,000
FR-HR-0009-10-01-01	1	2009 ARRA HSR Ohio/Wis Redirected	FD/CN	Initial CN Section: Fresno-Bakersfield	\$578,676,231	\$574,676,231	\$6,000,000	\$1,159,352,462
<b>Grant not yet obligated</b>	tbd	2009 ARRA HSR Florida Redirected	FD/CN	Initial Section: TBD	\$86,380,000	\$21,595,000	\$0	\$107,975,000
<b>Subtotal ARRA: Initial Section CN</b>					<b>\$2,321,056,231</b>	<b>\$2,252,271,231</b>	<b>\$6,000,000</b>	<b>\$4,579,327,462</b>
<b>Grant not yet obligated</b>		2010 THUD Appropriation (SDP)	FD/CN	Initial CN Section: Madera County-Fresno	\$715,000,000	\$306,400,000	\$0	\$1,021,400,000
<b>Grant not yet obligated</b>		2010 THUD Florida Redirect (SDP)	FD/CN	Initial CN Section: TBD	\$213,620,000	\$53,405,000	\$0	\$267,025,000
<b>Subtotal 2010 SDP: Initial Section CN</b>					<b>\$928,620,000</b>	<b>\$359,805,000</b>	<b>\$0</b>	<b>\$1,288,425,000</b>
<b>Total Initial Section CN</b>					<b>\$3,249,676,231</b>	<b>\$2,612,076,231</b>	<b>\$6,000,000</b>	<b>\$5,867,752,462</b>
<b>Project Funding Secured</b>								
<b>Total Project Funding Awarded</b>					<b>\$3,481,176,231</b>	<b>\$2,806,076,231</b>	<b>\$59,500,000</b>	<b>\$6,346,752,462</b>
<b>Total Project Funding Obligated</b>					<b>\$2,466,176,231</b>	<b>\$2,424,676,231</b>	<b>\$59,500,000</b>	<b>\$4,950,352,462</b>
<b>Total Unobligated</b>					<b>\$1,015,000,000</b>	<b>\$381,400,000</b>	<b>\$0</b>	<b>\$1,396,400,000</b>
<b>Chronological Funding Summary by Source</b>								
					<b>Fed Share</b>	<b>State Share</b>	<b>Local Share</b>	<b>Total</b>
2009 ARRA HSR					\$1,850,000,000	\$1,850,000,000	\$0	\$3,700,000,000
2010 THUD Approp (SDP)					\$715,000,000	\$306,400,000	\$0	\$1,021,400,000
2009 ARRA HSR Ohio/Wis Redirected					\$616,176,231	\$574,676,231	\$59,500,000	\$1,250,352,462
2009 ARRA Florida Redirected					\$86,380,000	\$21,595,000	\$0	\$107,975,000
2010 THUD Florida Redirect (SDP)					\$213,620,000	\$53,405,000	\$0	\$267,025,000
<b>Total Project Funding</b>					<b>\$3,481,176,231</b>	<b>\$2,806,076,231</b>	<b>\$59,500,000</b>	<b>\$6,346,752,462</b>

# Appendix B: Schedule of Federal Reporting

Federal Administrative Certifications, Reporting and Drawdown Requirements									
USDOT-Federal Railroad Administration California High Speed Rail Authority DUNS:011075376	<a href="http://www.fra.dot.gov">http://www.fra.dot.gov</a> <a href="http://www.callighspeedrail.ca.gov">http://www.callighspeedrail.ca.gov</a>								
IRS/Vendor No: 91-187937									
FRA Grants Manager: Cherron Riddick (202) 493-6437, Cherron.riddick@dot.gov									
(2) FRA, Office of Railroad Policy and Development, 1200 New Jersey Ave SE, Mailstop 20, Washington, D.C. 20590, ATTN: Cherron Riddick									
FRA Technical: Melissa Dumond (202) 493-6366, Melissa.dumond@dot.gov									
FRA Administrative Officer: Jennifer Capps (202) 493-0112, Jennifer.capps@dot.gov, FRA, Office of Financial Management, 1200 New Jersey Ave SE, Mailstop 45, Washington, D.C. 20590, ATTN: Jennifer Capps									
FRA Administrative Site: <a href="https://www.grantsolutions.gov/cf/display/mkt/home">https://www.grantsolutions.gov/cf/display/mkt/home</a>									
ARRA Certifications	Reference/Section	Frequency	Last Due	Status	Next Due	Submitted By	Submit To		
Sec. 1201 Maintenance of Effort Cert	Amendment, Attachment 1B, Sec. 1a, pg.9	on-time	3/17/09	submitted	n/a	State	USDOT, Deputy Assistant Secretary for Policy, Joel Szabat, TigerTeam.Leads@dot.gov, via email and original in mail		
Sec. 1511 Responsible Investment	Amendment, Attachment 1B, Sec. 1b, pg.9	one-time	prior to 1st request for reimbursement	submitted 2/25	n/a	CAHSRA	USDOT, Deputy Assistant Secretary for Policy, Joel Szabat, TigerTeam.Leads@dot.gov, via email and original in mail		
Sec. 1607 Appropriate Use of Funds	Amendment, Attachment 1B, Sec. 1c, pg.10	one-time	3/31/09	submitted	n/a	State	USDOT, Deputy Assistant Secretary for Policy, Joel Szabat, TigerTeam.Leads@dot.gov, via email and original in mail		
Report/Submittal	Reference/Section	Frequency	Last Due	Status	Next Due	Submit To			
OMB-ARRA-1512c Jobs Accountability (1)	Amendment, Attachment 1B, Sec. 2b, pg.12	Quarterly, and as requested by the State (1)	4/20/11	submitted	5/20/2011 - monthly 7/12/11 - qtrly	CAHSRA	California ARRA and Accountability Tool (CAAT) on-line reporting tool (2)		
USDOT - ARRA - 1201c Periodic	Amendment, Attachment 1B, Sec. 2a, pg.11	Annual	2/17/11	submitted 2/17	2/17/12	CAHSRA	FRA Grants Manager via e-mail mail		
Federal Financial Report SF-425 Request for Reimbursement SF-270 (with invoice/back-up in FRA-approved format)	Original Agreement, Attachment 1, Section 10, pg. 4	Quarterly	4/30/11	submitted	7/30/11	DGS	1 copy ea. to FRA Grants Manager & Admin Officer via e-mail cherron.riddick@dot.gov, Jennifer.capps@dot.gov		
FRA Progress Report Interim Reports (3) (see tab SOW Phase 1)	Original Agreement, Attachment 1, Section 7, pg. 4 Original Agreement, Attachment 1, Section 9, pg. 4 Original Agreement, Attachment 1, Section 11, pg. 4	As needed Quarterly As needed	As needed 4/30/11	3 requests submitted submitted	As needed 7/30/11	DGS CAHSRA	Via email to 9-AMC-AMZ-FRA-Invoices@FAA.gov 1 copy to FRA Grants Manager via email: cherron.riddick@dot.gov 1 copy to FRA Grants Manager via email: cherron.riddick@dot.gov		
FRA Approved Project Budget (3)(4)	Original Agreement Attachment 2 Section 4 pg.13; Amendment, Attachment 3 SOW, Descrip. Of Work, pg.16 and pg. 27.	Quarterly	4/30/11	submitted	7/30/11	CAHSRA	1 copy to FRA Grants Manager Cherron Riddick, cc Melissa Dumond, cherron.riddick@dot.gov, melissa.dumond@dot.gov 1 copy to FRA Grants Manager Cherron Riddick, cc Melissa Dumond, cherron.riddick@dot.gov, melissa.dumond@dot.gov		
FRA Approved Project Schedule (3)	Amendment, Attachment 3 SOW, Project Schedule, pg.26.	Quarterly	4/30/11	submitted	7/30/11	CAHSRA	1 copy to FRA Grants Manager Cherron Riddick, cc Melissa Dumond, cherron.riddick@dot.gov, melissa.dumond@dot.gov		
Yellow shaded box denotes reports that PB assemblies for CAHSRA submittal									
(1) Feds require minimum quarterly reporting cycle, State of CA has periodically requested info at shorter intervals.									
(2) California is a centralized reporting state for ARRA. As such, all ARRA data will be collected and submitted through the California ARRA and Accountability Tool (CAAT). CAHSRA has been given access to CAAT.									
(3) Interim reports will be due as required, at intervals specified in Attachment 3 SOW PE/NE/PAY/CEQA.									
(4) Grantee must obtain prior written approval of FRA for any revisions to approved budget that equal or exceed 10% of any line item or pertain to a line item involving contingency or misc. costs. For revisions to approved project budget that are less than 10% or do not involve contingency or misc. costs, the grantee agrees to notify FRA of the revisions to the approved project budget. Any revisions to approved project budget must not affect total project costs or the respective cost-sharing responsibilities set forth in Attachment 1, Section									



