

# Grant Management Process Documentation

## 1: Grant Management Process

**Description:** The Public Transportation Division manages a variety of grant programs that are funded through state and federal sources. Each program has its own process which may be similar to others but is different due to policy or statutory requirements.

**Timing:** Most grant program cycles operate on the state's biennial budget cycle. Some programs, such as NOFA or CMAQ, are ad hoc based on the funding availability.

**External Stakeholders:**

- Federal Transit Administration - provides funding for most federal grant programs
- State legislature and Governor's Office - establishes funding for state grants programs
- MPOs award CMAQ funding
- PSRC awards grant funding provided by FTA that PTD manages
- State and Federal auditors oversee WSDOT's compliance with state and federal grant requirements
- Subrecipients of grants: transit agencies, private non-profits, local government entities, tribal governments and for-profit transportation providers, service contractors (e.g. intercity bus providers)
- Grant Evaluators
- Regional Transportation Planning Organizations (RTPOs) provide local rankings/scores for projects submitted under the Consolidated Grants Program
- Office of Financial Management of Washington State (OFM) requires specific reporting on all funds, including grants.
- Attorney General's Office of Washington State oversees and approves grant contract language
- Federal Office of Management and Budget (OMB) dictates federal financial management requirements including reporting (FFATA)

**WSDOT Internal Stakeholders:**

- Executive management guides the PTD in policy and program administration.
- Accounting and Financial Services are responsible for all financial transactions of WSDOT.
- Contracts Office supports PTD with 3rd party contracting activities.
- Budget Office supports PTD with financial planning.
- Grants and Community Partnerships grant administrators, Community Liaison grant oversight, report writer.
- Local Programs administers the STIP process and participates in the transfer of STP funds from FHWA to FTA.

**Rationale:**

WSDOT has been delegated by the governor's office to administer state and federal grant programs related to public transportation.

WSDOT's public transportation grants help provide access, mobility, independence and improved transportation options to Washington residents. These grants provide transit services within and between communities and/or Tribal lands; create transit-oriented infrastructure; purchase new buses, vanpool vehicles and other capital equipment; provide public transportation service for seniors, people with disabilities and other special needs populations; support transportation demand management and commute trip reduction activities; and improve public transportation in rural areas.

**Inputs:**

- Federal Grant Programs
- State Grant Programs
- Foundation Grant Programs

**Outputs:** A system for Awarding and Managing Public Transportation Grant Programs for Providers Serving the Citizens of Washington State

**GMS Requirements/Business Rules Associated with this Activity**

- 1a Actions Pending (Priority: High)**  
The system will provide a mechanism for any user that enters the system to easily see what tasks are awaiting their action, including a link to directly access the task.
- 1b Administration Documentation (Priority: Medium)**  
The vendor will provide documentation that describes system configuration and system usage.  
  
Rationale: Administrators need a grounding in how the system works; how to set up users, and all other system administration functions.  
Notes: Documentation can be in the form of videos and/or a written form, as long as it covers the intent of all administrator configurable settings.
- 1c Administrative Workflow Fix (Priority: Mandatory)**  
The system will provide a mechanism for a system administrator to change the status of a form in-process (an application, an invoice, a quarterly report, etc) to any prior status - effectively pushing the form back to the appropriate step in the workflow or delegate to a different person. The system will require and store the reason, date, time and user in the status log for the affected form.  
  
Rationale: Occasionally errors are made that are not caught before submitting to the next step. Sometimes the expected next participant in the workflow is on vacation or has terminated their position.  
Note: the activity log for the form's progress should still reflect all historical actions.
- 1d Autosave Frequency (Priority: Medium)**  
The system will provide a mechanism for the GMS administrator to set or change the length of time (the frequency) that the system will perform an autosave during a session where the user is performing data entry.
- 1e Autosave Work In Progress (Priority: Medium)**  
The system will provide a mechanism to automatically save data entered by a user, whether valid or invalid data is present.  
  
Rationale: From time to time computers crash. Saving work periodically may alleviate the frustration of having to re-enter their work.
- 1f Context Sensitive Help (Priority: Medium)**  
The system will provide a mechanism for a System Administrator to imbed helpful information about any data-entry field on any form that users will fill out and allow the user of the form to view the newly added/changed helpful information.
- 1g Contract Status Values (Priority: Medium)**  
The system will provide a mechanism to report on the status of any contract, active or closed, with status values as shown in the diagram named "Contract Status".
- 1h Expiring Plan Notifications (Priority: Medium)**  
The system will automatically notify subrecipients with open (active) contracts when required plans or policies are due to expire in the next 3 months. The system will also CC the assigned CL of the notification and record that the notification was sent.

### GMS Requirements/Business Rules Associated with this Activity

- 1i Export a copy of data entered, uploaded documentation and reports (Priority: Mandatory)**  
The system will provide a mechanism for users (already granted access to view data within the system) to export a copy of the viewable data, documents or reports for use outside the system. Acceptable formats are: 1) same format for attachments already uploaded; 2) the user's choice of PDF, Excel or Word format for screens or reports provided in the system.  
Rationale: Data may be needed for analysis, as part of a federal or state report, or for an audit. Some stakeholders will want to manage their own private copy of documents and data stored in the system.
- 1j Generate Contact List (Priority: Medium)**  
The system will provide a mechanism to generate and export a contact list, composed of names and email address, based on one or more of the following:
- subrecipient type
  - user role
  - funding type previously awarded
- Rationale: PTD needs to notify targeted groups about grant program issues and announcements. Almost all of the targeted email recipients are subrecipient staff members already established as GMS users.
- 1k Hyperlinks on Data-Entry Forms (Priority: Medium)**  
The system will provide a mechanism for a System Administrator to imbed working web hyperlinks on all forms that users will fill out.  
Rationale: WSDOT may want to reference a policy or regulation or other documentation applicable to the data requested on the form.
- 1l Legacy Data Migration (Priority: Medium)**  
The vendor will migrate all grants, both active and closed, from PTD's current SQL Server database.  
Note: we have made available a somewhat dated version of the [legacy database structure](#).
- 1m Manual Save Work in Progress (Priority: Medium)**  
The system will provide a mechanism for a user to save data entered, whether valid or invalid data is present.  
Rationale: It's 5pm and time to go home. They need to do research to complete the task and don't want to lose their work.
- 1n Plan Expiration Dates (Priority: High)**  
The system will provide a mechanism for PTD staff to assign an expiration date to any plan approved by PTD, either at the time of approval or afterwards. (examples: Asset Management Plan, CTR Comprehensive Plan, Title VI Plan, etcetera)
- 1o Print All Data, Forms and Attachments (Priority: High)**  
The system will provide a mechanism for users (already granted access to view data within the system) to print a copy of the viewable data, documents or reports for use outside the system.  
Note that forms implemented within the system may require specialized printing format (to fit its contents on a sheet of paper - web browser based printing capability will not be an acceptable solution since right side truncation within web browsers may be cut off in the printed product).
- 1p Prompt Before Exiting Without Saving (Priority: Medium)**  
The system will provide a mechanism to prompt any user that exits a data entry screen without saving their work to give the user the option to save their work or discard it.

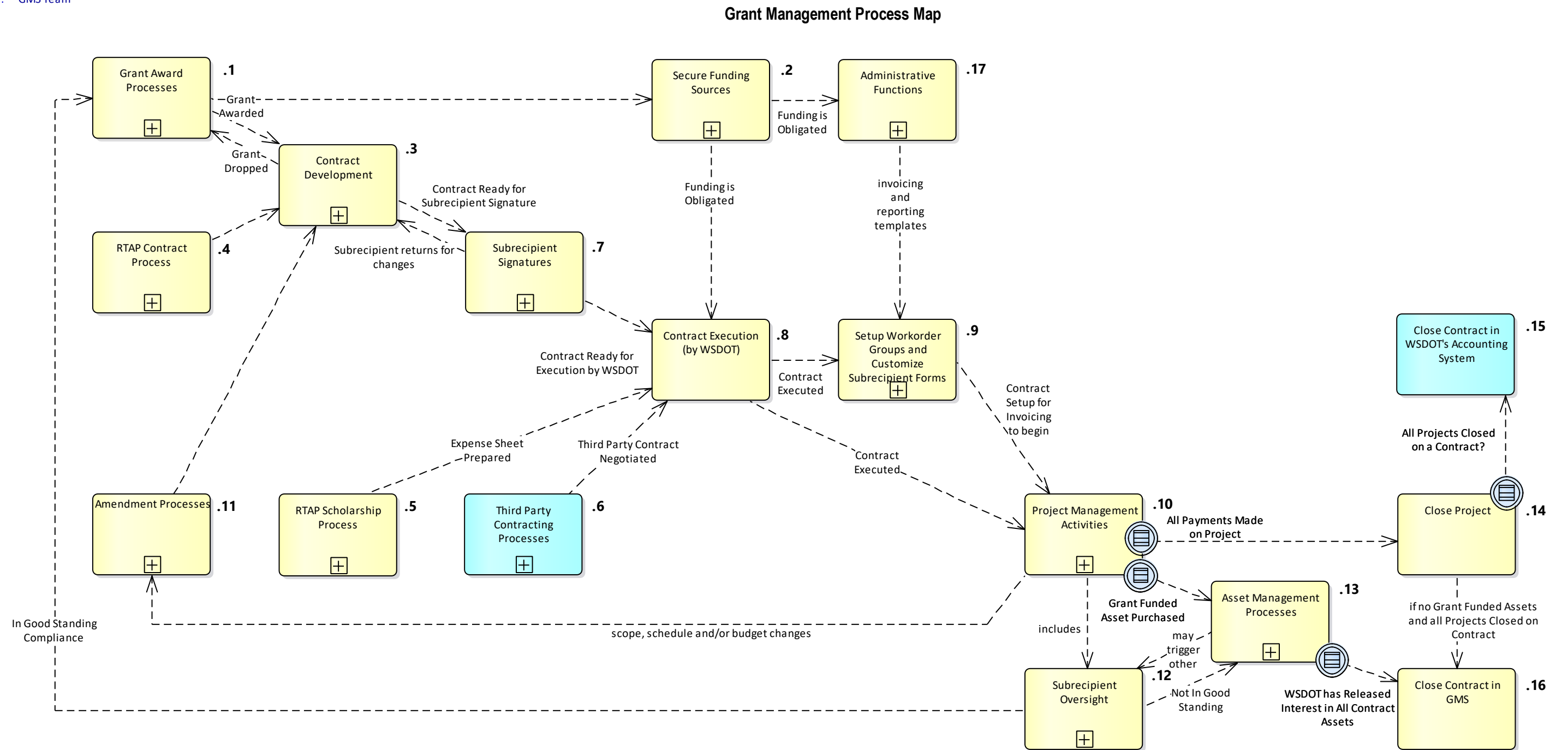
### GMS Requirements/Business Rules Associated with this Activity

- 1q Record and Store Audio/Video files (Priority: Low)**  
The system will provide a mechanism for PTD staff to record and store audio and video recordings and attach them to specific events or artifacts. Examples include: site visits, subrecipient and applicant training, contract boilerplates, items returned with comments.
- 1r Record/Track Contract Status (Priority: Mandatory)**  
The system will provide a mechanism to store and track the history of status changes for a grant-funded contract.
- 1s Training Environment (Priority: High)**  
The system will have a training environment separate from the production environment that mimics the production environment.  
Rationale: All users of the system will need training. WSDOT prefers providing hands-on training, not just presentations and user documentation.
- 1t Upload Attachments (Priority: Mandatory)**  
The system will provide a mechanism for users to upload attachments (in any standard format) and associate the attachment with either the subrecipient (for things like plans, policies, audit reports, or certifications), a grant, scholarship, or other application, an evaluation packet, a contract, an amendment, an invoice, a site visit, quarterly reports, annual reports, asset incident report, or other artifact tracked within the system or managed by PTD. The system will require that a name be provided by the user. The system will record the user id, date and time of upload.
- 1u User Acceptance Testing Environment (Priority: High)**  
The system will provide an environment separate from the production environment and the training environment for user acceptance testing.  
Rationale: User acceptance should happen prior to moving changes to the production environment, allowing for full regression testing of all capabilities if desired.
- 1v User Activity Log (Priority: Medium)**  
The system will automatically track a user's activity in a log as they use the system. The system will track actions taken by the user that change the content stored in the system.  
Intent: We don't need to know that user33 changed the subrecipient12's address from 10 Main Street to 20 Elm Street; we do want to record that user33 changed the subrecipient's address (or maybe the subrecipient's profile). Some amount of tracking is necessary; more details are better, but any tracking is better than none at all.
- 1w User Session Timeout (Priority: Medium)**  
The system will provide a mechanism for the GMS administrator to set or change the length of time that a user can be inactive during the session before the system disconnects the session.
- 1x View All Active and Closed Grants for a Subrecipient (Priority: Medium)**  
The system will provide a mechanism for all users with access to a particular subrecipient's data to view a list of all of their active and closed grants, showing the type of grant, status and contract number. Further the list should allow the user to select a specific grant and view all of the grant's details (invoicing, balance, contract documents, etc).
- 1y Viewing Documents and Workflow Status (Priority: Medium)**  
The system will provide a mechanism for all participants in a workflow to view documentation and status related to that workflow at any time. The system will provide a mechanism for PTD staff to view all documentation and status, regardless of their participation in a workflow.

**GMS Requirements/Business Rules Associated with this Activity**

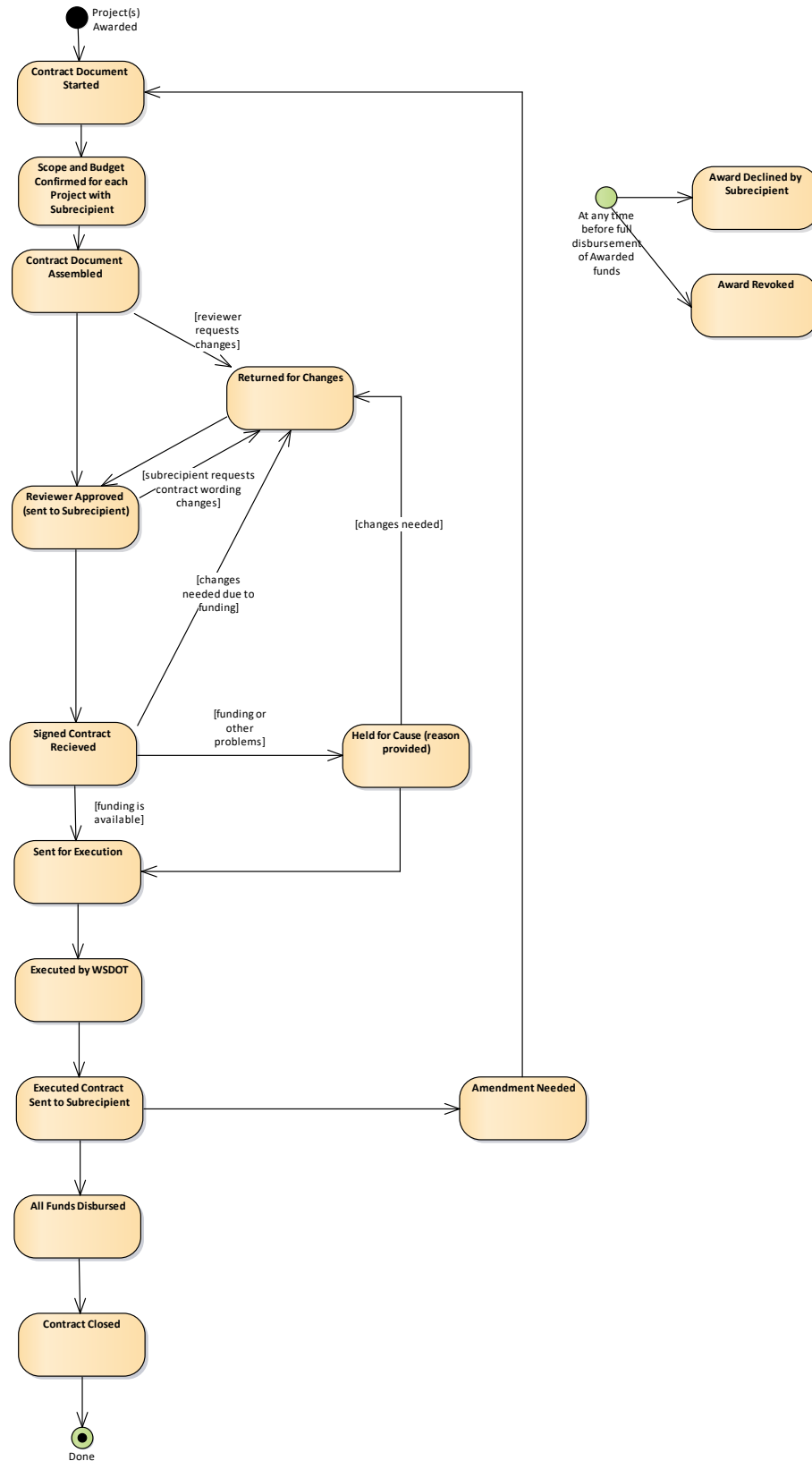
- 1z Workflow Action (Priority: Mandatory)**  
The system will provide a mechanism for each user of the system with the stated ability to submit, forward, approve/concur, finalize, return, or hold (or other terms used to act on a form) as described by the supplied Grant Management Process documentation, and shall have a button or other type of menu choice to perform that action. (e.g. a submit button, or an approve button along with a return for changes button)
- 1aa Workflow Action Comments for Return, Reject or Hold (Priority: Mandatory)**  
When the user is able to return (or reject) a document or form, or place the associated work on hold, the system will provide a mechanism for, and require, the user to provide a reason for holding or returning the work.
- 1ab Workflow Action Notification (Priority: Medium)**  
The system will provide a mechanism for the system administrator to configure the workflow so that notification of action will be sent to another interested party in the workflow.
- 1ac Workflow Automation Capability (Priority: Mandatory)**  
The system will provide a mechanism for each user to act on a form or document, as described in the provided Grant Management Process documentation, and then submit/forward/approve/concur to move the work performed forward to the next step in the process.
- 1ad Workflow Automation Restriction (Priority: Mandatory)**  
The system will provide a mechanism to restrict users from performing activities out of order in the workflow, as described in the provided Grant Management Process documentation.  
Rationale: We wouldn't want someone to approve of/edit a document before the prior step has been completed. Similarly we wouldn't want someone to change documentation after their step has passed, unless returned to them as defined by the workflow.
- 1ae Workflow Notification (Priority: Mandatory)**  
Upon workflow action by any submitter/approver/reviewer of a document or form, the system will provide a mechanism to notify the next participant in the workflow that their action is required, using the person's registered email address for notification.

Name: Grant Management Process Map **1**  
 Package: PTD Grant Process Map  
 Version: 4/3/2017  
 Author: GMS Team



## Contract Status

Name: Contract Status  
Package: PTD Grant Process Map  
Version: 11/28/2016  
Author: GMS Team



## 1.1: Grant Award Processes

Description: PTD conducts a competitive call for projects for most funding sources. Where discretionary programs are concerned, PTD may apply to the granting agency on behalf of interested Washington state public transportation service providers. Each grant program administered by PTD has a specific application and award process. Those processes are driven by program purpose and/or statutory requirements.

Timing: Most call for projects begin mid biennium for projects starting the next state fiscal cycle.

Stakeholders: Applicants, subrecipients, PTD staff, Federal Transit Administration, the State Legislature, other funding entities

Rationale: To ensure funds are awarded to eligible agencies and projects fairly, equitability and with transparency.

Inputs: Federal apportionments and associated requirements, State budget, recommendations from the Grant Programs Advisory Committee (GPAC), grant applications, Federal and State regulations

Outputs: Grants to provide public transportation services and commute trip reduction activities across Washington state.

### GMS Requirements/Business Rules Associated with this Activity

- |              |  |
|--------------|--|
| <b>1.1a</b>  | <b>Add Awarded Projects (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to enter subrecipient organizational facts, awarded project data as submitted in their grant application and funding as awarded through the grant award process. This includes the amount awarded, funding source(s) used, local match amount, the project description, and other data needed to develop the Program of Projects and Final Funded List.<br><br>Rationale: Needed for any award that is made outside the system. |
| <b>1.1b</b>  | <b>Add New Grant Program (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to add new grant programs and award processes when needed.   |
| <b>1.1c</b>  | <b>Application Log (Priority: Mandatory)</b><br>As applications are submitted by the applicant for a given grant type during a given grant cycle, the system will automatically record the existence and status of each.   |
| <b>1.1d</b>  | <b>Evaluators Rank Projects (Priority: Medium)</b><br>The system will provide a mechanism for evaluation team members to rank proposed projects.   |
| <b>1.1e</b>  | <b>Manage Evaluation and Award Process (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to manage the award process.   |
| <b>1.1f</b>  | <b>Scope and ALI's (Priority: Medium)</b><br>The system will provide a mechanism for the subrecipient to enter enough information to populate the FTA scope and activity line items (ALI) that apply to their project for use in generating the Program of Projects.   |
| <b>1.1g</b>  | <b>Subrecipients Apply Electronically (Priority: Mandatory)</b><br>The system will provide a mechanism for applicants to prepare and submit grant applications.  |
| <b>31.1h</b> | <b>Unique Project Identifier (Priority: High)</b><br>The system will provide a mechanism for PTD staff to assign a Unique Project Identification Number (UPIN) to each project awarded funding.  |



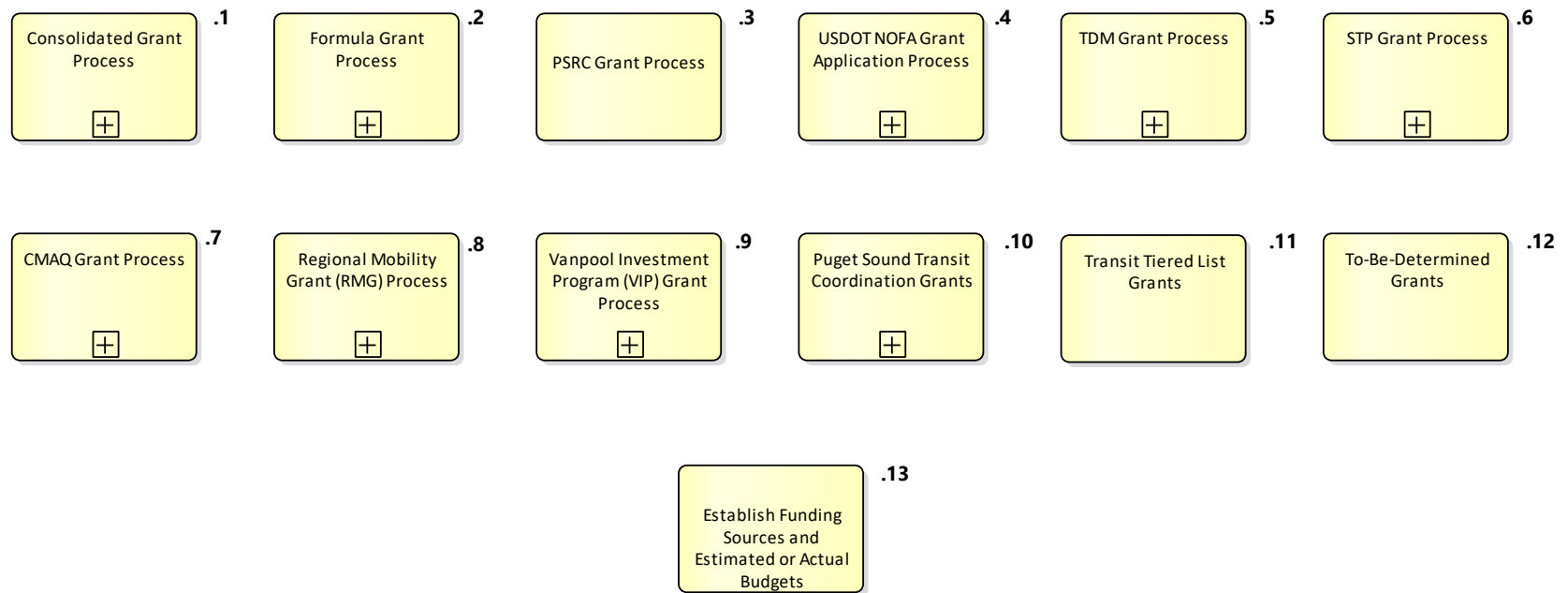
**GMS Requirements/Business Rules Associated with this Activity**

**1.1i Validate Applications Prior To Submittal (Priority: Medium)**

The system will provide a mechanism to validate that all required fields have been completed and that all business rules related to the application have been met, either prior to or at the time of submission of the application to PTD.

## Grant Award Processes

Name: Grant Award Processes 1.1  
Package: PTD Grant Process Map  
Version: 4/3/2017  
Author: GMS Team



### 1.1.1: Consolidated Grant Process

Description: WSDOT uses a consolidated application that allows applicants to use one application process to apply for funding available from a variety of funding sources. Applicants are asked to describe their project and provide supporting information. Based on the information provided by the applicant, WSDOT determines the appropriate type of funding when awarding projects.

Timing: Begins July/August of even years.

Participants: Grant applicants, grant evaluators, regional transportation planning organizations (RTPO s), the Business Services Team (BST), Project Delivery (PD) staff, PTD management

Rationale: To provide funding for public transportation projects that support services:

- provided to the general public in rural areas
- provided to persons with special needs in rural or small urban areas.

Inputs: Grant applications, federal and state funding, federal and state program requirements

Outputs: Grant awards using state and federal funding sources

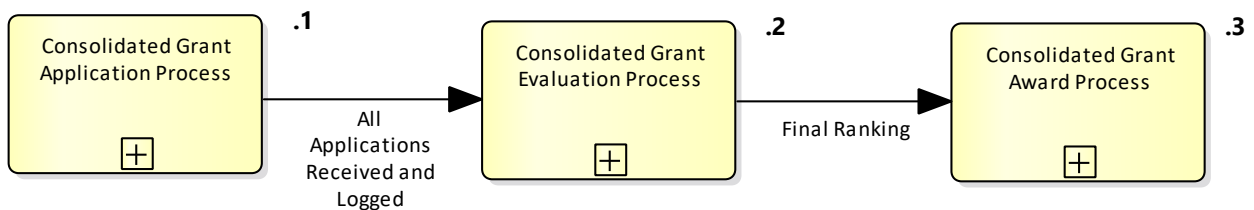
#### GMS Requirements/Business Rules Associated with this Activity

##### 1.1.1a Record/Track Consolidated Grant Application Status (Priority: Medium)

The system will provide a mechanism to store and track the status of an applicant's consolidated application with status as shown in the diagram named "Consolidated Grant Application Status".

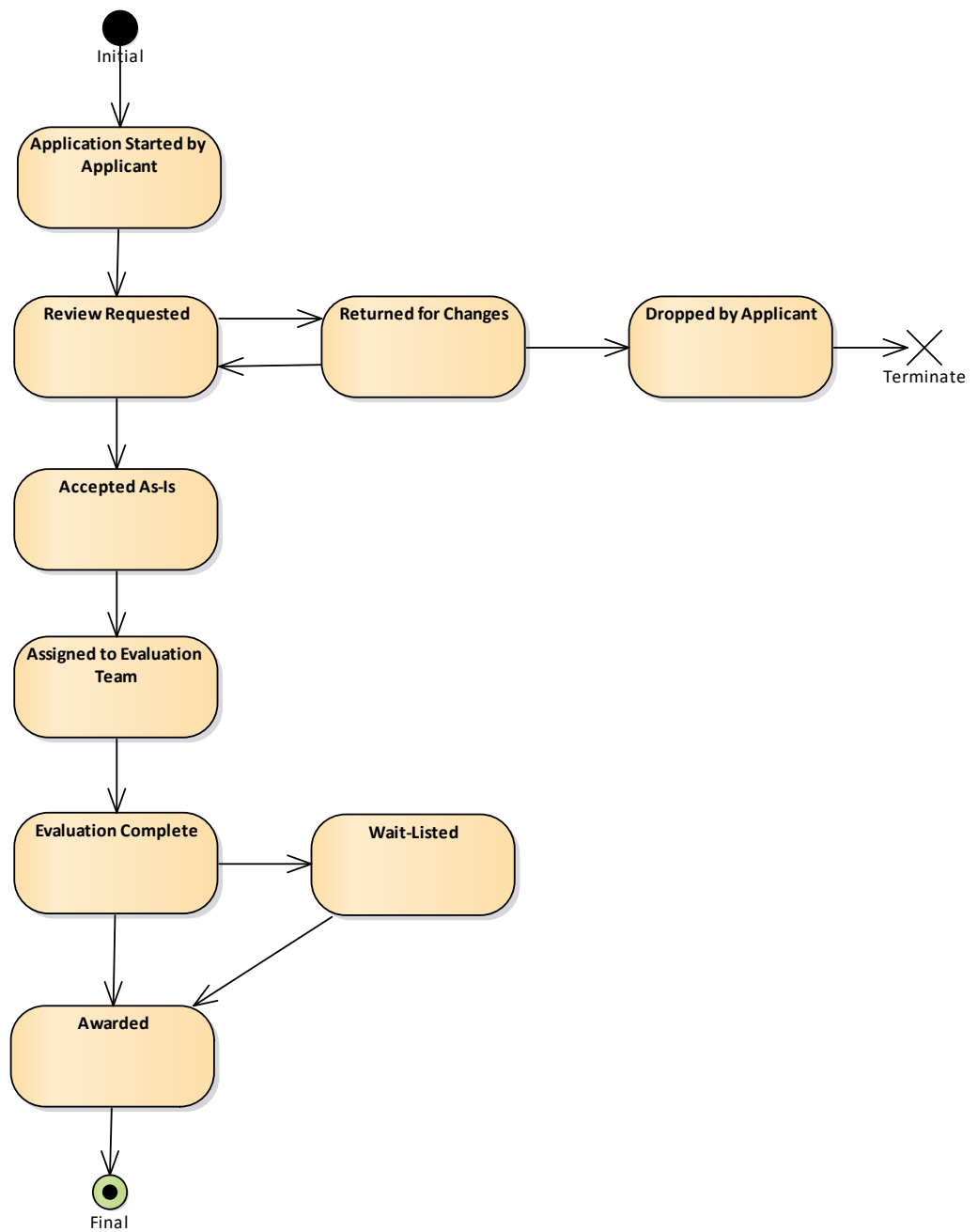
#### Consolidated Grant Process

Name: Consolidated Grant Process 1.1.1  
Package: PTD Grant Process Map  
Version: 6/7/2016  
Author: GMS Team



## Consolidated Grant Application Status

Name: Consolidated Grant Application Status  
Package: PTD Grant Process Map  
Version: 7/19/2016  
Author: GMS Team



#### 1.1.1.1: Consolidated Grant Application Process

Description: Consolidated Grant Program consists of a combination of federal and state funds that include:

- FTA 5310
- FTA 5311
- FTA 5339
- State Rural Mobility
- State Paratransit/Special Needs Program

Timing: Begins July/August of the even years

Participants: The PTD Business Services Team and Project Delivery staff, grant applicants, grant evaluators, RTPO's, and the PTD Management Team.

Rationale: The procedures used in this process ensure funds are awarded only to eligible applicants and projects and ensure funds are fairly and equitably awarded to the best possible projects.

Inputs: Federal apportionments, state budget, federal and state grant requirements, recommendations from the Grants Program Advisory Committee (GPAC), Local priorities, and recommendations from evaluators.

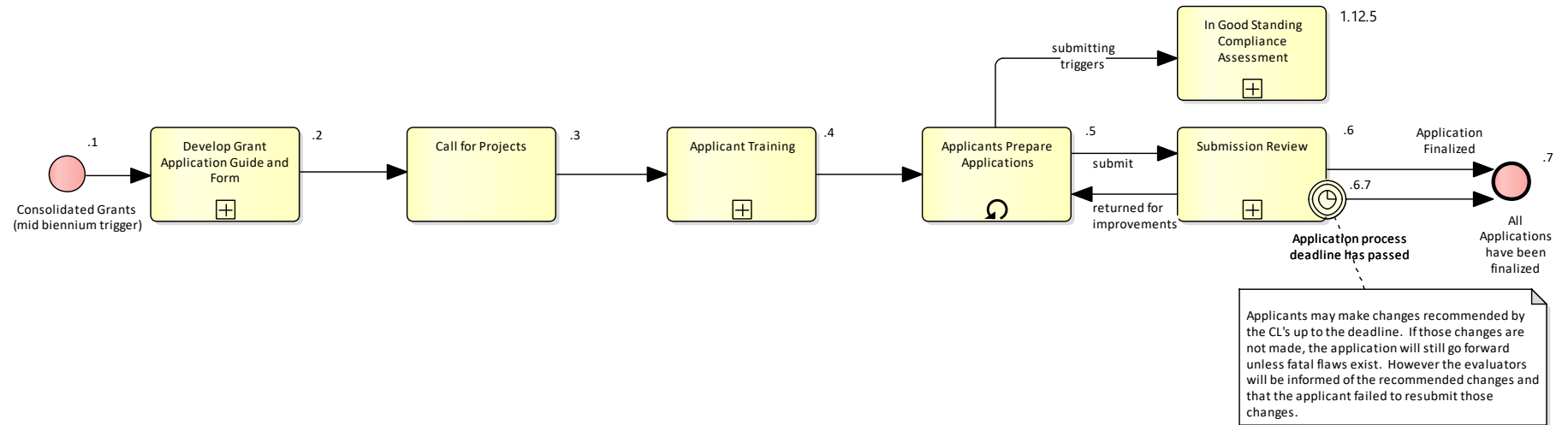
Outputs: Grant Application Received

##### GMS Requirements/Business Rules Associated with this Activity

- |                 |   |
|-----------------|---|
| <b>1.1.1.1a</b> | <b>Implement Consolidated Grant Application Workflow</b> (Priority: Medium)<br>The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams. |
|-----------------|---|

## Consolidated Grant Application Process

Name: Consolidated Grant Application Process 1.1.1.1  
Package: PTD Grant Process Map  
Version: 6/7/2016  
Author: GMS Team



#### **1.1.1.1.1: Consolidated Grants (mid biennium trigger)**

Time to begin the Consolidated Grant Application Process

#### **1.1.1.1.2: Develop Grant Application Guide and Form**

Description: The PTD must prepare an application guide to provide instructions, program criteria, project and applicant eligibility, a description of the evaluation process and PTD's expectations if the applicant's project is awarded and a copy of the application form. The guide is updated each cycle to include any regulatory or policy changes and changes to the application form.

Timing: Starts mid biennium (typically April/May)

Participants: PD Grants Analyst, Community Liaisons, BST Grants & Compliance Analysts, the PTD Management Team

Rationale: Grant applicants need to be aware of how to apply for competitive grant funding and the associated requirements.

Inputs: [Application form](#), federal and state grant requirements, prior application instructions, and GPAC recommendations.

Outputs: [Grant Application Guide](#)

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.1.1.2a Create Application Form (Priority: High)**

The system will provide a mechanism for PTD staff to create a new consolidated grant application form for each grant cycle.

##### **1.1.1.1.2b House Consolidated Application form (Priority: Mandatory)**

The system will provide a location within the system to house the Consolidated grant application form for later use by applicants when initiating a Consolidated Grant Application request.

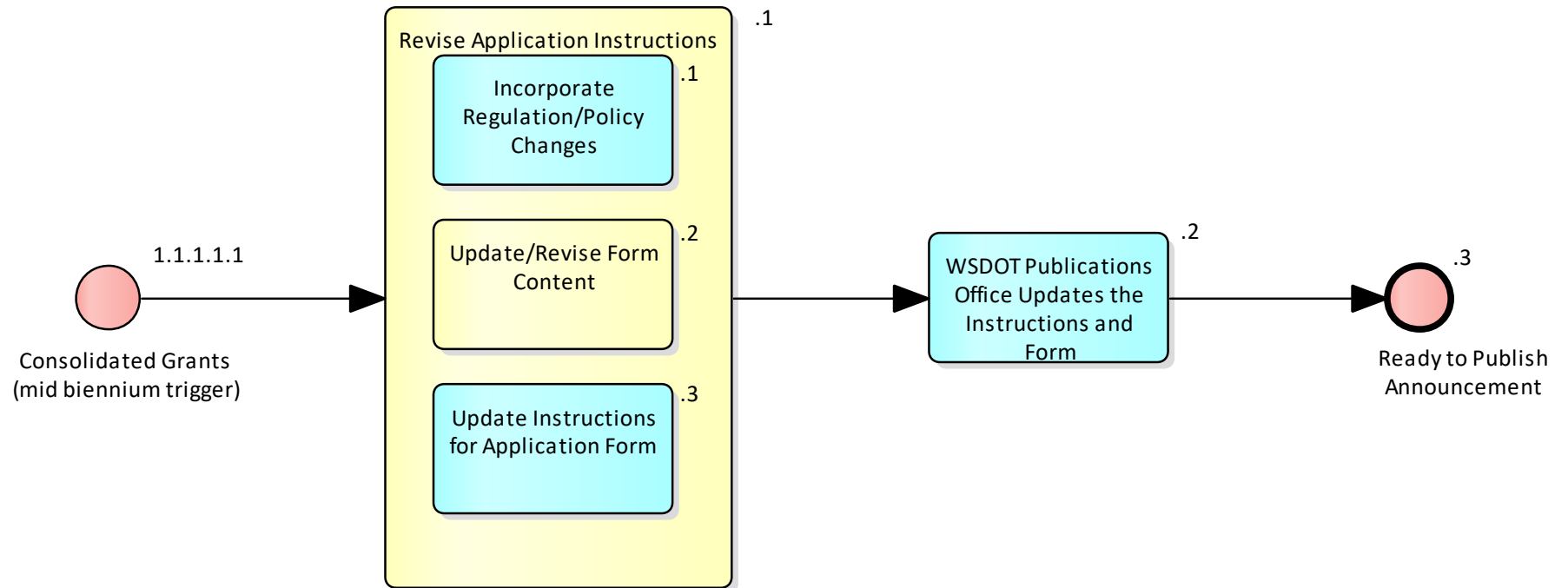
## Develop Grant Application Instructions and Form

Name: Develop Grant Application Instructions and Form 1.1.1.1.2

Package: PTD Grant Process Map

Version: 6/9/2016

Author: GMS Team





#### **1.1.1.1.2.1: Revise Application Instructions**

Description: PTD staff make updates to the application instructions each cycle to include any regulatory or policy changes and changes to the application form.

Timing: Mid Biennium (starting in April/May of the even numbered years)

Participants: Community Liaisons, BST Grants & Compliance Analysts, and the PTD Management Team

Rationale: Grant applicants need to be aware of how to apply for competitive grant funding and the associated requirements.

Inputs: [Application form](#), federal and state grant requirements, prior application instructions and recommendations from GPAC.

Outputs: Revised Application Instructions for the Consolidated Grants Program

#### **1.1.1.1.2.1.1: Incorporate Regulation/Policy Changes (Out of Scope for GMS)**

Description: PTD staff review changes to policy and/or regulations associated with the grants and incorporate the changes into the Application instructions

Timing: Mid Biennium (starting in June of the even numbered years)

Participants: Project Delivery Grants Analyst, Community Liaisons, BST Compliance Analyst

Rationale: Ensure the most recent information regarding policies and statutes is clearly identified in the Application instructions

Inputs: Prior version of the Application instructions, Federal Regulations, State law, recommendations from GPAC, policy directives from WSDOT, direction from the legislature and/or Governor's office, revised/updated application form

Outputs: Needed changes to the Application instructions

#### **1.1.1.1.2.1.2: Update/Revise Form Content**

Description: Each application cycle the PTD updates the form based on changes to state and federal regulation, WSDOT policy changes, and corrections recommended from the prior grant cycle.

Timing: Mid Biennium (starting in June of the even numbered years)

Participants: PD Grants Analyst, Community Liaisons, Business Services Team, PTD Management Team

Rationale: To ensure that the questions asked align with planned practice for the upcoming cycle; and to ensure that PTD receives sufficient information to evaluate the applications and assign the correct funding sources to awarded projects.

Inputs: State legislation, federal regulations, comments from prior evaluation teams, WSDOT policy, priorities from the Governor's office, and recommendations from GPAC

Outputs: [Application form](#)

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.1.1.2.1.2a Export Consolidated Application Form (Priority: High)**

The system will provide a mechanism for PTD staff to export the Consolidated Application Form in fillable PDF format.<sup>3</sup>

Rationale: For use in Application instructions (published outside GMS), and for staff review.

##### **1.1.1.1.2.1.2b Historical Consolidated Application Forms (Priority: Medium)**

The system will provide a mechanism to retain the Consolidated Application Form used in past application cycles.

##### **1.1.1.1.2.1.2c Update Application Form (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to make necessary changes to the Consolidated Application form for the current application cycle.

#### **1.1.1.1.2.1.3: Update Instructions for Application Form (Out of Scope for GMS)**

Description: Based on the content of the application form, PTD updates the instructions on how to complete the form

Timing: Once the form content is finalized

Participants: PD Grants Analyst, Community Liaisons, Business Services Team, PTD Management Team

Rationale: To ensure that applicants understand how to properly complete and submit the application form.

Inputs: Application form, federal regulations, WSDOT policy

Outputs: Application Instructions

#### **1.1.1.1.2.2: WSDOT Publications Office Updates the Instructions and Form (Out of Scope for GMS)**

Description: WSDOT's Publications Office reviews and edits the Application instructions. PTD coordinates with the Publications Office if they have questions.

Timing: Following the review and recommended changes received from PTD

Participants: Project Delivery Grants Analyst, WSDOT's Communications Office

Rationale: To ensure the forms and publications meet WSDOT standards

Inputs: Prior application instructions, changes identified by PTD staff, updated application form.

Outputs: finalized application instructions

#### **1.1.1.1.2.3: Ready to Publish Announcement**

The Consolidated Grants Application Instructions is complete and ready for publication.

#### **1.1.1.1.3: Call for Projects**

Description: PTD sends an announcement to all interested parties advising them that the application cycle is open for the Consolidated Grant Program.

Timing: Following finalization by WSDOT Communications

Participants: PD Grants Analyst, Community Liaisons, and PTD's Communication Staff

Rationale: An announcement is necessary to advise potential applicants of the availability of grant funds

Inputs: [Application Instructions](#), list of interested parties, and Application Timeline

Outputs: Announcement published on the web, email notices, and Gov Delivery system.

Note: Announcement is sent to anyone who has ever participated or shown interest, Transit Agencies, non-profits, RTPOs, MPOs, etc

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.1.1.3a Create Notice Announcing the Consolidated Application Cycle (Priority: Low)**

The system will provide a mechanism for PTD staff to create or upload an announcement notice in the system.

##### **1.1.1.1.3b Publish Application Form (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to publish the finalized consolidated application form in a shared location that is available to all potential applicant users.

##### **1.1.1.1.3c Send Notice to all Subrecipients (Priority: Medium)**

The system will provide a mechanism for PTD staff to notify subrecipients that the Consolidated Grant Application cycle is open.

Note: The intent is that notices are posted inside GMS to all subrecipients and emailed using external email addresses to those subrecipients.

#### 1.1.1.1.4: Applicant Training

Description: PTD provides training to potential applicants on how to apply and the associated requirements

Timing: After the call for projects; typically during August/September of the even numbered years

Participants: PD Grants Analyst, PD Manager, Community Liaisons, Business Services Staff, PTD Administrative Staff

Rationale: Ensure that applicants understand the process to apply for a Consolidated Grant and the associated requirements

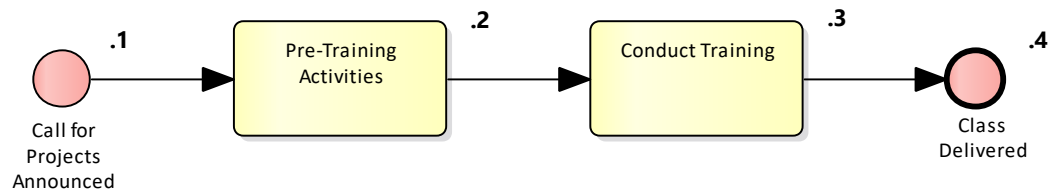
Inputs: Grant Program requirements, [Application instructions](#) and the GMS User's Manual

Outputs: Completed Training Classes; trained applicants

#### Applicant Training

Name: Applicant Training  
Package: PTD Grant Process Map  
Version: 7/31/2016  
Author: GMS Team

1.1.1.1.4



##### 1.1.1.1.4.1: Call for Projects Announced

WSDOT has announced the availability of grant funds (mid biennium, typically July of the even numbered years)

##### 1.1.1.1.4.2: Pre-Training Activities

Description: PTD carries out a variety preliminary activities to set up and carry out applicant training:

- Establish Curriculum
- Identify Trainers
- Prepare Presentation Materials
- Conduct Run Through
- Determine Delivery Method
- Establish Schedule
- Determine and Secure Venue(s) for Training Delivery
- Make Travel Arrangements
- Develop Registration Process
- Manage Registration and Attendance

Timing: Mid biennium, typically July of the even numbered years

Participants: PTD Administrative staff, RTAP Program Manager, Community Liaisons, PD Grants Analyst, Business Services Team, and the PD Manager

Rationale: Ensure that appropriate staff and facilities are secured to carry out the training and accommodate any PTD employee travel.

Inputs: Application instructions, facilities, technology tools (webinar, AV equipment, etc), applicant registrations

Outputs: Ready to deliver training

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.1.1.4.2a Attendance Roster (Priority: Low)**  
The system will provide a mechanism for PTD staff to print an attendance roster listing each person that registered for a specific training class.  
Rationale: To allow attendees to sign in evidencing their attendance.  
Note: required as back up for meeting room and cost of light refreshments.
- 1.1.1.1.4.2b Establish Training Event (Priority: Low)**  
The system will provide a mechanism for PTD staff to establish training locations and dates/times in the system for registration purposes.
- 1.1.1.1.4.2c Implement User Registration for Training (Priority: Low)**  
The system will provide a mechanism for PTD staff to set up the Training Registration Process in the system.
- 1.1.1.1.4.2d Limit Class Size (Priority: Low)**  
The system will provide a mechanism for PTD staff to limit the number of persons able to sign up for each training class.
- 1.1.1.1.4.2e Notify Applicants (Priority: Low)**  
The system will provide a mechanism for PTD staff to notify applicants of one or more published training events in one notification email.
- 1.1.1.1.4.2f Publish Training Event (Priority: Low)**  
The system will provide a mechanism for PTD staff to publish an established Training Event for applicant registration purposes.
- 1.1.1.1.4.2g Register for Training (Priority: Low)**  
The system will provide a mechanism for subrecipients to register for established future training events.

#### **1.1.1.1.4.3: Conduct Training**

Description: PTD staff will provide a hands-on training session for attendees on how to apply for the grants and the requirements associated with receiving a grant under the Consolidated Grant Program.

Timing: Mid biennium, typically August/September of the even numbered years

Participants: Identified Trainers and attendees

Rationale: To provide an opportunity for those who want/need training on application process and associated requirements

Inputs: Training Curriculum

Outputs: Completed Training Class

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.1.1.4.3a Record Attendance (Priority: Low)**  
The system will provide a mechanism for the trainer or attendees to electronically record their attendance during the training event (by attendees), or at any time by the trainer.

#### **1.1.1.1.4.4: Class Delivered**

The Consolidated Grants Applicant's Training has been delivered

#### 1.1.1.1.5: Applicants Prepare Applications

Description: Applicants complete the grant application form and attach necessary supporting documentation. The applications are then submitted to PTD for review. If the application is returned with recommended changes, the applicant may incorporate the changes and resubmit.

Timing: Any time following the announcement of the call for projects

Participants: Applicant

Rationale: For applicants to request grant funding

Inputs: The applicants proposed project scope, schedule, budget and responses to the application questions.

Outputs: [Properly submitted grant applications with attachments](#)

Notes: Someone from PTD will need to set up the Subrecipient to have access to the system if they don't already. The Subrecipient fills out the forms and uploads attachments such as:

- Cost Allocation Plan
- In Kind Plan
- Letters of Support

Note that some attachments are required and others are optional.

##### GMS Requirements/Business Rules Associated with this Activity

- |                   |   |
|-------------------|---|
| <b>1.1.1.1.5a</b> | <b>Applicant Completes Form Details</b> (Priority: Mandatory)<br>The system will provide a mechanism for applicants to enter the requested data in each field of the application form, some fields dependent on, and some independent of, project type.               |
| <b>1.1.1.1.5b</b> | <b>Applicant Selects Project Type</b> (Priority: Mandatory)<br>The system will provide a mechanism for applicants to select the type of project for the application.<br><br>Example: Capital, Operating, Mobility Management.   |
| <b>1.1.1.1.5c</b> | <b>Auto-total number groupings</b> (Priority: Mandatory)<br>The system will automatically calculate and display the total of a group of related numbers. For example: Revenues used for local match, project expenses, etc.   |
| <b>1.1.1.1.5d</b> | <b>Autopopulate Subrecipient Facts</b> (Priority: Mandatory)<br>When a new application is initiated by an applicant, the system will auto-populate basic data about the applicant from their subrecipient profile.<br><br>Examples: Legal Name, Address, DUNS #, etc. |
| <b>1.1.1.1.5e</b> | <b>Balanced Budget</b> (Priority: Mandatory)<br>The system will not allow an applicant to submit an application for an operating project if there is a difference between the total of all expenses and the total of all revenues.                                    |
| <b>1.1.1.1.5f</b> | <b>Improvement Submission Deadline</b> (Priority: Mandatory)<br>The system will not allow applicants to modify their application after the final application deadline.  |
| <b>1.1.1.1.5g</b> | <b>Multiple projects per Applicant</b> (Priority: Mandatory)<br>The system will provide a mechanism for applicants to initiate a separate application for each project.   |
| <b>1.1.1.1.5h</b> | <b>New Application Submission Deadline</b> (Priority: Mandatory)<br>The system will not allow the applicant to submit a new application after the established submission deadline date and time.  |

**GMS Requirements/Business Rules Associated with this Activity**

**1.1.1.1.5i Select RTPO (Priority: High)**

The system will provide a mechanism for the applicant to choose the RTPO for the project.

Rationale: Some subrecipients serve multiple Regions. This selection will be used during RTPO rankings of the Evaluation Process.

**1.1.1.1.5j Start New Application (Priority: Mandatory)**

The system will provide a mechanism for applicants to initiate a new application using the published Consolidated Application Form.

**1.1.1.1.6: Submission Review**

Description: PTD reviews all applications for content, proposed scope of work, and budget; then provides feedback/comments to the applicants

Participants: Applicants, Community Liaisons, Business Services staff.

Rationale: To ensure that the projects and applicants are eligible, the application as submitted does not contain a "Fatal Flaw", and that the proposed scope, schedule and budget appears to be reasonable and complete.

Timing: Starts upon the submission of the first application and continues through the final deadline.

Inputs: Submitted grant applications and status of current grants for continuing projects.

Outputs: Comments to applicants and finalized applications

Notes: The application gets logged when first submitted and assigned a unique identifying project number for tracking purposes throughout the lifecycle of the proposed project.

**GMS Requirements/Business Rules Associated with this Activity**

**1.1.1.1.6a Easily Find Changes Made (Priority: Medium)**

The system will provide a mechanism for PTD staff to identify what changes were made on all applications resubmitted after returning to the applicant.

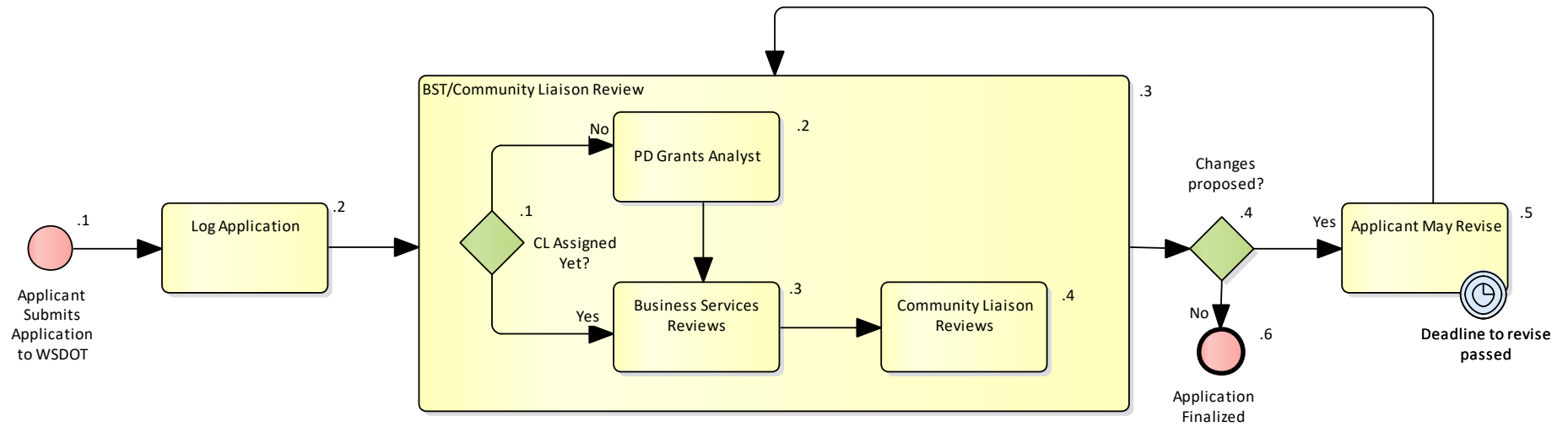
**1.1.1.1.6b Final Submittal Deadline (Priority: Mandatory)**

The system will not allow PTD staff to return the application for changes after the final deadline.

## Submission Review

Name: Submission Review  
Package: PTD Grant Process Map  
Version: 9/6/2016  
Author: GMS Team

1.1.1.1.6



#### **1.1.1.1.6.1: Applicant Submits Application to WSDOT**

Applications were submitted by applicants

#### **1.1.1.1.6.2: Log Application**

Description: PTD maintains a record of all applications submitted for funding

Timing: upon submission of a grant application

Participants: Applicants

Rationale: To provide formal documentation for the Consolidated Grant Application Process

Inputs: Applicant Profile and submitted application(s)

Outputs: [An application log](#)

#### **1.1.1.1.6.3: BST/Community Liaison Review**

Description: PTD staff review the application and attachments submitted by the applicant

Timing: Following the submission of a grant application or a resubmission following a correction.

Participants: Business Services Team (BST) and Community Liaison (CL) and the PD Grants Analyst

Rationale: To ensure the application is complete, the budget appears appropriate, and the application contains no fatal flaw(s)

Inputs: Submitted grant application

Outputs: [Internal Review Completed](#) - Comments and/or concurrence by BST and CL.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.1.1.6.3a Fatal Flaw (Priority: High)**

The system will provide a mechanism for each proposed correction noted by BST or the CL to be designated as being a fatal flaw or not a fatal flaw.

##### **1.1.1.1.6.3b Fatal Flaw Report (Priority: Medium)**

The system will provide a mechanism for the BST and CL to generate a report listing all applications containing fatal flaws.

##### **1.1.1.1.6.3c Restrict Application Finalization (Priority: High)**

The system will provide a mechanism to restrict finalization of an application by PTD staff (sent forward for grant evaluation) if any fatal flaws are outstanding.

#### **1.1.1.1.6.3.1: CL Assigned Yet?**

Has the Project Delivery Grants Analyst assigned a Community Liaison yet?

#### **1.1.1.1.6.3.2: PD Grants Analyst**

Description: The PD Grants Analyst reviews the application to determine the geographic location of the project and assigns the appropriate community liaison.

Timing: Following the submission of a grant application.

Participants: Project Delivery Grants Analyst

Rationale: To ensure the projects are assigned to community liaisons responsible for their geographic area

Inputs: Submitted grant application, pre-defined [Community Liaison geographic areas of responsibility](#)

Outputs: CL is assigned



### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.1.1.1.6.3.2a Assign CL (Priority: High)**

The system will provide a mechanism for the Grants Analyst to assign a Community Liaison to each grant application.

Rationale: We don't want all CLs to have to wade through all grant applications searching for applications within their assigned geographic area. We had 180 applications during the last consolidated cycle.

#### **1.1.1.1.6.3.3: Business Services Reviews**

Description: The Business Services Team reviews the operating or capital budgets and the equipment requested, for each submitted application and forwards the application, with comments to the appropriate Community Liaison.

Timing: Following the submission of a grant application or a resubmission following a correction.

Participants: Business Services Team

Rationale: To ensure the budget is appropriate and the budget section is properly completed

Inputs: Submitted grant application

Outputs: Comments and/or concurrence by BST.

#### **1.1.1.1.6.3.4: Community Liaison Reviews**

Description: The Community Liaison reviews project details and records any comments for changes needed. If changes are identified, the CL returns the application to the applicant with requested and/or required changes; in this case the CL will advise the applicant whether any change is optional or required to correct a "Fatal Flaw". If no changes are suggested, the CL will finalize the grant application.

Timing: Following the Business Services review

Participants: Community Liaison

Rationale: To ensure that the application submitted meets PTD's requirements and the project is eligible for funding under the Consolidated Grants Program.

Inputs: Comments from BST and the application

Outputs: Either a finalized application or the application returned to the applicant with comments.

#### **1.1.1.1.6.4: Changes proposed?**

Were changes recommended by either the Community Liaison or the Business Services Team?

#### **1.1.1.1.6.5: Applicant May Revise**

Description: If PTD identified changes, the applicant may revise changes based on the comments sent to them by the Community Liaison.

Timing: Following the return of an application for changes

Participants: Grant applicant

Rationale: To ensure the application meets PTD standards and the correction of any fatal flaws that may cause the application to be rejected.

Inputs: Comments from the Community Liaison and the original grant application

Outputs: Resubmittal of a grant application

Notes: Fatal flaws must be fixed or the application will be rejected by PTD for evaluation and award purposes. Other proposed changes by WSDOT are optional.

### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.1.1.1.6.5a Edit Application (Priority: Mandatory)**

The system will provide a mechanism for the applicant to edit the application and re-submit it to PTD for review.

**GMS Requirements/Business Rules Associated with this Activity**

**1.1.1.1.6.5b Log Changes Made by Applicant (Priority: Medium)**

The system will record what data elements were changed by the applicant.

Rationale: It is difficult for PTD to identify changes made by the applicant. If the application is 10-20 pages long, it will take PTD staff time to compare the old to the new application.

Further PTD discourages changes to project details after the initial review. The intent is that changes be made only to sections of the application identified by PTD staff.

**1.1.1.1.6.6: Application Finalized**

The application is acceptable and/or the final deadline has passed.

**1.1.1.1.7: All Applications have been finalized**

The deadline for making any suggested changes has passed and all applications are now considered final. They may or may not have fatal flaws, but they are final.

**1.1.1.2: Consolidated Grant Evaluation Process**

Description: Once the applications have been finalized PTD manages a competitive evaluation process to develop a ranked list of projects and funding recommendations. Only applications finalized without fatal flaws are evaluated.

Timing: After all applications have been finalized (usually January of odd-numbered years).

Participants: PTD staff, grant evaluators, RTPO's

Rationale: To ensure fair and open competition for grant funds.

Inputs: Finalized applications without fatal flaws, evaluators, evaluation materials and instructions, evaluation criteria

Outputs: Final ranked list of projects

**GMS Requirements/Business Rules Associated with this Activity**

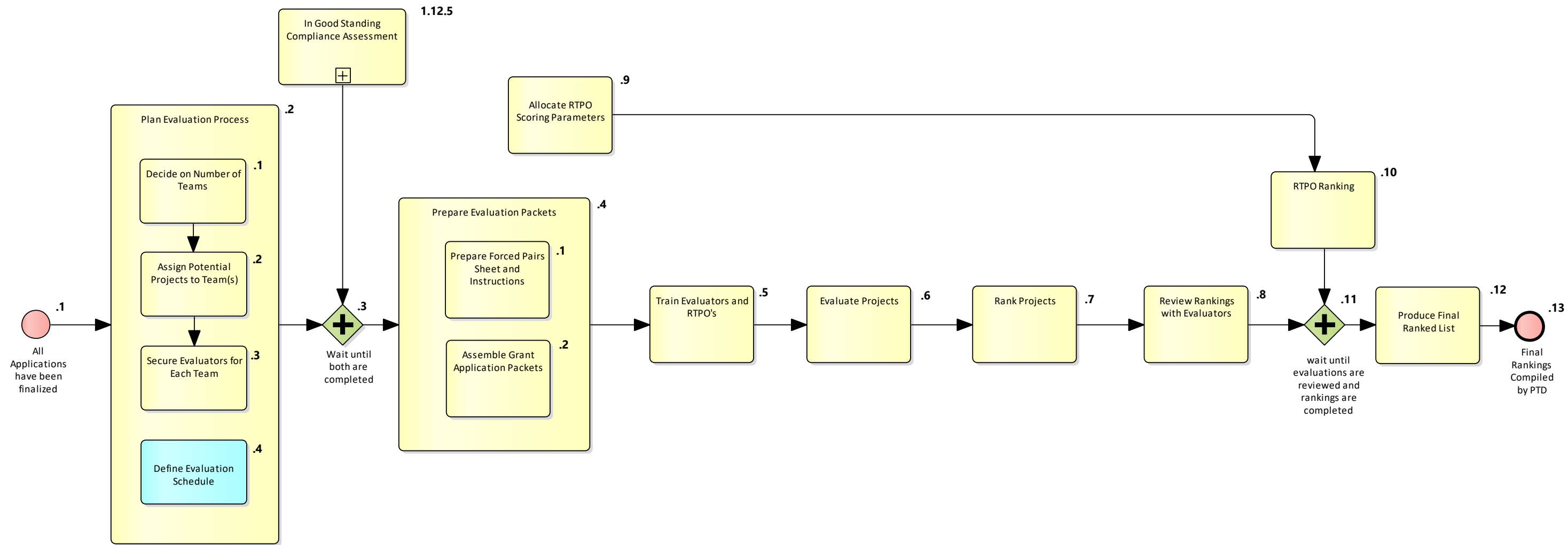
**1.1.1.2a Implement Consolidated Grant Evaluation Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

Consolidated Grant Evaluation Process

Name: Consolidated Grant Evaluation Process  
Package: PTD Grant Process Map  
Version: 5/11/2016  
Author: GMS Team

1.1.1.2



#### **1.1.1.2.1: All Applications have been finalized**

The deadline for making any suggested changes has passed and all applications are now considered final.

#### **1.1.1.2.2: Plan Evaluation Process**

Description: PTD establishes the number of teams needed, the projects assigned to each team and the evaluator members for each team.

Timing: Can start concurrent with the grant submittal process but cannot be completed until all applications are finalized.

Participants: PD Grants Analyst, PD Manager, Community Liaisons, Business Services Grants Analyst, BST Planner, potential evaluators

Rationale: To ensure a fair and equitable distribution of grant funds.

Inputs: Grant applications, Evaluator pool, grant funds available

Outputs: Evaluators Secured, [Evaluation Teams](#), and [application groupings](#)

##### **1.1.1.2.2.1: Decide on Number of Teams**

Description: PTD will determine the number of evaluation teams needed. Based on the number of applications received and the number available of evaluators, PTD assesses how many evaluations each team will have to read and compare. In some past cycles PTD has chosen to separate capital projects from operating projects for evaluation purposes.

Timing: After all applications have been finalized.

Participants: PD Grants Analyst and the BST Compliance Analyst

Rationale: To ensure fair and equitable evaluations are performed.

Inputs: [Log of finalized applications](#), standards identified in the [state management plan](#) for evaluator selection.

Outputs: Number of evaluators, and number of teams, and team makeup.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.1.2.2.1a Set up Each Team (Priority: Medium)**

The system will provide a mechanism for the PD Grants Analyst to identify the decided number of teams. Identification in the past has been numerical: e.g. team 1 through 5.

##### **1.1.1.2.2.2: Assign Potential Projects to Team(s)**

Description: PTD determines which potential projects will be assigned to each evaluation team.

Timing: Once the number of teams has been decided.

Participants: PD Grants Analyst, PD Manager

Rationale: To ensure that the evaluation workload is spread as evenly as possible to each evaluation team.

Inputs: The number of potential projects received, and the number of teams.

Outputs: Project Assignments

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.1.2.2.2a Assign Projects (Priority: Medium)**

The system will provide a mechanism for PTD staff to assign each project to an established evaluation team.

##### **1.1.1.2.2.2b Report of Unassigned Projects (Priority: Medium)**

The system will provide a mechanism for PTD staff to locate any applications that have not yet been assigned to an evaluation team.

#### **1.1.1.2.2.3: Secure Evaluators for Each Team**

Description: PTD recruits evaluators and assigns them to each of the teams.

Timing: Following the assignment of the projects/applications to each team

Participants: PD Manager, PD Grants Analyst

Rationale: To ensure that each team has qualified evaluators with no apparent conflicts of interest.

Inputs: Evaluator's organization, projects/applications assigned to the evaluation team, and the applicant's organizations (for conflict of interest avoidance).

Outputs: Evaluators assigned to each Team

Notes: PTD tries to have diverse representation on each team, and attempts to avoid conflicts of interest between evaluators and the applicant organizations.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.1.2.2.3a Associate Evaluator with a Team (Priority: Medium)**

The system will provide a mechanism for PTD staff to associate each evaluator with one of the defined teams in the system.

Note that this action will give an evaluator the right to see project application materials assigned to their team. Also note that a user id/password may or may not exist at this time for the evaluator.

##### **1.1.1.2.2.3b Identify Individual Evaluators (Priority: Medium)**

The system will provide a mechanism for PTD staff to identify evaluators in the system. (name, organization, contact info (email, phone).

Note: At this point an evaluator may not have a user id to get into the system.

#### **1.1.1.2.2.4: Define Evaluation Schedule (Out of Scope for GMS)**

Description: PTD establishes the evaluation process schedule; milestones are: evaluation kickoff meeting date, evaluation due date, post evaluation meeting date.

Timing: After applications have been finalized.

Participants: PD Grants Analyst, PD Manager

Rationale: To provide evaluators with their timeline and ensure that the evaluation process is completed in a timely manner.

Inputs: Number of teams, number of projects for each team, the number of forced pair comparisons to be performed (# of project times # of projects - 1).

Outputs: A schedule of milestone dates for the evaluation process.

#### **1.1.1.2.3: Wait until both are completed**

Before preparing the evaluation packets, the evaluation structure and Assessment of Applicant risk must be completed.

#### **1.1.1.2.4: Prepare Evaluation Packets**

Description: PTD staff prepares evaluation materials; this contains program priorities, instructions on the evaluation process and a list of the projects assigned to each team, the risk assessment for each applicant, a forced pairs ranking sheet, and a copy of all application materials associated with those projects.

Timing: After planning the evaluation process and completion of applicant risk assessments.

Participants: PD Grants Analyst, the Business Services Team

Rationale: To ensure that evaluators understand the evaluation process and have access to all the information they might need to complete their evaluations.

Inputs: Evaluation Plan, Finalized Applications, Risk Assessments

Outputs: [Completed evaluation packets](#)

#### **1.1.1.2.4.1: Prepare Forced Pairs Sheet and Instructions**

Description: PTD staff prepares a forced pair spreadsheet, for each team, containing a pairing of each application with all other applications given to the team.

Timing: After completing evaluation planning and applicant risk assessments.

Participants: PD Grants Analyst

Rationale: To provide evaluators a tool for project selection.

Inputs: A list of applications assigned to each team

Outputs: [Forced pairs sheets](#) and [Instructions](#).

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.1.1.2.4.1a Forced Pairs Sheet (Priority: Medium)**

The system will generate a data-entry screen, customized for each team, that pairs one application with every other application assigned to the team; the screen will allow evaluators to select only one application from each pair.

#### **1.1.1.2.4.2: Assemble Grant Application Packets**

Description: PTD prepares an electronic package for each team containing program priorities, instructions on the evaluation process, a list of the projects assigned to each team, the risk assessment for each applicant, and a copy of all application materials associated with those projects.

Timing: After completing evaluation planning and applicant risk assessments.

Participants: PD Grants Analyst and designee.

Rationale: To provide evaluators with documentation needed in a consistent format.

Inputs: Identification of which team each application is assigned to, Grant applications with attachments, applicant risk assessments, program priorities, list of applications assigned to each team.

Outputs: [Assembled application packet](#) for each team

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.1.1.2.4.2a Assemble Packet (Priority: Medium)**

The system will automatically assemble (for later use by an evaluator) the following: the evaluation process instructions, project list for their team, risk assessments for each application, copy of each application including attachments.

#### **1.1.1.2.4.2b Spot Check Evaluation Packets (Priority: Medium)**

The system will provide a mechanism for PTD staff to preview all artifacts (and their contents) contained in each evaluation packet that will be provided to the evaluators in a future step.

#### **1.1.1.2.4.2c Team Application Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report showing an application list for each team.

#### **1.1.1.2.5: Train Evaluators and RTPO's**

Description: PTD provides training to evaluators on the use of forced pairs process and the statewide program criteria. PTD provides training to RTPO's on assigning the local ranking to each project within the new GMS.

Timing: Following preparation of evaluation packets.

Participants: PTD, Evaluators and RTPO representatives

Rationale: Ensure evaluators and RTPOs understand the ranking processes and program goals.

Inputs: completed evaluation packets (B696)

Outputs: trained evaluators and RTPO representatives

#### 1.1.1.2.6: Evaluate Projects

Description: Evaluators review the application materials and perform the forced pairs process.

Timing: Following the training.

Participants: Evaluators

Rationale: To perform the evaluation process in preparation for selecting projects to be funded.

Inputs: [Evaluation packets](#)

Outputs: Evaluated projects, [completed forced pairs sheets](#)

##### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.1.2.6a      Comment on Project (Priority: Medium)**  
The system will provide a mechanism for evaluators to record their comments regarding each project assigned to their team.
- 1.1.1.2.6b      Restrict RTPO Score (Priority: Medium)**  
The system will not allow an evaluator to view the RTPO's score while evaluating any project.
- 1.1.1.2.6c      Restrict View (Priority: Medium)**  
The system will allow an Evaluator to view only the projects assigned to their team.
- 1.1.1.2.6d      Review and Score (Priority: Medium)**  
The system will provide a mechanism for the evaluators to review and score each project pair assigned to their team.
- 1.1.1.2.6e      Score All Pairs (Priority: Medium)**  
The system will not allow an evaluator to submit their score to PTD until all pairs have been scored.
- 1.1.1.2.6f      Select one Project from Each Pair (Priority: Medium)**  
The system will provide a mechanism for each evaluator to select one project from each pair of projects assigned to their team.  
  
Rationale: for ranking purposes, one must be selected as higher in value than another.

#### 1.1.1.2.7: Rank Projects

Description: PTD computes a score for each project based on the percentage of the number of times a project was selected by evaluators compared to the number of times it could have been selected in the forced pairs process

Timing: Following receipt of all evaluator's scores.

Participants: PTD Grants Analyst

Rationale: To prepare a ranked list in preparation for selecting projects to be awarded.

Inputs: [Forced pairs results](#)

Outputs: Scored projects, [Ranked Project List Report](#)

##### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.1.2.7a      Compute Score for each Project (Priority: Medium)**  
The system will compute the score for each project based on the percentage of the number of times a project was selected by evaluators compared to the number of times it could have been selected in the forced pairs process.
- 1.1.1.2.7b      Preliminary Ranked List Report (Priority: Medium)**  
The system will provide a mechanism for PTD staff to compile a preliminary ranked list of applications based on evaluator scores for all teams, highest at the top.  
  
Note: this report includes only evaluator scoring (not RTPO scores).

#### **1.1.1.2.8: Review Rankings with Evaluators**

Description: PTD meets with all evaluators to review the resulting scores and the preliminary ranked list to obtain comments from the evaluators.

Timing: After ranking the projects.

Participants: Evaluators, PD Grants Analyst, & PD Manager

Rationale: For projects that will not be funded it is important that we receive feedback on why a project was not scored highly. Additionally, if there are wide variations between evaluator scores, we need to know the rationale for the discrepancy. Occasionally we may have more funds from a particular source than eligible projects for that source; it is important to know which projects should not be funded and why.

Inputs: Evaluator scores and [ranked project list](#).

Outputs: Comments from evaluators on each project.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.1.2.8a Add Evaluator Feedback (Priority: Medium)**

The system will provide a mechanism for PTD staff to add comments to each project based on evaluator feedback.

#### **1.1.1.2.9: Allocate RTPO Scoring Parameters**

PTD reviews the demographics of rural and special needs populations (gross # and per capita) within each RTPO area and determines the number of projects that can be listed in each of the top 3 rating categories (A, B, C, D).

Timing: Prior to the beginning of the evaluation process.

Participants: PD Grants Analyst, PD Manager and RTPOs

Rationale: To ensure that local funding priorities are considered prior to awarding projects.

Inputs: Population outside the urbanized boundaries, and/or persons with special needs (over 65, veterans, people with disabilities, school aged children)

Outputs: Allocated rating categories by RTPO.

Notes: This process may be redefined for next biennium.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.1.2.9a Assign Maximum Projects by Category (Priority: Medium)**

The system will provide a mechanism for PTD staff to enter the maximum number of projects by RTPO for each Rating category.

Example: 3 A's, 3 B's, 1 C and unlimited D's.

Note: these counts will restrict each of the RTPO's when entering their rankings.

#### **1.1.1.2.10: RTPO Ranking**

Description: Each RTPO reviews all projects in their region and assigns a priority score of A, B, C or D for each project. (A-50; B-25; C-12, D-zero percentage points) The RTPO advises PTD on their score for each project.

Timing: After applications have been finalized but prior to finalizing the ranked listing.

Participants: RTPO committees

Rationale: To ensure that PTD incorporates local priorities when making funding decisions

Inputs: Human Services Transportation Plans, the number of A's, B's, C's and D's allowed for each RTPO, the applicant's project information.

Outputs: Local project rankings provided to PTD.

Notes: RTPO rankings must be kept confidential until after the evaluator rankings are completed.



#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.1.2.10a Restrict Rankings by Category (Priority: Medium)**  
The system will restrict data entry of RTPO rankings to the number allocated to each category for that RTPO. (see prior step in the process)
- 1.1.1.2.10b Restricted View (Priority: Medium)**  
The system will restrict RTPO's to view only the projects assigned to them.
- 1.1.1.2.10c RTPO's Rank Projects (Priority: Medium)**  
The system will provide a mechanism for RTPO representatives to enter the local priority for each application in their area.

#### **1.1.1.2.11: wait until evaluations are reviewed and rankings are completed**

#### **1.1.1.2.12: Produce Final Ranked List**

Description: PTD prepares the final ranked list of projects. The final ranked score for each project is computed by adding the sum of evaluator scores with the translated score from the RTPO. Each project is then ordered by final ranked score, highest score at the top of the list.

Timing: After evaluator scores and RTPO rankings are received.

Rationale: Awards are based on the final ranked list of projects.

Participants: PTD Grants Analyst or their designee

Inputs: RTPO Rankings, Evaluator scores, rules for translating RTPO rankings to a numeric score.

Output: A final [ranked list of Projects](#) for use in the award process.

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.1.2.12a Compile Scores (Priority: Medium)**  
The system will compute the score of each project by summing the evaluator's scores with the translated score from the RTPO ranking.
- 1.1.1.2.12b Produce Ranked List Report (Priority: Medium)**  
The system will provide a mechanism for PTD to generate a report that compiles all of the scores and produces a final ranked list of projects.

#### **1.1.1.2.13: Final Rankings Compiled by PTD**

The Evaluator scores and RTPO ranking for each project have been combined to form a final ranked list of projects.

#### **1.1.1.3: Consolidated Grant Award Process**

Description: PTD makes grant awards, coordinating with PSRC and with budget input from the legislature and governor's office

Timing: Following the Grant Evaluation Process and receipt of a preliminary proposed budget from the legislature

Participants: Project Delivery staff, Business Services staff

Rationale: To complete the award process and communicate final award status with each applicant

Inputs: Final ranked list of projects, Funding available by source, Legislature's proposed budget, Governor's signed budget, anticipated apportionments, PSRC negotiated awards, project eligibility for each funding source

Outputs: Funded grants, Award letters, Denial Letters, list of unfunded projects

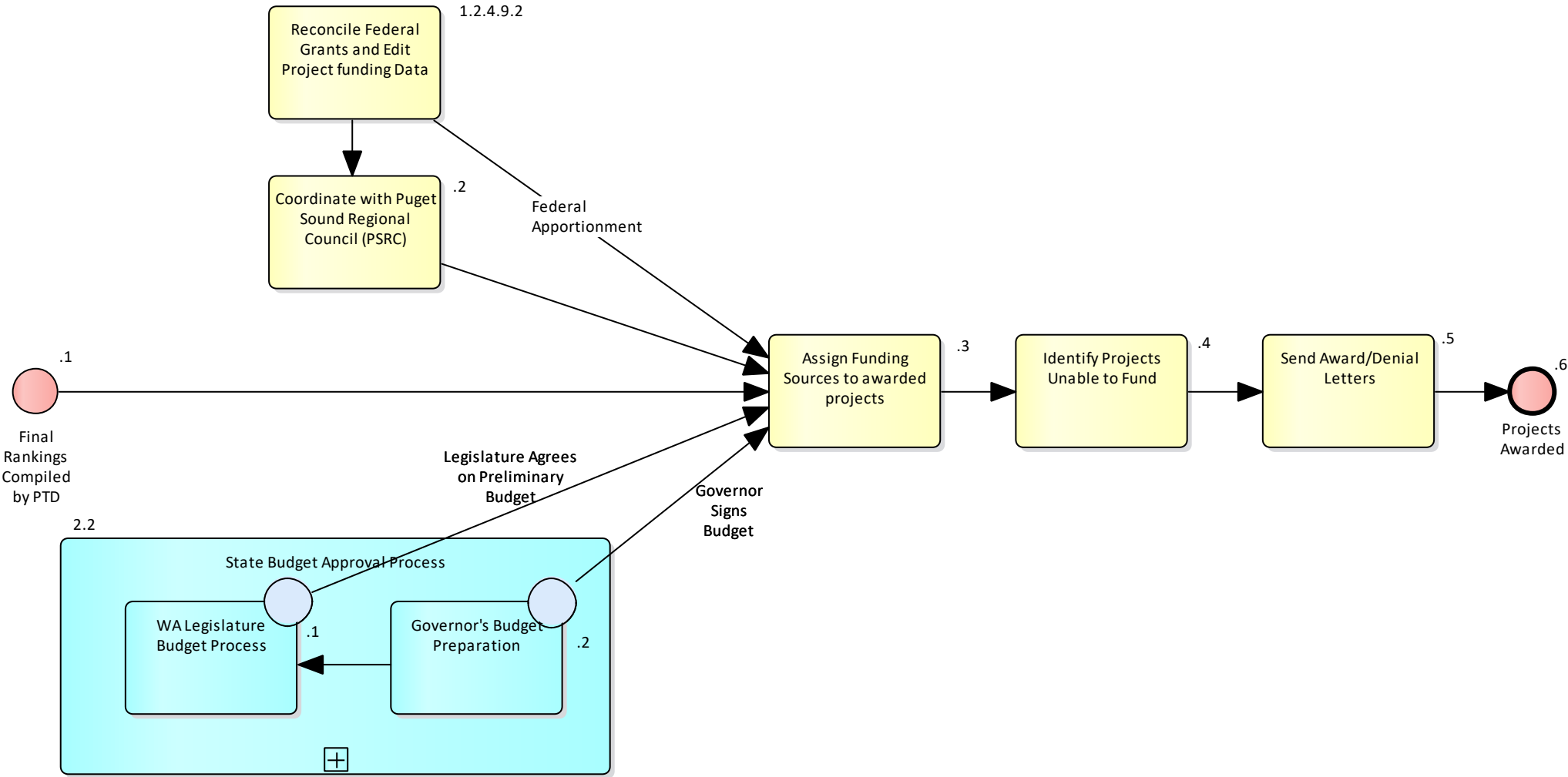
#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.1.3a Implement Consolidated Grant Award Workflow (Priority: Medium)**  
The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

Consolidated Grant Award Process

Name: Consolidated Grant Award Process  
Package: PTD Grant Process Map  
Version: 5/11/2016  
Author: GMS Team

1.1.1.3



#### 1.1.1.3.1: Final Rankings Compiled by PTD

The Evaluator scores and RTPO ranking for each project have been combined to form a final ranked list of projects

#### 1.1.1.3.2: Coordinate with Puget Sound Regional Council (PSRC)

Description: The Project Delivery Manager coordinates with PSRC regarding projects submitted that are within PSRC's jurisdiction to determine which agency will fund the project and how much will be funded by each.

Timing: After federal grants have been reconciled/updated.

Participants: Project Delivery Manager and PSRC representative.

Rationale: Some applicants submit grant requests to both organizations for the same project; coordination is necessary to avoid duplicate funding

Inputs: Projects within PSRC jurisdiction; available grant funding from all sources; PSRC [Program Tracking Report](#)

Outputs: Agreed funding sources and amounts for each PSRC/WSDOT overlapping project

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.1.1.3.2a Generate Program Tracking Report (Priority: Medium)

The system will provide a mechanism for PTD staff to generate a Program Tracking Report for the PSRC grant funds.

#### 1.1.1.3.3: Assign Funding Sources to awarded projects

Description: PTD assigns eligible funding to each project, starting with the highest ranked projects, until all eligible funding sources are exhausted. During this process we review the type of subrecipient, the type of project, the target population to be served and the organization's experience in managing FTA grant funds to determine the most appropriate funding source(s).

Timing: This activity begins as soon as:

- Final rankings have been established by PTD staff
- Following reconciliation of the Federal Grants and the WA state legislature (house and senate) has each proposed a budget (when funding doesn't agree we use the more conservative numbers)

This activity cannot be finalized until:

- The Governor has signed the state budget
- PTD and PSRC agree on funding for projects in PSRC's jurisdiction
- WSDOT Executive management approves

Participants: Business Services staff and PD staff

Rationale: To make the most efficient use of grant funds and ensure that subrecipients and projects are eligible for assigned funds.

Inputs: Federal funding, State funding, [Subrecipient grant applications](#), [Final rankings](#), [Subrecipient risk assessments](#), [Master Funding Sheet](#)

Outputs: [Grant Awards](#)

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.1.1.3.3a Limit Applicant Types for each Funding Source (Priority: Medium)

The system will only allow a funding source to be used if the applicant has been designated with an applicant type allowed by the funding source.

#### 1.1.1.3.3b Limit to Funding Availability (Priority: Medium)

The system will not allow PTD to assign funds greater than what is available in the funding source.

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.1.3.3c Limit to Project Types for each Funding Source (Priority: Medium)**  
The system will allow a funding source to be used if, and only if, the project has been designated with a project type allowed by the funding source.
- 1.1.1.3.3d Manage Applicant - Applicant Type Association (Priority: Medium)**  
The system will provide a mechanism for PTD staff to associate an applicant with only one applicant type.  
(e.g. Mason Transit is a "Local Transit" applicant type; Catholic Community Services is a "Private Non Profit" applicant type)
- 1.1.1.3.3e Manage Applicant Types (Priority: Medium)**  
The system will provide a mechanism for PTD staff to manage the list of active Applicant Types.
- 1.1.1.3.3f Manage Funding Source - Applicant Type Association (Priority: Medium)**  
The system will provide a mechanism for PTD staff to associate a funding source with one or more applicant types.  
(e.g. Paratransit/Special Needs Competitive (a funding source) can only fund "Private Non Profit" applicant type)
- 1.1.1.3.3g Manage Funding Source - Project Type Association (Priority: Medium)**  
The system will provide a mechanism for PTD staff to associate a funding source with one or more project types.  
(e.g. FTA 5339 Funds (a funding source) can only fund Capital project types)
- 1.1.1.3.3h Manage Project Types (Priority: Medium)**  
The system will provide a mechanism for PTD staff to manage the list of active Project Types.
- 1.1.1.3.3i Master Funding Sheet (Priority: Medium)**  
The system will provide a specialized data entry sheet that allows PTD to assign funding, during its award process, from any available source to any final ranked project. In 2017, for example, this means 175 projects and 9 funding sources.

#### **1.1.1.3.4: Identify Projects Unable to Fund**

Description: PTD identifies those projects on the ranked list that either fell below the available funding or did not meet WSDOT standards.

Timing: After assigning funding sources to awarded projects

Participants: PTD Business Services staff in coordination with the Project Delivery staff

Rationale: To maintain a formal record of unfunded projects.

Inputs: [Final ranked list of projects and the list of funded projects](#)

Outputs: A list of [projects PTD was unable to fund](#)

Notes: This list does not include those with fatal flaws; they were removed earlier in the process and were not forwarded for evaluation.

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.1.3.4a Unfunded Project Report (Priority: Medium)**  
The system will provide a mechanism for PTD staff to generate a report that lists all unfunded projects for a specific funding cycle.

#### 1.1.1.3.5: Send Award/Denial Letters

Description: All applicants that submitted projects that were accepted by PTD during the Grant Application Process are notified of award or denial. Currently the notification goes out as a formal letter.

Timing: Following identification of unfunded projects.

Participants: PD Grants Analyst and PD Manager.

Rationale: Applicants need to know WSDOT's decision whether or not to fund their project for business planning purposes.