FRA Administrative, Regulatory, Programmatic Tasks						Updated 6/28/11
FRA Staff						
Area	Org	Name	Title	Task	Work	Cell
Administrative	FRA	Cherron Riddick	Grants Manager	Qtrly Progress and Fin SF-425 Reports, Qtrly Budget, Schedule, Invoicing	2024936437	
Technical/Programmatic	FRA	Melissa Dumond	SW Regional Manager	Public Investment, Technical Environmental/Engineering, Contracting, procedural questions	2024936366	
Technical/Programmatic	FRA	David Valenstein	Division Chief	Public Investment, Technical, Engineering, Environmental	2024936368	
Technical/Programmatic	FRA	Chad Edison	Trans Industry Analyst	Lead Public Investment	2024931303	
Technical/Programmatic	Deloitte	Alene Tchourumoff	Manager	Assisting Chad on pub invest efforts		2026030539
Civil Rights	FRA	Calvin Gibson	Director Civil Rights	All Civil Rights, Title VI, SDBE	2024936010	
Civil Rights	FRA	Rosanne Goodwill	EEO Specialist		2024936012	
Passenger Safety/Regulatory	FRA	Robert Lauby	Deputy Associate Administrator for regulatory and legislative operations	Regulatory Approvals	202.493.6474	
Passenger Safety/Regulatory	Volpe Ctr	Fred Mottley		Regulatory Approvals, Safety	617.494316	
Authority/Consulting Staff						
Area	Org	Name	Title	Task	Work	Cell
Administrative	HSRA	Chris Ryan	Chief of Staff	Administrative Liaison w/FRA		9163849531
Administrative	HSRA	Rosemary Mejia	Staff Services Manager	Qtrly ARRA 1512 c, SWCAP, Qtrly Financial SF-425 Fin Report, Monthly Invoice, Budget		9163249645
Administrative	HSRA	Shanelle Hanohano	Staff Services Analyst	Monthly Invoice		9163240265
Administrative	DGS	Cynthia Couch	Account Manager	Qtrly SF-425 Fin Report, Monthly Invoice		916.376.5224
Administrative	Spectrum	Leslie Rifkin	Grants Admin	Grant Management & Admin Support: Grant apps & Agreement, Qtrly Progress/Fin Reporting, Budget-Schedule, Invoicing		2065517997
Administrative	PB	Richard Frankhuizen	Eng Support Mngr	Qtrly Progress, Budget	9163849519	9167184834
Administrative	PB	Greg Jones	Senior Scheduler	Schedule	9163849518	3605289894
Administrative	PB	Geoff Van de Merwe	Scheduler	Schedule	9163849526	9166714412
Legal	CADOJ	Amy Winn	Dep Attorney General	Overall Legal Coordination of Ags	(916) 322-1673	
Legal	CADOJ	Steve Greene	Dep Attorney General	Legal-Civil Rights Title VI complaint	(916) 324-5157	
Legal	CADOJ	Danae Aitchison	Dep Attorney General	Legal-Contracting Assistance	(916) 322-5522	
Legal	CADOJ	James Andrew	Dep Attorney General	Legal- Environmental; Grant Agreement Assistance	916.323.1722	
Contracting	HSRA	Vickie Janek	Staff Services Manager	Contracts-Coop Agreements	9163249339	
Contracting	HSRA	Liz Stone		Contracts-Coop Agreements		
Contracting	PB	Tedde Blunck	Commercial Manager	Contracts-Coop Agreements	9164312932	4044414170
Contracting	PB	Bryce Little	Asst. Procurement	Contracts-Coop Agreements	21327017816	2134220156
Civil Rights	VMA	Valerie Martinez	S. Cal Outreach Lead	SDBE Plan, Title VI	9094451001	9099173368
Civil Rights	Padilla Inc	Pat Padilla		SDBE Plan	7149731335	7142250116
Technical/Programmatic	PB	Ann Koby	Environmental PM	NEPA/CEQA	9163849533	5124262817
Technical/Programmatic	PB	Ken Jong	Engineering Manager	PE, Safety	4152434796	6199934908
Technical/Programmatic	PB	John Popoff	Deputy Dir - North	PE support through NEPA, Grant App Scoping	9163841469	4158193512
Technical/Programmatic	PB	Ed Mortlock		Technical Oversight Caltrain PTC Agreement		4152434780
Railroad Agreements	PB	Gill Mallery	Railroad Coordination	Railroad Agreements		5039159468
Planning	PB	Gregg Albright	Planning Manager	Station Area Planning Elements	9163220987	9167684933
Planning	PB	Sheila Dezarn	Vice President	Business Planning, Grants, Funding		2066614411