Inputs: [Grant Selection results](#) and grant applications

Outputs: [Award/Denial Letter](#)

Notes:

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.1.1.3.5a Generate Award and Denial Letters (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to either create a mailing or to export in a format that can be used to generate the mailing with another product.

#### 1.1.1.3.6: Projects Awarded

Awarded projects have been identified and award letters sent to applicants.

#### 1.1.2: Formula Grant Process

Description: WSDOT Formula Grant Program provides grant funds to transit agencies based on two formulas:

Paratransit Special Needs Formula - Calculated each biennium based on their level of demand response and route deviated service during the prior year as reported in the Public Transportation Statistical Summary.

Rural Mobility/Sales Tax Equalization Formula - Calculated annually based on the sales tax collections per capita for each transit vs statewide per capita average.

Each Transit agency awarded formula funds must notify PTD what the funds will be used for.

Timing: Paratransit/Special Needs Formula - Biennially; Rural Mobility Formula - Annually. This may be repeated mid biennium if the legislature adds more funding to the program(s).

Participants: Community Liaisons and Transit agency subrecipients

Rationale: Formula application is mandated by the State Legislature

Inputs: Signed Governor's budget, distribution formulas, and subrecipient project details

Outputs: Formula Funds awarded

Notes: Subrecipients of formula funds may either create a new project or use the funding to supplant local match on a grant project awarded under the consolidated process; if the consolidated process contract has already been executed, an amendment will be created, not a new contract during contract development.

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.1.2a Award Formula Funds (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to record the awarding of formula grant funds.

Note that this may take the form of a contract amendment for an already existing project, or a new contract/project. In either case it is then forwarded for contract development.

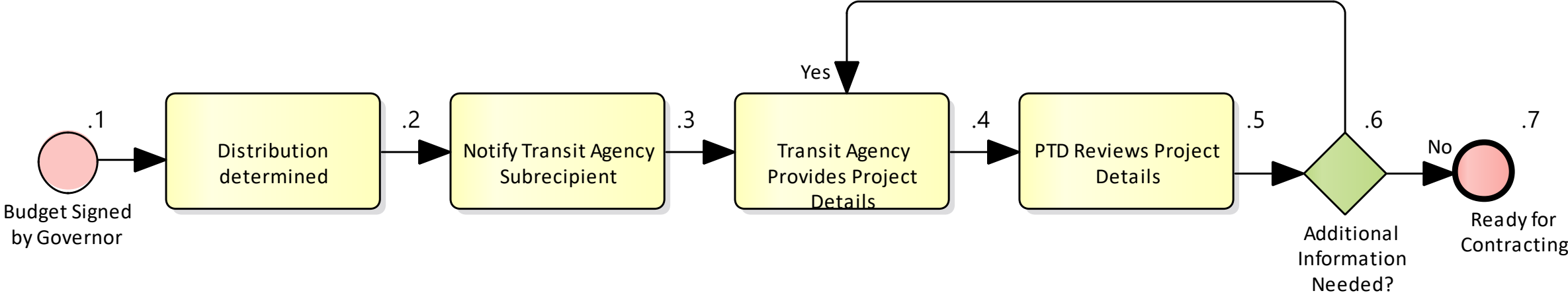
#### **1.1.2b Implement Formula Grant Workflow (Priority: Mandatory)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

Formula Grant Process

Name: Formula Grant Process  
Package: PTD Grant Process Map  
Version: 3/29/17  
Author: GMS Team

1.1.2



### 1.1.2.1: Budget Signed by Governor

### 1.1.2.2: Distribution determined

Description: PTD calculates the amounts to be distributed to each transit agency based on the pre-defined formula for each funding source (Rural Mobility Transit Formula Program and Special Needs Transit Formula Program).

Timing: Following the Governor's signature on the biennial budget and again for the mid biennium supplemental budget if funds are added to the program(s)

Rationale: To make funds available to subrecipients

Participants: PTD staff

Inputs: Prescribed formula and funding amounts identified in the budget

Outputs: [Allocation to each transit agency determined](#)

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.2.2a      Awarded Funds Report   (Priority: Mandatory)**

The system will provide a mechanism for PTD to generate a report that identifies the amount of funds in each funding source awarded to each transit agency.

##### **1.1.2.2b      Enter Awarded Amount   (Priority: Mandatory)**

The system will provide a mechanism for PTD to enter the award for each project and applicant.

### 1.1.2.3: Notify Transit Agency Subrecipient

Description: PTD notifies each transit agency of the additional amount awarded to them and requests that each transit agency provide project details for the award(s).

Timing: Following determination of funding amounts for each transit agency

Rationale: Transit agencies need to be made aware of the funding available to them and PTD needs project details in order to create either a new contract, add a project to an existing contract, or add the funding to an existing project that may or may not already be under contract.

Participants: Community Liaisons

Inputs: [Funding amount and source\(s\) for each transit agency](#)

Outputs: Notification sent

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.2.3a      Notify Subrecipient   (Priority: Medium)**

The system will provide a mechanism for PTD staff to send a notification to each transit agency subrecipient that includes the amount from each source awarded to them and a request to provide WSDOT with project details.

#### **1.1.2.4: Transit Agency Provides Project Details**

Description: The transit agency subrecipient notifies PTD of the project details for each funding source and their intentions for either a new project, add the funds to an existing project and whether or not the funds will be used to supplant local match provided for the existing project.

Timing: Following PTD notifying them of the funding award

Rationale: Project details and intent are needed to feed the contracting process

Participants: Transit agency subrecipients

Inputs: Funding award amount(s) and project details

Outputs: [Project details submitted](#) to PTD

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.2.4a Provide Project Details (Priority: High)**

The system will provide a mechanism for the transit agency subrecipient to provide project details for each funding source awarded and/or identify an existing project that the funds will be added to.

#### **1.1.2.5: PTD Reviews Project Details**

Description: PTD staff review the project details and either approves them as submitted or returns them to the subrecipient with comments for additional information

Timing: Following receipt of the project details

Rationale: To ensure that the requested use of the funds is eligible

Participants: Community Liaisons

Inputs: [Project details](#) and state regulations governing the use of the funds

Outputs: Project details ready for contracting or returned to the subrecipient

#### **1.1.2.6: Additional Information Needed?**

#### **1.1.2.7: Ready for Contracting**



### 1.1.3: PSRC Grant Process

Description: PSRC awards FTA 5310 grant funding for projects to be administered by WSDOT. PSRC's grant process is independent of WSDOT's consolidated grant award process.

PSRC notifies WSDOT of awards and provides project details (scope, budget, subrecipient). PTD records the awards in the system and assigns funding sources. WSDOT coordinates with PSRC to agree on funding source assignments. This results in either a new project or funding added to a project awarded under the consolidated process.

Timing: Begins July/August of even years. (Coinciding with WSDOT's Consolidated process)

Participants: PSRC staff, PSRC Grant applicant and PTD staff

Rationale: PSRC is the designated recipient for large urban 5310 funding in the Seattle Urbanized Area. WSDOT has agreed to administer grant awards made to non-profits on behalf of PSRC.

Inputs: Awarded [PSRC grant applications to non-profits: awarded funding and scope of each project](#).

Outputs: PSRC Grant award entered into GMS

Notes: Any PSRC grant awards whose project overlaps with a consolidated grant award are treated as one project under one contract with WSDOT. That contract may have other projects with the same subrecipient.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.1.3a Enter PSRC awards (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to record the awarding of PSRC grant funds.

Note that this may take the form of modifying funding of an existing project submitted under the consolidated program, or creation of a new project. In either case the project is then forwarded for contract development.

### 1.1.4: USDOT NOFA Grant Application Process

Description: PTD applies to FTA for discretionary funds on behalf of interested transportation providers in response to a notice of funding opportunity issued by USDOT. Transportation providers provide project details that PTD consolidates into one or more funding requests. FTA may fund none, some, or all projects submitted.

Timing: NOFA announcement dates are not predictable, and could happen at any time when USDOT decides to make funding available.

Participants: Business Services Team, Federal Grant Opportunities Team, subrecipients

Rationale: By USDOT rules, rural transit systems and special needs transportation providers must apply through a state DOT to be eligible. Other agencies may also request that DOT apply on their behalf.

Inputs: NOFA requirements, application forms available on Grants.gov w/[SF424 supplemental form](#), subrecipient project scopes/budgets, support letters and attachments, notification of Grant Awards by FTA

Outputs: Funded and unfunded NOFA projects

Notes: The current NOFA process is being reviewed and may be subject to change

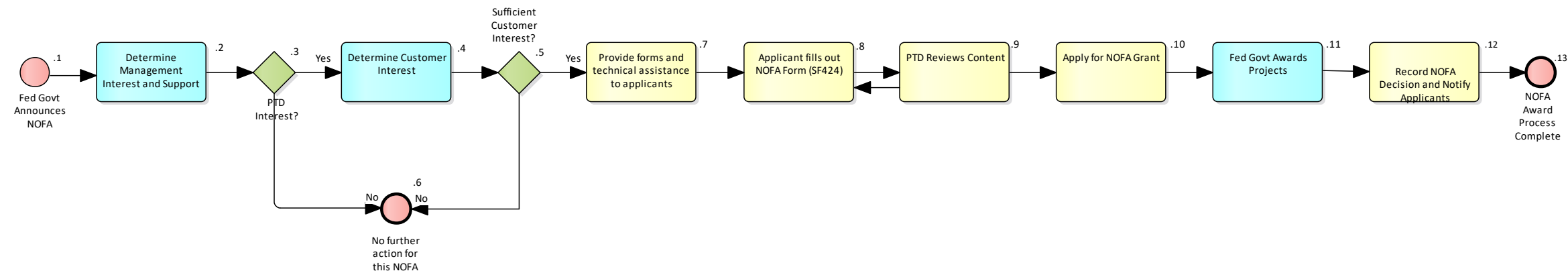
#### GMS Requirements/Business Rules Associated with this Activity

##### **1.1.4a Implement USDOT NOFA Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

USDOT NOFA Grant Application Process

Name: USDOT NOFA Grant Application Process 1.1.4  
Package: PTD Grant Process Map  
Version: 12/20/2016  
Author: GMS Team



#### **1.1.4.1: Fed Govt Announces NOFA**

FTA or other granting entity issues a NOFA - Notice of Funding Availability

#### **1.1.4.2: Determine Management Interest and Support (Out of Scope for GMS)**

Description: PTD staff engage the Management Team to determine management interest in pursuing funding available for a particular NOFA offering.

Timing: NOFA announcement dates are not predictable, and could happen at any time when USDOT decides to make funding available.

Participants: Federal Grants Opportunity Team, PTD Management Team

Rationale: To determine if WSDOT has sufficient resources and time to apply for a particular NOFA offering

Inputs: Published NOFA requirements, Staff availability

Outputs: Decision on whether or not to engage customers to determine interest in a particular NOFA offering.

#### **1.1.4.3: PTD Interest?**

#### **1.1.4.4: Determine Customer Interest (Out of Scope for GMS)**

Description: PTD reviews the Federal Register that describes the intent of the grant opportunity. PTD then conducts customer outreach to determine if there is sufficient customer interest for WSDOT to pursue the grant funding.

Timing: Following a decision by the Management Team to pursue the NOFA

Participants: Rural and/or small urban transit agencies, other rural and special needs transportation providers, Community Liaisons, Federal Grants Opportunity Team

Rationale: PTD will only devote staff resources to the NOFA application process if there is sufficient customer interest.

Inputs: NOFA requirements and list of eligible potential subrecipients

Outputs: List of interested potential subrecipients, if any. Decision to pursue or not.

#### **1.1.4.5: Sufficient Customer Interest?**

Is there sufficient customer interest in this NOFA?

#### **1.1.4.6: No further action for this NOFA**

PTD decided not to pursue this NOFA

#### **1.1.4.7: Provide forms and technical assistance to applicants**

Description: PTD staff provide the SF424 forms and technical assistance to prospective applicants. PTD downloads forms and their instructions from Grants.gov, assesses the needed content, provides the forms to prospective applicants and coaches them as necessary. PTD staff provide technical assistance to applicants in completing the forms.

Timing: Following the determination that there is sufficient customer interest.

Participants: Federal Grants Opportunity Team, Business Services Team, Community Liaisons, prospective subrecipients

Rationale: To ensure projects are eligible and provide guidance to subrecipients through the NOFA process

Inputs: [Downloaded SF424 form](#), [Downloaded SF424 Supplemental form](#), [NOFA requirements](#) and list of eligible projects

Outputs: Forms and technical assistance provided to prospective applicants

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.4.7a**

**NOFA Form stored (Priority: Medium)**

The system will provide a mechanism for PTD staff to store a copy of the SF424 in a shared location available to all subrecipient users.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.4.7b Notify Potential Applicants of NOFA (Priority: Medium)**

The system will provide a mechanism for PTD staff to issue a notification to all potential applicants that a NOFA is available, the deadline for submittal, the location of the NOFA Form, Instruction to complete the form and how to request technical assistance.

##### **1.1.4.8: Applicant fills out NOFA Form (SF424)**

Description: NOFA applicants complete the NOFA form SF424, attach any required or optional documents, and submit to PTD for review.

Timing: Following PTD's notification to subrecipients of a new NOFA process

Participants: Subrecipients

Rationale: Only the applicant has sufficient project knowledge to answer questions regarding their projects.

Inputs: [SF424 Supplemental form](#), Project details, milestones, and budget

Outputs: Completed SF424 form and attachments

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.4.8a Download SF424 Supplemental form from WSDOT (Priority: Medium)**

The system will provide a mechanism for subrecipients to download the SF424 Supplemental form for their use.

##### **1.1.4.8b Upload Completed SF424 (Priority: Medium)**

The system will provide a mechanism for subrecipients to upload their completed SF424 Supplemental form.

##### **1.1.4.9: PTD Reviews Content**

Description: PTD staff review each NOFA submittal for completeness and project eligibility. They can accept the application as-is or return it to the applicant with comments for improvements. WSDOT staff may provide expertise in answering questions

Timing: As applications are submitted to PTD; preferably one week before submittal deadline.

Participants: Federal Grants Opportunity Team within PTD

Rationale: To improve quality of applications and ensure project is eligible for funding

Inputs: Completed SF424 Supplemental forms and supporting attachments

Outputs: Finalized SF424 Supplemental forms with attachments or form returned to applicant with comments for changes

##### **1.1.4.10: Apply for NOFA Grant**

Description: PTD compiles all applications into one package and submits the application on grants.gov's website.

Timing: After all applications are finalized. Goal is to have this completed at least 3 days prior to NOFA submittal deadline.

Participants: Business Services Team (BST) and PTD's Federal Grants Opportunity Team

Rationale: The State is required to submit on behalf of rural transportation providers.

Inputs: Submittal deadline, finalized SF424 Supplemental forms and attachments

Outputs: Completed application accepted in Grants.gov

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.4.10a Export All Finalized NOFA applications/documentation (Priority: Medium)**

The system will provide a mechanism for PTD staff to export all finalized NOFA applications and associated attachments to a user-specified folder in PDF format; all associated documents for a given application must be grouped together for ease of identification and accessibility.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.4.10b NOFA Applicant Report (Priority: Medium)**

The system will provide a mechanism for PTD to generate a report that lists all applicants, project descriptions, and funding requested by each applicant, sorted by applicant name and then project name, to be used for the NOFA funding request.

##### **1.1.4.11: Fed Government Awards Projects (Out of Scope for GMS)**

Description: FTA or other USDOT administering agency evaluates all applications submitted nationwide; following their evaluation process they announce grant awards. WSDOT may receive funding for all, some, or none of the projects submitted under its NOFA application.

Timing: Typically 1-5 months after the submittal deadline

Participants: FTA or other USDOT administration

Rationale: USDOT competitively determines which submitted applications best meet the intent of the grant program

Inputs: Applications submitted by eligible agencies nationwide.

Outputs: Grant awards made to agencies nationwide.

##### **1.1.4.12: Record NOFA Decision and Notify Applicants**

Description: PTD staff review the listing of grant awards posted by USDOT on its website to identify which WSDOT submitted projects, if any, were funded. For each requested project PTD staff notifies the applicants of the status of their funding request. For those that were funded PTD staff record the award.

Timing: Following USDOT's announcement of NOFA awards.

Participants: PTD staff.

Rationale: To advise applicants of the status of their requests, and to forward funded projects to the contract development process.

Inputs: USDOT announcement of [NOFA awards](#).

Outputs: NOFA awards recorded in GMS.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.4.12a Generate Award and Denial Letters (Priority: Medium)**

The system will provide a mechanism for PTD staff to either create a mailing or to export award and denial letters in a format that can be used to generate the mailing with another product.

##### **1.1.4.12b Set Funded Amount (Priority: Medium)**

For funded projects, the system will provide a mechanism for PTD staff to enter the amount funded (which may be different than what was requested).

##### **1.1.4.12c Set NOFA Project Funding Status (Priority: Medium)**

The system will provide a mechanism for PTD staff to mark each project requested under a specific NOFA as either funded or not funded.

##### **1.1.4.13: NOFA Award Process Complete**

PTD has notified all applicants of the status of their NOFA funding request. Funded projects are ready for contracting.

### 1.1.5: TDM Grant Process

Description: PTD distributes Commute Trip Reduction (CTR) grants to jurisdictions affected by the CTR law. The amounts awarded to each are based on a formula ratified by the Commute Trip Reduction Board. Activities for each jurisdiction are based on an approved CTR plan.

Timing: Grant awards are made at the start of each biennium. CTR plans must be updated every four years.

Participants: PTD staff, CTR Board, Local Jurisdiction subrecipients

Rationale: To implement the CTR Efficiency Act (part of the Clean Air Act).

Inputs: CTR policies, distribution formula, Subrecipient plans, Governor's Budget

Outputs: CTR grants awarded

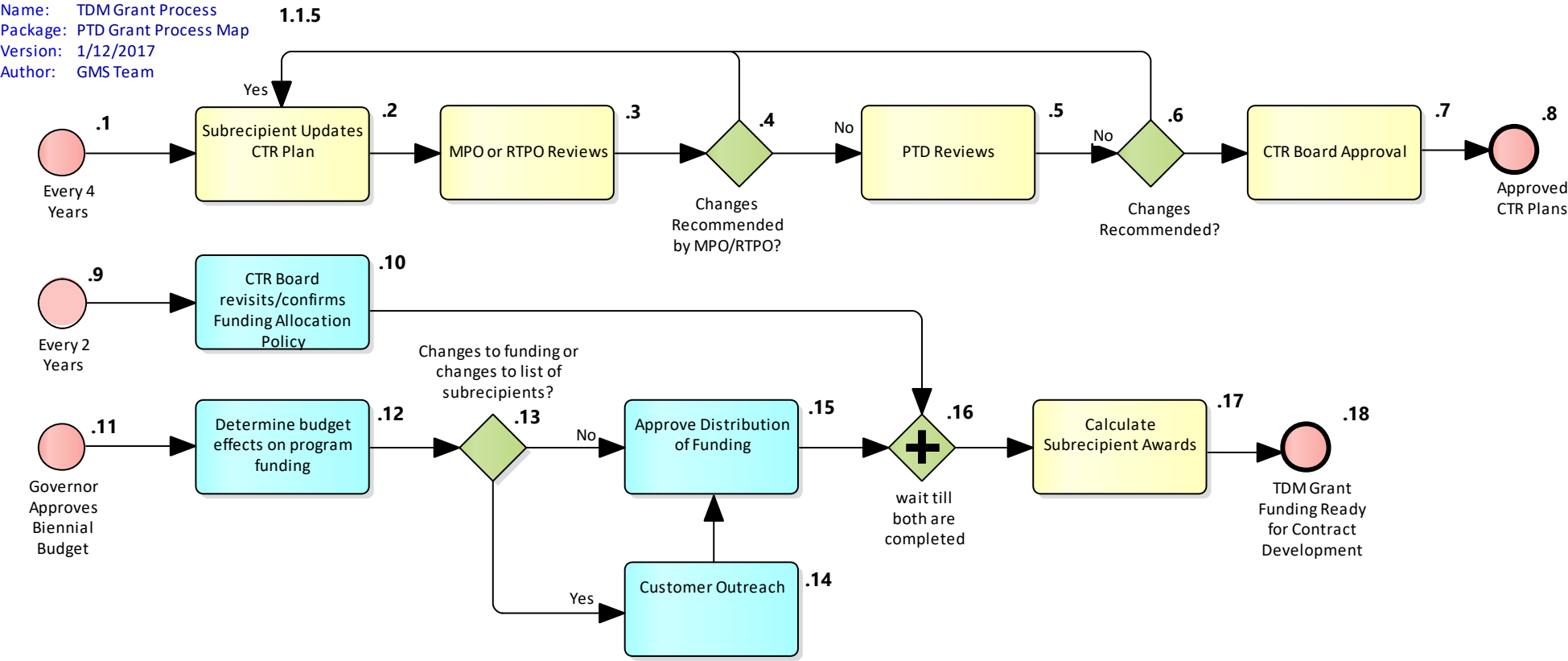
#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.5a Implement TDM Grant Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

TDM Grant Process

Name: TDM Grant Process  
Package: PTD Grant Process Map  
Version: 1/12/2017  
Author: GMS Team



#### **1.1.5.1: Every 4 Years**

Once every four years per jurisdiction/subrecipient

#### **1.1.5.2: Subrecipient Updates CTR Plan**

Description: Each subrecipient updates their local CTR plan every four years and submits it to their designated RTPO or MPO.

Timing: Every four years, as legislated.

Participants: Subrecipients

Rationale: As required by law.

Inputs: MPO /RTPO's comprehensive plan and input received from their stakeholders. The CTR Efficiency Act.

Outputs: Approved [CTR Plans](#)

Notes: CTR updates are handle under Administrative Tasks

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.5.2a Upload CTR Plan (Priority: Medium)**

The system will provide a mechanism for subrecipients to upload their local CTR plan.

#### **1.1.5.3: MPO or RTPO Reviews**

Description: The designated RTPO/MPO reviews the subrecipient's CTR plan and either approves the plan as being consistent with the regional plan and recommends approval to the CTR Board, or returns it to the subrecipient with comments. Approved plans are forwarded to PTD along with the RTPO/RTPO Regional Plan.

Timing: After a subrecipient has submitted their CTR plan for approval.

Participants: RTPO / MPO

Rationale: To ensure consistency with regional plans

Inputs: Subrecipient's CTR plan. The CTR Efficiency Act. The RTPO/MPO comprehensive plan.

Outputs: Recommendation to the CTR Board or return for changes to subrecipient. Approved subrecipient plan submitted to PTD

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.5.3a Review CTR Plan (Priority: Medium)**

The system will provide a mechanism for RTPO and MPO representatives associated with the subrecipient's service area to review (read) the subrecipient's CTR plan.

#### **1.1.5.4: Changes Recommended by MPO/RTPO?**

Did the designated RTPO/MPO recommend changes?

#### **1.1.5.5: PTD Reviews**

Description: The CTR Project manager reviews the subrecipient's CTR plan and either approves the plan (recommendation to the CTR Board) or returns it to the subrecipient with comments.

Timing: Following recommendation by the designated RTPO/MPO.

Participants: PTD CTR Project manager

Rationale: PTD Staff is responsible for reviewing plans and making recommendations to the CTR Board.

Inputs: Subrecipient's CTR plan. The CTR Efficiency Act.

Outputs: Recommendation to CTR Board to approve plans or returned to subrecipient for changes with comments

#### **1.1.5.6: Changes Recommended?**

Did the PTD CTR Project manager recommend changes?



#### **1.1.5.7: CTR Board Approval**

Description: The CTR Project manager presents all subrecipient CTR plans to the CTR Board with recommendations for approval. Upon approval, the CTR Project manager notifies the subrecipient that their CTR plan was approved, recording the date of approval.

Timing: After review by the CTR Project manager.

Participants: CTR Board, CTR Project manager

Inputs: Recommended subrecipient CTR Plans

Outputs: Approved subrecipient CTR Plans; notifications to subrecipient. Approval date recorded.

##### **GMS Requirements/Business Rules Associated with this Activity**

###### **1.1.5.7a Approval Notification (Priority: Medium)**

Upon entering the approval date, the system will notify the subrecipient of approval.

###### **1.1.5.7b Awaiting Approval Report (Priority: Medium)**

The system will provide a mechanism for the CTR Project manager to generate and print a report of all subrecipient plans awaiting approval by the board.

###### **1.1.5.7c Export Plan (Priority: Medium)**

The system will provide a mechanism for the PTD CTR Project manager to export a subrecipient's CTR plan.

###### **1.1.5.7d Record Approval Date (Priority: Medium)**

The system will provide a mechanism for the CTR Project manager to record the approval date for each CTR plan.

#### **1.1.5.8: Approved CTR Plans**

#### **1.1.5.9: Every 2 Years**

After the budget passes (in the spring prior to each biennium) and before awards are calculated.

#### **1.1.5.10: CTR Board revisits/confirms Funding Allocation Policy (Out of Scope for GMS)**

Description: The CTR board reviews the funding allocation formula/policy and either ratifies or revises it.

Timing: Prior to the start of each Biennium

Participants: CTR Board and PTD Staff

Rationale: To ensure that CTR funds and activities meet the overall goal of the program

Inputs: Current CTR Policy and any legislation that affects the program

Outputs: Policy and distribution ratified or revised. Funding distributed.

Notes: There is a formula that describes the Distribution Policy that hasn't changed in many years; it could change biennially. Customers are engaged and feedback is provided to CTR Board to inform policy development.

#### **1.1.5.11: Governor Approves Biennial Budget**

#### **1.1.5.12: Determine budget effects on program funding (Out of Scope for GMS)**

Description: PTD Determines if there are changes to the program funding or list of eligible subrecipients

Timing: Following the Governor's approval of the biennial budget

Participants: PTD staff

Rationale: To ensure the program is administered in compliance with state CTR laws

Inputs: Budget Bill

Outputs: Effects on program determined

#### **1.1.5.13: Changes to funding or changes to list of subrecipients?**

Are there changes to the funding levels for the program or to the list of potential subrecipients of the funds?

#### **1.1.5.14: Customer Outreach (Out of Scope for GMS)**

Description: PTD conducts customer and stakeholder outreach about any changes to the CTR program that affect funding levels

Timing: Following the analysis of the budget bill by PTD Staff

Participants: PTD staff, subrecipients, and prospective new subrecipients, CTR Board

Rationale: To inform customers of the changes and to gather stakeholder input

Inputs: Analysis of the Budget Bill

Outputs: Customer comments/feedback

#### **1.1.5.15: Approve Distribution of Funding (Out of Scope for GMS)**

Description: PTD staff develops scenarios and makes recommendations to the CTR Board. The CTR Board reviews how much funding is available, determines the funding allocation formula and approves of the final distribution to the jurisdictions.

Timing: Following the review of the budget bill and optionally after completing customer outreach.

Participants: CTR Board, PTD Staff

Rationale: To provide clarity and guidance to the CTR board and gain approval on the distribution of funding.

Inputs: Budget Bill, Analysis completed by PTD staff, outcome of customer outreach.

Outputs: Approved distribution of funding

#### **1.1.5.16: wait till both are completed**

#### **1.1.5.17: Calculate Subrecipient Awards**

Description: PTD calculates funding to be distributed to each subrecipient for CTR/TDM activities.

Timing: Following confirmation of the CTR policy and approval of the distribution by the CTR Board

Participants: PTD Staff

Rationale: To determine the dollar amount awarded to each subrecipient

Inputs: Distribution Formula and list of eligible subrecipients

Outputs: Awards are calculated

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.5.17a Record Funding Awarded (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to enter TDM funding awarded to each subrecipient.

#### **1.1.5.18: TDM Grant Funding Ready for Contract Development**

Distribution has been finalized and the information was sent to the Business Services Team for contract development.

### 1.1.6: STP Grant Process

Description: Rural public transportation providers are awarded Surface Transportation Program (STP) funds by the counties they service. Those funds must be transferred from FHWA to FTA. When grants are awarded to a rural provider, WSDOT's PTD staff facilitate the transfer of the funds, obligates them with FTA, and manages the subrecipient projects.

Timing: Following notification from a rural subrecipient of an STP award. (any time during the year)

Participants: Rural Subrecipient, BST Grants Analyst, WSDOT's local programs division, FTA and FHWA.

Rationale: To secure funding for the subrecipient's project

Inputs: Subrecipient notification, award letter from the county, STIP listing for the project

Outputs: Funds Transferred to FTA for the subrecipient project

#### **GMS Requirements/Business Rules Associated with this Activity**

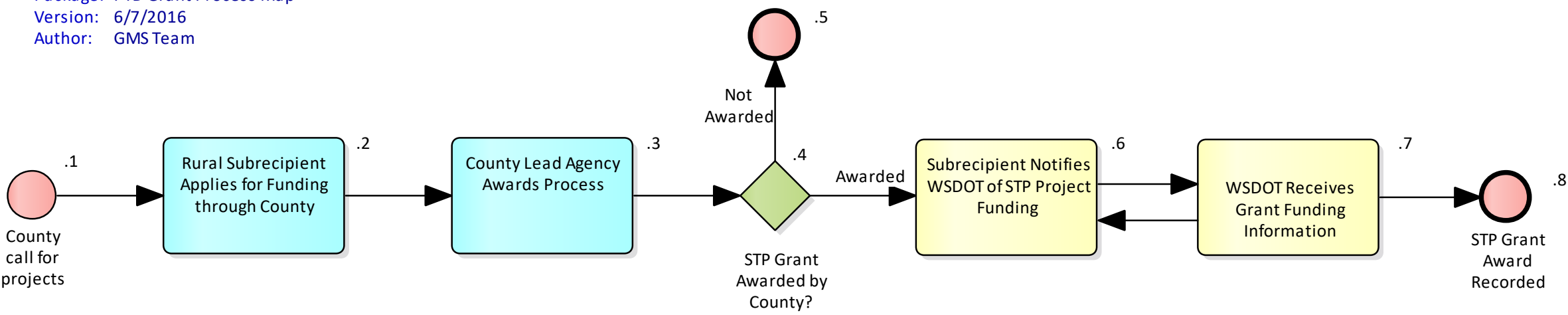
##### **1.1.6a Implement STP Grant Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

**STP Grant Process**

Name: STP Grant Process  
Package: PTD Grant Process Map  
Version: 6/7/2016  
Author: GMS Team

**1.1.6**



#### **1.1.6.1: County call for projects**

County performs a call for projects at the local level

#### **1.1.6.2: Rural Subrecipient Applies for Funding through County (Out of Scope for GMS)**

Description: A rural subrecipient applies for STP funding through their Local Lead Agency (county where services are performed) for a local transit related project.

Timing: Ongoing based on the application cycle by the Local Lead Agency

Participants: Subrecipient

Rationale: Funds are awarded at the local level.

Inputs: Application from rural transit agency

Outputs: Application submitted to County

#### **1.1.6.3: County Lead Agency Awards Process (Out of Scope for GMS)**

Description: The County Lead Agency evaluates all projects submitted at the local level and awards funding to eligible projects and notifies applicants of the status of their application.

Timing: Ongoing based on application cycle of the Local Lead Agency

Participants: County Lead Agency

Rationale: The County Lead Agency is designated as the awarding authority for STP funds in rural areas.

Inputs: Applications submitted to County Lead Agency

Outputs: STP funds awarded

#### **1.1.6.4: STP Grant Awarded by County?**

Did the county award STP funding to the subrecipient?

#### **1.1.6.5: Not Awarded**

The County Lead Agency did not award funds to the subrecipient

#### **1.1.6.6: Subrecipient Notifies WSDOT of STP Project Funding**

Description: The subrecipient submits notice to PTD that the County Lead Agency has awarded STP funds for their project and requests that the funds be transferred to FTA. The notice includes all required documentation for the STP grant, including:

- Award letter from the County showing project purpose, funded amount
- Statewide Transportation Improvement Program (STIP) reference pages
- The project description with details of what will be purchased
- Statement requesting PTD to initiate a transfer request to FTA.

Timing: Following the award of STP funds to a rural transit agency

Participants: The subrecipient

Rationale: WSDOT is responsible for administering the grant and obligating the funds with FTA.

Inputs: [Notification](#) of STP award from the county.

Outputs: Project details, amount awarded, [request to transfer funds](#), STIP pages for the project

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.6.6a Enter Awarded STP Project (Priority: Mandatory)**

The system will provide a mechanism for the subrecipient (or the BST Grants Analyst) to enter their STP project details, supporting documentation attached (award letter from the county, STIP page and other documents as needed) and the project budget.

**GMS Requirements/Business Rules Associated with this Activity**

**1.1.6.6b      Notify PTD of STP Award (Priority: Medium)**

The system will provide a mechanism for the subrecipient to submit a request to PTD (the BST Grants Analyst) to begin processing a new STP award.

**1.1.6.7: WSDOT Receives Grant Funding Information**

Description: PTD reviews the STP Project documentation received from the rural subrecipient to ensure completeness and either accepts the submittal as-is or notifies the subrecipient to provide other information.

Timing: Following notification from the rural subrecipient.

Rationale: In order for WSDOT to manage the grant funding and initiate FHWA to FTA funds transfer, WSDOT needs complete project and award details.

Participants: BST Grants Analyst

Inputs: STP Project Documentation submitted by subrecipient

Outputs: Accepted grant documentation or further requests for additional documentation

**GMS Requirements/Business Rules Associated with this Activity**

**1.1.6.7a      Act on STP Grant Award (Priority: Medium)**

The system will provide a mechanism for the BST Grants Analyst to either accept the documentation as-is or request additional information from the subrecipient.

**1.1.6.8: STP Grant Award Recorded**

The Subrecipient notified PTD that they were awarded STP funding for a transit project and WSDOT has entered the funding into its systems.

**1.1.7: CMAQ Grant Process**

Description: The Puget Sound Regional Council (PSRC) conducts an application process to select CMAQ projects for their area. PTD applies for CMAQ funds on behalf of itself and potential subrecipients.

Timing: Annually as determined by PSRC.

Participants: PSRC, PTD (as an applicant),

Rationale: to enable the award of CMAQ funds

Inputs: PSRC call for projects

Outputs: Grant awarded or not awarded to PTD

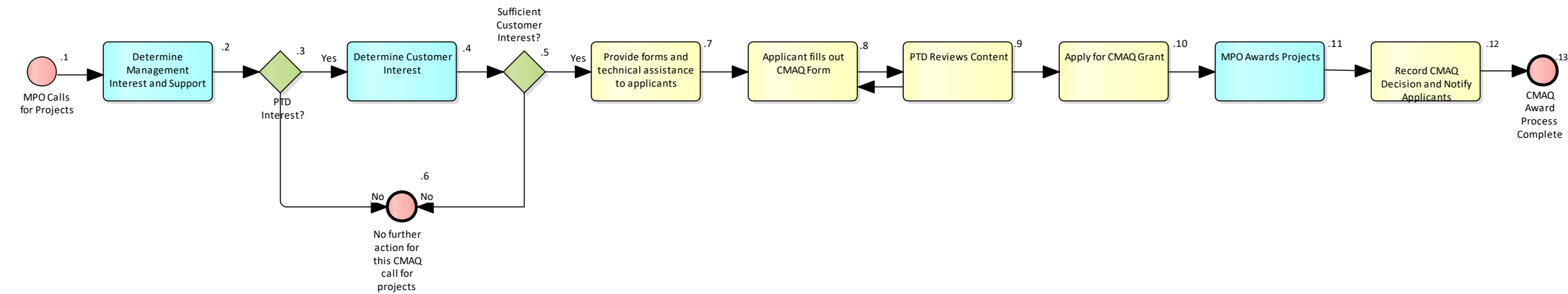
**GMS Requirements/Business Rules Associated with this Activity**

**1.1.7a      CMAQ Grant Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

CMAQ Grant Process

Name: CMAQ Grant Process 1.1.7  
Package: PTD Grant Process Map  
Version: 12/20/2016  
Author: GMS Team



#### **1.1.7.1: MPO Calls for Projects**

An MPO calls for projects in their jurisdiction

#### **1.1.7.2: Determine Management Interest and Support (Out of Scope for GMS)**

Description: PTD staff work with Regions and PTD Management Team to gain concurrence on whether or not to pursue grant funds.

Timing: Following the announcement for funding availability issued by the MPO

Participants: PTD Staff and Management Team

Rationale: To determine if there is management support for pursuing CMAQ funds

Inputs: Funding announcement and data regarding potential projects from PTD staff

Outputs: decision to pursue funding or not

#### **1.1.7.3: PTD Interest?**

Is PTD Management interested in pursuing CMAQ funds from the MPO?

#### **1.1.7.4: Determine Customer Interest (Out of Scope for GMS)**

Description: PTD conducts customer outreach to determine if there is sufficient interest by partners located in TMAs (transportation management areas) for WSDOT to pursue the grant funding.

Timing: Following the decision from the PTD Management Team to pursue the funding

Participants: PTD staff and potential subrecipients

Rationale: To determine if there is customer interest

Inputs: Announcement of funding availability and project eligibility

Outputs: Customers interested or not

#### **1.1.7.5: Sufficient Customer Interest?**

Is there sufficient customer interest in this NOFA?

#### **1.1.7.6: No further action for this CMAQ call for projects**

PTD decided not to pursue this CMAQ call for projects

#### **1.1.7.7: Provide forms and technical assistance to applicants**

Description: PTD assesses the needed content, provides the forms to prospective applicants and coaches them as necessary.

Timing: Following the determination that there is sufficient customer interest.

Participants: CTR Project manager, prospective subrecipients

Rationale: To ensure projects are eligible and provide guidance to subrecipients to collect the necessary project information for the MPO's CMAQ process

Inputs: CMAQ application requirements

Outputs: Specialized forms and technical assistance provided to prospective applicants

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.7.7a Create CMAQ Form (Priority: Low)**

The system will provide a mechanism for PTD staff to either create or upload a CMAQ Form in a shared location available to all subrecipient users.

##### **1.1.7.7b Notify Potential Applicants of CMAQ Funding (Priority: Medium)**

The system will provide a mechanism for PTD staff to issue a notification to all potential applicants that CMAQ funding is available, the deadline for submittal, the location of the CMAQ form, instructions to complete the form and how to request technical assistance.



#### 1.1.7.8: Applicant fills out CMAQ Form

Description: CMAQ funding applicants complete the CMAQ form, attach any required or optional documents, and submit to PTD for review.

Timing: Following PTD's notification to subrecipients of CMAQ MPO funding

Participants: Subrecipients

Rationale: Only the applicant has sufficient project knowledge to answer questions regarding their projects.

Inputs: CMAQ form, project details, milestones, and budget

Outputs: Completed CMAQ application form and attachments

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.1.7.8a Edit CMAQ form (Priority: Medium)

The system will provide a mechanism for the subrecipient to locate the CMAQ form and fill out the editable fields provided within.

#### 1.1.7.9: PTD Reviews Content

Description: PTD staff review each CMAQ project submittal for completeness and project eligibility. They can accept the application as-is or return it to the applicant with comments for improvements. PTD staff may provide expertise in answering questions.

Timing: As applications are submitted to PTD; preferably one week before submittal deadline.

Participants: CTR Project manager within PTD

Rationale: To improve quality of applications and ensure project is eligible for funding

Inputs: Completed CMAQ applications and supporting attachments from subrecipients

Outputs: Finalized subrecipient CMAQ applications with attachments, or form returned to applicant with comments for changes

#### 1.1.7.10: Apply for CMAQ Grant

Description: PTD compiles all applications into one package and submits the application along with other PTD project initiatives where WSDOT is requesting funding to run its own TDM/CTR projects.

Timing: After all applications are finalized. Goal is to have this completed at least 3 days prior to the CMAQ funding submittal deadline.

Participants: CTR Project Manager

Rationale: To create a single package for projects benefiting a specific MPO service area.

Outputs: Completed application submitted to the MPO.

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.1.7.10a CMAQ Applicant Report (Priority: Medium)

The system will provide a mechanism for PTD staff to generate a report that lists all applicants, project descriptions, and funding requested by each applicant, sorted by applicant name and then project name, to be used for the CMAQ funding request.

#### 1.1.7.10b Export All Finalized CMAQ applications/documentation (Priority: Medium)

The system will provide a mechanism for PTD staff to export all finalized CMAQ applications and associated attachments to a user specified folder in PDF format; all associated documents for a given application must be grouped together for ease of identification and accessibility.

#### **1.1.7.11: MPO Awards Projects (Out of Scope for GMS)**

Description: The MPO evaluates all applications submitted from WSDOT and other agencies within the MPO's region that submitted separate applications. Following their evaluation process they announce grant awards. WSDOT will either receive funding from the MPO for all submitted projects, or no funding for any of the submitted projects under its CMAQ application.

Timing: Typically 1-3 months after the submittal deadline

Participants: A regional MPO

Rationale: The regional MPO competitively determines which submitted applications best meet the intent of their grant program.

Inputs: Applications submitted by eligible agencies within their region, and WSDOT.

Outputs: Grant awards made to eligible agencies that applied for grant funding.

#### **1.1.7.12: Record CMAQ Decision and Notify Applicants**

Description: PTD receives a notification from the MPO regarding the status of their grant application. If funding was awarded to PTD, PTD staff notifies the applicants of the status of their funding request. For those that were funded PTD staff record the award.

Timing: Following Notification by the MPO

Participants: PTD staff.

Rationale: To advise applicants of the status of their requests, and to forward funded projects to the contract development process.

Inputs: Notification from MPO

Outputs: CMAQ awards recorded in GMS. Notification sent to potential subrecipients

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.7.12a Generate Award and Denial Letters (Priority: Medium)**

The system will provide a mechanism for PTD staff to either create a mailing or to export in a format that can be used to generate the mailing with another product.

##### **1.1.7.12b Set CMAQ Project Funding Status (Priority: Medium)**

The system will provide a mechanism for PTD staff to mark each project requested under a specific CMAQ application as either funded or not funded.

##### **1.1.7.12c Set Funded Amount (Priority: Medium)**

For funded projects, the system will provide a mechanism for PTD staff to enter the amount funded (which may be different than what was requested).

#### **1.1.7.13: CMAQ Award Process Complete**

PTD has notified all applicants of the status of their CMAQ funding request. Funded projects are ready for contracting.

### 1.1.8: Regional Mobility Grant (RMG) Process

Description: WSDOT uses a competitive application process to rank project applications, benefiting regional areas, and develops a list of recommended projects for the State Legislature. Applicants are asked to describe their project and provide relevant information. The State Legislature makes the final determination of projects to be awarded.

Timing: Each biennium beginning in July of the even year and concludes when the Governor signs the biennial budget. (typically in April/June timeframe of the odd years).

Participants: Grant applicants, BST and Project Delivery staff, PTD management team, Legislature and Governor's Office

Rationale: To provide funding for transit related projects that benefit regional areas in Washington State.

Inputs: Grant applications and state program requirements

Outputs: Grant awards using state funding sources

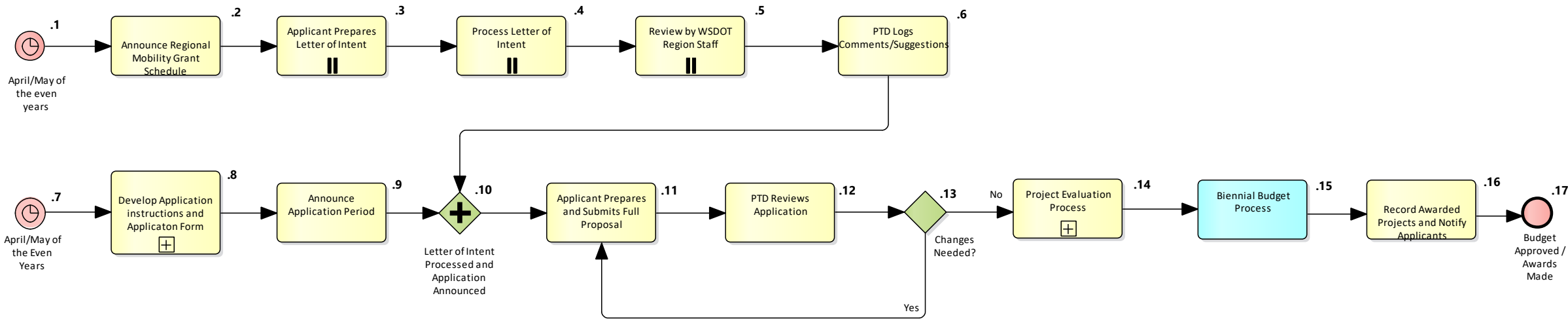
#### GMS Requirements/Business Rules Associated with this Activity

##### **1.1.8a      Implement RMG Workflow    (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

Regional Mobility Grant Process

Name: Regional Mobility Grant Process 1.1.8  
Package: PTD Grant Process Map  
Version: 8/10/2016  
Author: GMS Team



#### 1.1.8.1: April/May of the even years

The Regional Mobility Grant Schedule Notification typically happens April/May of the even numbered years

#### 1.1.8.2: Announce Regional Mobility Grant Schedule

Description: PTD staff issues an announcement through email and/or gov delivery to interested parties (including current subrecipients, cities and counties, transit agencies, and other persons or groups that signed up through gov delivery) that the Regional Mobility application cycle will be opening soon, instructions for submitting a letter of intent, and provide the deadline for submitting letters of intent.

Timing: Approximately April/May of the even year

Participants: PD Grants Analyst, PD Manager, Community Liaisons

Rationale: To inform potential applicants of the process and timeline to apply for grant funding

Inputs: Program requirements and application timeline, list of interested parties

Outputs: Notices sent

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.1.8.2a      **Notify Regional Mobility Grant Interested Parties** (Priority: Medium)

The system will provide a mechanism for PTD staff to post a notification of the Regional Mobility schedule to interested subrecipients.

#### 1.1.8.3: Applicant Prepares Letter of Intent

Description: Applicants prepare and submit a standardized letter of intent form to PTD describing their proposed projects and intent to apply for Regional Mobility funding.

Timing: Following the announcement of the Regional Mobility schedule.

Participants: Grant applicants

Rationale: The letter of intent is used to educate WSDOT regional offices of potential Regional Mobility projects in their area.

Inputs: Notification of Regional Mobility schedule and process; Potential projects, [Standardized Letter of Intent Form](#)

Outputs: [Letter of intent](#) prepared and submitted

Notes: Applicants may have several projects in mind but only need to submit one letter of intent with the project ideas.

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.1.8.3a      **Submit Letter of Intent** (Priority: Medium)

The system will provide a mechanism for applicants to submit the letter of intent to PTD.

#### 1.1.8.4: Process Letter of Intent

Description: PTD logs the letter of intent and forwards it to the appropriate WSDOT regional offices for comment/suggestions.

Timing: Following the receipt of the letter of intent from the applicant

Participants: PTD Grants Analyst and Community Liaisons

Rationale: To record the receipt of the letter of intent and to ensure that each letter is forwarded to the affected WSDOT Regions.

Inputs: Letter of Intent

Outputs: [Letters logged](#) and sent to the affected [WSDOT region](#) offices

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.8.4a Log Letters of Intent (Priority: Medium)**

The system will automatically log the letters of intent when they are submitted by the applicant.

##### **1.1.8.4b Report of Letters of Intent (Priority: Medium)**

The system will provide a mechanism for PTD to generate a report listing all letters of intent received.

#### **1.1.8.5: Review by WSDOT Region Staff**

Description: WSDOT Regional Offices review Regional Mobility grant letters of intent and provide comments to PTD.

Timing: Following receipt of a letter of intent sent from PTD

Participants: WSDOT Regional Staff

Rationale: To ensure that the project does not conflict with other activities planned in the geographic area of the project; to provide Regions with information about transit projects that may build on or enhance existing WSDOT projects; to gain feedback from the WSDOT Region Offices regarding any proposed changes to the project.

Inputs: Letter of Intent from applicant(s)

Outputs: Response from Regional Office for each Letter of Intent.

#### **1.1.8.6: PTD Logs Comments/Suggestions**

Description: PTD staff records whether or not comments were provided by each affected Region. If comments were provided, PTD staff attaches the comments to the letter of intent and forwards the comments to the applicant.

Timing: Following the receipt of comments from the region

Participants: PTD staff.

Rationale: To advise applicants of regional concerns and or suggestions from WSDOT.

Inputs: Comments from the WSDOT Regional Staff

Outputs: Comments attached and forwarded to applicants

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.8.6a Record Regional Response (Priority: Medium)**

The system will provide a mechanism for PTD to record whether or not each affected region had comments, and if they did, the ability to attach the comments received to the letter of intent.

#### **1.1.8.7: April/May of the Even Years**

The Regional Mobility Grant Application process typically starts June/July of the even numbered years

#### **1.1.8.8: Develop Application instructions and Application Form**

Description: PTD updates the Regional Mobility Application Instructions and Application form

Timing: April/May of the even numbered years

Rationale: To incorporate any new legislation; provide current instructions to potential applicants; and update the application form with needed changes.

Participants: PD Grants Analyst, CL's, and WSDOT's publications office

Inputs: Prior application instructions and form, new state legislation, and recommendations from GPAC

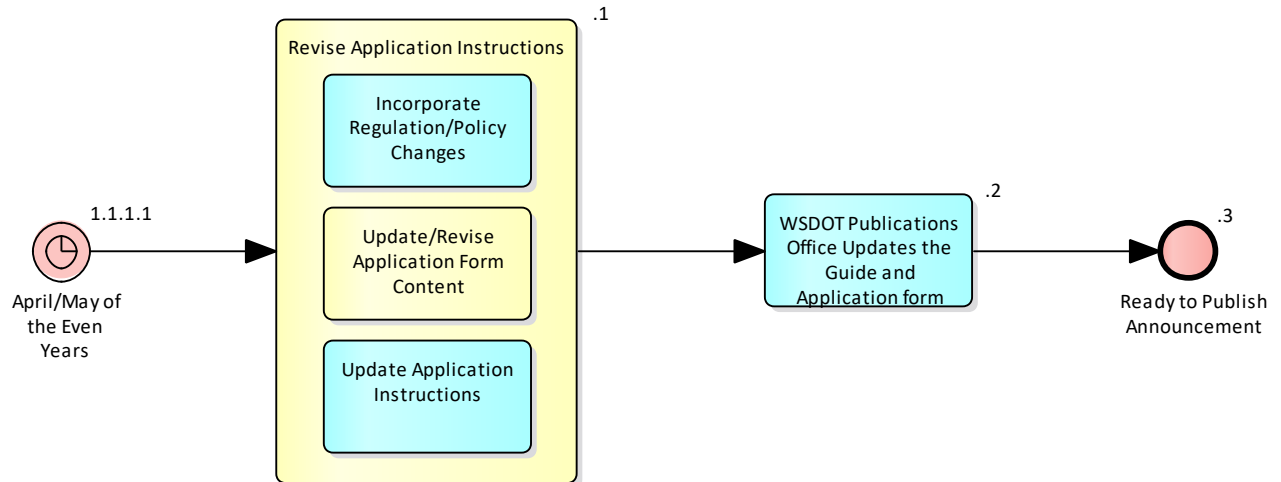
Outputs: Updated Application Instructions and Application Form

Notes:

## Develop Application instructions and Form

Name: Develop Application instructions and Form  
Package: PTD Grant Process Map  
Version: 3/10/2017  
Author: GMS Team

1.1.8.8



### 1.1.8.8.1: Revise Application Instructions

Description: PTD staff make updates to the Application Instructions each cycle to incorporate any regulatory or policy changes; this includes changes to the application form.

Timing: Mid Biennium (starting in April of the even numbered years)

Participants: Community Liaisons, BST Grants & Compliance Analysts, and the PTD Management Team

Rationale: Grant applicants need to be aware of how to apply for competitive grant funding and the associated requirements.

Inputs: Application form, state grant requirements, prior application instructions and recommendations from GPAC.

Outputs: [Application instructions for the Regional Mobility Grants Program](#)

#### 1.1.8.8.1.1: Incorporate Regulation/Policy Changes (Out of Scope for GMS)

Description: PTD staff review changes to policy and/or regulations associated with the grants and incorporate the changes into the application instructions.

Timing: Mid Biennium (starting in April of the even numbered years)

Participants: Project Delivery Grants Analyst, Community Liaisons,

Rationale: Ensure the most recent information regarding policies and statutes is clearly identified in the application instructions

Inputs: Prior version of the Application guide, State law, WSDOT policy, recommendations from GPAC, Direction from the legislature and/or Governor's office

Outputs: Needed changes to the Application instructions

#### **1.1.8.8.1.2: Update/Revise Application Form Content**

Description: Each application cycle the PTD updates the application form based on changes to state and federal regulations, WSDOT policy changes, and corrections recommended from the prior grant cycle.

Timing: Mid Biennium (starting in April of the even numbered years)

Participants: PD Grants Analyst, Community Liaisons, Business Services Team, PTD Management Team

Rationale: To ensure that the questions asked align with planned practice for the upcoming cycle; and to ensure that PTD obtains sufficient information to evaluate the applications and assign the correct funding sources to awarded projects.

Inputs: State legislation, comments from prior evaluation teams, and recommendations from GPAC

Outputs: [Application form](#)

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.8.8.1.2a Export RMG Application Form (Priority: High)**

The system will provide a mechanism for PTD staff to export the RMG Application form in fillable PDF format.

Rationale: For use in Application instructions (published outside GMS), and for staff review.

##### **1.1.8.8.1.2b Historical RMG Application Form (Priority: Medium)**

The system will store the RMG Application Form used for the current cycle and for each prior application cycle.

##### **1.1.8.8.1.2c Update Application Form (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to make necessary changes to the RMG Application form for the current application cycle.

#### **1.1.8.8.1.3: Update Application Instructions (Out of Scope for GMS)**

Description: Based on the content of the application form, PTD updates the instructions on how to complete the form

Timing: Once the form content is finalized

Participants: PD Grants Analyst, Community Liaisons, Business Services Team, PTD Management Team

Rationale: To ensure that applicants understand how to properly complete and submit the application form.

Inputs: Application form, WSDOT policy

Outputs: Application Instructions

#### **1.1.8.8.2: WSDOT Publications Office Updates the Guide and Application form (Out of Scope for GMS)**

Description: WSDOT's Publications Office reviews and edits the Application form. PTD coordinates with the Publications Office if they have questions.

Timing: Following the review and recommended changes received from PTD

Participants: Project Delivery Grants Analyst, WSDOT's Communications Office

Rationale: To ensure the forms meet WSDOT standards

Inputs: Prior application form, changes identified by PTD staff, updated application form.

Outputs: finalized application instructions

#### **1.1.8.8.3: Ready to Publish Announcement**

The RMG Application instructions is complete and ready for publication.



### 1.1.8.9: Announce Application Period

Description: PTD staff makes the application available to potential applicants and issues an announcement through email and/or gov delivery to interested parties (including current subrecipients, cities and counties, transit agencies, and other persons or groups that signed up through gov delivery) that the Regional Mobility application cycle is open and where to find more information.

Timing: Approximately June of the even year

Participants: PD Grants Analyst, PD Manager, Community Liaisons

Rationale: To inform potential applicants of the Regional Mobility Grant process and timeline to apply for grant funding

Inputs: Program requirements and application timeline, list of interested parties

Outputs: Announcement posted; Application form available for download; Notices sent

#### GMS Requirements/Business Rules Associated with this Activity

**1.1.8.9a Publish Regional Mobility Grant Application Form (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to publish the application form for use by prospective applicants.

**1.1.8.9b Regional Mobility Grant Application Notification (Priority: Medium)**

The system will provide a mechanism for PTD staff to issue notification to prospective applicants using the system.

### 1.1.8.10: Letter of Intent Processed and Application Announced

Applicants can begin to prepare full proposals only after their letter of intent has processed by PTD and the application period has been announced to all entities that have submitted a letter of intent.

### 1.1.8.11: Applicant Prepares and Submits Full Proposal

Description: Applicants complete and submit grant applications

Timing: Following the review by the WSDOT Regional Offices and following the announcement of Application Period

Participants: Applicants

Rationale: To provide PTD with the project and applicant details needed to conduct the evaluation process

Inputs: Regional Mobility Grant [Application form](#); [Application Instructions](#)

Outputs: application submitted

#### GMS Requirements/Business Rules Associated with this Activity

**1.1.8.11a Applicant Completes Form Details (Priority: Mandatory)**

The system will provide a mechanism for applicants to complete the data requested in each field of the application form.

**1.1.8.11b Auto-total number groupings (Priority: Medium)**

The system will automatically calculate and display the total of a group of related numbers. For example: Revenues used for local match, project expenses, etc.

**1.1.8.11c Autopopulate Subrecipient Facts (Priority: Mandatory)**

When a new application is initiated, the system will auto-populate basic data about the applicant from their subrecipient profile.

Examples: Legal Name, Address, DUNS #, etc.

**1.1.8.11d Improvement Submission Deadline (Priority: Mandatory)**

The system will not allow applicants to modify their application after the final application deadline.

### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.8.11e Multiple projects per Applicant (Priority: Mandatory)**  
The system will provide a mechanism for applicants to initiate a separate application for each of their proposed projects.
- 1.1.8.11f New Application Submission Deadline (Priority: Mandatory)**  
The system will not allow the applicant to submit a new application after the established submission deadline date and time.
- 1.1.8.11g Restriction on Changes to Application (Priority: Mandatory)**  
The system will not allow the applicant to modify their application unless the application is returned to the applicant by PTD for changes.
- 1.1.8.11h Start New Application (Priority: Mandatory)**  
The system will provide a mechanism for applicants to initiate a new application using the published Regional Mobility Grant Application Form.

#### **1.1.8.12: PTD Reviews Application**

Description: PTD staff review the application and materials including the performance measures proposed, budget, etc. PTD either accepts the application as stated or returns it to the applicant for changes.

Timing: Following the receipt of applications

Participants: Community Liaisons and PTD data staff

Rationale: to ensure that the performance measures stated in the application are valid and appear to be reasonable

Inputs: Application performance measures

Outputs: Performance measures accepted or returned to applicant for changes.

Notes: PTD staff will be focusing on the performance measures submitted and the project description that will deliver the change.

#### **1.1.8.13: Changes Needed?**

Did PTD suggest any changes to the applicant?

#### **1.1.8.14: Project Evaluation Process**

Description: PTD develops a ranked list of projects. PTD forwards the ranked list of projects and recommended funding to the Legislature.

Timing: Following all applications being finalized and the scheduled deadline for completing Regional Mobility Grant applications.

Participants: Regional Mobility Grant Evaluators, BST Special Project and Compliance Analyst, PD Grants Analyst, PTD Management Team.

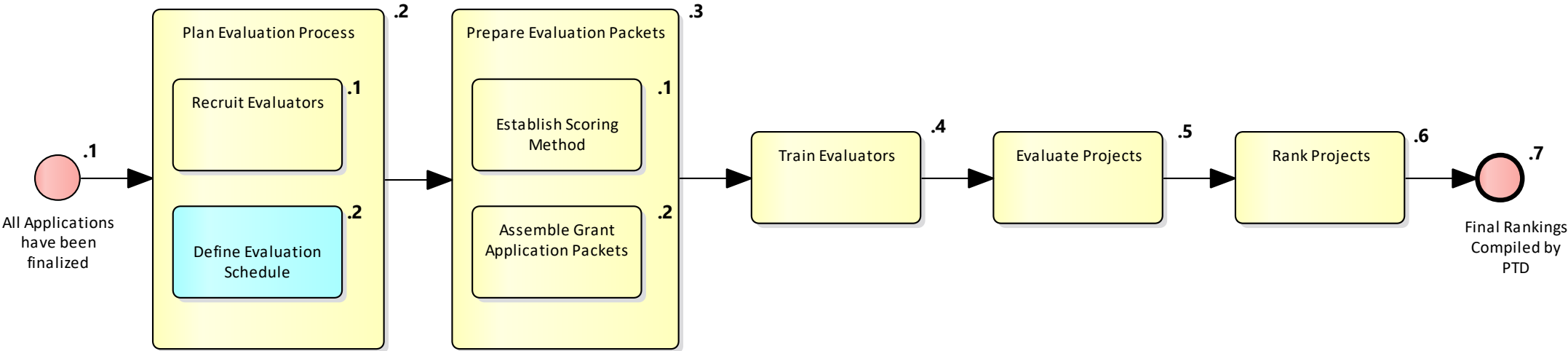
Rationale: To develop a recommended list of projects for the legislature

Inputs: Grant Applications, Program requirements

Outputs: Ranked list of projects developed and recommendations for funding

Project Evaluation Process

Name: Project Evaluation Process 1.1.8.14  
Package: PTD Grant Process Map  
Version: 3/9/2017  
Author: GMS Team



#### **1.1.8.14.1: All Applications have been finalized**

The deadline for making any suggested changes has passed and all accepted applications are now considered final.

#### **1.1.8.14.2: Plan Evaluation Process**

Description: PTD establishes members of the evaluation team and develops an evaluation schedule.

Timing: Can start concurrent with the grant submittal process but cannot be completed until all applications are finalized.

Participants: PD Grants Analyst, PD Manager, BST Special Projects and Compliance Analyst

Rationale: To secure evaluators and allow sufficient evaluation time.

Inputs: Grant applications, Evaluator pool

Outputs: Evaluation Teams and Evaluation Schedule

##### **1.1.8.14.2.1: Recruit Evaluators**

Description: PTD recruits evaluators by conducting outreach to industry professionals from organizations that have not submitted a Regional Mobility grant application. PTD tries to have diverse representation and attempts to avoid conflicts of interest between evaluators and the applicant organizations.

Timing: Can start concurrent with the grant submittal process but cannot be completed until all applications are finalized.

Participants: PD Manager, PD Grants Analyst

Rationale: To ensure that each team has the proper make/up and there are not apparent conflicts of interest between the evaluators and the applicants who submitted the projects

Inputs: Evaluator's organization, projects/applications accepted, and the requesting organizations (for conflict of interest avoidance).

Outputs: Evaluators assigned

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.8.14.2.1a Associate Evaluator with the Grant Cycle (Priority: Medium)**

The system will provide a mechanism for PTD to associate each evaluator with the current Regional Mobility Grant Cycle.

Note that this action will give an evaluator the right to see project application materials. Also note that a user id/pw may or may not exist at this time.

##### **1.1.8.14.2.2: Define Evaluation Schedule**

Description: PTD establishes the evaluation process schedule; milestones are: evaluation kickoff meeting date, evaluation due date.

Timing: Can start concurrent with the grant submittal process but cannot be completed until all applications are finalized.

Participants: PD Grants Analyst, PD Manager

Rationale: To provide evaluators with their timeline and ensure that the evaluation process is completed in a timely manner.

Inputs: Number of accepted applications to be evaluated, evaluator availability

Outputs: A schedule of milestone dates for the evaluation process.

#### **1.1.8.14.3: Prepare Evaluation Packets**

Description: PTD staff prepares evaluation materials; this contains program priorities, instructions on the evaluation process and a list of the projects, the evaluation schedule and a copy of all application materials associated with those projects.

Timing: After planning the evaluation process.

Participants: PD Grants Analyst

Rationale: To ensure that evaluators understand the evaluation process and have access to all the information they might need to complete their evaluations.

Inputs: Evaluation Plan, [Finalized Applications](#)

Outputs: Completed evaluation packets

##### **1.1.8.14.3.1: Establish Scoring Method**

Description: PTD establishes a method for scoring the applications. Currently a score range is assigned to each evaluation criteria.

Timing: Mid Biennium (starting in June of the even numbered years)

Rationale: To ensure projects are evaluated based directly on established program criteria.

Participants: PD Grants Analyst, PD Manager

Inputs: Program regulations and policies; input from GPAC

Outputs: Evaluation method established

##### **GMS Requirements/Business Rules Associated with this Activity**

###### **1.1.8.14.3.1a Set up Evaluator Scoring Form (Priority: Medium)**

The system will provide a mechanism for PTD staff to enter individual program criteria and a point range for each criteria to be used by RMG evaluators.

Note that the scoring form will consist of all criteria entered here.

##### **1.1.8.14.3.2: Assemble Grant Application Packets**

Description: PTD prepares an electronic package for each team containing program priorities, instructions on the evaluation process, a list of the accepted projects, and a copy of the application materials associated with each project.

Timing: After completing evaluation planning.

Participants: PD Grants Analyst and designee.

Rationale: To provide evaluators with documentation needed in a consistent format.

Inputs: Number of evaluators, Grant applications with attachments, program priorities, list of applications.

Outputs: Assembled application packets for all team members

##### **GMS Requirements/Business Rules Associated with this Activity**

###### **1.1.8.14.3.2a Application Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report listing all accepted applications.

###### **1.1.8.14.3.2b Assemble Packet (Priority: Medium)**

The system will automatically assemble for later use by an evaluator the following: the evaluation process instructions, project list for their team, risk assessments for each application, copy of each application including attachments.

###### **1.1.8.14.3.2c Spot Check Evaluation Packets (Priority: Medium)**

The system will provide a mechanism for PTD staff to preview all artifacts (and their contents) contained in each evaluation packet that will be provided to the evaluators in a future step.

#### **1.1.8.14.4: Train Evaluators**

Description: PTD provides training to evaluators on the how to score applications.

Timing: Following preparation of evaluation packets.

Participants: PTD, Evaluators

Rationale: Ensure evaluators understand the ranking processes and program goals.

Inputs: completed evaluation packets

Outputs: trained evaluators

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.1.8.14.4a Evaluation Training Environment (Priority: Medium)**

The system will have a training environment (that mimics the evaluation module) to be used during training classes with evaluators.

#### **1.1.8.14.5: Evaluate Projects**

Description: Evaluators review the application materials and score each project using established scoring criteria.

Timing: Following the evaluator training.

Participants: Evaluators

Rationale: To perform the evaluation process in preparation for ranking the projects.

Inputs: Evaluation packets

Outputs: Evaluated projects

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.1.8.14.5a Comment on Project (Priority: Medium)**

Each Evaluator will have the ability to record their comments on each project.

#### **1.1.8.14.5b Review and Score (Priority: Medium)**

The system will provide a mechanism for the evaluators to review and score each project.

#### **1.1.8.14.6: Rank Projects**

Description: PTD recommends a ranked list of projects to be funded, for use by the legislature. This is accomplished by:

1. computing a score for each project based on the combined score from all evaluators,
2. sorting the project list from highest to lowest score
3. for all central Puget Sound projects (CPSP), re-ordering those projects based on a staff evaluation of coordination efforts (maintaining the location of all CPSP's in the full ranked list)
4. developing a summary of written comments for each project

Timing: Following receipt of all evaluator's scores.

Participants: PTD Grants Analyst

Rationale: To prepare a ranked list in preparation for selecting projects to be recommended.

Inputs: Evaluator scores and [comments](#)

Outputs: [Ranked/Scored projects](#)

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.1.8.14.6a Compute Score for each Project (Priority: Medium)**

The system will compute the score for each project based on the sum of all scores from all evaluators.

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.8.14.6b Data Enter Summary of Comments (Priority: Medium)**  
The system will provide a mechanism for the PTD Grants Analyst to data enter a summary of all evaluator comments for each properly submitted project.  
Note that this text may include input from other PTD staff.
- 1.1.8.14.6c Evaluator Comments Report (Priority: Medium)**  
The system will provide PTD staff a mechanism to produce a list of all evaluator comments provided for each properly submitted project.  
Note: this could be a distinct report or part of the ranked list report.
- 1.1.8.14.6d Ranked List Report (Priority: Medium)**  
The system will provide a mechanism for PTD staff to use the system to compile a ranked list of applications based on sum of evaluator scores, highest at the top.  
Note that this report may be requested with or without the Summary of Comments.
- 1.1.8.14.6e Upload Recommended List (Priority: Medium)**  
The system will provide a mechanism to upload the final ranked list of projects back into the system for accountability and future reference.  
Note: projects may have been re-ordered by PTD staff for central Puget Sound projects.

#### **1.1.8.14.7: Final Rankings Compiled by PTD**

The ranked list and recommendations are ready to be sent to the Legislature.

#### **1.1.8.15: Biennial Budget Process (Out of Scope for GMS)**

Description: During the biennial budget process the Legislature and governor review the ranked list and recommendations from PTD. The outcome of the biennial budget process includes funding for specific Regional Mobility Grant projects.

Timing: Following the project evaluation process

Participants: The Washington State Legislature.

Rationale: Legislature is the awarding authority for the Regional Mobility Grant Program

Inputs: Ranked list of projects and PTD's recommendations

Outputs: Awards agreed to by the Legislature and Governor

#### **1.1.8.16: Record Awarded Projects and Notify Applicants**

Description: The BST Special Projects and Compliance Analyst records awards identified in the biennial budget and forwards the newly awarded project funding to contracting. The PTD Director notifies applicants of the results of awards on all requested funding.

Timing: Following signature of the biennial budget by the governor.

Participants: The BST Special Projects and Compliance Analyst; PD Grants Analyst

Rationale: To acknowledge awards and initiate contracting

Inputs: Awarded Regional Mobility Grant projects

Outputs: Recorded Grant Awards; notified grant applicants; contracting initiation

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.8.16a Generate Award and Denial Letters (Priority: Medium)**  
The system will provide a mechanism for PTD staff to either create a mailing or to export in a format that can be used to generate the mailing with another product.
- 1.1.8.16b Set Funded Amount (Priority: Medium)**  
For funded projects, the system will provide a mechanism for PTD staff to enter the amount funded (which may be different than what was requested).

**GMS Requirements/Business Rules Associated with this Activity**

**1.1.8.16c Set RMG Project Funding Status (Priority: Medium)**

The system will provide a mechanism for PTD staff to mark each project requested under the Regional Mobility grant cycle as either funded or not funded.

**1.1.8.17: Budget Approved / Awards Made**

The budget was signed by the Governor listing the awarded projects.

**1.1.9: Vanpool Investment Program (VIP) Grant Process**

Description: PTD Conducts a competitive process to award funds to transit agencies for vehicles needed to provide vanpool services

Timing: Begins February of the odd numbered years

Participants: PD Grants Analyst, Community Liaisons

Rationale: To fairly distribute Vanpool Investment Grant funds

Inputs: VIP program requirements, state budget

Outputs: VIP grants awarded

Notes: The call for projects may be repeated during a single funding cycle based on funding availability

**GMS Requirements/Business Rules Associated with this Activity**

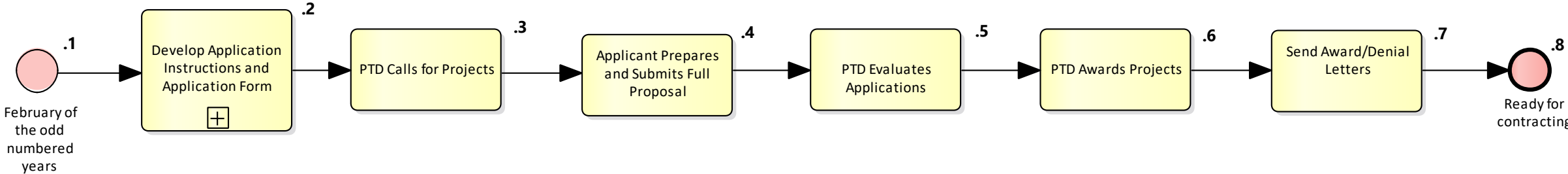
**1.1.9a Implement VIP Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.



Vanpool Investment Program (VIP) Process

Name: Vanpool Investment Program (VIP) Process 1.1.9  
Package: PTD Grant Process Map  
Version: 1/3/2017  
Author: GMS Team



### 1.1.9.1: February of the odd numbered years

### 1.1.9.2: Develop Application Instructions and Application Form

Description: PTD develops and issues a guide and form for potential applicants to use when applying for VIP grant funds.

Timing: Mid Biennium (starting in February of the odd numbered years)

Rationale: To have a standard format and process for applicants.

Participants: PD Grants Analyst, Community Liaisons and other PTD staff as assigned.

Inputs: Prior year's application instructions, VIP regulations

Outputs: VIP Application instructions and application form

### Develop Application Instructions and Application Form

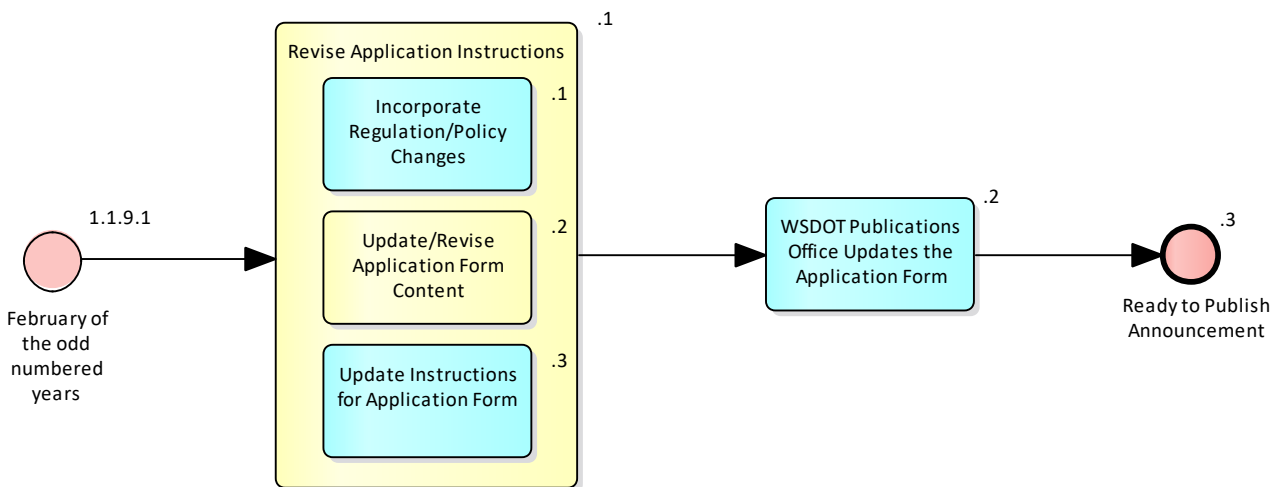
Name: Develop Application Instructions and Application Form

Package: PTD Grant Process Map

Version: 3/10/2017

Author: GMS Team

1.1.9.2



### 1.1.9.2.1: Revise Application Instructions

Description: PTD staff make updates to the application instructions each cycle to incorporate any regulatory or policy changes; this includes changes to the application form.

Timing: Mid Biennium (starting in February of the odd numbered years)

Participants: Community Liaisons, and the PTD Management Team

Rationale: Grant applicants need to be aware of how to apply for competitive grant funding and the associated requirements.

Inputs: Application form, state grant requirements, prior application instructions and recommendations from GPAC.

Outputs: Application Instructions for the Vanpool Investment Program

#### **1.1.9.2.1.1: Incorporate Regulation/Policy Changes (Out of Scope for GMS)**

Description: PTD staff review changes to policy and/or regulations associated with the grants and incorporate the changes into the application instructions

Timing: Mid Biennium (starting in February of the odd numbered years)

Participants: Project Delivery Grants Analyst, Community Liaisons,

Rationale: Ensure the most recent information regarding policies and statutes is clearly identified in the application instructions

Inputs: Prior version of the Application Instructions, State law, Recommendations from GPAC, Direction from the legislature and/or Governor's office

Outputs: Needed changes to the Application instructions

#### **1.1.9.2.1.2: Update/Revise Application Form Content**

Description: Each application cycle the PTD updates the application form based on changes to state and federal regulation, WSDOT policy changes, and corrections recommended from the prior grant cycle.

Timing: Mid Biennium (starting in February of the odd numbered years)

Participants: PD Grants Analyst, Community Liaisons, Business Services Team, PTD Management Team

Rationale: To ensure that the questions asked align with planned practice for the upcoming cycle; and to ensure that PTD obtains sufficient information to evaluate the applications.

Inputs: State legislation, comments from prior evaluation teams, and recommendations from GPAC

Outputs: VIP Application form

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.9.2.1.2a Export VIP Application Form (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to export the VIP Application Form in PDF format.

Rationale: For use in Application Instructions (published outside GMS), and for staff review.

##### **1.1.9.2.1.2b Historical VIP Application Form (Priority: Medium)**

The system will store the VIP Application used for the current cycle and for each prior application cycle.

##### **1.1.9.2.1.2c Update Application Form (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to make necessary changes to the VIP Application form for the current application cycle.

#### **1.1.9.2.1.3: Update Instructions for Application Form (Out of Scope for GMS)**

Description: Based on the content of the application form, PTD updates the instructions on how to complete the form

Timing: Once the form content is finalized

Participants: PD Grants Analyst, Community Liaisons, Business Services Team, PTD Management Team

Rationale: To ensure that applicants understand how to properly complete and submit the application form.

Inputs: Application form, WSDOT policy

Outputs: Application Instructions

#### **1.1.9.2.2: WSDOT Publications Office Updates the Application Form (Out of Scope for GMS)**

Description: WSDOT's Publications Office reviews and edits the Application Form. PTD coordinates with the Publications Office if they have questions.

Timing: Following the review and recommended changes received from PTD

Participants: Project Delivery Grants Analyst, WSDOT's Communications Office

Rationale: To ensure the forms meet WSDOT standards

Inputs: Prior application, changes identified by PTD staff.

Outputs: Finalized Application form

#### **1.1.9.2.3: Ready to Publish Announcement**

The VIP application form and Application instructions are complete and ready for publication.

#### **1.1.9.3: PTD Calls for Projects**

Description: PTD announces the application period for the Vanpool Investment Program via email and on its website. PTD makes the application form available to potential applicants.

Timing: Following the update of the application instructions and application form

Rationale: To make potential applicants aware of the availability of funds and the deadline for submitting applications

Participants: PTD Staff

Inputs: Application instructions, List of eligible applicants

Outputs: Application period announced; Application form and instructions published and accessible to potential applicants

Notes: PTD may issue a secondary call based on the funds remaining un-spent/returned by subrecipients

##### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.9.3a Notify Potential Applicants (Priority: Medium)**

The system will provide a mechanism for PTD staff to notify transit agencies that the application cycle has begun.

##### **1.1.9.3b Publish VIP Application (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to store a copy of the finalized VIP application form in a shared location available to all transit agency subrecipients.

#### **1.1.9.4: Applicant Prepares and Submits Full Proposal**

Description: Applicants prepare applications using the application form established in the prior step and upload required attachments then submit the package to PTD.

Timing: Following the announcement of the call for projects

Rationale: To identify and evaluate eligible projects

Participants: Applicants

Inputs: Application form, project details and attachments

Outputs: Application Submitted

##### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.9.4a Applicant Completes Form Details (Priority: Mandatory)**

The system will provide a mechanism for applicants to complete the data requested in each field of the application form.

##### **1.1.9.4b Auto-total number groupings (Priority: Medium)**

The system will automatically calculate and display the total of a group of related numbers. For example: Revenues used for local match, project expenses, etc.

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.9.4c Autopopulate Subrecipient Facts (Priority: Mandatory)**  
When a new application is initiated, the system will auto-populate basic data about the applicant from their subrecipient profile.  
Examples: Legal Name, Address, DUNS #, etc.
- 1.1.9.4d Improvement Submission Deadline (Priority: Mandatory)**  
The system will not allow applicants to modify their application after the final application deadline.
- 1.1.9.4e New Application Submission Deadline (Priority: Mandatory)**  
The system will not allow the applicant to submit a new application after the established submission deadline date and time.
- 1.1.9.4f Restriction on Changes to Application (Priority: Mandatory)**  
The system will not allow the applicant to modify their application unless the application is returned to the applicant by PTD for changes.
- 1.1.9.4g Start New Application (Priority: Mandatory)**  
The system will provide a mechanism for applicants to initiate a new application using the published VIP Application Form.

#### **1.1.9.5: PTD Evaluates Applications**

Description: PTD staff reviews each application. Applications received for fleet expansion are given top priority. Applications for vehicle replacement are reviewed to ensure that the vehicles identified for replacement have met the FTA definition of minimum useful life. In the event there are insufficient funds for all vehicle replacements requested, PTD will rank applications based on the percentage of each applicant's vanpool fleet that is beyond State of Good Repair (SGR) standards.

Timing: Following the receipt of all applications and after the application deadline has passed

Rationale: To ensure funding is awarded to projects that meet the program priorities

Participants: PTD Staff

Inputs: Grant Applications and data from subrecipient inventories

Outputs: Applications evaluated

Notes: The evaluation method is currently under review and subject to change.

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.9.5a VIP Inventory Report (Priority: Medium)**  
The system will provide a mechanism for PTD staff to generate a report for each applicant that lists each grant funded vanpool vehicle in their fleet, providing the make, model, type, VIN, license plate #, subrecipient vehicle id#, age, mileage, and SGR rating.

#### **1.1.9.6: PTD Awards Projects**

Description: PTD Awards projects.

Timing: Following the evaluation process

Rationale: To make grant funds available for needed vanpool services.

Participants: PTD staff

Inputs: Project details and estimated funding available

Outputs: Projects Awarded or not

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.9.6a Enter Award/Denial and funded amounts (Priority: Medium)**  
The system will provide a mechanism for PTD to award funding amounts for projects in the system or mark projects as not awarded.

#### **1.1.9.7: Send Award/Denial Letters**

Description: All applicants that submitted projects that were accepted by PTD during the Grant Application Process are notified of award or denial. Currently the notification goes out as a formal letter.

Timing: Following the award process.

Participants: PD Grants Analyst and PD Manager.

Rationale: Applicants need to know WSDOT's decision whether or not to fund their project for business planning purposes.

Inputs: Grant award results and grant applications

Outputs: Award or Denial Letter to each applicant

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.1.9.7a Generate Award and Denial Letters (Priority: Medium)**

The system will provide a mechanism for PTD staff to either create an award/denial mailing or to export in a format that can be used to generate the mailing with another product.

#### **1.1.9.8: Ready for contracting**

#### **1.1.10: Puget Sound Transit Coordination Grants**

Description: PTD conducts a competitive process to select projects for the Puget Sound Transit Coordination Grant Program. Only transit agencies located in Pierce, King, and Snohomish Counties are eligible to apply for the funding.

Timing: March of the odd years for funding in the subsequent biennium

Participants: Eligible transit agencies, PD Grants Analyst, PD Manager, and BST Manager

Rationale: To ensure projects are awarded based on a fair and equitable manner.

Inputs: State program requirements/legislation, list of eligible applicants, input from GPAC

Outputs:

Notes: This program is targeted to large urbanized areas in the Puget Sound Region

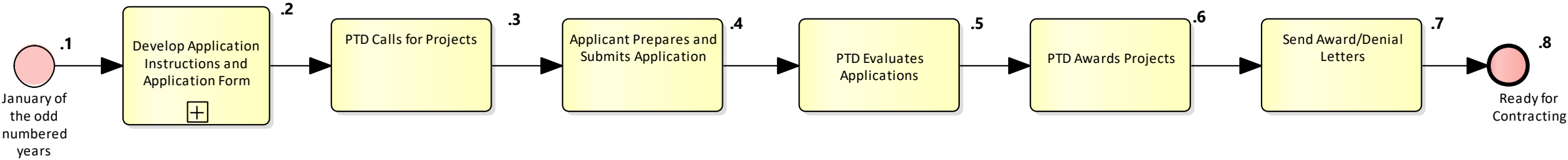
##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.1.10a Implement Puget Sound Transit Coordination Grant Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

**Puget Sound Transit Coordination Grants**

Name: Puget Sound Transit Coordination Grants      **1.1.10**  
Package: PTD Grant Process Map  
Version: 3/14/2017  
Author: GMS Team



### 1.1.10.1: January of the odd numbered years

### 1.1.10.2: Develop Application Instructions and Application Form

Description: PTD develops and issues an Application Instructions document and Application form for potential applicants to use when applying for Puget Sound Transit Coordination grant funds.

Timing: Mid Biennium (starting in March of the odd numbered years)

Rationale: To have a standard format and process for applicants.

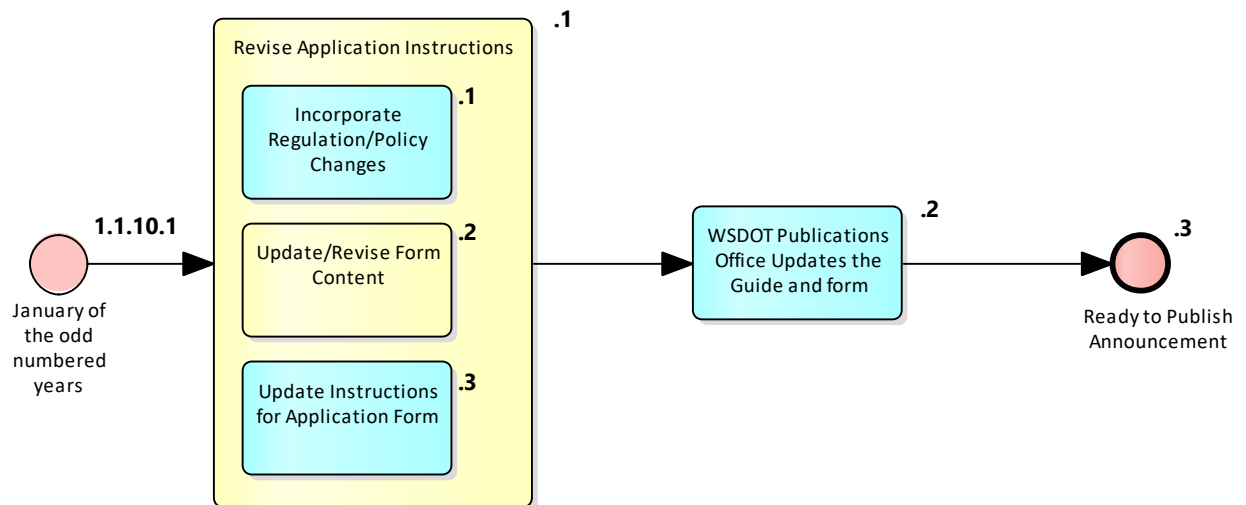
Participants: PD Grants Analyst and Community Liaisons.