## **Appendix D: Sample Job Descriptions – Grant Program Manager**

### **Generic Description - Grant Program Manager**

Directs, manages, supervises and coordinates the operations and program of a Grants Division for the Agency; establishes Agency strategic policy to maximize competitive funding opportunities; researches, writes, develops and executes grant proposals for the Agency; represents the Agency in funding negotiations with external agencies; produces long-term forecasts of grant revenues and coordinates grant funding issues within the Agency's long-term financial plan; oversees development and implementation of applicable grant administrative controls required by grantor agencies; and has overall budgetary responsibility for the Grants Division.

- Assumes management responsibility for the program operations and services of the Agency; manages overall strategic direction of the grant funding program, grant administration, and regulatory oversight for all grants; ensures Agency-wide integration of grant program activities within each line of business and other Agency-wide departments.
- Manages and participates in the development and implementation of goals, objectives, policies, and priorities for the division; recommends and administers policies and procedures.
- Researches, writes and develops grant proposals for the Agency; represents the Agency in funding negotiations with external agencies; assists in the development and implementation of the Agency's Grant Agreements with federal and state agencies.
- Establishes Agency strategic policy to maximize competitive funding opportunities; produces long-term forecasts of grant revenues and coordinates grant funding issues within the Agency's long-term financial plan.
- Oversees development and ensures implementation of applicable grant administrative controls required by grantor agencies.
- Develops, administers, maintains, and oversees the division's annual budget; makes recommendations and forecasts for future funds needed for staffing, equipment, materials, and supplies; reviews and approves division expenditures and implements adjustments.
- Serves as the liaison with other departments, programs, and outside agencies; serves as liaison to grantor agencies; negotiates and resolves sensitive and controversial issues.
- Prepares and maintains a variety of records, files, and reports; organizes and files paperwork and reports generated with and for payroll; archives prior years materials.



## GRANTS MANAGER !

Department:	<b>Finance &amp; Information Technology</b>	FLSA Status:	<b>Exempt</b>
Division:	<b>Grants</b>	Revised Date:	<b>January 2010</b>

**GENERAL PURPOSE:** Under administrative direction, directs, manages, supervises and coordinates the operations and program of the Grants Division for the Agency; establishes Agency strategic policy to maximize competitive funding opportunities; researches, writes, develops and executes grant proposals for the Agency; represents the Agency in funding negotiations with external agencies; produces long-term forecasts of grant revenues and coordinates grant funding issues within the Agency's long-term financial plan; oversees development and implementation of applicable grant administrative controls required by grantor agencies; and has overall budgetary responsibility for the Grants Division.

### **PRIMARY DUTIES AND RESPONSIBILITIES:**

*The following duties **ARE NOT** intended to serve as a comprehensive list of all duties performed by all employees in this classification, only a representative summary of the primary duties and responsibilities. Incumbent(s) may not be required to perform all duties listed and may be required to perform additional, position-specific duties.*

- Plans, directs, coordinates, and reviews the work of assigned staff; assigns work activities and coordinates schedules, projects, and programs; provides constructive feedback; reviews and evaluates work and makes effective suggestions and recommendations; and provides opportunities for professional growth.
- Coaches, trains and motivates staff; coordinates and/or provides staff training; and manages employee relations for the division; manages the workflow and prioritization of projects and measures the performance of the division and all related staff and recommends or takes appropriate corrective action when necessary; provides advice and counsel to staff; develops developmental work plans for staff; implements or recommends corrective actions, discipline and termination procedures as appropriate/necessary.
- Assumes management responsibility for the program operations and services of the Agency; manages overall strategic direction of the grant funding program, grant administration, and regulatory oversight for all grants, including Full Funding Grant Agreements (FFGA); ensures Agency-wide integration of grant program activities within each line of business and other Agency-wide departments.
- Manages and participates in the development and implementation of goals, objectives, policies, and priorities for the division; recommends and administers policies and procedures.
- Researches, writes and develops grant proposals for the Agency; represents the Agency in funding negotiations with external agencies; assists in the development and implementation of the Agency's two Full Funding Grant Agreements (\$500m and \$813m respectively).

- Establishes Agency strategic policy to maximize competitive funding opportunities; produces long-term forecasts of grant revenues and coordinates grant funding issues within the Agency's long-term financial plan.
- Oversees development and ensures implementation of applicable grant administrative controls required by grantor agencies.
- Develops, administers, maintains, and oversees the division's annual budget; makes recommendations and forecasts for future funds needed for staffing, equipment, materials, and supplies; reviews and approves division expenditures and implements adjustments.
- Serves as the liaison with other departments, programs, and outside agencies; serves as liaison to grantor agencies including the Federal Transit Administration, Federal Highway Administration, Department of Homeland Security, and Puget Sound Regional Council; negotiates and resolves sensitive and controversial issues.
- Prepares and maintains a variety of records, files, and reports; organizes and files paperwork and reports generated with and for payroll; archives prior years materials.
- Coordinates other special projects/programs as requested; serves on a various committees as assigned; attends and participates in professional group meetings; stays abreast of new trends and innovations in assigned field; maintains awareness of federal, state and local regulations and impact of changes on the Agency.

#### **MINIMUM QUALIFICATIONS:**

##### **Education and Experience:**

Bachelors Degree in public administration, business administration, management, or related discipline and eight years of experience with grant administration and development of programs for a large, complex organization, preferably involving public works and transit facilities with responsibility for program and staff supervision.

##### **Required Licenses or Certifications:**

None.

##### **Required Knowledge of:**

- Advanced principles, practices, and procedures of grant development, monitoring, management, and reporting.
- Principles and practices used in the management of grant budget revisions and grant amendments.
- Federal grants and Federal Transit Administration requirements and Federal Transit Administrations' grants management system (TEAM System).
- Regional and metropolitan transportation planning process.
- Regional and State Transportation Improvement Program process and schedule.
- Methods and techniques of research, analysis, and statistical and analytical report preparation.
- Applicable local, state and federal laws, regulations and statutes.
- Project management principles and practices.
- Record keeping and reporting requirements and procedures.
- Principles, methods and practices of process improvement.
- Mathematical principles.

- Office procedures, methods, and equipment including computers and applicable software applications such as word processing, spreadsheets, and databases.
- Principles and procedures of financial record keeping/reporting and files and information retrieval systems.
- Customer service methods and techniques.
- Supervisory principles, methods and techniques.

**Required Skill in:**

- Operating automated management and financial systems as well as word processing, spreadsheet, and database applications.
- Understanding and applying advanced accounting, grant, and industry concepts and directions in performing grant related functions.
- Establishing and maintaining effective working relationships with other department staff, management, vendors, outside agencies, community groups and the general public.
- Evaluating and analyzing technical grant activities.
- Analyzing problems, identifying alternative solutions, project consequences of proposed actions, and implementing recommendations in support of division and Agency goals.
- Applying advanced project management techniques and principles and preparing a variety of complex financial and administrative reports.
- Planning and organizing work to meet changing priorities and deadlines.
- Identifying and resolving general problems in a timely manner using sound judgment.
- Responding to general inquiries and in effective oral and written communication.
- Supervising, leading, and delegating tasks and authority.

**Physical Demands / Work Environment:**

Work is performed in a standard office environment. \$

Subject to standing, walking, bending, reaching, stooping, and lifting of objects up to 25 pounds. \$

The Agency promotes a safe and healthy work environment and provides appropriate safety and equipment training for all personnel as required.

It is the responsibility of all employees to follow the Agency safety rules, regulations, and procedures pertaining to their assigned duties and responsibilities, which could include systems, operations, and/or other employees.



### **Community Transit – Grant Program Manager**

The Grant Program Manager is responsible for managing the overall strategic direction of the agency's grant funding program, grant administration, and regulatory oversight while ensuring agency-wide integration of the grant program activities within each line of business.

#### **Essential Duties:**

1. Develop, implement and manage strategic policy directives to secure new and continuing revenues through grants and funding partnerships. Create grant applications and advocate for receipt of identified funds. Oversee agency involvement in competitions for funding opportunities. Actively seek partnerships with other jurisdictions.
2. Manage ongoing administration, monitoring, and reporting for all active grant projects as required by funding sources and federal/state regulations. Ensure all grant requirements and/or certifications are met. Manage federal oversight. Manage grant close out; ensure completeness of grant file and audit documentation. Manage grant development reports to reflect status of grants.
3. Represent and act on behalf of agency in countywide, regional, and state decisions making forums where grant program criteria and priorities are determined. Solicit cooperation and support.
4. Develop, negotiate and monitor Inter-local agreements and contracts.
5. Provide agency expertise in federal regulations and capital budget matters. Provide grants planning, development, and grant writing expertise and support to other departments and divisions.
6. Manage assigned staff, projects and consultants; ensure implementation of directives.

#### **Minimum Qualifications:**

Bachelor's degree in Business or Public Administration, Transportation Planning, Finance or a related field.

Three years of experience in grant administration (proposal writing and reporting).

Three years experience in federal regulations (transit-related highly desired) and three years experience in transportation funding (transit and/or roadway).

#### **Entry Requirements:**

Knowledge in:

- Grant funding sources.
- Federal transportation legislation and regulatory requirements for multiple federal, state, and regional agencies.
- Principles, practices, and procedures of grant development, monitoring, management, and reporting
- Principles and practices used in the management of grant budget revisions and grant amendments
- Federal grants and Federal Transit Administration requirements
- Federal Transit Administration grants management system (TEAM system)

- Regional and metropolitan transportation planning process; Regional and State Transportation Improvement Program process and schedule
- Methods and techniques of research, analysis, and statistical and analytical report preparation
- Pertinent federal, state, and local laws, codes and regulations
- Project management principles and practices.
- Office procedures, methods, and equipment including computers and applicable software applications such as word processing, spreadsheets, and databases.
- Principles of business letter writing and report preparation.

Skill in:

- Applying advanced principles and practices of technical area of expertise
- Applying advanced project management techniques and principles
- Presenting complex data and preparing technical reports
- Demonstrating a positive customer service orientation with both internal and external clients
- Demonstrating strong interpersonal techniques and a consistent commitment and ability to work with diverse work groups and individuals
- Applying appropriate oral and written communication techniques to various individuals ranging from Agency employees, the general public, elected officials, community leaders, and local, state and federal agencies.



**King County**

Classification  
Specification

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**2217100**  
**GRANT SUPERVISOR**

### **Class Summary**

The responsibilities of this classification include managing overall strategic direction of major competitive grant funding programs while ensuring County-wide integration of such activities within each line of business and directing assigned staff. The Grant Supervisor represents the department in public and in policy making forums, reviews and analyzes legislation, works with other departments and agencies to implement policy initiatives, and briefs elected officials and other decision makers.

### **Distinguishing Characteristics**

This is a stand-alone position that is responsible for supervising Grant Administrators. This classification is distinguished from the other levels because incumbents in this classification supervise subordinates, oversee and evaluate the work of others, and ensure consistency by interpreting policies and procedures. Errors made by incumbents in this classification can result in flawed grant acquisition and administration processes, affect grant close-out and audit, and create legal liability unanticipated by the County and delay highly visible projects or agency-wide programs.