Inputs: Prior year's instructions, Puget Sound Transit Coordination regulations

Outputs: Puget Sound Transit Coordination Grant Application instructions and Application form

### Develop Application Instructions and Application Form

Name: Develop Application Instructions and Application Form 1.1.10.2  
Package: PTD Grant Process Map  
Version: 3/14/2017  
Author: GMS Team



### 1.1.10.2.1: Revise Application Instructions

Description: PTD staff make updates to the applications each cycle to incorporate any regulatory or policy changes; this includes changes to the application form.

Timing: Mid Biennium (starting in January of the odd numbered years)

Participants: Community Liaisons, and the PTD Management Team

Rationale: Grant applicants need to be aware of how to apply for competitive grant funding and the associated requirements.

Inputs: Application form, state grant requirements, prior application instructions and recommendations from GPAC.

Outputs: Application Instructions for the Puget Sound Transit Coordination Grant Program



#### **1.1.10.2.1.1: Incorporate Regulation/Policy Changes (Out of Scope for GMS)**

Description: PTD staff review changes to policy and/or regulations associated with the grants and incorporate the changes into the application instructions

Timing: Mid Biennium (starting in January of the odd numbered years)

Participants: Project Delivery Grants Analyst, Community Liaisons,

Rationale: Ensure the most recent information regarding policies and statutes is clearly identified in the application instructions

Inputs: Prior version of the Application Instructions, State law, WSDOT Policy, Recommendations from GPAC, Direction from the legislature and/or Governor's office

Outputs: Needed changes to the Application Instructions

#### **1.1.10.2.1.2: Update/Revise Form Content**

Description: Each application cycle the PTD updates the Application form based on changes to state and federal regulation, WSDOT policy changes, and corrections recommended from the prior grant cycle.

Timing: Mid Biennium (starting in February of the odd numbered years)

Participants: PD Grants Analyst, Community Liaisons, Business Services Team, PTD Management Team

Rationale: To ensure that the questions asked align with planned practice for the upcoming cycle; and to ensure that PTD obtains sufficient information to evaluate the applications.

Inputs: State legislation, comments from prior evaluation teams, and recommendations from GPAC

Outputs: Application form

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.1.10.2.1.2a Export Puget Sound Transit Coordination Application Form (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to export the Puget Sound Transit Coordination Application Form in fillable PDF format.

Rationale: For use in Application Instructions (published outside GMS), and for staff review.

##### **1.1.10.2.1.2b Historical Puget Sound Transit Coordination Application Forms (Priority: Medium)**

The system will store the Puget Sound Transit Coordination Application Form used for the current cycle and for each prior application cycle.

##### **1.1.10.2.1.2c Update Application Form (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to make necessary changes to the Puget Sound Transit Coordination Application form for the current application cycle.

#### **1.1.10.2.1.3: Update Instructions for Application Form (Out of Scope for GMS)**

Description: Based on the content of the application form, PTD updates the instructions on how to complete the form

Timing: Once the form content is finalized

Participants: PD Grants Analyst, Community Liaisons, Business Services Team, PTD Management Team

Rationale: To ensure that applicants understand how to properly complete and submit the application form.

Inputs: Application form, WSDOT policy

Outputs: Application Instructions

#### **1.1.10.2.2: WSDOT Publications Office Updates the Guide and form (Out of Scope for GMS)**

Description: WSDOT's Publications Office reviews and edits the Application Instructions . PTD coordinates with the Publications Office if they have questions.

Timing: Following the review and recommended changes received from PTD

Participants: Project Delivery Grants Analyst, WSDOT's Communications Offices

Rationale: To ensure the forms and publications meet WSDOT standards

Inputs: Prior application instructions, changes identified by PTD staff, updated application form.

Outputs: finalized application instructions.

#### **1.1.10.2.3: Ready to Publish Announcement**

The VIP application and Application instructions are complete and ready for publication.

#### **1.1.10.3: PTD Calls for Projects**

Description: PTD announces the application period for the Puget Sound Transit Coordination Program via email to eligible Transit Agencies and on it's website

Timing: Begins January of odd years for projects beginning July 1

Rationale: To make potential applicants aware of the availability of funds and the deadline for submitting applications

Participants: PTD Staff

Inputs: Anticipated project budget, program requirements

Outputs: Application form established and application period announced

##### **GMS Requirements/Business Rules Associated with this Activity**

- |                  |   |
|------------------|---|
| <b>1.1.10.3a</b> | <b>Publish Puget Sound Transit Coordination Application (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD to publish the application form for use by prospective applicants. |
| <b>1.1.10.3b</b> | <b>Puget Sound Transit Coordination Application Notification (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to issue notification to eligible subrecipients.           |

#### **1.1.10.4: Applicant Prepares and Submits Application**

Description: Applicants prepare applications using the application form established in the prior step and upload required attachments then submit the package to PTD.

Timing: Following the announcement of the call for projects

Rationale: To identify and evaluate eligible projects

Participants: Applicants and PTD staff

Inputs: Application form and attachments

Outputs: Application Submitted

##### **GMS Requirements/Business Rules Associated with this Activity**

- |                  |   |
|------------------|---|
| <b>1.1.10.4a</b> | <b>Applicant Completes Form Details (Priority: Mandatory)</b><br>The system will provide a mechanism for applicants to complete the data requested in each field of the application form.                                   |
| <b>1.1.10.4b</b> | <b>Auto-total number groupings (Priority: Mandatory)</b><br>The system will automatically calculate and display the total of a group of related numbers. For example: Revenues used for local match, project expenses, etc. |

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.10.4c Autopopulate Subrecipient Facts (Priority: Mandatory)**  
When a new application is initiated, the system will auto-populate basic data about the applicant from their subrecipient profile.  
Examples: Legal Name, Address, DUNS #, etc.
- 1.1.10.4d Improvement Submission Deadline (Priority: Mandatory)**  
The system will not allow applicants to modify their application after the final application deadline.
- 1.1.10.4e Multiple projects per Applicant (Priority: Mandatory)**  
The system will provide a mechanism for applicants to initiate a separate application for each of their proposed projects.
- 1.1.10.4f New Application Submission Deadline (Priority: Mandatory)**  
The system will not allow the applicant to submit a new application after the established submission deadline date and time.
- 1.1.10.4g Restriction on Changes to Application (Priority: Mandatory)**  
The system will not allow the applicant to modify their application unless the application is returned to the applicant by PTD for changes.
- 1.1.10.4h Start New Application (Priority: Mandatory)**  
The system will provide a mechanism for applicants to initiate a new application using the published Puget Sound Transit Coordination Grant Application Form.

#### **1.1.10.5: PTD Evaluates Applications**

Description: PTD reviews each application to ensure that the applicant and project is eligible for Puget Sound Transit Coordination grant funding. In the event funding requests exceed the amount available, a formal evaluation method will be established to prioritize the funding awards.

Timing: Following receipt and finalization of all applications and after the deadline has passed.

Rationale: To ensure that funds are awarded fairly and equitably and ensure that all projects meet the program parameters identified in the state regulations.

Participants: PTD Staff

Inputs: State program requirements and applications received

Outputs: applications evaluated

#### **GMS Requirements/Business Rules Associated with this Activity**

- 1.1.10.5a Ad-hoc evaluation method (Priority: Medium)**  
The system will provide a mechanism for PTD staff to establish an evaluation methodology similar to others already implemented for other programs.  
Rationale: Evaluations may not be necessary because we expect that there will be sufficient funding. In the event that funding requests exceed the available funding an evaluation methodology will need to be implemented.
- 1.1.10.5b Review and Comment (Priority: Medium)**  
The system will provide a mechanism for PTD staff to review and comment on each application.

#### 1.1.10.6: PTD Awards Projects

Description: PTD awards funding to projects

Timing: Following the evaluation process

Rationale: To enable award/denial letters and move projects forward for contracting

Participants: PD Grants Analyst and PD Grants Manager

Inputs: Evaluation results and state budget

Outputs: grants awarded

Notes:

##### GMS Requirements/Business Rules Associated with this Activity

#### **1.1.10.6a Enter award/denial and funded amounts (Priority: Mandatory)**

The system will provide a mechanism for PTD to enter awarded funding for projects or mark projects as not awarded.

#### 1.1.10.7: Send Award/Denial Letters

Description: All applicants that submitted projects that were accepted by PTD during the Grant Application Process are notified of award or denial. Currently the notification goes out as a formal letter.

Timing: Following the award process.

Participants: PD Grants Analyst and PD Manager.

Rationale: Applicants need to know WSDOT's decision whether or not to fund their project for business planning purposes.

Inputs: Grant award results and grant applications

Outputs: Award or Denial Letter to each applicant

##### GMS Requirements/Business Rules Associated with this Activity

#### **1.1.10.7a Generate Award and Denial Letters (Priority: Medium)**

The system will provide a mechanism for PTD staff to either create an award/denial mailing or to export in a format that can be used to generate the mailing with another product.

#### 1.1.10.8: Ready for Contracting

#### 1.1.11: Transit Tiered List Grants

Description: The legislature directly awards grants based on requests submitted to them by local jurisdictions, including transit agencies. Those projects are identified as a line item in PTD's biennial budget as signed by the governor. PTD records the award and notifies the subrecipient of the award.

Timing: Biennial as part of the state budget process

Participants: State Legislature, subrecipients, and PTD staff

Rationale: PTD is designated by the legislature to administer line-item grants awarded to public transportation providers

Inputs: Requests submitted directly to the Legislature

Outputs: Transit Tier Awards ready for contracting

##### GMS Requirements/Business Rules Associated with this Activity

#### **1.1.11a Notify Subrecipient of Award (Priority: Medium)**

The system will provide a mechanism for PTD staff to send an award notification to the subrecipient.

#### **1.1.11b Record Transit Tier Grant Award (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to record the transit tier grant awards and the project details in the system.

### 1.1.12: To-Be-Determined Grants

Description: The Federal Government and/or the State Legislature establishes a new grant funding program to be managed by PTD. PTD develops and carries out a grant award process based on the new program criteria.

Timing: Potentially every 5 years (fed) or every 2 years (State)

Participants: FTA or other federal agency, the State Legislature, PTD Staff.

Rationale: Provide an equitable/fair award process for new federal or state funds to subrecipients.

Inputs: Federal authorizing language or State Budget

Outputs: New grant award process

Notes:

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.1.12a Establish New Grant Program (Priority: High)**

The system will provide a mechanism for PTD staff to establish new grant programs and establish work flows that are similar to other grant award processes documented in these requirements.

### 1.1.13: Establish Funding Sources and Estimated or Actual Budgets

Description: PTD estimates the amount expected to be available under each funding source (from both federal and state sources).

For federal funds provided through the Consolidated Grant Program, the baseline used for estimating funds for each source comes from estimating new funding and adding that to already obligated funds that were not spent on completed projects, if any.

For state funds provided through the Consolidated, VIP, Puget Sound Transit Coordination and TDM Grant processes PTD estimates funding levels based on the preliminary budget passed by the state legislature.

For state funds provided through the Formula Grant processes, RMG and Transit Tier Grant processes, PTD does no estimating; grant award begins after the governor has signed the budget.

For federal funds provided through USDOT NOFA, STP, PSRC and CMAQ Grant processes, PTD does no estimating; awarded funds are recorded following notification of federal awards.

Timing: Each grant process has its own timing; see their individual descriptions. Estimated amounts are input prior to the grant awards. The estimates are updated with the actual amounts once those amounts are known.

Rationale: When needed to provide baseline funding levels used in the grant award processes.

Participants: PTD GMS Administrator

Inputs: Federal apportionment tables, preliminary state budget

Outputs: Funding ready for use in the award process

Notes: Following the award processes, the funding is managed as described in 1.17.9

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.1.13a Available Grant Funding (Priority: Mandatory)**

The system will allow grants funding to be applied to a project up to the total grant funding available under each funding source; this is computed as the sum of: Unassigned Funds, Unspent Funds on Completed Projects, and New Funding.

##### **1.1.13b Calculate Unassigned Funds (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to compute the amount of funds, if any, not yet assigned to any projects for each funding source.

##### **1.1.13c FAIN number and Apportionment Year (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to record the actual or temporary FAIN number and the apportionment year associated with each new federal funding amount.

### GMS Requirements/Business Rules Associated with this Activity

- 1.1.13d New Funding (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to data enter new estimated or actual funding amounts associated with funding source(s).
- 1.1.13e New Funding Sources (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to data enter new funding source(s), if not already present.
- 1.1.13f Unspent Funds on Completed Projects (Priority: Mandatory)**  
The system will calculate the remaining funds unspent by completed projects under each funding source.

## 1.2: Secure Funding Sources

Description: For federal funding sources, PTD works with funding partners to secure new federal funds, awarded by the federal government or their designee. This includes funds awarded under Federal discretionary/NOFA, funds identified in the FTA annual apportionments, STP funds awarded to subrecipients, and CMAQ funds awarded to PTD by an MPO.

For state funding sources, state funds are automatically secured through the state budget process.

Timing: Ongoing

Participants: Multiple, depending on the funding source. See below.

Rationale: To secure funding for WSDOT activities and subrecipient projects

Inputs: Notification of federal awards via apportionment tables or other mechanisms, signed State budget, subrecipient grant awards.

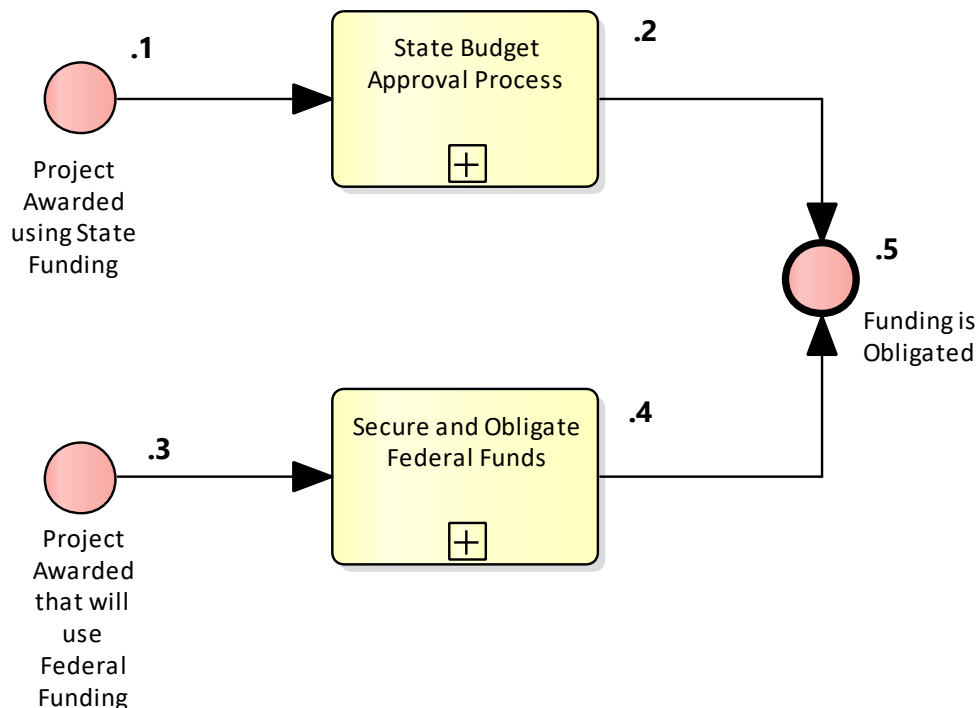
Outputs: Secured funding available for subrecipient projects and WSDOT activities.

Notes:

### Secure Funding Sources

Name: Secure Funding Sources  
Package: PTD Grant Process Map  
Version: 4/3/2017  
Author: GMS Team

1.2



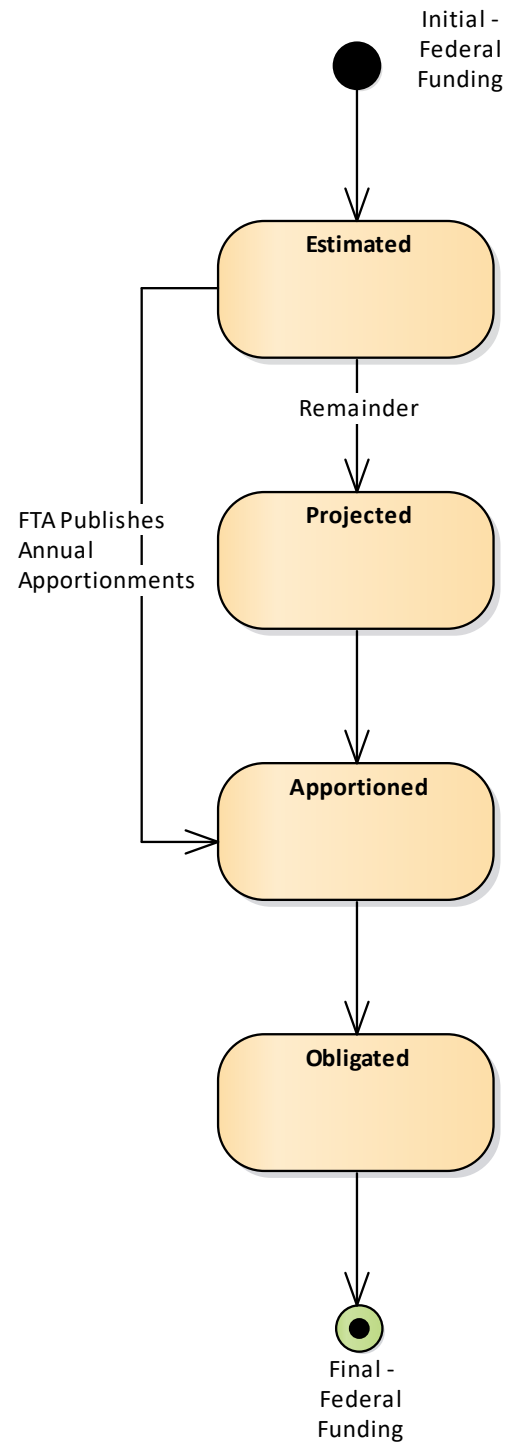
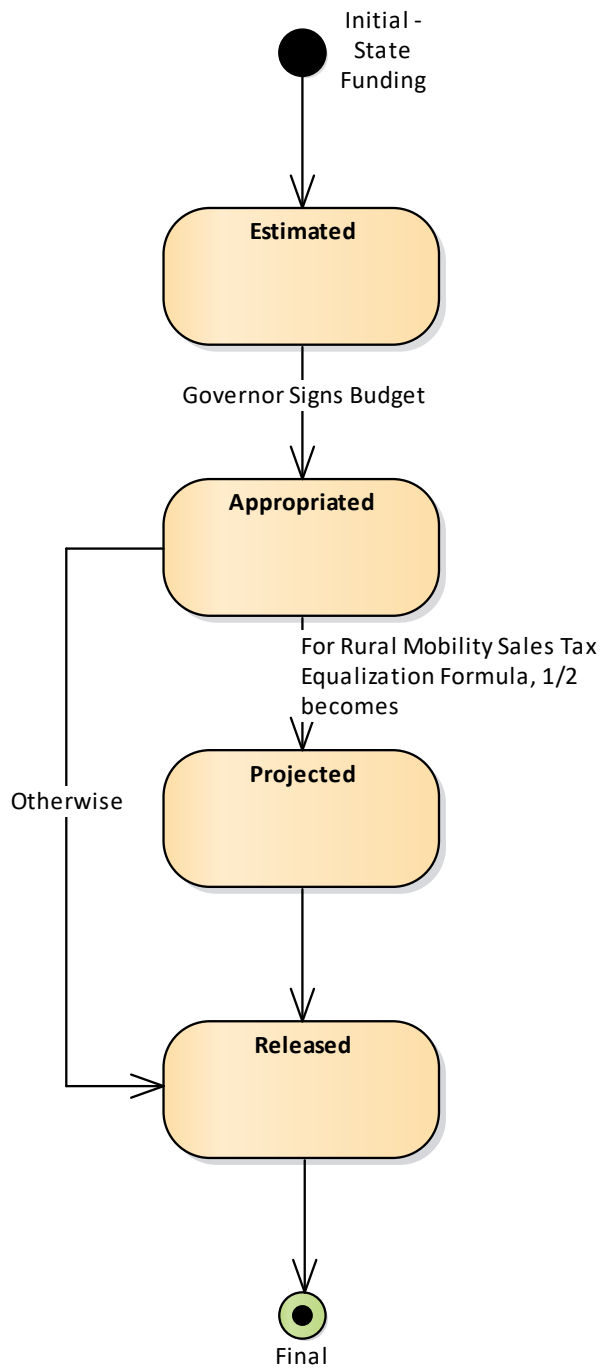
## Funding Status

Name: Funding Status

Package: PTD Grant Process Map

Version: 6/28/2017

Author: GMS Team



### 1.2.1: Project Awarded using State Funding

A project was awarded and waiting for the state budget approval process to be completed

### 1.2.2: State Budget Approval Process (Out of Scope for GMS)

Description: Each biennium the Washington state legislature and the Governor's office prepares and approves a transportation budget identifying funding for each state program and sub-program. Projects funded under the Regional Mobility, Transit Tier, and Puget Sound Transit Coordination programs may carry forward. In this case, PTD will ask for a re-appropriation of the funds remaining at the end of the fiscal cycle so the projects may continue in the new fiscal cycle.

Timing: January-June of odd numbered years

Participants: State Legislature and the Governor's office

Rationale: To establish spending authority for WSDOT activities.

Inputs: Budget requests submitted by WSDOT; lobbyists, constituent inputs

Outputs: Signed budget by the Governor's office

#### GMS Requirements/Business Rules Associated with this Activity

- 1.2.2a Finalize State Funding (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to either data enter signed actual budgets for an already established funding source, or accept the estimated budget provided during the award process.
- 1.2.2b Re-appropriation Notification (Priority: Medium)**  
The system will provide a mechanism for PTD staff to send a notification to specific subrecipients with current projects under the Regional Mobility program and Transit Tiered List projects advising them when re-appropriation requests are due and instructions for requesting a re-appropriation.
- 1.2.2c Re-appropriation Report (Priority: Medium)**  
The system will provide a mechanism for PTD staff to generate a report containing all of the re-appropriation requests received from subrecipients.
- 1.2.2d Subrecipient Re-appropriation Request (Priority: Medium)**  
The system will provide a mechanism for subrecipients to request a re-appropriation, including data entry of the anticipated amount needed.

### 1.2.2.1: Signed State Budget

### 1.2.3: Project Awarded that will use Federal Funding

A project was awarded and waiting for PTD to secure the federal funding.



#### **1.2.4: Secure and Obligate Federal Funds**

Description: PTD works with federal funding partners, other WSDOT divisions, and subrecipients to secure and obligate federal grant funding

Timing: Ongoing depending on the funding source/program

Participants: PTD staff, WSDOT Local Programs Division, FTA, FHWA, PSRC, and subrecipients

Rationale: Specific processes are required to secure and obligate federal funds

Inputs: Federal grant awards, subrecipient and/or WSDOT projects, federal apportionment tables, federal program guidance

Outputs: obligated federal funding ready for use on projects

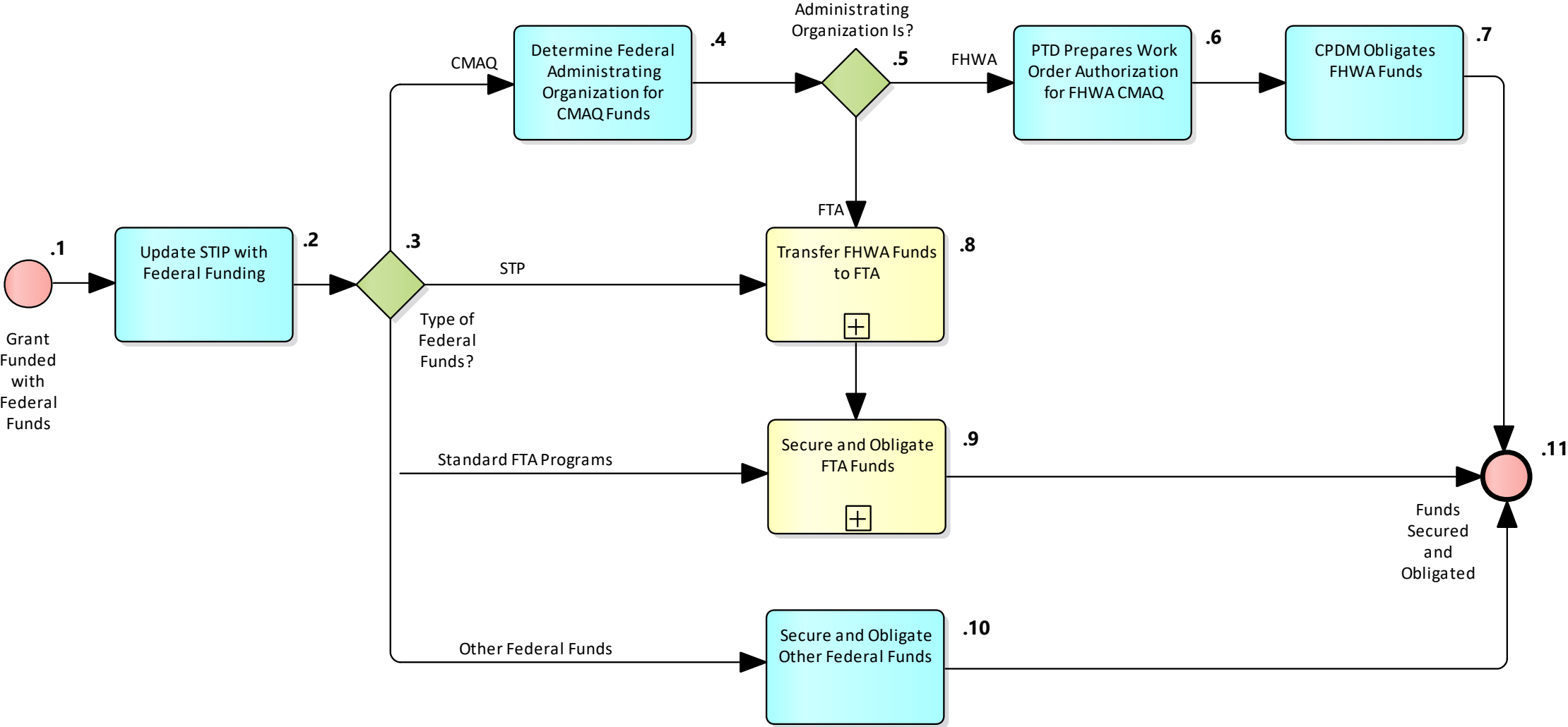
##### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.2.4a Finalize Federal Funding (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to either data enter actual federally awarded amounts for an already established funding source, or accept the estimated budget provided during the award process.

Secure and Obligate Federal Funds

Name: Secure and Obligate Federal Funds 1.2.4  
Package: PTD Grant Process Map  
Version: 7/31/2016  
Author: GMS Team



#### **1.2.4.1: Grant Funded with Federal Funds**

Projects have been awarded using federal funds

#### **1.2.4.2: Update STIP with Federal Funding (Out of Scope for GMS)**

Description: PTD updates the Statewide Transportation Improvement Program to reflect the un-obligated federal funding that will be available to award to subrecipient projects.

Timing: This can be done at any time during the year but must be completed prior to submitting an application to FTA for the funding (in TrAMS)

Participants: BST Special Projects & Compliance Analyst

Rationale: Federal regulations require that federal funding be listed in the STIP in order for FTA to obligate the funds.

Inputs: Federal apportionments, the balance of prior year funding that was not yet obligated

Outputs: Funding listed in the STIP

#### **1.2.4.3: Type of Federal Funds?**

What type of federal funds were awarded?

#### **1.2.4.4: Determine Federal Adminstrating Organization for CMAQ Funds (Out of Scope for GMS)**

Description: PTD reviews the program requirements and project details then determines whether or not to transfer the CMAQ funds to FTA or keep it with FHWA.

Timing: Following the award of CMAQ funds by the MPO

Participants: PD Manager, PD Grants Analyst, BST Special Projects and Compliance Analyst, and other PTD Staff

Rationale: Necessary to determine next steps for securing the funding

Inputs: CMAQ Project description, FTA and FHWA regulations pertaining to the project type

Outputs: Decision on course of action (keep with FHWA or Transfer to FTA)

#### **1.2.4.5: Adminstrating Organization Is?**

Will FTA or FHWA administer the funds?

#### **1.2.4.6: PTD Prepares Work Order Authorization for FHWA CMAQ (Out of Scope for GMS)**

Description: To secure FHWA funds, PTD prepares a work order authorization and forwards it to the Capital Program Development and Management Office (CPDM)

Timing: Following a decision to keep the funding with FHWA for administration

Participants: BST Planner and CPDM

Rationale: Required WSDOT process to secure FHWA funding.

Inputs: Work order authorization form, project description, funding amount

Outputs: Completed work order authorization form

#### **1.2.4.7: CPDM Obligates FHWA Funds (Out of Scope for GMS)**

Description: CPDM works with FHWA to obligate the FHWA funds.

Timing: Following PDT submitting a work order authorization for the funds

Participants: CPDM and FHWA

Rationale: FHWA must approve of all projects using their funds

Inputs: Completed work order authorization and supporting documents

Outputs: FHWA-CMAQ funds secured

#### **1.2.4.8: Transfer FHWA Funds to FTA**

Description: PTD Requests that FHWA-CMAQ or STP funds be transferred to FTA for administration

Timing: Following the decision to transfer the funding to FTA or the notification from a rural subrecipient that STP funds were awarded to them.

Participants: BST Special Projects and Compliance Analyst and/or the BST Grants Analyst, FTA, FHWA, and the Local Programs Division

Rationale: Required process in order to transfer the funding

Inputs: Documentation of project award, the project description, and the project budget, including the dollar amount awarded

Outputs: Funds transferred

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.2.4.8a      Implement Transfer FHWA Funds to FTA Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

#### **1.2.4.8b      Track Transfer Request Status (Priority: Low)**

The system will provide a mechanism for PTD staff to record/update the status of any transfer request sent to FTA as it moves through the various steps.

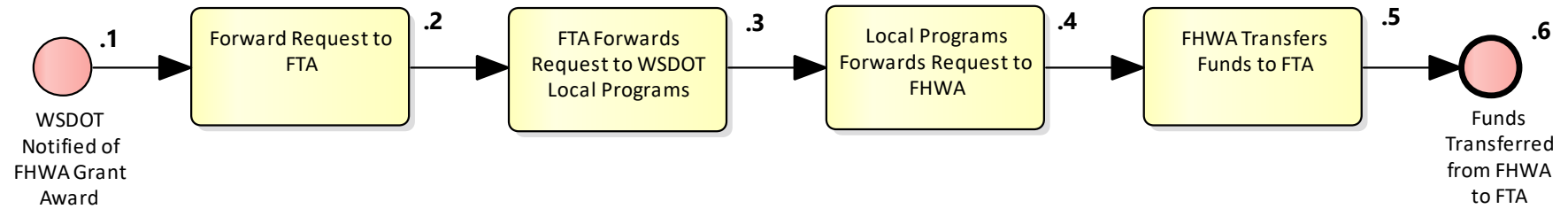
#### **1.2.4.8c      Transfer Request Status Report (Priority: Low)**

The system will provide a mechanism for PTD staff to generate a report showing the status of all transfer requests made during a particular time period.

## Transfer FHWA Funds

Name: Transfer FHWA Funds  
Package: PTD Grant Process Map  
Version: 7/25/2016  
Author: GMS Team

1.2.4.8



#### 1.2.4.8.1: WSDOT Notified of FHWA Grant Award

PTD decides to transfer CMAQ funds to FTA or Subrecipient notifies PTD that they were awarded FHWA/STP funds and requests to transfer the funds to FTA.

#### 1.2.4.8.2: Forward Request to FTA

Description: PTD initiates a request to transfer the funding to FTA for administration. The BST Budget & Systems Analyst compiles all information associated with the transfer request and emails it to FTA to initiate the transfer.

Timing: Following receipt of a request from a subrecipient or following the decision to transfer a CMAQ grant awarded to PTD.

Participants: BST Budget & Systems Analyst, BST Manager

Rationale: Required to enable the transfer from FHWA to FTA.

Inputs: Award Letter, [Letter of Request from subrecipient](#), [Project Details](#) and supporting documentation

Outputs: [Request submitted to FTA](#)

Notes: For backup purposes, the email itself is printed as a pdf and filed with the rest of the documentation.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.2.4.8.2a FTA Request Form (Priority: Medium)**

The system will provide a request form for PTD staff to complete transfers from FHWA to FTA.

##### **1.2.4.8.2b Record Date and Form Sent (Priority: Medium)**

Upon submittal of the transfer request to FTA, the system will record the date/time sent, a copy of the FTA form, and a reference to all attachments.

##### **1.2.4.8.2c Submit CMAQ Request(s) to FTA (Priority: Medium)**

The system will provide a mechanism for PTD staff to package up one or more CMAQ PTD requests, and send the FTA Request form along with all supporting documentation.

##### **1.2.4.8.2d Submit STP Request(s) to FTA (Priority: Medium)**

The system will provide a mechanism for PTD staff to package up one or more STP subrecipient requests, and send the FTA Request form along with all supporting documentation.

#### 1.2.4.8.3: FTA Forwards Request to WSDOT Local Programs

Description: FTA performs their internal review process and then notifies WSDOT Local Programs Division of their approval of the funding transfer request.

Timing: Following receipt of PTD's request to transfer.

Participants: FTA Staff

Rationale: FTA will be responsible for obligation and oversight of funding that originated with an FHWA award and transferred to FTA.

Inputs: [Funds Transfer Request from WSDOT](#).

Outputs: [Notification to WSDOT's Local Programs Division](#) of approval from FTA to move forward with the funds transfer.

#### **1.2.4.8.4: Local Programs Forwards Request to FHWA**

Description: WSDOT Local Programs Division reviews the request and their balance of obligation authority then forwards the request to FHWA .

Timing: May begin upon request from FTA Staff but cannot be completed until Local Programs has sufficient obligation authority.

Participants: WSDOT Local Programs

Rationale: Required to complete the transfer of FHWA funds to FTA.

Inputs: [Funds Transfer Request from FTA](#) and any supporting documentation required.

Outputs: [Request forwarded to FHWA by Local Programs.](#)

#### **1.2.4.8.5: FHWA Transfers Funds to FTA**

Description: FHWA reviews the transfer request and takes appropriate action to transfer the funding to FTA.

Timing: Following the receipt of the transfer request from WSDOT Local Programs staff.

Participants: FHWA and FTA

Rationale: Required to complete the transfer of funding from FHWA to FTA

Inputs: Transfer Request from WSDOT Local Programs and any required supporting documentation

Outputs: Funds transferred from FHWA to FTA.

#### **1.2.4.8.6: Funds Transferred from FHWA to FTA**

The funds have been transferred to FTA and are available for obligation.

#### **1.2.4.9: Secure and Obligate FTA Funds**

Description: PTD works with FTA to obligate the federal funds

Timing: Ongoing depending on the grant program/type of funding

Participants: BST & PD Staff and FTA

Rationale: Required in order to secure FTA funding

Inputs: Subrecipient project details, WSDOT project details, FTA apportionments, NOFAs, annual apportionment tables, and associated federal regulations/program requirements

Outputs: Obligated federal funds

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.2.4.9a Implement Secure and Obligate FTA Funds Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

##### **1.2.4.9b Replace Temporary FAIN (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to replace a temporary FAIN with one provided by FTA when it becomes available.

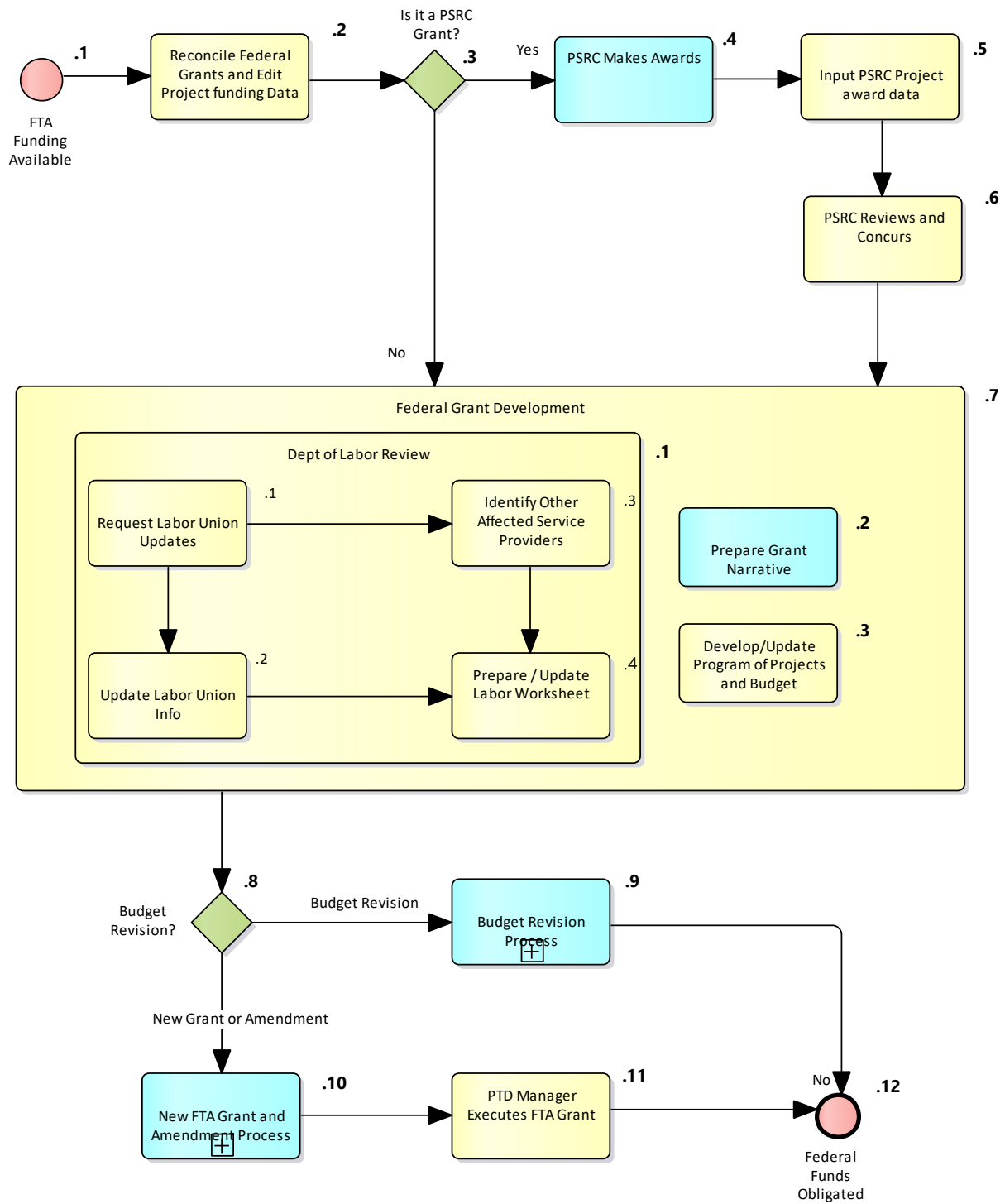
##### **1.2.4.9c Track Federal Grant Status (Priority: Low)**

The system will provide a mechanism for PTD staff to record the status of each federal grant application submitted or to be submitted to FTA.

## Secure and Obligate FTA Funds

Name: Secure and Obligate FTA Funds  
 Package: PTD Grant Process Map  
 Version: 7/31/2016  
 Author: GMS Team

1.2.4.9





#### 1.2.4.9.1: FTA Funding Available

FTA has published the annual apportionment tables

#### 1.2.4.9.2: Reconcile Federal Grants and Edit Project funding Data

Description: PTD reconciles each open federal grant to ensure the budget and financial information is consistent with FTA's system as well as WSDOT's financial system and identifies any changes that need to be made. PTD identifies subrecipient projects that have been completed and the final amounts charged to those grants and the amount of funds available to award to new projects. During this process PTD also makes adjustments to the funding sources used for specific projects.

Timing: Prior to submitting a new application for funding to FTA and/or preparing budget revisions on existing grants; and again, for funding sources used in the Consolidated Grant Program, prior to awarding new projects.

Participants: BST Planner, BST Budget & Systems Analyst, BST Manager

Rationale: To ensure that WSDOT's systems are in alignment with FTA's system, ensure that the oldest grant funds are used first, identify the total amount available in each funding source to award to new projects; and when applicable inform PSRC of the amount of funding available on grants managed by PTD on their behalf.

Inputs: Subrecipient project spending data, [Program Tracking Sheet](#), federal grant budgets/[programs of projects](#), federal apportionments.

Outputs: Reconciled federal grants and confirmed balance in each federal grant that is available to award to other projects

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.2.4.9.2a Edit Project Funding Data (Priority: Mandatory)

The system will provide a mechanism for PTD staff to make any necessary adjustments to the funding sources and amounts for a subrecipient project.

Rationale: To ensure accuracy of subrecipient project awards and to release remaining funds on completed projects.

#### 1.2.4.9.2b Export Program Tracking Report (Priority: Medium)

The system will provide a mechanism for PTD staff to export the Program Tracking Report into Excel format for reconciliation purposes.

#### 1.2.4.9.2c Generate Program Tracking Reports (Priority: Mandatory)

The system will provide a mechanism for PTD staff to generate a Program Tracking Report from data currently housed in the system that ties each subrecipient project to its associated federal grant and funding source.

#### 1.2.4.9.3: Is it a PSRC Grant?

Is this a grant managed by PTD on behalf of PSRC?

#### 1.2.4.9.4: PSRC Makes Awards (Out of Scope for GMS)

Description: PSRC awards FTA 5310 funding to subrecipients in their jurisdiction and notifies PTD of the awards PTD will manage on their behalf.

Timing: Following PTD's notification of the funds remaining available from open grants.

Participants: PSRC representatives

Rationale: PSRC is responsible for awarding FTA 5310 Large Urban funds in their jurisdiction

Inputs: Notice of remaining funds from PTD, federal apportionments, grant applications submitted to PSRC

Outputs: PSRC notifies PTD of their funding awards

Notes:

#### 1.2.4.9.5: Input PSRC Project award data

Description: PTD assigns new project awards to PSRC federal grants and sends the updated Program Tracking Report (s) to PSRC for concurrence.