### **Examples of Duties (May vary by position)**

*The incumbents in this classification perform the functions of Grant Administrator in addition to the following duties:*

1. \$Create vision, mission, direction and work plans for assigned grants group; facilitate staff's performance improvement and individual career development plans; provide coaching and mentoring; create a positive work environment; allocate resources, manage budget and supervise and coordinate work assignments.
2. \$Direct the training of staff and clients in policies, procedures, changing laws and new concepts.
3. \$Perform and document personnel actions such as hiring, discipline and performance evaluation; make recommendations for termination.
4. \$Provide leadership on department management team through involvement in developing and implementing department direction and strategy.
5. \$Oversee grant application program and administration processes.
6. \$Plan, direct and provide assistance and expertise for procurement negotiation phases of contract award and administration.
7. \$Develop, implement and administer business strategies related to the negotiation of contracts and change orders, supplements and amendments agency-wide.
8. \$Review and approve grant administration procedures; recommend revised policies to management.
9. \$Know enough about the work of the entire grant management team to be able to fill in for any team member on a long-term basis.
10. Perform other duties as assigned.



**Knowledge/Skills (May vary by position)**

*The incumbents in this classification generally possess the knowledge and skills of Grant Administrator in addition to the following knowledge and skills:*

- Skill in applying management and supervisory principles, methods and techniques
- Skill in the application of accounting principles and practices, including the application of governmental accounting and audit techniques
- Skill in analyzing and evaluating grant applications and proposed agreements
- Skill in contract development, review, negotiations, administration and management
- Knowledge of Federal, State and local grant regulations/guidelines and laws, including FAR (Federal Acquisition Regulation), EPA Code of Federal Regulations, RCW (Revised Code of Washington) and WAC (Washington Administrative Code)
- Knowledge of grant management principles and practices
- Knowledge of business analysis, budgeting and scheduling practices
- Presentation skills; ability to lead meetings and respond to technical inquiries
- Skill in operating a personal computer using word, spreadsheet and relational database software
- Technical writing and proofreading skills, including ability to draft grant and contract language
- Negotiation, project management and project scheduling skills
- Problem solving, conflict resolution and analytical skills

**Licensing, Certification and Other Requirements**

State Driver’s License or ability to travel throughout the County in a timely manner

GMC (Grants Management Certificate) and PMC (Project Management Certificate) within two years of appointment

**Experience Required**

Minimum 7 years progressively responsible experience in funding and administration of large, complex public works and/or capital grants, including 3 years in a supervisory capacity

Additional licenses, certifications and other requirements determined to be necessary to meet the business needs of the employing unit may be required.

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<b>FLSA Designation</b>	<b>Exempt (Administrative)</b>	
<b>Levels within same series</b>	None	
<b>Class History</b>	Created	1/2003
	Updated	12/2003
	Updated	1/2008 Changed font and format



**Job Title:** Grants Program Manager  
**Closing Date/Time:** Sun. 05/15/11 11:59 PM Pacific Time  
**Salary:** \$75,072.00 - \$96,276.00 Annually  
**Job Type:** Full Time - Permanent  
**Location:** King County - Seattle – Belltown, Washington  
**Recruitment #** 2011-WMS-007

**Position Profile:** WSDOT Ferries Division is looking for a highly organized, motivated and dedicated individual that manages federal money to support our capital program. The Grants Program Manager is responsible for administering multiple complex federal and state grants and for making all of the financial and programmatic decisions on the allocation and management of multi-million dollar (\$150m) funding requests for WSF capital projects. The incumbent of this position provides all federal grant planning, the administration and management services for the Federal Transit Administration, Federal Highway Administration and the Department of Homeland Security funding that support vessel and terminal acquisition, preservation, and improvement. The Grant Program Manager identifies and secures new sources of regional and federal funding for WSF capital program activities and manages the whole grant process: submits grant applications, assigns the money to different projects, coordinates with internal and external parties, assures compliance with the grant rules, and prepares quarterly/annual reports and closeout documentation as required by federal agencies. The Grants Program Manager advises on the eligibility of various WSF project activities for federal funding, develops federal grant revenue and cash flow forecasts for a long-range capital plan, manages all federal agency oversight reviews, and performs various capital programming tasks. This position may supervise one employee.

As the first-line liaison with federal grantor agencies, the Grants Program Manager creates complex grant budget allocations for federally funded projects. The incumbent also assists in the development of federal legislative agenda in conjunction with WSDOT, lobbying team, and congressional delegation to increase federal funding for WSF. The incumbent serves as the liaison to USDOT, FTA, FHWA, DHS, Public Ferry Coalition, Puget Sound Regional Council and local planning entities and represents the agency in federal funding negotiations in regional PSRC funding caucuses.

**This position will perform the following work:**

- Administer multiple complex federal and state grants
- Identify and secure new sources of national and regional grant funding
- Coordinate day-to-day grant development and administrative functions
- Maintain grant administrative process for the agency, advising the agency on grant requirements and opportunities

- Assist in federal oversight reviews
- Manage all grant reporting and closeout per grantor agency requirements
- Manage Regional Transportation Improvement Program (TIP)
- Perform grant revenue and cash flow forecasting
- Develop and maintain reporting systems on grant activity, including grant monitoring by scope and line item
- Oversee interaction and sharing knowledge of grant program requirements across the organization, with partner agencies and the general public
- Represent WSF at meetings of regional planning organizations where ferry projects with federal funding are being applied
- Support the development of WSDOT legislative agenda to increase ferry funding.