Timing: following notification of awards from PSRC

Participants: BST Budget and Systems Analyst and PSRC

Rationale: To communicate with PSRC regarding subrecipient award distribution by federal grant and gain PSRC concurrence.

Inputs: [PSRC Awards](#) and PSRC Program Tracking Sheet

Outputs: Updated [PSRC Tracking sheet](#) sent to PSRC

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.2.4.9.5a Edit Project Funding Data (Priority: Medium)

The system will provide a mechanism for PTD staff to make adjustments to the funding sources and amounts for a subrecipient project and add new projects awarded by PSRC.

Rationale: To ensure accuracy of subrecipient project awards.

#### 1.2.4.9.5b Generate Program Tracking Reports (Priority: Mandatory)

The system will provide a mechanism for PTD to generate a Program Tracking Report from data currently housed in the system that ties each subrecipient project to its associated federal grant and funding source.

#### 1.2.4.9.6: PSRC Reviews and Concurs

Description: PSRC reviews the Program Tracking Report (s) and communicates with PTD regarding any requested changes.

Timing: following receipt of the updated Program Tracking Report (s) from PTD

Participants: PSRC and BST Budget & Systems Analyst

Rationale: To form an agreement of funding awards by federal grant

Inputs: [PSRC Program Tracking Report](#) (s) and [PSRC Awards](#)

Outputs: PSRC issued concurrence to PTD on the distribution of subrecipient awards

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.2.4.9.6a Adjust PSRC Program Tracking Sheet (Priority: Medium)

The system will provide a mechanism for PTD to make any necessary adjustments to the PSRC Program Tracking Report(s) as agreed to by PSRC and PTD.

#### 1.2.4.9.7: Federal Grant Development

Description: PTD develops the documentation necessary to apply to FTA for funding

Timing: Ongoing, depending on the type of FTA grant.

Participants: Subrecipients, BST Budget and Systems Analyst, other BST staff

Rationale: To enable PTD to apply for FTA funding

Inputs: [Program of Projects and Budget](#), [Dept. of Labor Worksheet](#) (5311 & 5339 only)

Outputs: Documentation assembled to apply for FTA funding

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.2.4.9.7a Compile Labor Worksheet for FTA Grants (Priority: High)

The system will provide a mechanism for PTD staff to compile the Labor Worksheet for each of PTD's FTA grants.

#### 1.2.4.9.7b Compile POP and Budget for FTA Grants (Priority: Mandatory)

The system will provide a mechanism for PTD staff to compile the Program of Projects and Budget for each of PTD's FTA grants.

**GMS Requirements/Business Rules Associated with this Activity**

**1.2.4.9.7c House, Store and Report on FTA's grants (Priority: Mandatory)**

The system will provide a storage mechanism to house, store and report on all financial and subrecipient project information associated with each of PTD's FTA grants.

**1.2.4.9.7.1: Dept of Labor Review**

Description: PTD develops/updates a labor union listing that includes all subrecipients under a specific federal grant.

Timing: Following award of FTA 5311 or 5339 grant funds

Participants: BST Budget & Systems Analyst, BST Planner, BST Compliance Analyst

Rationale: The information is a required attachment to the FTA 5311 & 5339 grants.

Inputs: Subrecipient's labor union information, labor union Information from other service providers that each subrecipient, the award amount and description for each project, the subrecipient's contact information

Outputs: Completed labor worksheet

**1.2.4.9.7.1.1: Request Labor Union Updates**

Description: PTD requests updated Labor Union information from each subrecipient and requests each subrecipient awarded 5311 or 5339 to identify the other service providers affected by their project along with the labor union information for each affected provider.

Timing: Begins annually in January of each year but must be complete prior to PTD submitting the application for federal funds.

Participants: BST Compliance Analyst, BST Budget and Systems Analyst

Rationale: To ensure PTD has current/accurate labor union information

Inputs: List of all subrecipients, list of subrecipients awarded 5311 and 5339 funds, [U.S. Department of Labor report](#) form

Outputs: Request sent to subrecipients

**GMS Requirements/Business Rules Associated with this Activity**

**1.2.4.9.7.1.1a Generate and Send Labor Union Notification (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate and send an electronic notice to all subrecipients using a standard format and instruction on how to update labor union information in the system.

**1.2.4.9.7.1.1b Generate notification to 5311 and 5339 awardees (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a notification to all 5311 and 5339 awardees requesting that they identify other affected service providers.

**1.2.4.9.7.1.1c Notification contains Labor Unions On File (Priority: Low)**

The system will provide a mechanism for PTD staff to add to the notification email to subrecipients the list of labor unions currently on file for the subrecipient.

**1.2.4.9.7.1.2: Update Labor Union Info**

Description: Each subrecipient sends PTD the updated labor union information for their organization.

Timing: Following PTD's request for an update.

Participants: BST Compliance Analyst, BST Budget and Systems Analyst

Rationale: To ensure the labor union information is current/accurate for each subrecipient in order to notify FTA and the US Department of Labor

Inputs: Labor Union data: Names, local #

Outputs: Updated labor union information submitted to PTD by subrecipients

Notes:

**GMS Requirements/Business Rules Associated with this Activity**

**1.2.4.9.7.1.2a House Labor Unions for a Subrecipient (Priority: High)**

The system will house the labor union information for all subrecipients.

**1.2.4.9.7.1.2b Manage/Keep Current Labor Union Information (Priority: High)**

The system will provide a mechanism for each subrecipient to enter/update the labor union information for their organization at any time.

**1.2.4.9.7.1.3: Identify Other Affected Service Providers**

Description: Each subrecipient awarded 5311 or 5339 funds identifies the other service providers affected by their project along with the labor union information for each affected provider.

Timing: Begins annually in January of each year but must be complete prior to submitting the application for federal funds.

Participants: BST Compliance Analyst, BST Budget and Systems Analyst

Rationale: Necessary to gather the labor union information needed to prepare the labor listing worksheet for each FTA 5311 and 5339 grant.

Inputs: A list of other service providers affected by each 5311 and 5339 project, the labor union representing the affected service providers, and US Dept. of Labor form.

Outputs: Subrecipients submitted the Labor union information to PTD.

**GMS Requirements/Business Rules Associated with this Activity**

**1.2.4.9.7.1.3a Enter Unknown Service Providers and Labor Unions (Priority: Medium)**

The system will provide a mechanism for the subrecipient to data enter the service provider name and labor union information of any that cannot be selected from a list already known to the system.

**1.2.4.9.7.1.3b Select Other Affected Service Providers (Priority: Medium)**

The system will provide a mechanism for each subrecipient to select one or more of the other subrecipients that they identify are affected by their 5311 or 5339 project.

#### **1.2.4.9.7.1.4: Prepare / Update Labor Worksheet**

Description: PTD prepares the Labor Worksheet to be attached to each of the federal 5311 or 5339 grants.

Timing: following reconciling grants and updating program tracking sheets.

Participants: BST Budget and Systems Analyst

Rationale: Required attachment to all 5311 and 5339 grant applications to FTA

Inputs: List of all projects under the specific 5311 or 5339 grants. The information for each project includes:

- The subrecipient name
- Subrecipient contact information
- A description of the project
- The funds awarded for the project
- The labor union (name and local) representing the subrecipient's employees
- List of affected providers and the associated labor unions information for each provider

Outputs: Completed/updated [Labor Worksheet](#)

Notes: WSDOT is the recipient of the federal grant. The funds awarded to each project are specific to WSDOT's grant with FTA

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.2.4.9.7.1.4a Federal Grant Projects Report (Priority: High)**

The system will provide a mechanism for PTD staff to generate a report for each federal grant that contains all subrecipient project descriptions, project periods, award amounts, the subrecipient's labor union details; and the name and the labor union details for other service providers identified by the subrecipient in the prior step.

Rationale: The report is required by FTA as an attachment to each 5311 and 5339 FTA federal grant.

#### **1.2.4.9.7.2: Prepare Grant Narrative (Out of Scope for GMS)**

Description: PTD Prepares the narrative describing the purpose of the FTA grant and the activities to be funded.

The details to be provided in the narrative are based on the content prescribed by FTA.

Timing: Following the determination that either a new grant is needed or the decision to amend or revise a current grant.

Participants: BST Budget and Systems Analyst

Rationale: FTA requires specific elements be covered in the narrative for each grant.

Inputs: Description of the program activities, funding to be used for the FTA grant, and other data as required by FTA; or the reasons for a budget revision or grant amendment.

Outputs: Prepared grant narrative

#### **1.2.4.9.7.3: Develop/Update Program of Projects and Budget**

Description: The BST-Grants Analyst gathers the projects information submitted from grant subrecipients and enters subrecipient's project descriptions and amounts into the Program of Projects spreadsheet.

Timing: Upon receipt by grant subrecipient.

Participants: Subrecipient, BST-Grants Analyst

Rationale: Required attachment for the FTA grant application and needed in order to summarize and enter the grant budget in FTA's TrAMS system.

Inputs: Subrecipient's name, Project Location, Project Description, Number of Project Items, Specific FTA Scope and Activity Line Item, the grant share of the associated local match, and the total cost for each project, .

Outputs: Completed/updated [Program of Projects](#) spreadsheet ready to upload the to the application in TrAMS.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.2.4.9.7.3a Program of Projects Changes (Priority: Medium)**

The Program of Projects report will provide the ability to optionally include identification of the funding amount changes made to each project.

##### **1.2.4.9.7.3b Program of Projects Report (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to generate a report for each federal grant that includes a list of all subrecipient projects, the scope code and activity line item assigned to each project, the federal funds awarded to each project, and for capital equipment or vehicle projects, the number of units to be purchased.

#### **1.2.4.9.8: Budget Revision?**

Is this a budget revision with no need to initiate a new grant or an amendment?

#### **1.2.4.9.9: Budget Revision Process (Out of Scope for GMS)**

Description: PTD revises the federal grant budget in FTA's TrAMS System using reports already available.

#### **1.2.4.9.10: New FTA Grant and Amendment Process (Out of Scope for GMS)**

Description: PTD establishes and secures new funding and/or amends the federal grants in FTA's TrAMS System, using reports previously identified.

#### **1.2.4.9.11: PTD Manager Executes FTA Grant**

Description: The PD or BST Manager electronically signs the grant in TrAMS

Timing: Following submission of the initial FFR in TrAMS

Participants: BST Manager or PD Manager

Rationale: Required in order to obligate/secure the federal funding

Inputs: Grant application and TrAMS system log in and PIN

Outputs: Federal grant funding obligated/secured

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.2.4.9.11a Record Funding as Secured (Priority: Medium)**

The system will provide a mechanism for PTD staff to record the execution of a new or amended FTA grant by PTD as secured/obligated.

Rationale: PTD typically issues subrecipient contracts concurrently with securing the requisite FTA funds. However, the final execution is not allowed until the FTA funds are secured.

#### **1.2.4.9.12: Federal Funds Obligated**

Funds Secured and Obligated

#### **1.2.4.10: Secure and Obligate Other Federal Funds (Out of Scope for GMS)**

Description: PTD may pursue funding made available by other federal agencies

Timing: When a notice of funding availability is received and a decision is made to pursue the funding.

Participants: PTD staff

Rationale: To secure the other federal funding

Inputs: Notice of availability, project information and other information needed as determined by the other federal agency

Outputs: Secured "other" federal funds

Notes: This process will be further defined based on the steps required by the funding agency.

#### **1.2.4.11: Funds Secured and Obligated**

Funds Secured and Obligated

#### **1.2.5: Funding is Obligated**

Funds Secured and Obligated

### **1.3: Contract Development**

Description: PTD develops project-specific contracts and grant agreements

Timing: following the award of grants or contracts

Participants: Community Liaisons, BST Contracts Specialist

Rationale: Required to enable project activities and authorizations for payment

Inputs: Grant applications and award data, RTAP projects, and amendment requests

Outputs: contract or amendment developed

Notes: During Phase 1, the BST Contract Specialist will perform contract development activities outside the system. Once the contract has been developed and is ready for signature, the contract will be established in the system and associated with the appropriate established subrecipient grant award(s). The contract will be uploaded in the system and available for view.

#### **GMS Requirements/Business Rules Associated with this Activity**

- |             |  |
|-------------|--|
| <b>1.3a</b> | <b>Contract Activity Log (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to generate a report that identifies action taken on each contract during a specific date range.  |
| <b>1.3b</b> | <b>Contract and Amendment Status Report (Priority: Medium)</b><br>The system will provide a mechanism for the Contracts Specialist to generate a report showing the status of all contracts and/or amendments that have not yet been executed or canceled. |
| <b>1.3c</b> | <b>Implement Contract Development Workflow (Priority: Medium)</b><br>The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.  |
| <b>1.3d</b> | <b>Phase 1 - Establish Contract and Projects Externally and Upload (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to establish a contract in the system, and upload a copy of the document.                                |
| <b>1.3e</b> | <b>Phase 1 - Establish Project(s) for a Contract (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to associate each contract with one or more subrecipient projects in the system.   |

**GMS Requirements/Business Rules Associated with this Activity**

**1.3f**

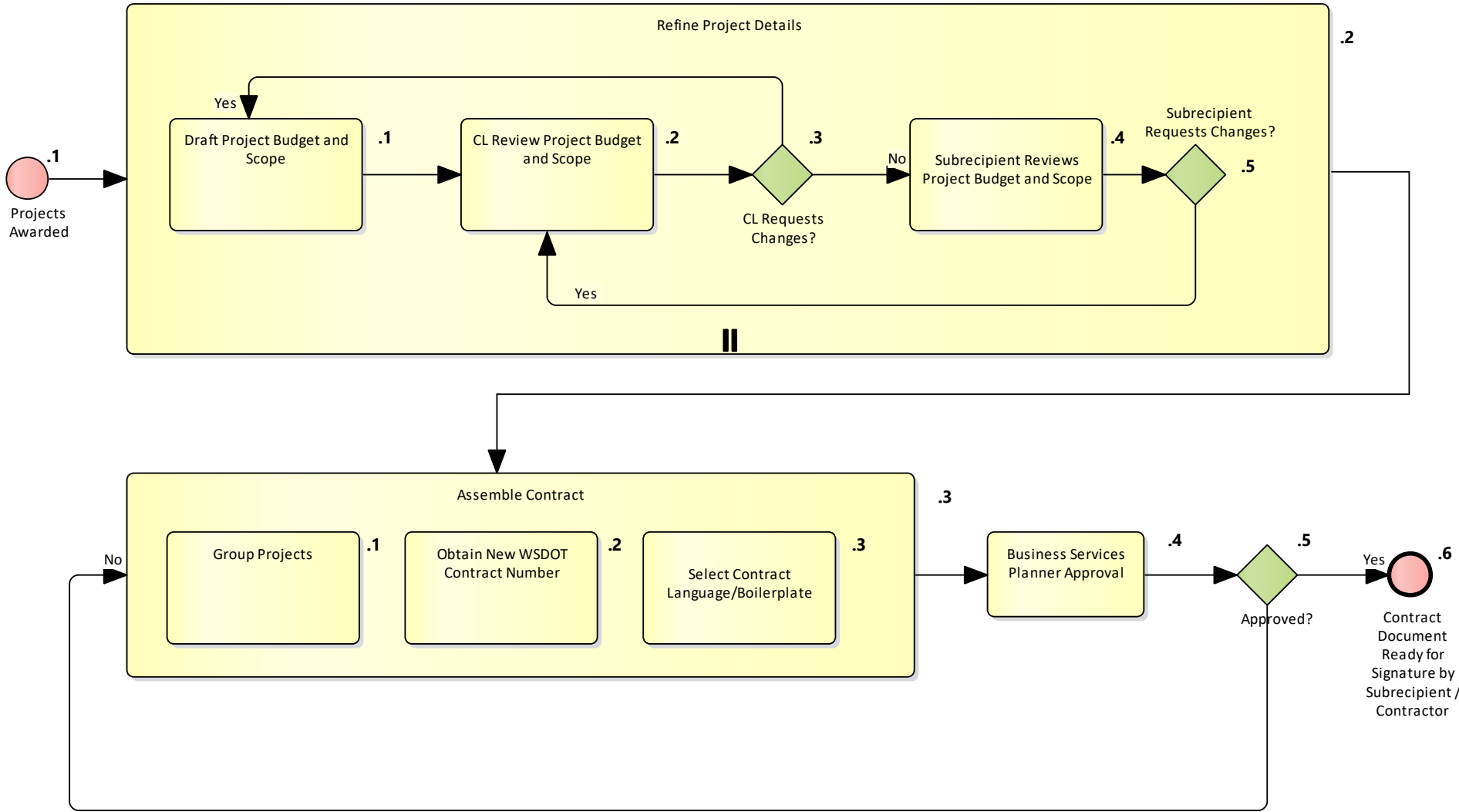
**Phase 2 - Establish Contract and Project in System (Priority: Medium)**

Starting in Phase 2, the system will provide a mechanism for PTD staff to draft a contract in the system and associate one or more projects with it. The system will provide a mechanism to compile a contract that contains the appropriate clauses based on the type of project (capital/operating/construction) and the type of funding awarded to the projects covered under the contract.



Contract Development

Name: Contract Development 1.3  
Package: PTD Grant Process Map  
Version: 3/20/2017  
Author: GMS Team



### 1.3.1: Projects Awarded

PTD Awarded funding to projects

### 1.3.2: Refine Project Details

Description: PTD works with each subrecipient to refine the details and to develop a scope of work and budget for each project.

Timing: Following the grant award process.

Participants: CL, Subrecipients, BST Contracts Specialist

Rationale: To ensure PTD and the subrecipient agree on the scope of work as modified by PTD, and the project scope of work meets the requirements for the type(s) of funds awarded.

Inputs: [Subrecipient Grant application](#) and [project award details](#).

Outputs: Mutually agreed upon scope of work for each project.

#### 1.3.2.1: Draft Project Budget and Scope

Description: Using scope of work and budget from the application, the BST Contracts Specialist refines the scope of work and budget for each project and forwards it to the appropriate community liaison.

Timing: Following the award process.

Participants: BST Contracts Specialist

Rationale: To ensure that the language meets WSDOT and federal contracting standards, only eligible activities are included in the scope of work and feed the contracting process

Inputs: [grant application](#) and [award details](#)

Outputs: Draft scope of work and budget developed for each project

#### GMS Requirements/Business Rules Associated with this Activity

##### 1.3.2.1a Extract and Use Applicant's Scope of Work and Budget (Priority: High)

Starting in Phase 2 the system will automatically pre-fill the scope of work and budget for a project within a contract with the language provided by the subrecipient in the awarded grant application. Further, the system will provide a mechanism for PTD staff to update the scope of work and budget for the contract/project.

#### 1.3.2.2: CL Review Project Budget and Scope

Description: The Community Liaison reviews the project scope of work and budget to ensure that they agree that the draft represents their understanding of the project awarded. The CL will either concur with the draft and forward it to the subrecipient or return the draft to the Contracts Specialist with comments for proposed changes.

Timing: Following development of the draft by the Contracts Specialist

Rationale: Quality control to ensure that the scope of work and budget is consistent with the intent of the awarded project.

Participants: Community Liaison

Inputs: [draft scope and budget](#), [project application](#)

Outputs: draft scope and budget ready for subrecipient review or returned to the Contracts Specialist

#### GMS Requirements/Business Rules Associated with this Activity

##### 1.3.2.2a Review Project Budget and Scope (Priority: Medium)

Starting in Phase 2 the system will provide a mechanism for the Community Liaison to view the original application and the budget and scope sections of the evolving contract in the system, and a mechanism to return it to Contracts Specialist with comments if needed.

### 1.3.2.3: CL Requests Changes?

Did the Community Liaison request changes be made?

### 1.3.2.4: Subrecipient Reviews Project Budget and Scope

Description: The subrecipient reviews the scope of work and budget to ensure that they agree that the language represents the project awarded. The subrecipient either concurs with the draft or returns it to the Contracts Specialist with comments for requested changes.

Timing: Following the receipt of the draft project budget and scope of work

Rationale: To ensure that the subrecipient agrees that the project budget and scope of work accurately represents their project award.

Participants: Subrecipient

Inputs: [application](#), [draft project budget and scope of work](#)

Outputs: finalized project budget and scope of work or draft returned to the Contracts Specialist

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.3.2.4a Review Budget and Scope by Subrecipient (Priority: Medium)**

Starting in Phase 2 the system will provide a mechanism for the subrecipient to view their application, the budget and scope sections of the evolving contract, and a mechanism to submit their comments to the CL for requested changes, if any.

### 1.3.2.5: Subrecipient Requests Changes?

### 1.3.3: Assemble Contract

Description: PTD identifies like projects awarded to a specific subrecipient, groups the projects into a single contract, then obtains and records a WSDOT contract number. Based on the project type and funding sources awarded, PTD identifies the appropriate contract boilerplate.

Timing: Following approval of the scope of work and budget for each project to be included under a single contract.

Participants: Contract Specialist

Rationale: To ensure that the proper contract clauses are included and like projects are included in a single contract.

Inputs: Type of project, approved scope of work and budget for each project, funding sources awarded for each project, Federal ID number, and all other project details.

Outputs: Assembled Contract ready for review

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.3.3a Assemble Contract (Priority: Medium)**

Starting in Phase 2 the system will provide a mechanism for PTD staff to assemble each contract in preparation for signature/execution.

##### **1.3.3b Store executed contracts in the system (Priority: Mandatory)**

In Phase 1 the system will provide a storage location for already assembled and executed contracts, and a mechanism for PTD to upload the final executed contract.

### 1.3.3.1: Group Projects

Description: The Contracts Specialist consolidates like projects awarded to a single subrecipient into one contract. The values for each project are combined to form the total contract values.

Timing: Following the refinement of the project details for each project to be included in the contract.

Participants: Contract Specialist

Rationale: To reduce the number of contracts, ensure the projects are identified correctly, and the total contract values incorporate all projects to be included in a single contract.

Inputs: [Scope of work, budget, and funding sources awarded for each project](#)

Outputs: A well-defined exhibit for the agreement.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.3.3.1a Group Projects under one Contract (Priority: Medium)**

Starting in Phase 2 the system will provide a mechanism for PTD to select one or more awarded grants for a specific subrecipient for inclusion in a contract with like projects.

An awarded project can only be implemented under one contract.

##### **1.3.3.1b Summarize all funding under one contract (Priority: Medium)**

The system will provide a mechanism for PTD staff to sum the total awarded to all projects under the contract for each funding source and a total for the contract.

### 1.3.3.2: Obtain New WSDOT Contract Number

Description: WSDOT assigns an agreement number to all contracts. The agreement number series is based on the type of subrecipient and whether it is a grant agreement or a purchase of service. The number is used for tracking purposes in WSDOT's automated systems. The Contract Specialist obtains a new number for each contract from AFS (Accounting and Financial Services).

Timing: While the agreement is being drafted.

Participants: Contract Specialist

Rationale: Required per WSDOT policy, the agreement number is our way of identifying each agreement. The number assigned is dependent on the type of subrecipient.

Inputs: The type of subrecipient and the type of contract.

Outputs: A new unique contract number.

Notes: This number is obtained from the Agreement Review Transmittal Database

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.3.3.2a WSDOT Contract Number (Priority: Mandatory)**

The system will provide a mechanism for PTD to record the WSDOT contract number for each contract.

### 1.3.3.3: Select Contract Language/Boilerplate

Description: The Contracts Specialist selects a boilerplate to be used for a grouping of projects based on the type of project and the funding sources used for the projects.

Timing: Following the grouping of projects to be included in a single contract.

Rationale: Ensure that the boilerplate used includes all of the required language.

Participants: Contracts Specialist

Inputs: [Boilerplates approved by the Attorney General](#), Funding Sources, Project types.

Outputs: [Boilerplate](#) selected

### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.3.3.3a Boilerplate Contract Clauses (Priority: Medium)**

The system will provide a mechanism for the Contract Specialist to:

- store all contract clauses approved by the Washington State Attorney General's Office.
- identify the type of project and funding source each clause applies to.
- ability to generate a contract based on the type of projects in each grouping and the type of funding awarded.

Note that this requirement has an alternate.

#### **1.3.3.3b Contract Boilerplate Storage and Usage (Priority: Medium)**

The System will provide a mechanism for PTD staff to:

- store each approved contract boilerplate
- select the a boilerplate when creating a new contract document for a project grouping.

Note that this requirement has an alternate

### **1.3.4: Business Services Planner Approval**

Description: The Transportation Planner reviews and approves the agreement before it is sent to the grantee for execution.

Timing: After the agreement is drafted and ready for execution.

Participants: Contract Specialist and Transportation Planner

Rationale: To make sure all information in the agreement is correct and has no errors before sending it to the subrecipient for execution.

Inputs: Point of contact information for the parties, project SOW, budget, Federal ID number, and term of project.

Outputs: Contract approved and ready for signature process, or contract returned to the Contracts Specialist for changes.

#### **1.3.5: Approved?**

#### **1.3.6: Contract Document Ready for Signature by Subrecipient / Contractor**

All administration processes have been completed and the contract can be sent to the subrecipient/contractor for their signature.

## 1.4: RTAP Contract Process

Description: PTD develops a call for training and technical assistance projects and engages in a competitive application process. A panel scores the components of the applications and funding is awarded based on the ranked list of deliverables.

Timing: Begins ten months prior to the start of the biennium for standard program elements. Ongoing for ad hoc requests from Subrecipients

Participants: RTAP Program Manager, WSTIP, CTA-NW, WSTA and/or other agencies who may compete for the funding.

Rationale: To carry out the RTAP program objectives

Inputs: Training needs survey, RTAP program budget, deliverables identified by partner agencies that represent the needs expressed in the Call for Projects, and requests for special assistance from rural transportation providers.

Outputs: are identified under each supporting activity

Notes: A small amount of RTAP funding is available year round for adhoc technical assistance projects.

Special requests may be made by subrecipients. The RTAP Manager coordinates with the subrecipient and recommends approval or denial to the project delivery manager.

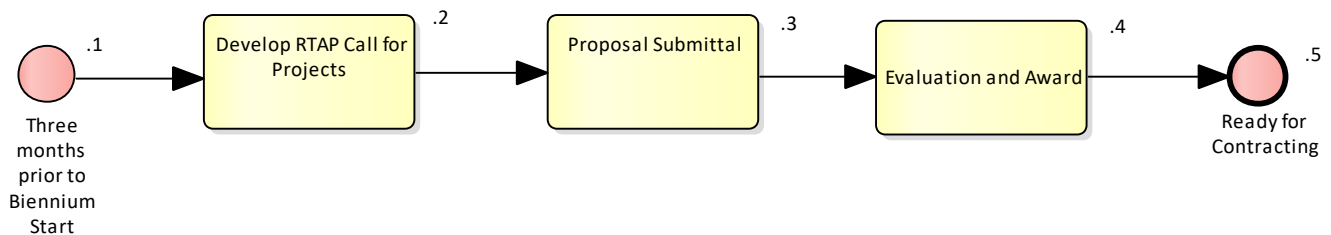
### GMS Requirements/Business Rules Associated with this Activity

#### 1.4a Implement RTAP Contract Process Workflow (Priority: Medium)

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

#### RTAP Contract Process

Name: RTAP Contract Process **1.4**  
Package: PTD Grant Process Map  
Version: 8/10/2016  
Author: GMS Team



#### 1.4.1: Three months prior to Biennium Start

This is the initial trigger, PTD needs to ensure the continuity of the program.

### 1.4.2: Develop RTAP Call for Projects

Description: The RTAP Program Manager and/or Grants Analyst uses surveys and input from Community Liaisons and current RTAP subrecipients to identify training and technical assistance priorities.

Timing: Starts 10 months prior to a new biennium but must be completed six months before the start of a new biennium

Participants: RTAP Program manager, Grants Analyst, Community Liaisons, current RTAP subrecipients

Rationale: Ensure that the training and technical assistance to be provided meets the needs of rural and special needs transportation providers in Washington State.

Inputs: FTA RTAP apportionment, funds remaining from completed contracts, completed surveys from rural customers, training needs identified based on site visit deficiencies and requests for technical assistance.

Outputs: RTAP contracting budget, completed needs assessment, RTAP [Program Status Report](#).

Notes: Please refer to "other RTAP reports under this [hyperlink](#)

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.4.2a RTAP Program Activity Report (Priority: Medium)**

The system will provide a mechanism for the RTAP Program Manager to generate a report that includes all RTAP Program contracting scholarship and expenditure activity for a specific time-frame.

### 1.4.3: Proposal Submittal

Description: Interested agencies submit a proposal that lists training and technical assistance priorities and deliverables to PTD.

Timing: Following the call for projects

Participants: Agencies interested in RTAP funding to provide training and technical assistance

Rationale: To secure RTAP funding

Inputs: Proposed budget and deliverables.

Outputs: Proposal submitted to PTD.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.4.3a Input Proposed Scope/Schedule/Budget (Priority: Medium)**

The system will provide a mechanism for Contractors to input the proposed scope of work, schedule, and budget.

##### **1.4.3b Upload Training Survey Results (Priority: Low)**

The system will provide a mechanism for Contractors to upload Training Survey results.

#### 1.4.4: Evaluation and Award

Description: The RTAP Program Manager in coordination with the Community Liaisons evaluate the proposals and award funding.

Timing: Following the Proposal submittal; and completion of the needs assessment and RTAP budget

Participants: Program manager, Community Liaisons, BST Grants Analyst

Rationale: To award contracts based on the training and technical assistance needs of the rural public transportation providers.

Inputs: Program budget, proposals submitted, RTAP needs assessment results, available RTAP funding

Outputs: Ready for contracting

##### GMS Requirements/Business Rules Associated with this Activity

#### **1.4.4a Award Funding (Priority: Mandatory)**

The system will provide a mechanism for the RTAP program manager to record awarded funding.

#### 1.4.5: Ready for Contracting

All RTAP pre-contract activities are complete

### 1.5: RTAP Scholarship Process

Description: PTD uses a portion of its RTAP funding to provide RTAP Scholarships for employees of public transportation providers. Subrecipients complete and submit a scholarship application form to request a scholarship.

Timing: Scholarship applications may come in several months prior to a specific training event. Scholarship applications must be received at least 30 days before an event.

Rationale: Make funding available to rural and/or special needs transportation providers to meet their employee training needs

Inputs: Scholarship applications RTAP Program Regulations, PTD Scholarship policies.

Outputs: Scholarship applications, type of subrecipient, past scholarship awards to subrecipient and the scholarship participant (subrecipient employee)

Notes: Persons requesting scholarships must work for an agency that provides public transportation services. The scholarship applications are submitted by the public transportation provider (sponsor)

##### GMS Requirements/Business Rules Associated with this Activity

#### **1.5a Implement RTAP Scholarship Process Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

#### **1.5b Manage Scholarship Applications (Priority: High)**

The system will provide a mechanism for PTD staff to administer versions of the scholarship application form and make one of them available for applicants to use.

#### **1.5c Scholarship Activity Report (Priority: Medium)**

The system will provide a mechanism for the Program Manager to generate a report on scholarship activity and status.

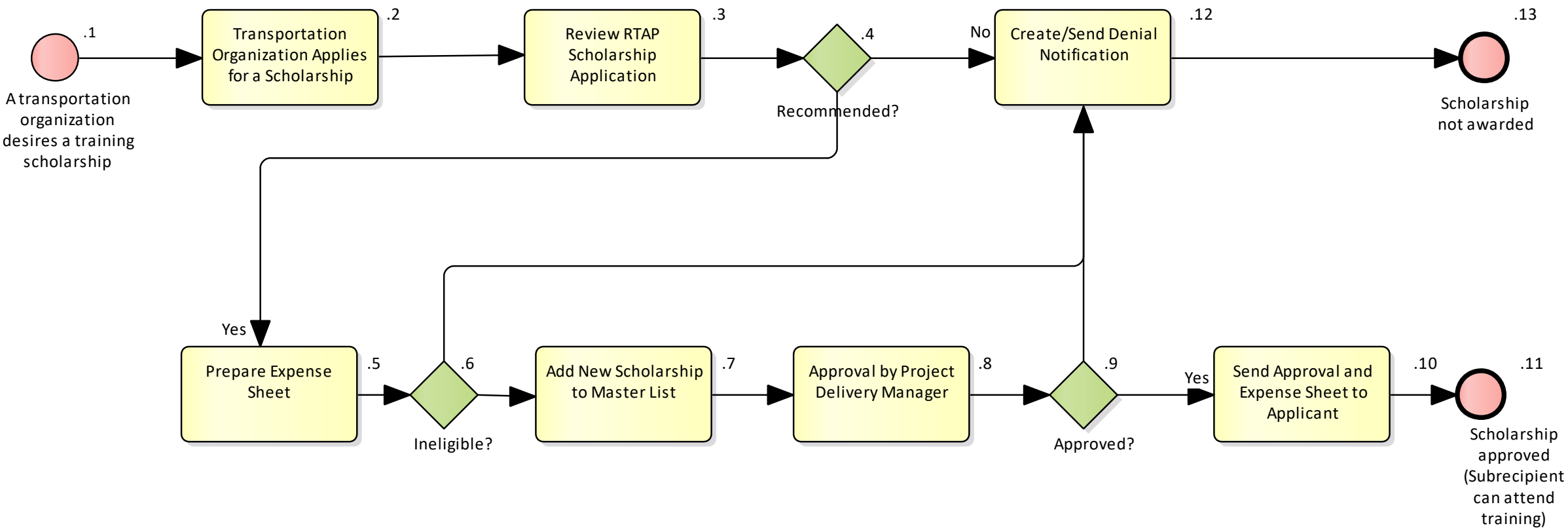
#### **1.5d Scholarship Application (Priority: High)**

The system will house the Scholarship application form.



RTAP Scholarship Award Process

Name: RTAP Scholarship Award Process 1.5  
Package: PTD Grant Process Map  
Version: 1/12/2017  
Author: GMS Team



### 1.5.1: A transportation organization desires a training scholarship

A subrecipient submitted an RTAP scholarship request to PTD

### 1.5.2: Transportation Organization Applies for a Scholarship

Description: Subrecipient applies for an RTAP Scholarship.

Timing: This can happen at any time. However, the program requires that scholarship applications be submitted at least 30 days before the training event.

Participants: Subrecipient

Rationale: To enable transportation providers to apply for RTAP scholarships and carry out the intent of the RTAP program.

Inputs: Scholarship application form, employee name, desired training including the provider, training date(s), location, tuition/registration cost, the relationship of the training to the employee's job, travel dates, associated travel costs, and back-up documentation.

Outputs: Completed scholarship application submitted to PTD

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.5.2a      Apply for Scholarship (Priority: High)**

The system will provide a mechanism for a representative from a subrecipient organization to locate the current scholarship form, fill out the form and submit it to WSDOT PTD for review.

##### **1.5.2b      Calculate Total Amount Requested (Priority: Medium)**

The system will automatically calculate the dollar value of the scholarship request based on the details provided by the subrecipient and the following business rules:

- Costs up to \$600 are calculated at 100 percent.
- Costs in excess of \$600 are calculated at 50 percent.
- Maximum scholarship award will not exceed \$1,000 per scholarship.

##### **1.5.2c      Scholarship Applications Tracked (Priority: Medium)**

The system will provide a mechanism for scholarship applications initiated by a subrecipient organization to be logged and tracked throughout their lifecycle and for historical purposes.

### 1.5.3: Review RTAP Scholarship Application

Description: The RTAP Program Manager reviews the application to ensure the applicant and the requested training is allowable under the parameters of the program. The program manager then either recommends the scholarship for approval or issues a denial letter with an explanation of why the scholarship was denied.

Timing: Following the submission of a scholarship application.

Participants: RTAP Program Manager

Rationale: Program Manager must ensure the event meets the intent of the program and stays within biennial budget; and that the applicant has not already met the established thresholds.

Inputs: RTAP scholarship parameters, the scholarship request received, the balance of RTAP scholarship funds available, and the number of scholarships awarded during the year to the subrecipient or the scholarship participant.

Outputs: Recommendation for approval or scholarship denial communication.

Notes: Approval goes to Fiscal Specialist. Denial enables the program manager to send a denial notification detailing the reason(s).

#### GMS Requirements/Business Rules Associated with this Activity

- |               |   |
|---------------|---|
| <b>1.5.3a</b> | <b>Denied Scholarship Notification (Priority: Medium)</b><br>The system will issue a notification to the subrecipient on all denied scholarships.   |
| <b>1.5.3b</b> | <b>Review Scholarship Requests (Priority: High)</b><br>The system will provide a mechanism for the RTAP Program Manager to review each scholarship request and attachments in the system.             |
| <b>1.5.3c</b> | <b>Scholarship Approval (Priority: Medium)</b><br>The system will provide a mechanism for the Program Manager to recommend the scholarship request for approval or deny the scholarship request.      |
| <b>1.5.3d</b> | <b>Scholarship Data Entry (Priority: High)</b><br>The system will provide a mechanism for the Fiscal Specialist to enter scholarship requests and associate it with the correct subrecipient account. |

### 1.5.4: Recommended?

Did the RTAP program manager recommend the scholarship for approval?

### 1.5.5: Prepare Expense Sheet

Description: The Fiscal Specialist reviews the application to ensure the expenses are eligible, the projected costs are within allowable per-diem rates, the mileage appears to be appropriate. The Fiscal Specialist updates the scholarship request to reflect allowable rates/costs, if needed, then forwards the request to the Project Delivery Manager for final approval.

Timing: Following recommendation of approval by the Program Manager.

Participants: Fiscal Specialist and RTAP program manager

Rationale: to ensure that the expenses are within allowable per diem rates and that the request is allowable under the parameters of the program.

Inputs: Application and attachments showing how they calculated estimates, state per diem rates, record of scholarships awarded to the applicant.

Outputs: Completed expense sheet or application returned to the program manager for denial.

Notes: The applicant must share in the costs of tuition and travel over \$600, up to a maximum reimbursement of \$1,000

#### GMS Requirements/Business Rules Associated with this Activity

- |               |  |
|---------------|--|
| <b>1.5.5a</b> | <b>Assign Funding Source (Priority: High)</b><br>The system will provide a mechanism for the Fiscal Specialist to assign the funding source to the scholarship request.  |
| <b>1.5.5b</b> | <b>Compute Allowable Scholarship Award Amount (Priority: Medium)</b><br>The system will provide a mechanism to automatically calculate the allowable scholarship award amount based on the cost information provided in the application and the program parameters.<br><br>Notes: The applicant must share in the costs of tuition and travel over \$600, up to a maximum reimbursement of \$1,000 |
| <b>1.5.5c</b> | <b>Forward or Return Scholarship Request (Priority: Medium)</b><br>The system will provide a mechanism for the Fiscal Specialist to forward the scholarship request to the PD Manager or return the scholarship request to the Program Manager with comments.  |
| <b>1.5.5d</b> | <b>Maximum Subrecipient Scholarships per year (Priority: Medium)</b><br>The system will not allow PTD to award more than 10 scholarships to any single subrecipient during a calendar year.  |
| <b>1.5.5e</b> | <b>Review RTAP Scholarship (Priority: High)</b><br>The system will provide a mechanism for the Fiscal Specialist to review the RTAP Scholarship application.   |
| <b>1.5.5f</b> | <b>Update Projected Costs (Priority: High)</b><br>The system will provide a mechanism for the Fiscal Specialist to update the projected costs to reflect the allowable rates/costs.  |

### 1.5.6: Ineligible?

Did the Fiscal Specialist confer with the RTAP program manager and determined that the scholarship could not be funded?

### **1.5.7: Add New Scholarship to Master List**

Description: PTD adds the scholarship to the Master List of scholarships.

Timing: Following receipt of the scholarship request.

Participants: Fiscal Specialist

Rationale: To keep track of scholarship applications received.

Inputs: Scholarship application

Outputs: Application recorded on the list

### **1.5.8: Approval by Project Delivery Manager**

Description: The PD Manager, or designee reviews the scholarship request and either awards the scholarship or issues a scholarship denial commenting on the reasons for the denial

Timing: Following recommendation of approval by the Program Manager

Participants: PD Manager

Rationale: The PD Manager has authority to sign contracts, where the Program Manager does not.

Inputs: The Scholarship request and attached documentation

Outputs: Scholarship awarded or denied

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.5.8a Attach signed paper approval (Priority: High)**

The system will provide a mechanism for the Fiscal Specialist to attach a scanned image of the signed paper version to the scholarship request.

Note that we may receive paper-based applications; the PD Manager may be handed a paper version of the scholarship request to sign and will hand deliver it to the Fiscal Specialist.

### **1.5.9: Approved?**

Did the PD Manager approve the scholarship?

### **1.5.10: Send Approval and Expense Sheet to Applicant**

Description: PTD notifies the subrecipient that the scholarship request was approved and provides instructions on how to receive reimbursement along with a copy of the finalized expense worksheet.

Timing: Following the approval by the PD Manager

Participants: RTAP Program Manager or designee

Rationale: Subrecipients need to be made aware of the award and how to receive reimbursement.

Inputs: Approval and finalized signed expense sheet.

Outputs: Award notice and instructions sent to subrecipient

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.5.10a Automatic Transmittal of Scholarship Approval (Priority: Medium)**

The system will automatically transmit scholarship approval correspondence to the subrecipient. The notice will include the amount awarded with eligible costs and instructions for receiving reimbursement.

### **1.5.11: Scholarship approved (Subrecipient can attend training)**

Scholarship approval and worksheet was sent to the subrecipient.

### **1.5.12: Create/Send Denial Notification**

Description: PTD notifies the subrecipient that their scholarship request was denied and documents the reasons for the denial.

Timing: Following the decision by either the RTAP Program Manager or the PD Manager to deny a scholarship request

Participants: RTAP Program manager, PD Manager, or their designee.

Rationale: To notify the subrecipient that the scholarship was denied and communicate the reasons for denial.

Inputs: Decision to deny a scholarship request

Outputs: Denial notification sent

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.5.12a Automatic Denial Notification (Priority: Medium)**

The system will automatically send a denial notification to the subrecipient including the reasons for the denial.

### **1.5.13: Scholarship not awarded**

The denial letter was sent to the subrecipient

### **1.6: Third Party Contracting Processes (Out of Scope for GMS)**

Description: PTD works with WSDOT's contracting office to directly procure public transportation services from public transportation providers to meet needs not able to be covered by not-for-profit subrecipient awards. This includes services provided along corridors identified as deficient by WSDOT's Intercity Bus Plan, and WSDOT construction mitigation transit services.

Timing: As needed by PTD

Participants: PTD staff and WSDOT Contracts Office staff

Rationale: To support services that are not covered directly by subrecipient grants.

Inputs: Scope of work, federal and/or state procurement laws (depending on the type of funding to be used), Intercity Bus Plan

Outputs: Third Party Contract awarded

### **1.7: Subrecipient Signatures**

Description: Subrecipients and RTAP contractors sign the contracts and return them to WSDOT

Timing: Following receipt of a contract from PTD

Participants: Subrecipients

Rationale: To obligate the contractor to the terms and conditions of the award.