**From the hiring authority's perspective, viable and competitive candidates should meet or exceed many of these desirable qualifications:**

- 5+ years of experience in grant development and administration
- Bachelor's degree in Planning, Finance, Accounting, Public or Business Administration or an equivalent combination of education and experience
- Knowledge of federal grant management in compliance with Federal Transit Administration (FTA), Federal Highway Administration (FHWA), Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), and other grantor agencies.
- Knowledge of federal transportation funding bills, such as SAFETEA-LU.
- Experience with federal electronic grant management systems, including TEAM and Grants.gov.
- Demonstrated ability to manage a complex federal and regional grant program
- Ability to work and coordinate with internal staff to access grant funding needs, applications for funding, monitoring of expenditures, and grant reporting. Requires face-to-face contact and relationship building through office availability and regularly scheduled meetings with internal staff.
- Ability to effectively communicate, verbally and in writing policy statements, procedures, technical, and financial information to different audiences
- Ability to facilitate agreement among diverse interests, grasp technical matters quickly, and problem solve effectively
- Strong organizational skills; ability to work under pressure; and meet multiple agency, state, and federal deadlines
- Advanced experience in Microsoft Word and Excel and working knowledge in Microsoft Access

Be prepared to provide references at the time of interview.

Application assessment will be ongoing and the hiring authority reserves the right to offer the position at any time during the recruitment process. It is to the applicant's advantage to apply as early as possible.

***Please Note: Due to recent agency reductions in force, preference may be given to current qualified and competitive WSDOT permanent employees.***

## **Appendix E: Sample Job Descriptions – Grant Administrator**

### **Generic Description - Grant Administrator**

Under general direction, administers the Agency's grant program, which includes monitoring, managing and reporting on the Agency's federal and state grants. Prepares and submits quarterly progress reports, budget revision amendments, and grant close-outs; identifies and secures traditional and non-traditional grant funding sources, including grant application development and collaboration with stakeholders and project partners; ensures timely obligations and drawdowns of grant funds; project lead on preparing the Agency for federal oversight reviews.

- Monitor, interpret and communicate new Federal regulations related to grant funding.
- Research and prepare written technical opinions on grant related issues based on state and federal law, regulations, policies and guidelines.
- Represent the organization with granting agencies in resolving grant management and administration issues.
- Advocate positions and interpretation of federal rules and regulations that benefits the grantee and their projects.
- Advise the organization on maintaining the eligibility of various projects/project activities for federal funding.
- Provide oversight, training and assistance to project managers to ensure grant funded projects are properly managed in accordance with federal guidelines.
- Coordinates day-to-day grant development and grant administrative functions for the Agency; develops and administers multiple, complex grants; prepares and submits grant quarterly reports, amendments, budget revisions and grant proposals; establishes and maintains grant administrative processes and procedures for the Agency, advising the Agency on grant requirements and opportunities.
- Develops/manages repository of federal grants, federal forms and instructions required to administer grants. Maintains electronic grants library with current grant regulations, circulars, policies and procedures, information and training manuals as a staff resource.
- Assists in accurate, eligible and timely grant drawdowns and reimbursements, including review of contract files, invoices and other accounting reports and documentation; administers grant close-out ensuring of grant file and audit documentation.
- Performs grant revenue and cash flow forecasting and develops methodologies for collecting transit service data applicable to grant funding.
- Develops reporting systems on grant activity, including monitoring grant scope and activity and prioritizing workload requiring federal action; develops and maintains grant database used to track and report Agency grant activity.
- Oversees interaction and sharing knowledge across the Agency and with partner agencies and the general public, including maintaining an internal website.
- Manages projects in the Transportation Improvement Program and the Region's Metropolitan Transportation Plan.
- Manages federal oversight reviews.
- Prepares and maintains a variety of records, files, and reports; organizes and files paperwork and reports generated with and for associated grants; archives prior years materials.



## GRANTS ADMINISTRATOR !

Department: **Finance & Information Technology** FLSA Status: \$ **Exempt**  
Division: **Grants** Revised Date: **January 2010**

**GENERAL PURPOSE:** Under general direction, administers the Agency's grant program, which includes monitoring, managing and reporting on the Agency's federal and state grants. Prepares and submits quarterly progress reports, budget revision amendments, and grant close-outs; identifies and secures traditional and non-traditional grant funding sources, including grant application development and collaboration with stakeholders and project partners; ensures timely obligations and drawdowns of grant funds; project lead on preparing the Agency for federal oversight reviews.

### **PRIMARY DUTIES AND RESPONSIBILITIES:**

*The following duties **ARE NOT** intended to serve as a comprehensive list of all duties performed by all employees in this classification, only a representative summary of the primary duties and responsibilities. Incumbent(s) may not be required to perform all duties listed and may be required to perform additional, position-specific duties.*

- Coordinates day-to-day grant development and grant administrative functions for the Agency; develops and administers multiple, complex grants; prepares and submits grant quarterly reports, amendments, budget revisions and grant proposals; establishes and maintains grant administrative processes and procedures for the Agency, advising the Agency on grant requirements and opportunities.
- Assists in accurate, eligible and timely grant drawdowns and reimbursements, including review of contract files, invoices and other accounting reports and documentation; administers grant close-out ensuring of grant file and audit documentation.
- Performs grant revenue and cash flow forecasting and develops methodologies for collecting transit service data applicable to grant funding.
- Develops reporting systems on grant activity, including monitoring grant scope and activity and prioritizing workload requiring federal action; develops and maintains grant database used to track and report Agency grant activity.
- Oversees interaction and sharing knowledge across the Agency and with partner agencies and the general public, including maintaining an internal website.
- Manages projects in Puget Sound Regional Council's Regional Transportation Improvement Program and the Region's Metropolitan Transportation Plan.
- Manages federal oversight review (FTA Triennial Review).
- Prepares and maintains a variety of records, files, and reports; organizes and files paperwork and reports generated with and for associated grants; archives prior years materials.
- Coordinates other special projects/programs as requested; serves on a various committees as assigned; attends and participates in professional group meetings; stays abreast of new trends

and innovations in assigned field; maintains awareness of federal, state and local regulations and impact of changes on the Agency.

## **MINIMUM QUALIFICATIONS:**

### **Education and Experience:**

Bachelors Degree in business administration, public administration, accounting, or related field and five years of grant development and administration experience including experience with public transportation grant requirements and processes; OR an equivalent combination of education and experience.

### **Required Licenses or Certifications:**

None.