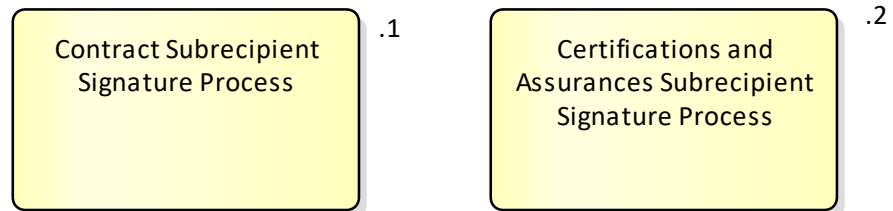
Inputs: RTAP Contract

Outputs: Contracts signed by subrecipients

## Subrecipient Signatures

Name: Subrecipient Signatures  
Package: PTD Grant Process Map  
Version: 7/21/2016  
Author: GMS Team

1.7



### 1.7.1: Contract Subrecipient Signature Process

Description: The Subrecipient's authorized representative signs the contract and returns it to WSDOT.

Timing: Following the receipt of the contract from PTD

Participants: Subrecipient's official who is authorized to sign contracts on behalf of the subrecipient

Rationale: To bind the subrecipient to the terms and conditions of the grant award.

Inputs: Grant Contract

Outputs: Contract signed by the subrecipient

#### GMS Requirements/Business Rules Associated with this Activity

##### 1.7.1a Phase 1 - Record Contract Signature Date (Priority: High)

During In Phase 1: The system will provide a mechanism for the BST Contracts Specialist to record the contract as being signed by the subrecipient. (the signature process will be handled by the signature process outside the system).

##### 1.7.1b Phase 2 - Subrecipient Electronic/Digital Signature (Priority: Medium)

Phase 2: The system will provide a mechanism for subrecipients to digitally sign the contract in the system.

### 1.7.2: Certifications and Assurances Subrecipient Signature Process

Description: For each subrecipient awarded federal funds, PTD issues a certifications and assurances package along with instructions for submittal to the subrecipient's signature authority.

Timing: Prior to execution of a contract for new federal subrecipients and annually for all subrecipients with open federal projects following issuance of the annual certifications and assurances by FTA.

Participants: BST Compliance Analyst and Subrecipient signature authorities

Rationale: Required by FTA for all federally funded projects to ensure compliance with federal requirements

Inputs: Annual [Certifications and Assurances issued by FTA](#) and the list of subrecipients awarded federal funds.

Outputs: [Certifications and Assurances submitted to PTD by subrecipients.](#)

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.7.2a Phase 2 - Issue Certifications and Assurances Form (Priority: Medium)**

In Phase 2 the system will provide a mechanism for PTD staff to issue the certifications and assurances form to each awarded subrecipient.

##### **1.7.2b Phase 2 - Sign Certifications and Assurances (Priority: Medium)**

In Phase 2 the system will provide a mechanism for the Subrecipients to digitally sign the certifications and assurances.

### 1.8: Contract Execution (by WSDOT)

Description: PTD Director or designee signs the contract.

Timing: Following receipt of the signed contract from the subrecipient

Participants: Contracts Specialist and PTD Director

Rationale: To authorize expenditure of grant funds

Inputs: Signed Contract from Subrecipient

Outputs: Fully executed contract.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.8a Phase 1 - Record Executed Contract (Priority: Mandatory)**

During Phase 1 the system will provide a mechanism for the BST Contracts Specialist to record the contract execution date and upload the executed contract in the system, associating it with any grant record already existing in the system.

##### **1.8b Phase 2 - Contract Execution by Digital Signature (Priority: Medium)**

In Phase 2 the system will provide a mechanism for PTD to execute the contract by digital signature.

Note: PTD's Director and Business Service Manager are delegated the authority to execute contracts and grant agreements for the division. The Director has delegated signature authority to the Assistant Director and the manager of each functional group of PTD. The PTD Project Delivery Manager and Business Service Manager are delegated signature authority for RTAP scholarship expense sheets.



## 1.9: Setup Workorder Groups and Customize Subrecipient Forms

Description: PTD establishes the charge codes and customizes subrecipient grant specific forms.

Timing: Following the execution of a grant contract.

Participants: BST Planner, Fiscal Specialist

Rationale: To enable payment and reporting on grant activities

Inputs: Subrecipient Contract, Federal Program Tracking Sheets, work orders in TRAINS

Outputs: Forms available for subrecipient invoicing and reporting

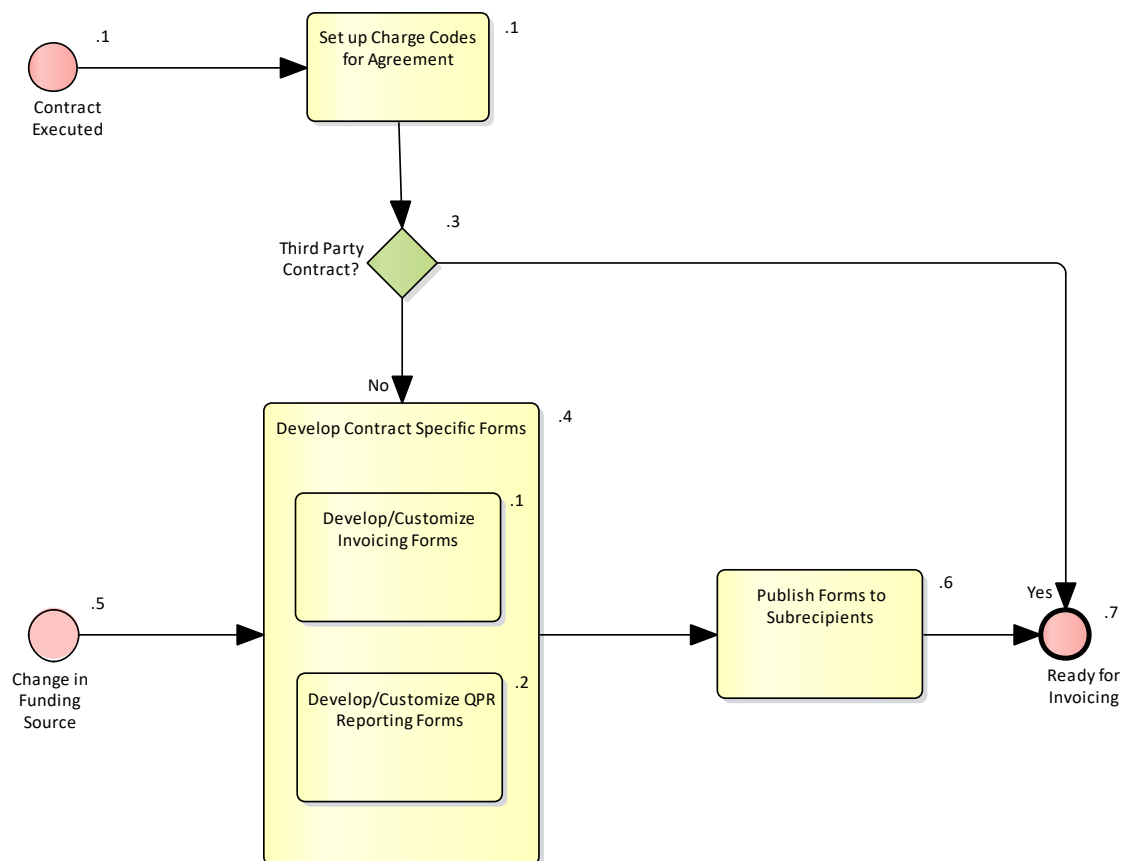
### GMS Requirements/Business Rules Associated with this Activity

#### 1.9a Implement Setup Workorder Groups and Customize Subrecipient Forms Workflow (Priority: Medium)

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

#### Setup Workorder Groups and Customize Subrecipient Forms

Name: Setup Workorder Groups and Customize Subrecipient Forms 1.9  
Package: PTD Grant Process Map  
Version: 3/22/2017  
Author: GMS Team



### 1.9.1: Contract Executed

The contract signature/execution process is complete.

### 1.9.2: Set up Charge Codes for Agreement

Description: PTD established the work order groups in TRAINS and assigns the applicable work order and group(s) in GMS that will apply to each project for the executed contract, based on the funds used to support that project.

Timing: following the execution of a contract

Participants: BST Planner, Fiscal Specialist

Rationale: To ensure that contracts are charged to the appropriate funding and to enable payment and financial tracking in TRAINS

Inputs: [Contract, including contract number, budget, source of funds](#), unique project Identifier (UPIN), federal grant program tracking sheets, and amounts for each funding source used.

Outputs: [Established charge codes for each grant project](#) within the executed contract.

Notes: Each funding source and program has a specific sets of charge codes (work orders) that tie the funding to the specific state appropriations and if applicable, the associated federal grant in WSDOT's accounting system (TRAINS).

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.9.2a Enter new Work Order Groups (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to enter the necessary work order groups based on the funding sources assigned to each project of the recently executed contract.

##### **1.9.2b One Project per Work Order Group (Priority: High)**

The system will not allow a work order group to be assigned to more than one project and/or contract.

##### **1.9.2c Sequential Work Order Groups (Priority: Low)**

The system will track the work order groups already assigned and assign the next available work order groups.

Note: based on the funding source(s) assigned to each project under the contract.

### 1.9.3: Third Party Contract?

Is this a contract for purchased goods and/or services provided by a third party vendor?

### 1.9.4: Develop Contract Specific Forms

Description: PTD establishes contract-specific forms for use by the subrecipient/contractor to invoice WSDOT or report on grant activities.

Timing: Following establishment of charge codes for the recently executed contract.

Participants: BST Planner, Fiscal Specialist

Rationale: To ensure the proper data is received during invoicing and reporting to enable PTD to validate compliance with contract provisions, complete reports required by FTA and/or the State Legislature, and process the subrecipient invoices.

Inputs: Contracts, Grant applications, and grant program reporting requirements. For continuing projects: historical performance and historical financial data.

Outputs: [Contract invoice Form](#) and [Contract Reporting Form\(s\)](#).

Notes: Each program and type of project (operating, capital vehicles, capital equipment, and construction) have specific forms to be used by subrecipients/contractors to request reimbursement from WSDOT and report on grant progress.

#### 1.9.4.1: Develop/Customize Invoicing Forms

Description: PTD customizes Invoice Form(s) for each project under a contract based on the ratio of each funding source and charge codes used.

Timing: Following establishment of the charge codes

Participants: BST Planner, Fiscal Specialist

Rationale: Enable subrecipients to request reimbursement of grant related expenses, ensure appropriate fund sources are charged; and enable the subrecipients to enter assets purchased under capital vehicle and/or equipment grants.

Inputs: Contract budget and charge codes assigned under 9.2

Outputs: [Contract Invoice](#) ready to publish

##### GMS Requirements/Business Rules Associated with this Activity

#### **1.9.4.1a Changes to Funding Sources (Priority: Mandatory)**

The system will provide a mechanism for the BST planner to update the contract invoice form based on contract amendments and/or funding sources.

#### **1.9.4.1b Contract Specific Remit To Address (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to add a different “remit to address” (suffix to the vendor number consistent with TRAINS data) for each contract.

#### **1.9.4.1c Customize Invoice Form (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to select the appropriate Standardized Invoicing Form and customize it for the needs of a specific contract and use by the contract subrecipient.

Notes: configuration will be based on established rules for each program, type of grant, the approved scope of the contract, and the percentage of each fund that will be applied when an invoice is submitted (see invoicing process for more information). Specific Rules to be determined and may be modified based on changes to federal grant programs.

#### 1.9.4.2: Develop/Customize QPR Reporting Forms

Description: PTD develops contract reporting form(s). The reports are customized based on the type of funding, the amount awarded under each funding source, and the project type.

Timing: Upon notification that the contract has been executed and charge codes have been assigned

Participants: BST Staff, Community Liaisons (CL)

Rationale: Grant subrecipient is required to submit Quarterly Progress Reports (QPRs) to provide project’s status update, report any challenges during the reporting period that grant subrecipient has experienced, vehicle revenue miles, passenger service trips, any related expenses, and the overall project’s progress.

Inputs: Subrecipient project application, project contact information, project type, Community Liaison assigned to the subrecipient, Project’s funding sources, performance data from the grant application (Projected Vehicle Miles, Passenger Trips, and Service Hours), and Historical Expenditure data (if applicable).

Outputs: [QPR forms](#) ready to send subrecipient.

Notes: Each program requires specific information to be reported. All programs and project types require quarterly narrative reports. Capital Projects require milestone status reports. Operating projects may require statistical reports. These reporting requirements are subject to change based on the federal grant requirement and mandates by the state legislature. (See project management for more information)

##### GMS Requirements/Business Rules Associated with this Activity

#### **1.9.4.2a Changes to Funding Sources (Priority: High)**

The system will provide a mechanism for the BST planner to update the Contract Reporting Form(s) based on contract amendments and/or funding sources.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.9.4.2b Customize Reporting Form(s) (Priority: High)**

The system will provide a mechanism for PTD staff to select the appropriate Standardized Reporting Form(s) and customize it for the needs of a specific contract and use by the contract subrecipient.

Notes: configuration will be based on established rules for each program, type of grant, the approved scope and budget of the contract, and various reporting attributes (see data output references for specifics).

##### **1.9.5: Change in Funding Source**

From time to time PTD chooses to modify the funding sources associated with a specific project under a contract to make the best use of federal or state funds.

##### **1.9.6: Publish Forms to Subrecipients**

Description: PTD makes contract-specific forms available to the subrecipient for use on future invoices and reporting.

Timing: Following completion of form customization

Participants: BST Planner and Fiscal Specialist

Rationale: To enable subrecipients to submit invoices and comply with reporting requirements.

Inputs: Unpublished Contract Invoice Form(s) and Contract Reporting Form(s)

Outputs: Published Contract Invoice Form(s) and Contract Reporting Form(s)

Notes: Currently customized forms are transmitted by email to subrecipients.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.9.6a Form Published Date (Priority: Medium)**

The date published for a specific form will be tracked by the system and available for PTD staff to view.

##### **1.9.6b Publish Forms (Priority: Mandatory)**

The system will provide a mechanism for the BST Planner and/or Fiscal Specialist to publish all contract specific forms for use by the subrecipient on future invoices and reports.

##### **1.9.7: Ready for Invoicing**

All set up activities are complete and invoicing can begin.

## 1.10: Project Management Activities

Description: PTD manages subrecipient grants and third party contracts, expenditures, schedules and resources

Timing: Following the award of a subrecipient grant or third party contract and publication of the contract specific forms

Participants: All PTD Staff and the subrecipient or third party contractor

Rationale: To ensure projects are delivered according to the terms and conditions of the contract and enable interim payment to the subrecipients and third party contractors

Inputs: Quarterly reports, procurement documentation, invoices (including required attachments) records retention laws; and documentation of project oversight

Outputs: Projects Managed

### GMS Requirements/Business Rules Associated with this Activity

#### 1.10a Assign Community Liaison (Priority: High)

The system will provide a mechanism for PTD staff to assign a Community Liaison (CL) to oversee project management activities for a particular awarded contract.

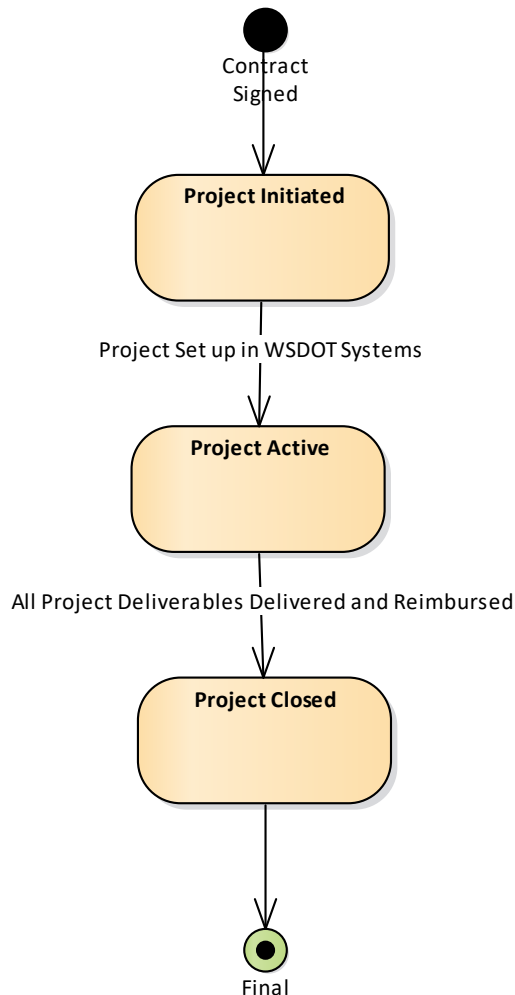
### Project Status

Name: Project Status

Package: PTD Grant Process Map

Version: 7/19/2016

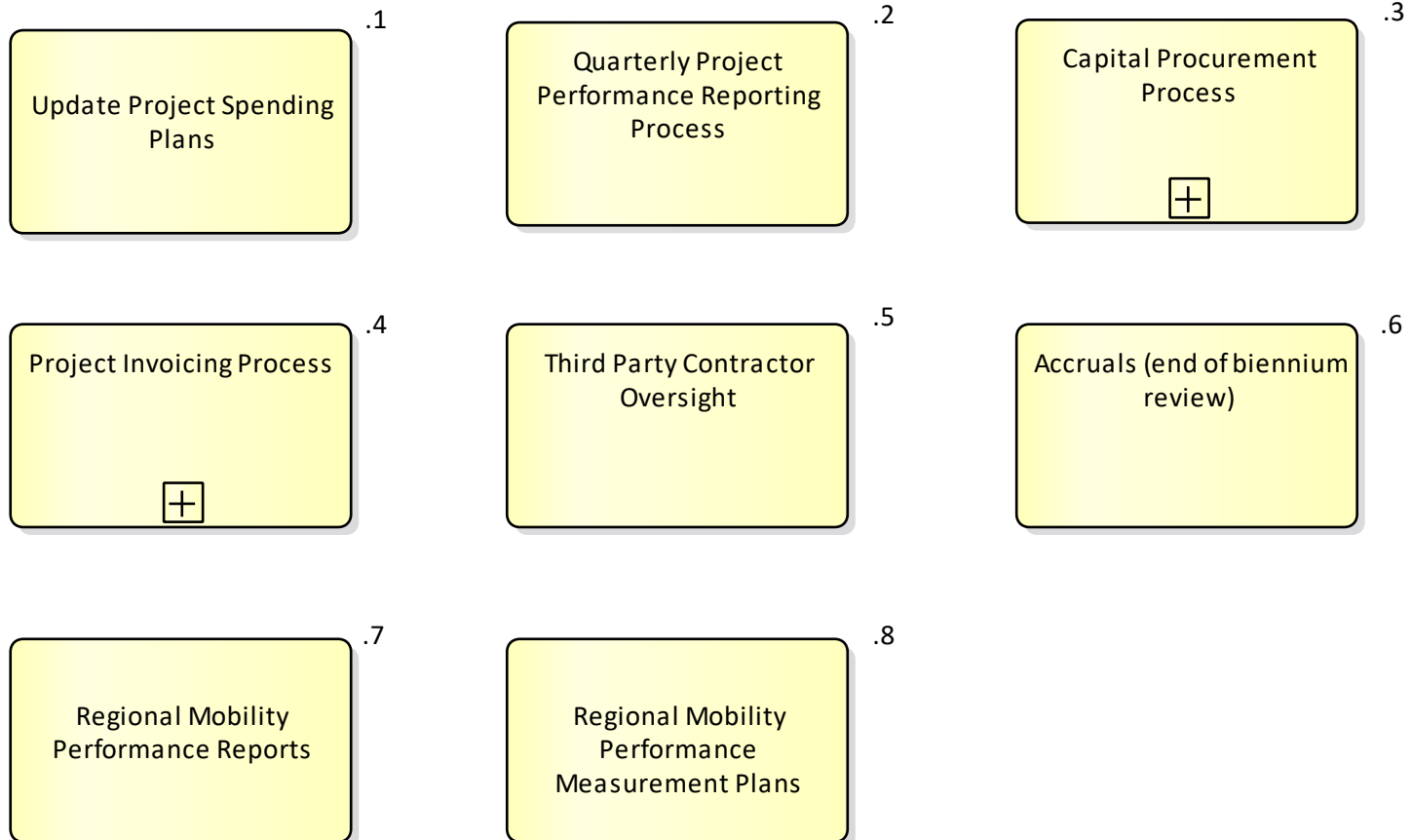
Author: GMS Team



## Project Management Activities

Name: Project Management Activities  
Package: PTD Grant Process Map  
Version: 8/22/2017  
Author: GMS Team

### 1.10



### 1.10.1: Update Project Spending Plans

Description: Subrecipients update their spending plan for each project. The spending plan identifies the dollar value of actual grant expenditures and the dollar value of grant funds they anticipate to expend each quarter of the project.

Timing: Established at the beginning of the project and updated at a minimum quarterly, starting at the beginning of the grant cycle of the project

Rationale: To provide PTD with data needed for the Allotment Report; and for Regional Mobility or Transit Tier projects, that cross over the state biennium, the data needed for PTD to request re-appropriations for the next funding cycle

Participants: Subrecipients

Inputs: Actual project expenditures, estimated planned expenditures

Outputs: Subrecipient spending plans updated

#### GMS Requirements/Business Rules Associated with this Activity

- |                |  |
|----------------|--|
| <b>1.10.1a</b> | <b>Accept Straight-line Project Spending Plan (Priority: Medium)</b><br>The system will provide a mechanism for subrecipients to accept the straight-line project spending plan generated by the system for Operating, Mobility Management, and Purchase of Services Projects  |
| <b>1.10.1b</b> | <b>Apply Project Timeline (Priority: Medium)</b><br>For capital projects, the system will provide a mechanism for subrecipients or PTD staff to establish start and completion dates for a project.<br><br>Note: federally funded capital projects and projects awarded Regional Mobility or Transit Tier funding may cross over the state biennium. |
| <b>1.10.1c</b> | <b>Cap on Project Spending Plans (Priority: Medium)</b><br>The system will not allow a subrecipient to save an update to the project spending plan if the dollar value programmed exceeds the total grant award for the project.<br><br>Note: it is ok for the dollar value of the project spending plan to be less than the grant award.            |
| <b>1.10.1d</b> | <b>Cost Curves (Priority: Low)</b><br>The system will provide a mechanism for PTD staff to apply a selected cost curve to a project spending plan based on historical spending data for similar project types.   |
| <b>1.10.1e</b> | <b>Establish Project Spending Plan (Priority: Medium)</b><br>Upon execution of the grant contract, the system will generate a default spending plan based on a straight-line methodology that spreads the grant funds equally across all months of the project term.   |
| <b>1.10.1f</b> | <b>Subrecipients Adjust Spending Plan (Priority: Medium)</b><br>The system will provide a mechanism for subrecipients to adjust the project spending plan by either accepting the amounts recorded in the system or editing planned amounts for any month.   |

### 1.10.2: Quarterly Project Performance Reporting Process

Description: Subrecipients submit reports on all projects that are not yet completed. Community Liaisons and/or the BST Compliance Specialist reviews and either approves the reports or return them to the subrecipient for correction.

Timing: Quarterly

Participants: Subrecipients, Community Liaisons, BST Compliance Analyst

Rationale: To monitor progress of subrecipient projects and gather data needed to compile reports to be submitted to the State Legislature and the Federal funding agency.

Inputs: Narrative of project accomplishments issues, milestone dates and for capital projects, project service performance data, complaints received by subrecipients, and purchases made from DBE vendors.

Outputs: Completed/approved [Quarterly Reports](#)

#### GMS Requirements/Business Rules Associated with this Activity

- |                |  |
|----------------|--|
| <b>1.10.2a</b> | <b>Attach Supporting Documentation (Priority: Medium)</b><br>The system will provide a mechanism for subrecipients to attach supporting electronic documents to any submitted quarterly performance report.  |
| <b>1.10.2b</b> | <b>Enable/Disable Sections of QPR Form (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to enable or disable each reporting area of the standard QPR form based on the funding source and/or funding type.  |
| <b>1.10.2c</b> | <b>Generate Program or Federal Grant Funding Reports (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to generate reports for each funding program and/or the underlying federal grant, using performance data on the reports submitted by subrecipients.                                    |
| <b>1.10.2d</b> | <b>Generate Reminder Notifications (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to generate reminder notifications to subrecipients of all open projects specifying the date that quarterly reporting is due.   |
| <b>1.10.2e</b> | <b>Missing Required QPR data not allowed (Priority: High)</b><br>When filling out the QPR form, the system will provide a mechanism for subrecipients to be required to fill in missing data (even if its value should be "0" or "Not Applicable") in each of the required reporting areas prior to submitting the report. |
| <b>1.10.2f</b> | <b>Record QPR Date Received and Date Approved (Priority: High)</b><br>The system will automatically record the dates that a particular QPR was received and when it was approved.  |
| <b>1.10.2g</b> | <b>Record QPR Due Date (Priority: High)</b><br>The system will automatically record the due date for QPRs, based on contract stipulations.   |
| <b>1.10.2h</b> | <b>Submit Quarterly Project Performance Report (Priority: Mandatory)</b><br>The system will provide a mechanism for subrecipients to prepare and submit their quarterly project performance reports using the previously supplied customized report form for each project.   |
| <b>1.10.2i</b> | <b>Subrecipient Activities and Progress Reports (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to generate reports that detail and summarize subrecipient project activities and progress based on QPR details.   |



### **1.10.3: Capital Procurement Process**

Description: WSDOT-PTD staff reviews and approves procurement documents to ensure the items purchased and the method used is compliant with federal and state procurement requirements.

Timing: Following the award of a capital grant to a subrecipient. If state funds awarded, the procurement must be completed during the biennium it was awarded unless the funds are re-appropriated.

Participants: Sub-recipients, BST Procurement Analyst, and DES-Contracts

Rationale: PTD is responsible for oversight of subrecipients. This includes ensuring that the subrecipients comply with FTA procurement requirements.

Inputs: Statewide procurement contract, subrecipient procurement documents, price quote and floor plan from eligible vendor (if purchasing off the state contract)

Outputs: Notice to Proceed letter, Purchase Order or sales contract

Notes: Includes review and approval of procurement documents and the review and approval of the assets purchased. Ensure quoted vehicle or equipment is listed on the master state contract and whether the quoted price is consistent with what was bid.

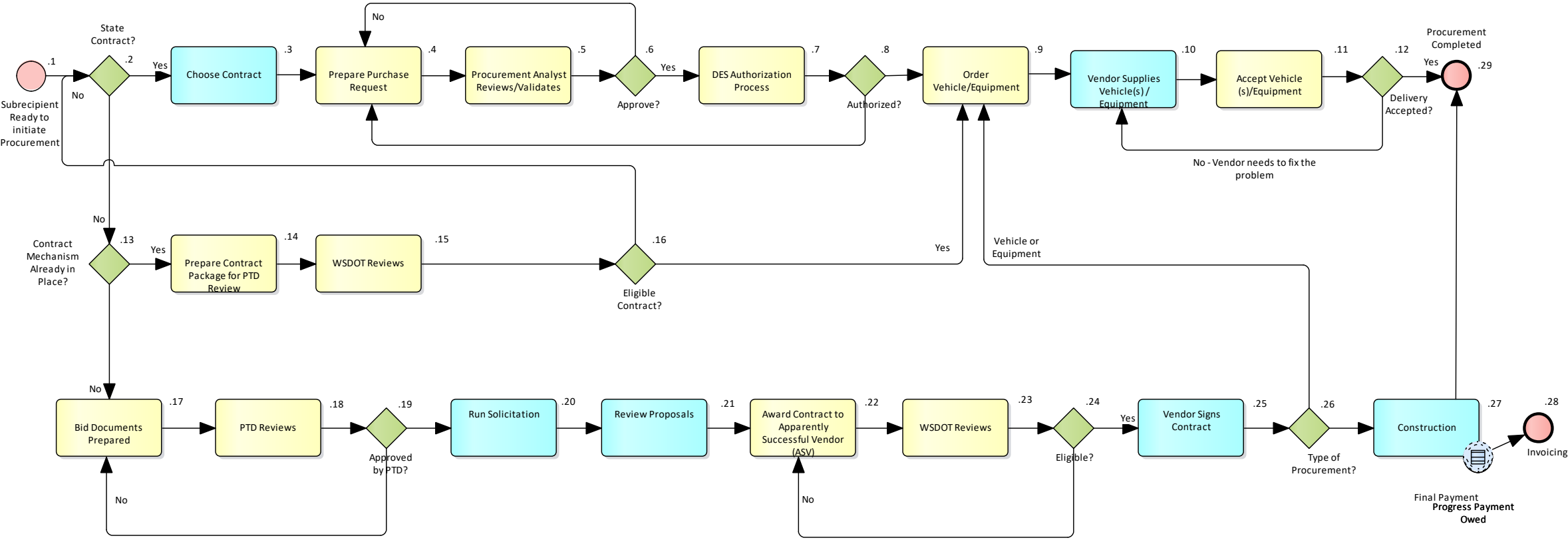
#### **GMS Requirements/Business Rules Associated with this Activity**

- |                |  |
|----------------|--|
| <b>1.10.3a</b> | <b>Implement Capital Procurement Process Workflow (Priority: Medium)</b><br>The system will provide a mechanism to implement the Capital Procurement Process workflows between participants as defined in the associated diagrams. |
|----------------|--|

Capital Procurement Process

Name: Capital Procurement Process  
Package: PTD Grant Process Map  
Version: 4/17/2017  
Author: GMS Team

1.10.3



#### **1.10.3.1: Subrecipient Ready to initiate Procurement**

#### **1.10.3.2: State Contract?**

Will a state contract be used for the procurement?

#### **1.10.3.3: Choose Contract (Out of Scope for GMS)**

Description: The subrecipient decides which state contract is appropriate for the type of vehicle they will be purchasing

Timing: Following notification of a grant award to the subrecipient

Rationale: Each state contract covers different vehicle types

Participants: Subrecipient

Inputs: State Contract and type of vehicle awarded in the subrecipient's grant

Outputs: Contract chosen

#### **1.10.3.4: Prepare Purchase Request**

Description: The subrecipient determines the floor plan and vehicle options desired, obtains a Price Quote from the selected vendor; then submits their documentation to PTD for review

Timing: Following the selection of a contract by the subrecipient

Rationale: Necessary step in ordering a vehicle and to ensure that the vehicle to be purchased is consistent with the subrecipient's grant award

Participants: Subrecipient and vendor

Inputs: State contract, subrecipient grant award

Outputs: [Documentation obtained from the vendor](#) and purchase request submitted to PTD

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.3.4a Submit Purchase Request and Required Attachments (Priority: Medium)**

The system will provide a mechanism for the subrecipient to submit their purchase request to PTD and attach their required supporting documentation.

#### **1.10.3.5: Procurement Analyst Reviews/Validates**

Description: The Procurement Analyst reviews the purchase request and either approves the request to move forward or returns it to the subrecipient with comments for changes.

Timing: Following submission of the purchase request from the subrecipient

Rationale: Ensure that the vehicle to be purchased is consistent with the subrecipient's grant award and the vendor's quote is consistent with the state contract.

Participants: PTD Procurement Analyst

Inputs: State Contract, subrecipient's grant award and [purchase request](#).

Outputs: Purchase request approved and [forwarded to DES](#) or returned to the subrecipient

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.3.5a Route Approved Purchase Request to DES (Priority: Low)**

Upon approval by PTD, the system will automatically forward the approved purchase request (for vehicles only) to DES via email (BusPurchases@des.wa.gov).

#### **1.10.3.6: Approve?**

Did the procurement analyst approve?

### 1.10.3.7: DES Authorization Process

Description: DES reviews the approved purchase request and either authorizes the subrecipient to move forward with the purchase or returns it to the subrecipient with reasons for the denial.

Timing: Following receipt of the approved purchase request from PTD

Rationale: To ensure that the vendor's price quote, including options identified complies with the state contract and a sufficient number of vehicles remain available under the contract.

Participants: DES

Inputs: state contract, approval from PTD, and the subrecipient's purchase request including supporting documentation

Outputs: [Purchase authorized](#) or request returned to PTD with comments

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.3.7a Record Action by DES (Priority: High)**

The system will provide a mechanism for the PTD Procurement Analyst to record DES's authorization response and notify the subrecipient.

### 1.10.3.8: Authorized?

Did DES authorize the purchase request using the selected state contract?

### 1.10.3.9: Order Vehicle/Equipment

Description: The subrecipient prepares a purchase order and forwards it to the vendor and a copy to PTD, then places the order with the vendor.

Note: if purchasing from the state contract, DES is revising its ordering system. In the future, the vehicles ordered under the state contract may be ordered online through DES' CARS system.

Timing: Following authorization

Rationale: Vehicles must be ordered to complete the purchase.

Participants: Subrecipient

Inputs: Authorization from DES and vehicle details

Outputs: Vehicle ordered

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.3.9a Attach Purchase Order to Grant Award (Priority: Mandatory)**

The system will provide a mechanism for the subrecipient to upload a copy of their purchase order and associate it with the applicable subrecipient grant award.

### 1.10.3.10: Vendor Supplies Vehicle(s) / Equipment (Out of Scope for GMS)

Description: The selected vendor receives the purchase order and delivers the vehicle/equipment to the subrecipient.

Timing: Upon receipt of the signed purchase order.

Participants: Vendor and manufacturer

Rationale: As agreed under the state contract.

Inputs: Purchase Order

Outputs: Vehicle/Equipment

#### **1.10.3.11: Accept Vehicle(s)/Equipment**

Description: The subrecipient inspects the vehicle/equipment and any documentation supplied by the vendor and either accepts delivery or contacts the vendor identifying deficiencies/discrepancies to be corrected.

Timing: within 15 days of delivery of the vehicle and/or equipment

Rationale: Ensure the vehicle or equipment meets the specifications, all post delivery documentation was received, and the vehicle or equipment is in proper working order, and is free from defects.

Participants: Subrecipient

Inputs: [Vehicle inspection forms](#), vehicle specifications, documentation received from the vendor

Outputs: [Vehicle accepted](#) or vendor notified of the defects needing resolution

##### **GMS Requirements/Business Rules Associated with this Activity**

###### **1.10.3.11a Fill out Inspection Form and Attach to PO (Priority: Medium)**

The system will provide a mechanism for subrecipients to fill out vehicle inspection forms and attach to the purchase order.

Note that the data on the form will include the VIN of the inspected vehicle.

###### **1.10.3.11b Modify Vehicle Inspection Form (Priority: Medium)**

The system will provide a mechanism for PTD staff to modify the vehicle inspection forms.

###### **1.10.3.11c Vehicle Inspection Forms (Priority: Medium)**

The system will provide a storage repository for vehicle inspection forms.

#### **1.10.3.12: Delivery Accepted?**

Did the subrecipient accept delivery of the vehicle/equipment?

#### **1.10.3.13: Contract Mechanism Already in Place?**

Is there a contract mechanism, other than the State Contract, available for use by the subrecipient to procure the needed vehicle(s)/equipment?

#### **1.10.3.14: Prepare Contract Package for PTD Review**

Description: The subrecipient assembles the bid and contracting documents used by the agency that originally awarded the contract that the subrecipient intends to use and submits it to PTD. This includes the original bid, the contract (identifying assignability clause) and the letter from the awarding agency allowing them to purchase from their contract.

Timing: Following the decision to purchase from the other agency's contract.

Rationale: To provide PTD with the documentation required for the review and concurrence.

Participants: Subrecipient

Inputs: Bid documents, contract, and letter issued by the original awarding agency

Outputs: Documents submitted to PTD for review

##### **GMS Requirements/Business Rules Associated with this Activity**

###### **1.10.3.14a Submit Contract Package (Priority: Mandatory)**

The system will provide a mechanism for the subrecipient to enter or upload the contract package, associate it with the applicable subrecipient grant award, and submit it to PTD for review.

#### **1.10.3.15: WSDOT Reviews**

Description: PTD reviews the contract package submitted by the subrecipient and either concurs with the subrecipient's use of the contract or returns it to the subrecipient with comments.

Timing: Following the submission of the contract package by the subrecipient

Rationale: To ensure that 1) the contract package is complete, 2) the original bid meets federal requirements (if applicable), 3) there are options available for subrecipient's use, and 4) the equipment to be purchased is consistent with the subrecipient's grant award.

Participants: PTD's Procurement Analyst

Inputs: Contract package, federal and/or state procurement requirements, subrecipient's grant award

Outputs: Concurrence issued or package returned to the subrecipient with comments for changes or reasons for denial

#### **1.10.3.16: Eligible Contract?**

#### **1.10.3.17: Bid Documents Prepared**

Description: The subrecipient develops their requests for proposals and submits it to PTD for review. If the RFP is for a vehicle or equipment purchase, this will also include a copy of the specifications.

Timing: Following the decision to conduct a direct procurement

Rationale: Subrecipients are required to conduct a competitive procurement when using grant funds.

Participants: Subrecipient

Inputs: Subrecipient grant award, federal and/or state requirements, and the subrecipient's purchasing policies. Possibly also sample forms for bid documents.

Outputs: Bid documents prepared and submitted to PTD

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.3.17a Upload Bid Documents (Priority: Mandatory)**

The system will provide a mechanism for the subrecipient to upload their bid documents and associate them with the subrecipient's grant award.

#### **1.10.3.18: PTD Reviews**

Description: PTD reviews the bid documents submitted by the subrecipient and either issues concurrence or returns the bid documents to the subrecipient with comments.

Timing: Following the submission of the bid documents by the subrecipient

Rationale: To ensure that the bid documents meet federal and/or state requirements, and for vehicle or equipment procurements, the specifications are complete and the vehicle/equipment to be purchased is consistent with the subrecipient's grant award.

Participants: PTD's Procurement Analyst

Inputs: Bid documents, federal and/or state procurement requirements, subrecipient's grant award

Outputs: Concurrence issued or bid documents returned to the subrecipient with comments for changes

#### **1.10.3.19: Approved by PTD?**

#### **1.10.3.20: Run Solicitation (Out of Scope for GMS)**

Description: The subrecipient advertises the Request for Proposals (RFP) and completes the bid process.

Timing: Following PTD's concurrence with the bid documents

Rationale: Required step to ensure full and open competition

Participants: Subrecipient and prospective vendors

Inputs: Bid documents and questions or requests for approval of equals from vendors.

Outputs: Solicitation process completed

Notes:

#### **1.10.3.21: Review Proposals (Out of Scope for GMS)**

Description: The subrecipient reviews all of the proposals received.

Timing: Following the deadline for vendor submission.

Rationale: To ensure the contract is awarded to the most responsive and responsible vendor.

Participants: Subrecipient

Inputs: Bids and supporting documentation received from vendors, excluded parties list (if federal funds are used).

Outputs: Vendor selection

#### **1.10.3.22: Award Contract to Apparently Successful Vendor (ASV)**

Description: The subrecipient issues an intent to award to the apparent successful vendor and notifies all other vendors that were not selected for the award. Then prepares the vendor contract and submits it to PTD along with the subrecipient's intent to award and supporting documentation.

Timing: Following the review of the proposals and recommendation for award

Participants: Subrecipient

Rationale: To enable the goods or services to be purchased, establish the terms and conditions of the contract, and gain concurrence from PTD.

Inputs: Contract language and intent to award issued by the subrecipient.

Outputs: Intent to award issued

Notes:

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.3.22a Attach Award Documentation (Priority: Mandatory)**

The system will provide a mechanism for the subrecipient to attach the vendor contract, notice of intent to award and other required supporting documentation to the subrecipient grant.

#### **1.10.3.23: WSDOT Reviews**

Description: PTD reviews the subrecipient's contract award, contract language, intent to award, and the supporting documents.

Timing: Following submission of the award documents by the subrecipient. PTD either concurs with the award or returns it to the subrecipient with comments.

Rationale: To ensure that the documentation complies with federal and/or state requirements, that the contract is to be awarded to the most responsive and responsible vendor, and the selected vendor has not been debarred or suspended.

Participants: PTD's Procurement Analyst

Inputs: Subrecipient's intent to award along with supporting documentation, contract with the selected vendor, required contract language, subrecipient's grant award, and excluded parties list.

Outputs: Concurrence issued or returned to the subrecipient with comments or changes

#### **1.10.3.24: Eligible?**

#### **1.10.3.25: Vendor Signs Contract (Out of Scope for GMS)**

Description: The vendor signs the contract with the subrecipient

Timing: Following the issuance of the contract to the vendor.

Participants: The selected vendor and the subrecipient

Rationale: To bind the vendor and subrecipient to the terms and conditions of the contract

Inputs: Contract

Outputs: Contract signed by vendor

#### **1.10.3.26: Type of Procurement?**

#### **1.10.3.27: Construction (Out of Scope for GMS)**

Description: The vendor constructs the facility, with oversight by the subrecipient, and submits progress payments as construction moves forward.

Timing: Following signature on the contract

Rationale: To ensure that the facility is constructed according to the subrecipient's specifications and the contractor complies with all contract terms and conditions.

Participants: Contractor/vendor and the Subrecipient

Inputs: Contract, specifications, supporting documents, and construction materials

Outputs: Facility constructed

#### **1.10.3.28: Invoicing**

#### **1.10.3.29: Procurement Completed**

Procurement process is complete



#### 1.10.4: Project Invoicing Process

Description: Subrecipients prepare invoices and submit them to PTD for grant related expenditures. Invoices received go through an approval process and are forwarded to WSDOT's Accounting Services Office for payment.

Timing: Following PTD publishing the contract specific forms to subrecipients. Operating invoices are submitted at a minimum quarterly or maximum monthly and are due within 30 days of the end of the billing period. Capital invoices may be submitted at any time following the subrecipient incurring the expense.

Participants: Subrecipients, BST Planner, BST Fiscal Analyst, BST Manager, Community Liaisons, Procurement Analyst, and PD Manager.