### **Required Knowledge of:**

- Advanced principles, practices, and procedures of grant development, monitoring, management, and reporting.
- Principles and practices used in the management of grant budget revisions and grant amendments.
- Federal grants and Federal Transit Administration requirements and Federal Transit Administrations' grants management system (TEAM System).
- Regional and metropolitan transportation planning process.
- Regional and State Transportation Improvement Program process and schedule.
- Methods and techniques of research, analysis, and statistical and analytical report preparation.
- Applicable local, state and federal laws, regulations and statutes.
- Project management principles and practices.
- Record keeping and reporting requirements and procedures.
- Principles, methods and practices of process improvement.
- Mathematical principles.
- Office procedures, methods, and equipment including computers and applicable software applications such as word processing, spreadsheets, and databases.
- Principles and procedures of financial record keeping/reporting and files and information retrieval systems.
- Customer service methods and techniques.

### **Required Skill in:**

Operating automated management and financial systems as well as word processing, spreadsheet, and database applications.

Understanding accounting, grant, and industry concepts and directions and perform professional grant related functions.

Establishing and maintaining effective working relationships with other department staff, management, vendors, outside agencies, community groups and the general public.

Evaluating and analyzing technical grant activities.

Preparing a variety of complex financial and administrative reports.

Planning and organizing work to meet changing priorities and deadlines.

Identifying and resolving general problems in a timely manner using sound judgment.

Responding to general inquiries and in effective oral and written communications.

**Physical Demands / Work Environment:**

Work is performed in a standard office environment. \$

Subject to standing, walking, bending, reaching, stooping, and lifting of objects up to 25 pounds. \$

The Agency promotes a safe and healthy work environment and provides appropriate safety and \$ equipment training for all personnel as required. \$

It is the responsibility of all employees to follow the Agency safety rules, regulations, and procedures \$ pertaining to their assigned duties and responsibilities, which could include systems, operations, and/or \$ other employees. \$



### **Class Summary**

The responsibilities of this classification include leading and administering a full range of grant development, finance and administration activities for a County department/division. Serves as County representative with grantor agencies and works cooperatively with division/section/work units. Oversees the accounting and/or financial reporting of grant functions and provides leadership on the preparation, review and monitoring of major grant program development, implementation, project management oversight, financial management and audit preparation.

### **Distinguishing Characteristics**

This is the third level within a three-level Grants classification series. This classification is distinguished from the second level because incumbents in this classification provide leadership to project managers, department/division staff and others on all grant functions, while the Grant Analyst provides a supportive role, rather than a lead role. Incumbents are also expected to resolve issues through direct communication with grantor agencies and develop initiatives for improving the speed and volume of grant program activity. Errors made by incumbents in this classification can result in flawed grant acquisition and administration processes, affect financial management of grants, produce audit findings and create legal liability unanticipated by the County and delay highly visible projects or agency-wide programs.

### **Examples of Duties (May vary by position)**

*The incumbents in this classification perform most, or all, of the following functions in addition to the functions of a Grant Analyst in the course of performing their duties and responsibilities:*

1. \$Review, analyze and make recommendations to management on major grant program development; prepare, review and monitor major grant program submittals, project amendments and project budget changes/corrections; review grant program regulations and guidelines and department-adopted budgets to identify projects that match the requirements for available grant programs; and assist in application, amendment and revision processes for assigned Federal and State grants.
2. \$Act as agency's liaison with federal and state grant agencies concerning legal and procedural requirements for grant development, financial administration, project management oversight and audit.
3. \$Develop internal guidelines and deadlines for department management and staff to meet grant program schedules; identify potential partners, negotiate partnering agreements, and coordinate application development including drafting and reviewing applications; work with project managers to monitor sub-recipients of grant funding.
4. \$Provide analysis and recommendations to senior management regarding issues relating to strategic investment in the regional area/system; serve as County liaison with grantor agencies and advocate for the County position on issues involving grant programs and agency requirements; represent the County at county, regional and sub-area forums; and provide interpretation of Federal, State and



County rules and regulations, including pertinent factors such as costs, environmental review, contracting, procurement, right-of-way acquisition, and structuring of project partnerships on grant-funded projects.

5. Participate and provide leadership on grant-funded project teams; analyze and track existing projects and project budgets to determine priorities for amendments and revisions; implement strategies to secure project funding through grant amendments and revisions; advise department management, budget staff and project managers on information requirements for successful obligation of grant funds.
6. Know enough about the work of the entire grant management team to be able to fill in for any team member on a short-term basis.
7. Negotiate agreements and amendments with grantor agencies; administer the process of preparing and submitting drawdown reimbursement requests; review and monitor project budgets; coordinate with Finance Division; prepare financial status reports to management.
8. Train department/division staff and clients in policies, procedures, changing laws and new concepts.
9. Conduct grant research and monitor grant agencies.
10. Perform other duties as assigned.

**Knowledge/Skills (May vary by position)**

*The incumbents in this classification generally possess the knowledge and skills of Grant Analyst in addition to the following knowledge and skills:*

- Skill in the application of accounting principles and practices, including the application of governmental accounting and audit techniques
- Skill in contract development, review, negotiations, administration and management
- Technical writing and proofreading skills, including ability to draft grant and contract language
- Negotiation, project management and project scheduling skills

**Licensing, Certification and Other Requirements**

State Driver’s License or ability to travel throughout the County in a timely basis

GMC (Grants Management Certificate) or PMC (Project Management Certificate) within two years of appointment

**Experience Required**

Minimum 5 years progressively responsible experience in funding and administration of large, complex public works and/or capital grants  
 Additional licenses, certifications and other requirements determined to be necessary to meet the business needs of the employing unit may be required.

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**FLSA Designation**

**Exempt (Administrative)**

**Levels within same series**

Grant Specialist, Grant Analyst and Grant Administrator

**Class History**

Created 1/2003  
 Updated 1/2008 Changed font and format



## Community Transit - Grant Administrator

Under the general supervision of the Grant Program Manager, performs a full range of complex, professional responsibilities in support of the strategic initiatives of the corporations grant program. Manages the ongoing administration, monitoring, tracking and reporting for active grant projects as required by funding sources and federal/state regulations; provides research, analysis, and other analytical support within the Grants arena; and serves as a technical resource to other divisions and project managers regarding grant requirements and grant amendments/revisions. Assignments performed at this level have significant impact on operations and require a broad knowledge of grant development, monitoring and management.

### Essential Duties:

1. Develop and maintain grant tracking and monitoring systems to ensure compliance with grant and audit requirements.
2. Manage the preparation of quarterly reports for active grants with Project Managers; submittal of required reports; coordinate activities among multiple grant funded projects.
3. Prepare grant applications including narratives, milestones, and budgets for new projects.
4. Research grant opportunities and grant requirements; coordinate grant applications and grant administration for the Agency.
5. Maintain central grant files, including copies of grant awards and all pertinent grant documentation. Ensure compliance with Agency record retention requirements.
6. Analyze appropriations, certifications and assurances, circular changes, and updates in the Federal Register.
7. Coordinate with program and project leaders to ensure eligibility for federal funds. Ensure accuracy and conformance with all regulations.
8. Advise the Agency and program personnel on grant requirements.
9. Evaluate proposals, grant applications, and scenarios for compliance requirements for grant eligibility.
10. Prepare and maintain management reports on grant activity.
11. Coordinate grant related projects with other participating agencies. (as needed)

### Minimum Qualifications:

Bachelor's degree in Business Administration, Public Administration, Planning, or a related discipline is required, or five years of demonstrated experience in increasingly responsible grants management, project development, budgeting/finance or other related experience equivalent to scope of assigned projects.

### Entry Requirements:

#### KNOWLEDGE:

Knowledge of methods and techniques of research, and report preparation.

#### SKILL:

Skill in preparing written and oral grant proposals.

Skill in preparing a variety of records, reports and correspondence utilizing proper formats.

Skill in presenting complex data and preparing technical reports.

#### ABILITY:

Ability to conduct research and analysis and provide appropriate recommendations based on findings.

Ability to understand, transmit and follow written and verbal instructions.

Ability to successfully handle stressful situations and adjust to changing priorities in a professional manner.

Ability to establish and maintain effective and cordial working relationships with Community Transit personnel, outside consultants, and senior management.

Ability to meet deadlines with dependability and consistency.

**Proficient Performance Requirements:**

Qualification to fulfill the full range of this position’s duties requires the following knowledge, which may be gained or further developed after entering the job:

1. Knowledge of principles, practices, and procedures of grant development, monitoring, management, and reporting.
2. Knowledge of grant requirements.
3. Knowledge of Federal grants and Federal Transit Administration requirements, is preferred
4. Knowledge of Federal Transit Administration’s grants management system (TEAM), is preferred

Qualification to fulfill the full range of this position’s duties requires the following skills, which may be gained or further developed after entering the job:

1. Skill in articulating effective communication both in written form and verbally.

Qualification to fulfill the full range of this position’s duties requires the following abilities, which may be gained or further developed after entering the job:

1. Ability to interpret and apply federal, state, and local policies, laws and regulations.

## Appendix F: CA State Job Classifications

SPEC: TRANSPORTATION PLANNER SERIES

CALIFORNIA STATE PERSONNEL BOARD

SPECIFICATION §

TRANSPORTATION PLANNER §

Series Specification §

(Established March 13, 1975)

### SCOPE

In the Department of Transportation, this series specification describes Planner classes employed to plan, develop, organize, and direct activities which integrate various social, economic, environmental, transportation, and land use factors to support implementation of a balanced, multimodal State transportation program.

Schem Code	Class Code	Class
JX77	4768	Transportation Planner
JX74	4721	Associate Transportation Planner
JX73	4724	Senior Transportation Planner
JX72	4725	Supervising Transportation Planner
JX71	4723	Principal Transportation Planner

### DEFINITION OF SERIES

The Transportation Planner is an interdisciplinary team member or manager who develops and analyzes policy and data to prepare, administer, and monitor transportation plans, programs, and projects. Transportation Planners plan, develop, administer, evaluate, and monitor transportation plans, programs, and projects; prepare system plans of transportation facilities and services including highways, aviation, public transportation, and non-motorized facilities; perform transportation studies for the development of transportation systems of all modes; participate in policy development and implementation; analyze proposed policies from other government agencies; develop and analyze legislation related to transportation; propose, perform, and evaluate transportation planning research; monitor and certify the regional transportation planning process for conformance with State and Federal requirements; provide Transportation Planning expertise to Federal, State, regional, local agencies, and transit operators to carry out the transportation planning process; develop, administer, and monitor consultant contracts and grant programs; promote and support alternative modes of transportation including public transportation and ridesharing; perform program management function of the State Transportation Improvement Program; participate as a departmental representative on transportation planning issues at inter- or intradepartmental meetings and public or private meetings and hearings; and do other related work.

SPEC: RAIL TRANSPORTATION SERIES \$  
CALIFORNIA STATE PERSONNEL BOARD \$

SPECIFICATION \$

RAIL TRANSPORTATION \$  
Series Specification \$  
(Established September 3, 1981) \$

SCOPE

This series specification describes four Rail Transportation classes used in the California Department of Transportation (CALTRANS).

Schem Code	Class Code	Class
JX68	3189	Rail Transportation Assistant
JX66	3188	Rail Transportation Associate
JX64	3191	Rail Transportation Manager I
JX62	3193	Rail Transportation Manager II

DEFINITION OF SERIES

The Rail Transportation series describes work that pertains to the planning, funding, implementing, marketing, inspecting, and monitoring of rail passenger service involving rolling stock, passenger intermodal facilities, stations, maintenance facilities, tracks, signal systems, abandonments, schedules, and terminal administration.

Rail Transportation Assistants, Associates, and Managers may propose, develop, implement, maintain, and improve intercity and commuter rail by establishing performance and maintenance standards, fare structures, and schedules; defining needs and recommending effective courses of action; identifying the need for, type, and sources of equipment; evaluating track conditions and proposing improvements as necessary; proposing signal modifications; recommending the correction of hazardous operating conditions on rail carriers; marketing rail, connecting bus, and feeder bus services; initiating and conducting negotiations with carrier management for the purpose of improving the coordination of freight and passenger service; performing cost-benefit analyses; establishing and maintaining liaison with carrier management, Federal authorities, State and regional agencies, civic organizations, and others involved with or interested in rail passenger service; advising and assisting in the procurement of financial assistance; preparing reports and exhibits; addressing audiences and dictating correspondence.