Rationale: Enable proper payment of invoices submitted by subrecipients

Inputs: Invoices, funding sources, and charge codes

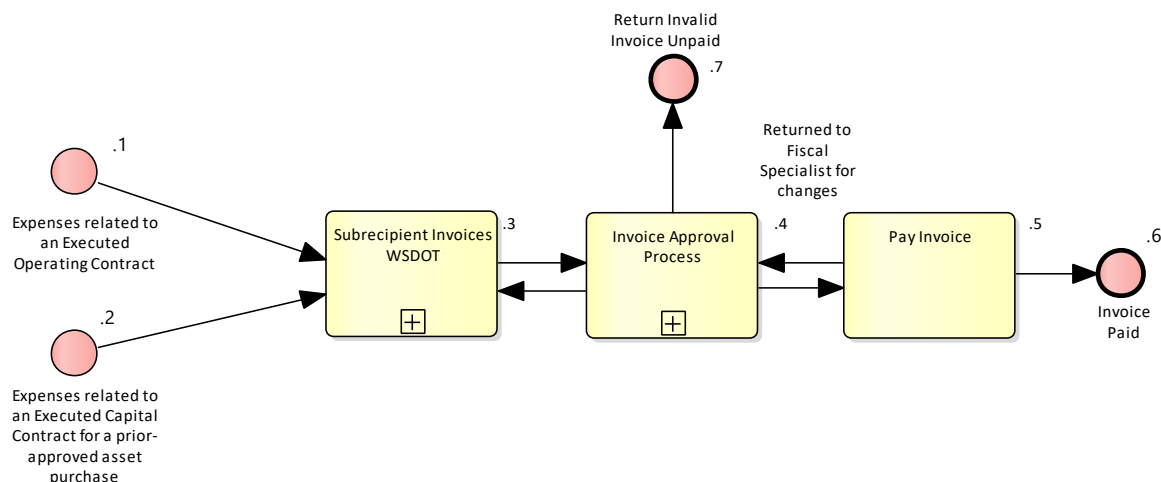
Outputs: Paid Invoice or invoice returned to subrecipient

##### GMS Requirements/Business Rules Associated with this Activity

- 1.10.4a Implement Project Invoicing Workflow (Priority: Medium)**  
The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.
- 1.10.4b Interface with WSDOT's Accounting System for Payment (Priority: Medium)**  
During Phase 1, the system will provide a mechanism for PTD staff to print an invoice approved for payment by WSDOT.  
Upon implementation of Phase 3, the system will automatically send invoices to WSDOT's accounting system for payment processing.
- 1.10.4c Invoice Activity Report (Priority: Medium)**  
The system will provide a mechanism for PTD staff to generate a report that identifies action taken on each invoice during a specific date range.
- 1.10.4d Invoice Status Report (Priority: High)**  
The system will provide a mechanism for the Fiscal Specialist to generate a report showing the status of all invoices that have not yet been paid or rejected.

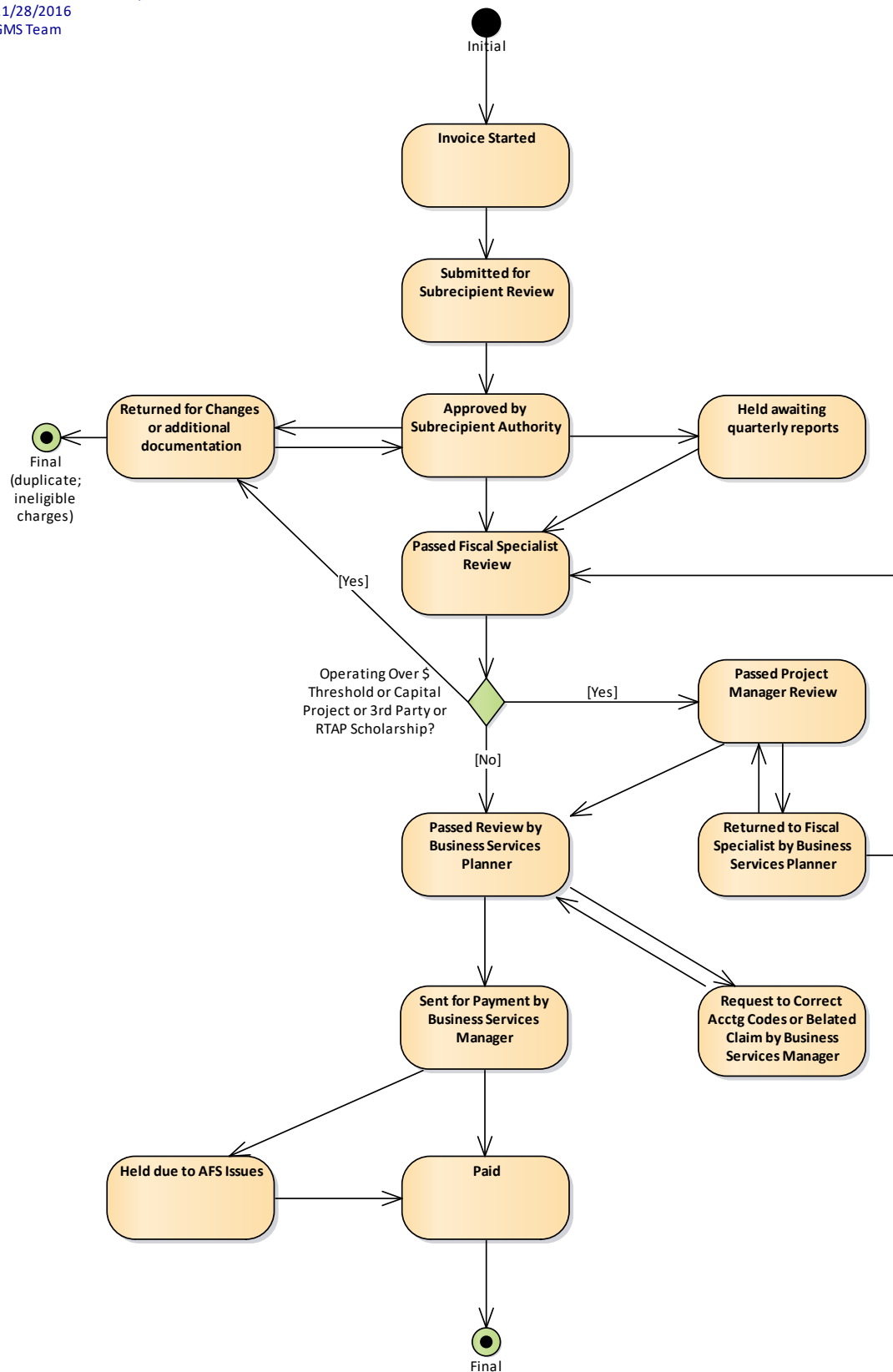
#### Project Invoicing Process

Name: Project Invoicing Process 1.10.4  
Package: PTD Grant Process Map  
Version: 4/3/2017  
Author: GMS Team



## Invoice Status

Name: Invoice Status  
Package: PTD Grant Process Map  
Version: 11/28/2016  
Author: GMS Team



#### 1.10.4.1: Expenses related to an Executed Operating Contract

The subrecipient/third party contractor incurred expenses related to a contract

#### 1.10.4.2: Expenses related to an Executed Capital Contract for a prior-approved asset purchase

PTD received an invoice from a subrecipient who was awarded a capital grant

#### 1.10.4.3: Subrecipient Invoices WSDOT

Description: Subrecipients prepare and submit invoices to PTD for grant related expenses

Timing: Following PTD publishing the contract specific forms to subrecipients. Operating invoices are submitted at a minimum quarterly or maximum monthly and are due within 30 days of the end of the billing period. Capital invoices may be submitted at any time following the subrecipient incurring the expense.

Participants: Subrecipient invoice submitter and subrecipient invoice approver.

Rationale: For subrecipients to receive reimbursement for eligible expenses under a grant award or contract

Inputs: Information from their accounting system and/or invoices from vendors (capital grants)

Outputs: Invoice submitted to PTD

#### Subrecipient Invoices WSDOT

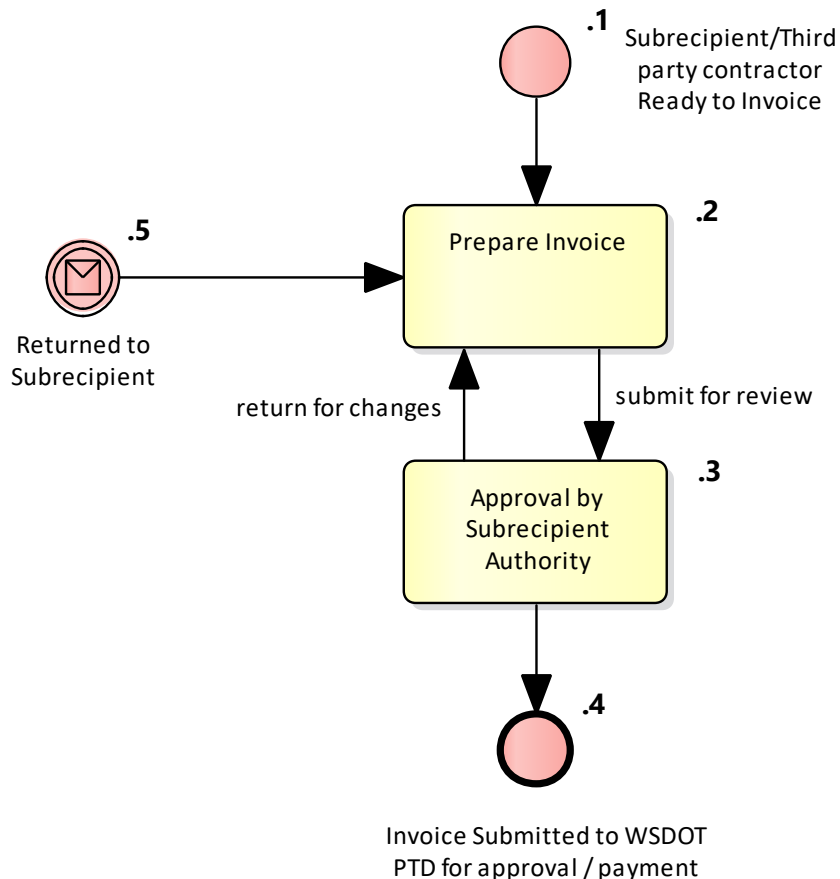
Name: Subrecipient Invoices WSDOT

Package: PTD Grant Process Map

Version: 3/23/2017

Author: GMS Team

#### 1.10.4.3



#### **1.10.4.3.1: Subrecipient/Third party contractor Ready to Invoice**

The subrecipient/third party contractor incurred expenses related to a contract

#### **1.10.4.3.2: Prepare Invoice**

Description: The Subrecipient/Contractor enters an invoice and uploads any required supporting documents

Timing: After the subrecipient incurs grant-related expenses.

Participants: Subrecipient submitter

Rationale: to receive reimbursement for grant related expenses

Inputs: Subrecipient accounting records and any [required back-up documentation](#)

Outputs: [Invoice](#) submitted to PTD

Notes: Each program and/or project type have specific data elements that are required to be input. Example: for vehicle purchases we need VIN, vehicle acceptance date, passenger capacity and etc. PTD will further define the required elements for each invoice and/or program type.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.4.3.2a Associate New Vehicle with Inspection Form (Priority: Medium)**

For invoices that are requesting reimbursement for new vehicle purchases, the system will provide a mechanism for the subrecipient invoice preparer to associate the vehicle being reimbursed with the prior submitted Inspection Form provided as part of the procurement process. (1.10.3.11)

##### **1.10.4.3.2b Cap on Invoice Total (Priority: Medium)**

The system will not allow the subrecipient invoice preparer to submit an invoice for an amount that exceeds the total available funding remaining on the project.

##### **1.10.4.3.2c Certifications and Assurances Rule for Invoicing (Priority: Medium)**

The system will not allow a subrecipient to initiate a reimbursement request until they have submitted all required certifications and assurances (if any).

##### **1.10.4.3.2d Final Invoice (Priority: Medium)**

The system will provide a mechanism to require the Invoice Preparer to answer the question "Is this the final invoice for the project?"

Rationale: The system will be able to automatically close the project upon payment.

##### **1.10.4.3.2e Initiate New Invoice (Priority: Mandatory)**

The system will provide a mechanism for the Subrecipient Invoice Preparer to create a new invoice using the customized invoice set up for the project, or modify an already existing invoice that has been sent back to the preparer for changes.

##### **1.10.4.3.2f PMP Rule for Invoicing (Priority: Medium)**

The system will automatically warn the invoice preparer for a Regional Mobility grant if the required PMP has not been approved by PTD.

#### **1.10.4.3.3: Approval by Subrecipient Authority**

Description: The Subrecipient's approving authority reviews and submits the invoice to PTD, or returns the invoice to the submitter for changes with comments.

Timing: Following input of the invoice by the submitter

Participants: Subrecipient submitter and approving authority

Rationale: To receive reimbursement for grant related expenditures

Inputs: Invoice data and associated back-up documentation (if required)

Outputs: Invoice submitted to PTD or returned to the preparer with comments for changes

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.10.4.3.3a Funding Sources Locked (Priority: Mandatory)**

The system will not allow a Subrecipient Invoice Approver to change the funding source(s) assigned to the invoice.

#### **1.10.4.3.3b Modify Invoice Data (Priority: Medium)**

The system will provide the Subrecipient Approval authority a mechanism to modify the data in the invoice prior to submitting it to PTD.

#### **1.10.4.3.3c Phase 1 - Electronic Signature (Priority: Medium)**

The system will provide a mechanism for the Subrecipient Invoice Approver to electronically sign the invoice.

#### **1.10.4.3.3d Phase 2 - Digital Signature (Priority: Medium)**

The system will provide a mechanism for the Subrecipient Invoice Approver to digitally sign the invoice.

#### **1.10.4.3.3e Warn CL of missing RMG PMP (Priority: Medium)**

Upon submittal of an invoice by the subrecipient, the system will automatically notify the CL for a Regional Mobility grant if the required PMP has not been approved by PTD.

#### **1.10.4.3.4: Invoice Submitted to WSDOT PTD for approval / payment**

The subrecipient/third party contractor submitted an invoice to PTD for expenses related to a contract.

#### **1.10.4.3.5: Returned to Subrecipient**

The invoice has been returned to the subrecipient because it needs modifications, more documentation, or is invalid.

#### **1.10.4.4: Invoice Approval Process**

Description: PTD reviews and process invoices submitted by subrecipients

Timing: Following the submission of an invoice by a subrecipient.

Participants: BST and PD staff

Rationale: To reimburse subrecipients for grant related expenses and gather data needed to demonstrate compliance to funding agencies and the State Auditor.

Inputs: Subrecipient invoices, federal program guidance, accounting/charge codes.

Outputs: Invoices approved for payment or returned to subrecipients for correction

##### **GMS Requirements/Business Rules Associated with this Activity**

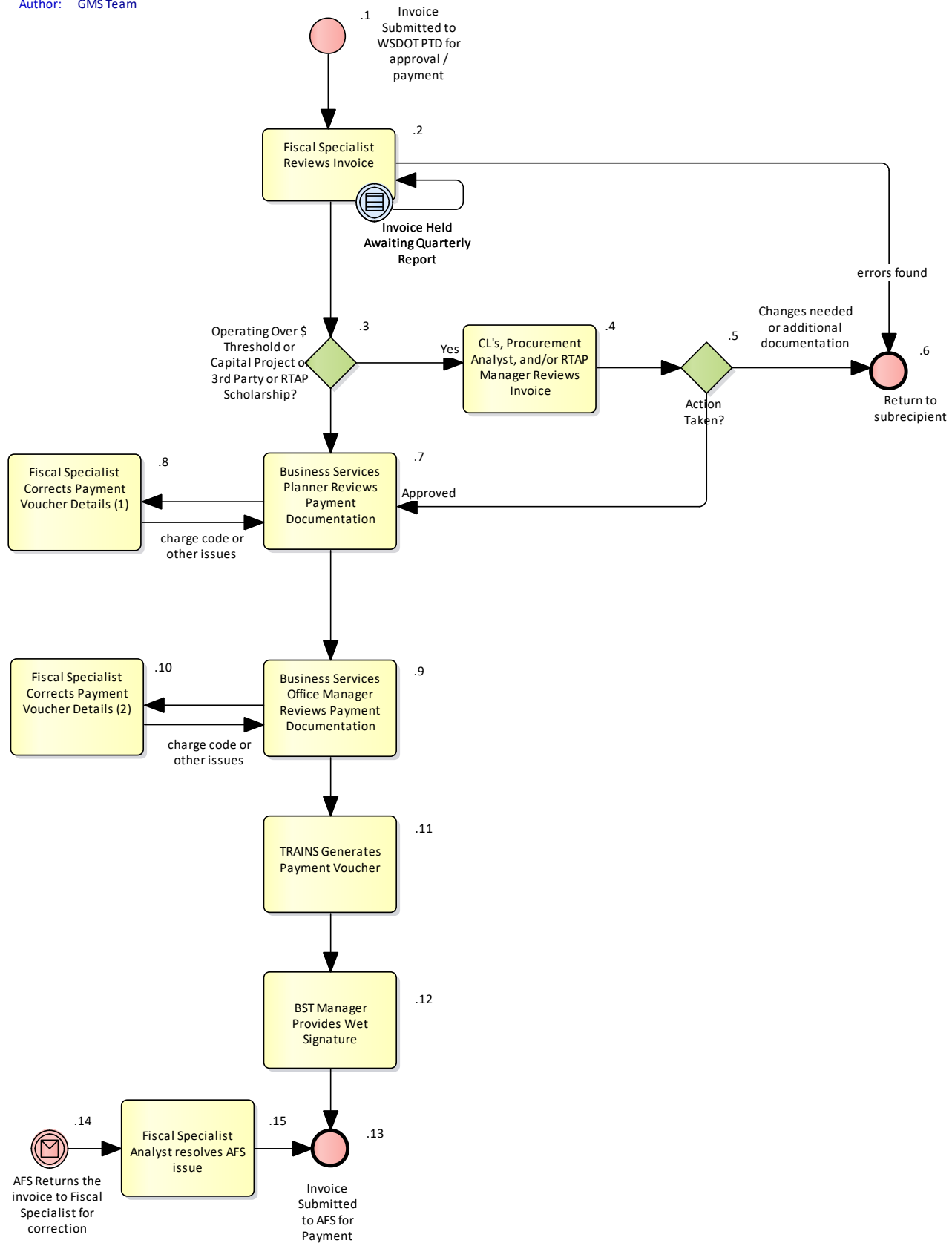
#### **1.10.4.4a Make Fiscal Coding Corrections (Priority: Medium)**

When the Fiscal Specialist is expected to act on the invoice in the associated Invoice Approval Process, the system will provide a mechanism for the Fiscal Specialist to make fiscal coding corrections for the invoice.

## Invoice Approval Process

Name: Invoice Approval Process  
 Package: PTD Grant Process Map  
 Version: 3/23/2017  
 Author: GMS Team

1.10.4.4



#### **1.10.4.4.1: Invoice Submitted to WSDOT PTD for approval / payment**

PTD received an invoice from a subrecipient who was awarded an operating grant

#### **1.10.4.4.2: Fiscal Specialist Reviews Invoice**

Description: The Fiscal Specialist reviews the invoice submitted to verify:

- the billing period is not duplicated,
- any required attachments were uploaded and
- the charge codes used are appropriate.

They may decide to hold the invoice until quarterly reports are received. They may decide to return the invoice to the subrecipient if errors are present that need fixing. If all is in order the Fiscal Specialist approves.

Timing: Upon receipt of an invoice

Participants: Fiscal Specialist

Rationale: Pre-process prior to approval

Inputs: Invoice and attachments

Outputs: Invoice ready for next step in approval process

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.4.4.2a Funding the Invoice (Priority: Medium)**

The system will provide a mechanism for the Fiscal Specialist to apply funding sources to pay for the invoice based on the established draw down rate for each project funding source, or modify the distribution based on the availability of each fund source.

##### **1.10.4.4.2b Quarterly Report Warning (Priority: Medium)**

The system will provide a mechanism to warn the Fiscal Specialist if an invoice has been submitted for payment and the subrecipient's quarterly report has not been received for any prior quarter within the term of the agreement.

#### **1.10.4.4.3: Operating Over \$ Threshold or Capital Project or 3rd Party or RTAP Scholarship?**

Is the invoice amount >\$500k or for a capital purchase?

#### **1.10.4.4.4: CL's, Procurement Analyst, and/or RTAP Manager Reviews Invoice**

Description: The Community Liaison reviews operating invoices to verify the amounts appear reasonable and there are no outstanding compliance issues. The Procurement Analyst reviews capital vehicle invoices to verify that the items purchased/invoiced match what was allowed under the applicable contract and the required documentation was attached. The RTAP Program Manager reviews RTAP Invoices and Scholarships and ensures that the required documentation is attached.

Timing: Following the initial review by the Fiscal Specialists

Participants: Community Liaisons, Procurement Analyst; RTAP Program Manager

Rationale: To ensure the subrecipient invoice draw-down rate appears reasonable and the invoice meets contract and/or federal compliance requirements; and that required documentation is attached.

Inputs: Subrecipient Invoice, contract scope and/or budget, procurement documents, and other required attachments depending on the type of invoice. Required attachments include:

- Capital Vehicle or equipment - vendor invoices, inspection reports, post delivery certifications, vehicle registration, insurance binder, and letter of acceptance issued to vendor
- Capital Construction - Vendor invoices, time sheets, AIA reports, DBE participation
- RTAP Scholarships-copies of receipts and a report on the training course
- Operating-subrecipients at risk of being deemed "not in good standing" may be required to attach copies of financial reports

Outputs: Invoice approved to move to next step or invoice returned to subrecipient.

Notes: Other required attachments may be added

#### **1.10.4.4.5: Action Taken?**

What action was taken by the Community Liaison or Procurement Rep?

#### **1.10.4.4.6: Return to subrecipient**

The invoice was returned to the subrecipient/third party contractor for corrections

#### **1.10.4.4.7: Business Services Planner Reviews Payment Documentation**

Description: The BST Planner reviews the invoice to ensure the proper coding was used, the invoice date is appropriate, the remittance address is correct, the billing period is not a duplicate and that none of the funding sources have been overspent.

Timing: Following approval by Community Liaison/Procurement Analyst

Participants: Business Services Planner

Rationale: quality control

Inputs: Subrecipient invoice, project funding information, TRAINS

Outputs: Invoice approved to move to next step, invoice returned to Fiscal Specialist, or invoice placed on hold waiting for other action to be taken

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.4.4.7a BST Planner Edits Funding Source (Priority: Mandatory)**

The system will provide a mechanism for the BST Planner to make any necessary corrections to the funding sources applied to the invoice.

#### **1.10.4.4.8: Fiscal Specialist Corrects Payment Voucher Details (1)**

Description: The BST fiscal specialist makes corrections to the invoice in WSDOT systems

Timing: following instruction from the BST Planner

Participants: BST Fiscal Specialist, BST Planner

Rationale: To ensure the invoice is paid using the proper account/charge codes and agreement number.

Inputs: Subrecipient invoice and the charge codes for the funding sources available for the subrecipient project

Outputs: corrected payment voucher details

#### **1.10.4.4.9: Business Services Office Manager Reviews Payment Documentation**

Description: The BST Manager reviews and either approves the invoice or returns it to the Fiscal Specialist for correction

Timing: Following approval by the BST Planner

Participants: BST Manager and Fiscal Specialist

Rationale: To ensure the invoice is paid using the proper account/charge codes, agreement number, and that WSDOT has the sufficient funds available and appropriation authority.

Inputs: Subrecipient Invoice, appropriation authority, WSDOT account/charge codes.

Outputs: invoice approved for payment and ready for upload to TRAINS

Notes: The upload to TRAINS should occur via a daily batch method. The batch will consist of all invoices approved for payment by the Business Services Manager.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.4.4.9a Add New Subrecipient Asset (Priority: Medium)**

Upon approval by the BST Manager, the system will automatically add any new assets approved for reimbursement under this invoice to the appropriate Grant Funded Asset Inventory.



#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.4.4.9b Close Project (Priority: Medium)**

Upon approval by the BST Manager, the system will automatically close the project associated with an invoice marked "Final Invoice" by the subrecipient.

##### **1.10.4.4.9c Invoice Approval Notification (Priority: Medium)**

The system will automatically send a notification to the subrecipient that the invoice was approved for payment, and include the dollar value of each funding source applied to each project on the invoice.

##### **1.10.4.4.9d Phase 2 - Digital Invoice Signature (Priority: Medium)**

Upon implementation of Phase 2 the system will provide a mechanism for the BST manager, or their designee, to digitally sign the invoice.

#### **1.10.4.4.10: Fiscal Specialist Corrects Payment Voucher Details (2)**

Description: The BST fiscal specialist makes corrections to the invoice in WSDOT systems

Timing: following instruction from the BST Manager

Participants: BST Fiscal Specialist, BST Manager

Rationale: To ensure the invoice is paid using the proper account/charge codes, agreement number, and that WSDOT has the sufficient funds available and appropriation authority.

Inputs: Subrecipient invoice and the charge codes for the funding sources available for the subrecipient project

Outputs: corrected payment voucher details

#### **1.10.4.4.11: TRAINS Generates Payment Voucher**

Description: WSDOT's accounting system receives a batch electronically that contains payment details for each invoice submitted and approved by PTD. TRAINS generates one payment voucher for all invoices from a specific subrecipient that were included in the batch.

Timing: Following approval of an invoice by BST Manager. Typically invoices will be batched once per day and uploaded to TRAINS

Rationale: To automate the subrecipient invoice approval and payment processes and eliminate dual data entry by the Fiscal Specialist

Participants: The Grants Management System and TRAINS

Inputs: Approved subrecipient invoices

Outputs: [Payment vouchers](#)

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.4.4.11a Phase 3 - Upload electronic Invoices for Payment (Priority: Medium)**

Upon implementation of Phase 3 the system will provide a mechanism for the Fiscal Specialist to electronically upload a batch of invoices to TRAINS for payment once per day.

#### **1.10.4.4.12: BST Manager Provides Wet Signature**

Description: The Fiscal Specialist prints each voucher generated by TRAINS, attaches the corresponding invoices, including attachments, from the Grants Management System (GMS) as supporting documentation, and provides the assembled documents to the BST Manager for wet signature. The BST Manager signs each voucher and returns them to the Fiscal Specialist for delivery to AFS.

Timing: Following TRAINS has created vouchers for a batch of invoices.

Rationale: Current WSDOT Accounting practices require wet signature of all payment vouchers.

Participants: Fiscal Specialist and BST Manager

Inputs: Voucher from TRAINS and Subrecipient invoices from the Grants Management System.

Outputs: Paper copy of vouchers with wet signature and supporting documentation attached.

Notes: WSDOT's Accounting procedures/policy does not currently allow electronic signatures for payment approval. This may change in the future.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.10.4.4.12a Print Invoices (Priority: Mandatory)**

The system will provide a mechanism for the Fiscal Specialist to print subrecipient invoices and corresponding attachments .

Rationale: until Phase 2 is implemented, the paper copy with wet signature must be delivered to WSDOT accounting for payment.

#### **1.10.4.4.13: Invoice Submitted to AFS for Payment**

PTD has completed the invoice approval process and submitted the invoice to AFS for payment.

#### **1.10.4.4.14: AFS Returns the invoice to Fiscal Specialist for correction**

#### **1.10.4.4.15: Fiscal Specialist Analyst resolves AFS issue**

Description: The BST fiscal specialist makes corrections to the invoice in WSDOT systems

Timing: following instruction from the BST Manager

Participants: BST Fiscal Specialist, BST Manager

Rationale: To ensure the invoice is paid using the proper account/charge codes, agreement number, and that WSDOT has the sufficient funds available and appropriation authority.

Inputs: Subrecipient invoice and the charge codes for the funding sources available for the subrecipient project

Outputs: corrected payment voucher details

#### **1.10.4.5: Pay Invoice**

Description: The Accounting and Financial Services Division (AFS) reviews and provides final approval accounting for all invoices. AFS may decide to place the invoice on hold in TRAINS until any issues are resolved, and communicate with the PTD Fiscal Specialist to resolve the issue.

Timing: following submission of an invoice to AFS

Participants: AFS

Rationale: Ensure that the invoices contain appropriate charge codes and the division submitting the invoice has appropriation authority.

Inputs: Invoice from GMS

Outputs: Payment submitted to State Treasurer or notification by AFS to PTD that the invoice is held

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.10.4.5a      Discrepancy Report    (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a log that identifies any discrepancies between TRAINS funding sources and amounts compared to GMS funding sources and amounts.

#### **1.10.4.5b      TRAINS Interface    (Priority: Medium)**

The system will have an interface with WSDOT's accounting system (TRAINS) that transmits invoices approved in the system for payment, and receives transaction details including: Voucher #, Payment Date, warrant #.

#### **1.10.4.6: Invoice Paid**

The invoice was paid by AFS

#### **1.10.4.7: Return Invalid Invoice Unpaid**

The invoice was returned to the subrecipient/third party contractor for corrections

#### **1.10.5: Third Party Contractor Oversight**

Description: Oversee the work performed by third party vendors performing services for PTD. This may include on-site visits, reviewing deliverables prepared by the contractor, and ensuring the project is being performed according to the statement of work. PTD may decide to upload/store any type of communication or documentation associated with the third party contract.

Timing: Begins upon execution of a third party contract and continues until the contract is closed out

Participants: The assigned PTD project manager

Rationale: to ensure the contractor is performing the project as specified by PTD.

Inputs: Third Party contract and statement of work; and the regulations associated with state law or the funding source used for the contract, specified deliverables, status reports, project invoices; meetings with the vendor.

Outputs: Contract compliance

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.10.5a      Log Oversight Activities    (Priority: Medium)**

The system will provide a mechanism for PTD staff to manage a log of oversight activities for each contractor.

### 1.10.6: Accruals (end of biennium review)

Description: At the end of the state's fiscal biennium each subrecipient must submit an invoice by July 15 for any expenses incurred prior to June 30. If a final amount cannot be determined by that date, the subrecipient is required to submit an estimated invoice which is used to establish an accrual in WSDOT's accounting system (TRAINS) for the affected funds/contract. PTD prints the estimated invoice and uses it for processing the accrual in TRAINS

Timing: June 30 through August 15 of the odd numbered years.

Participants: Community Liaisons, BST staff, and subrecipients

Rationale: State accounting regulations to ensure expenditures are recorded in the proper period.

Inputs: subrecipient expenditures or estimated expenditures

Outputs: Invoice or estimated invoice

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.10.6a Estimated Invoice Submittal (Priority: Medium)**

The system will provide a mechanism for the subrecipient to mark an invoice as "estimated" or "actual".

##### **1.10.6b Restrict Estimated Invoice Function (Priority: Medium)**

The system will provide a mechanism to enable PTD to control a date range during which subrecipients may submit estimated invoices.

##### **1.10.6c Review Estimated Invoice by PTD (Priority: Medium)**

The system will provide a mechanism for PTD to review, print or send back for changes an estimated invoice.

Note: an estimated invoice will not affect the available balance of any of the funding sources on the agreement.

### 1.10.7: Regional Mobility Performance Reports

Description: Subrecipients of the Regional Mobility Program submit annual performance reports for four years following the completion of their project.

Timing: Following the closure of a Regional Mobility project

Rationale: Required by state law

Participants: Subrecipients, CL's and PTD's Data Group

Inputs: Regional Mobility report form

Outputs: [Regional Mobility](#) reports submitted and approved or returned to the subrecipient with comments

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.10.7a Annual Report Summary (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report of all annual report data submitted by all subrecipients reporting on a specified date range.

##### **1.10.7b Prepare/Submit Annual Report (Priority: Medium)**

The system will provide a mechanism for subrecipients to prepare and submit their annual reports using the customized report form provided to them after contract execution.

### 1.10.8: Regional Mobility Performance Measurement Plans

Description: Subrecipients, as a condition of receiving Regional Mobility funding, are required to prepare and submit a Performance Measurement Plan (PMP). The Community Liaison, in coordination with the PTD Data Group, reviews the plan and either accepts it, or returns it to the subrecipient for changes.

Timing: Following the execution of a new grant award

Rationale: Ensure the subrecipient has the capability to adhere to the measurements identified in their grant application.

Participants: Subrecipient, CL's, and PTD Data Group

Inputs: Measurements identified in the subrecipient grant application

Outputs: An approved performance measurement plan.

#### GMS Requirements/Business Rules Associated with this Activity

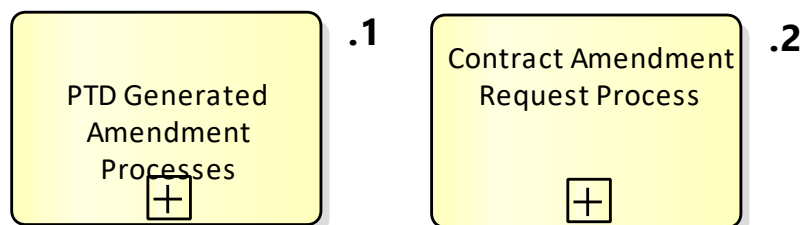
- 1.10.8a Act on the submitted PMP (Priority: Mandatory)**  
The system will provide a mechanism for the CL to either approve of the submitted PMP or return the PMP to the subrecipient for changes with recommended changes.
- 1.10.8b Submit PMP (Priority: Mandatory)**  
The system will provide a mechanism for the subrecipient to upload a PMP for a specific grant agreement for approval by the CL.

### 1.11: Amendment Processes

#### Amendment Processes

Name: Amendment Processes  
Package: PTD Grant Process Map  
Version: 4/3/2017  
Author: GMS Team

1.11



### 1.11.1: PTD Generated Amendment Processes

Description: PTD may generate an amendment for a variety of reasons. This includes, but is not limited to:

- Additional state funding becomes available
- State funds are re-distributed between subrecipients
- Additional federal funds (identified in the contract as "projected") become available
- PTD determines and/or desires to change a funding source on a project under the agreement

Timing: Dependent on the reason, but could be any time during the grant period.

Rationale: To ensure that funds are distributed efficiently and federal/state compliance requirements are met

Inputs: State budget, Federal apportionments, grant contracts, and grant awards.

Outputs: A decision that a contract amendment is needed.

Notes: Amendments to funding applies only to funding that is already secured.

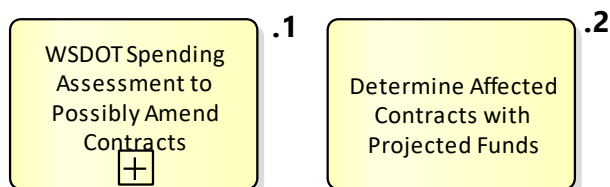
#### GMS Requirements/Business Rules Associated with this Activity

##### **1.11.1a      Modify Funding Source and Amounts    (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to modify funding sources and amounts as necessary for each grant funded project.

#### **PTD Generated Amendment Processes**

Name:    PTD Generated Amendment Processes    **1.11.1**  
Package: PTD Grant Process Map  
Version: 4/3/2017  
Author:    GMS Team



### 1.11.1.1: WSDOT Spending Assessment to Possibly Amend Contracts

Description: PTD reviews the spending rates for all consolidated grant projects awarded state funds to identify projects that may not expend all of the awarded funds and projects that may need additional funds.

Timing: January of the odd numbered years

Rationale: To make efficient use of state funds

Participants: BST staff, Community Liaisons, subrecipients

Inputs: Spending rates of subrecipient projects

Outputs: re-distribution of state funds between subrecipients

#### GMS Requirements/Business Rules Associated with this Activity

##### 1.11.1.1a Consolidated Project Spending Report (Priority: Medium)

The system will provide a mechanism for PTD staff to generate a report on project status, funding balances, and draw down rates for all projects under the consolidated grant program.

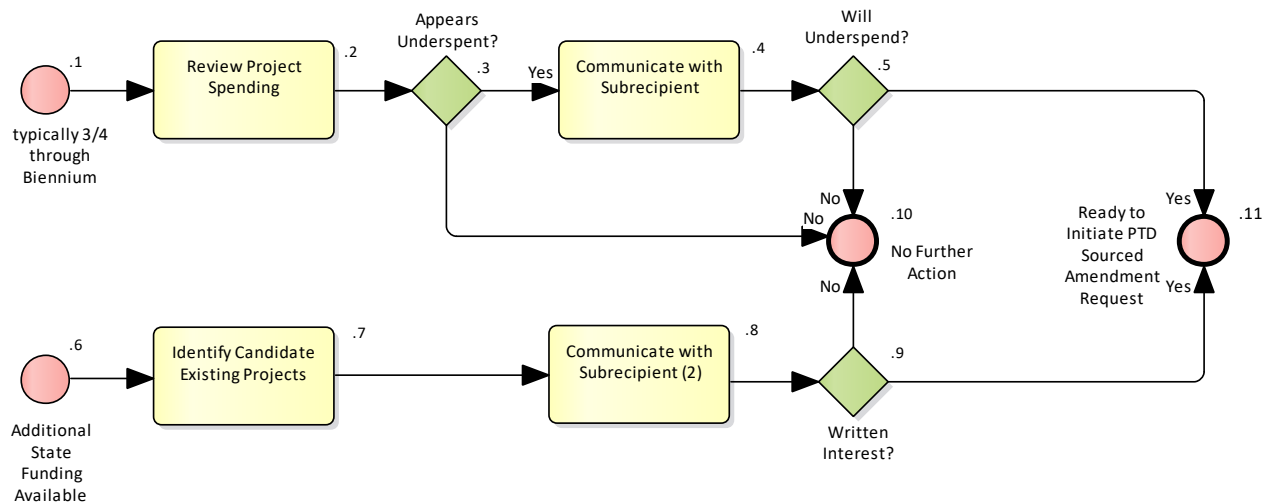
##### 1.11.1.1b Implement Spending Assessment Workflow (Priority: Medium)

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

### WSDOT Spending Assessment to Possibly Amend Contracts

Name: WSDOT Spending Assessment to Possibly Amend Contracts  
Package: PTD Grant Process Map  
Version: 4/13/2017  
Author: GMS Team

1.11.1.1



#### 1.11.1.1.1: typically 3/4 through Biennium

Planned timing for the review of spending patterns on consolidated grants - but could happen at any time

#### **1.11.1.1.2: Review Project Spending**

Description: PTD Business Services reviews spending on all consolidated operating and mobility management projects to identify projects that appear to be under-spending, and identify any capital projects that are complete with state funds remaining unspent.

Timing: January of the odd numbered years

Rationale: The state funds used for grant awards are only available during the biennium of the state budget. Once the biennium ends, any funds not spent or accrued will be lost to the program.

Participants: Community Liaisons, and the Business Services Team members.

Inputs: Grant contract spending reports

Outputs: Report of possible under-spending/overspending.

#### **1.11.1.1.3: Appears Underspent?**

Projects that appear to be underspending are identified.

#### **1.11.1.1.4: Communicate with Subrecipient**

Description: The Community Liaison contacts the subrecipient to discuss the situation and determine whether or not funds will be left unspent by the end of the contract. If so, the CL requests the subrecipient to identify in writing how much will be left unspent (Operating & Mobility Management projects only).

Timing: following the review of project spending.

Rationale: Until the Community Liaison discusses the under-spending issue with the subrecipient, it is impossible to confirm whether or not a subrecipient anticipates leaving funds unspent by the end of their project.

Participants: Community Liaison and the subrecipient

Inputs: Report of under-spending and documentation from the subrecipient(s)

Outputs: Additional state funds made available to re-distribute to other subrecipients.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.11.1.1.4a Provide Written Documentation of Funds to be Returned (Priority: Medium)**

The system will provide a mechanism for the CL to upload a copy of any correspondence from the subrecipient that was received outside of the system documenting the agreement and amount of funds to be turned back.

#### **1.11.1.1.5: Will Underspend?**

Confirmation of underspending received from subrecipient(s)

#### **1.11.1.1.6: Additional State Funding Available**

Funds have been made available as a result of the underspending review process

#### **1.11.1.1.7: Identify Candidate Existing Projects**

Description: BST and Project Delivery review original consolidated grant requests to identify projects that were not fully funded and/or those that may have a budget overrun that could take advantage of extra funding.

Timing: Following determination that additional state funds are available.

Rationale: To ensure that PTD is maximizing the use of state funds. The state funds used for grant awards are only available during the biennium of the state budget. Once the biennium ends, any funds not spent or accrued will be lost to the program.

Participants: Community Liaisons, Business Services Team, Project Delivery Manager, and Business Services Manager.

Inputs: Report of spending patterns, report of additional state funds available, original subrecipient applications, and original project award (final funded).

Outputs: identification of candidate projects/subrecipients



#### **1.11.1.1.8: Communicate with Subrecipient (2)**

Description: The Community Liaison communicates with the subrecipient to see if they are interested in additional funding to complete their originally proposed project and/or to discuss the circumstances that have caused any overspending. If they are interested, the Community Liaison asks the subrecipient to submit a written request.

Timing: After identification of candidate projects/subrecipients.

Rationale: To ensure that PTD is maximizing the use of state fund and ensure continuity of the services provided by the subrecipients.

Participants: Community Liaisons and Subrecipients

Inputs: Report of spending patterns, communication received from subrecipients.

Outputs: Instructions to interested subrecipients on how to request additional funding.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.11.1.1.8a Request Additional Funding (Priority: Medium)**

The system will provide a mechanism for subrecipients to request additional funding and upload any supporting documentation.

#### **1.11.1.1.9: Written Interest?**

Has PTD received written interest (email or other written communication) received from Subrecipients that includes a justification of the reasons for the project overrun?

##### **1.11.1.1.10: No Further Action**

PTD does not need to initiate a contract amendment at this time

##### **1.11.1.1.11: Ready to Initiate PTD Sourced Amendment Request**

#### **1.11.1.2: Determine Affected Contracts with Projected Funds**

Description: PTD determines which projects and contracts are affected by additional FTA funding that is now obligated in TrAMS. Once determined this triggers amendments to the affected contracts/projects.

Timing: Following obligation of the FTA funds.

Rationale: Funds need to be made available for spending by the subrecipient under existing contracts.

Participants: BST Contracts Specialist and BST Grants Analyst

Inputs: Subrecipient contracts with "projected funds" and new FTA funding obligated

Outputs: Agreement/Contract(s) ready for amendment

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.11.1.2a Projected to Current Award (Priority: Medium)**

The system will provide a mechanism for PTD staff to move awarded funding from "projected" to Current.

### **1.11.2: Contract Amendment Request Process**

Description: WSDOT issues contract amendments when there are changes to the scope and/or budget of projects under a grant contract. These amendments may be generated based on a request from a subrecipient or as a result of WSDOT identifying the need to change make changes to the funds awarded.

Timing: Requests from a subrecipient may come in at any time during the course of a grant agreement. Changes generated by WSDOT typically occur when additional funds become available.

Stakeholders: subrecipients, Community Liaisons, BST Manager, Grants Analyst and Compliance Analyst, FTA, State Legislature

Rationale: From the time of application to the start of the project is often 6-9 months. During that time there may be changes at the local level that affect the subrecipient's needs. Changes at the WSDOT level may be adding additional funding to projects based on additional funding becoming available, to correct the funding source, or to redistribute state funds between subrecipients to maximize the spend-down of state funds.

Inputs: Amendment Requests, federal grant sources, state grant sources, program regulations

Outputs: Decision to Approve , ready for contracting process.

Notes: Requests for increased funding may only be accommodated with funds that have already been secured.

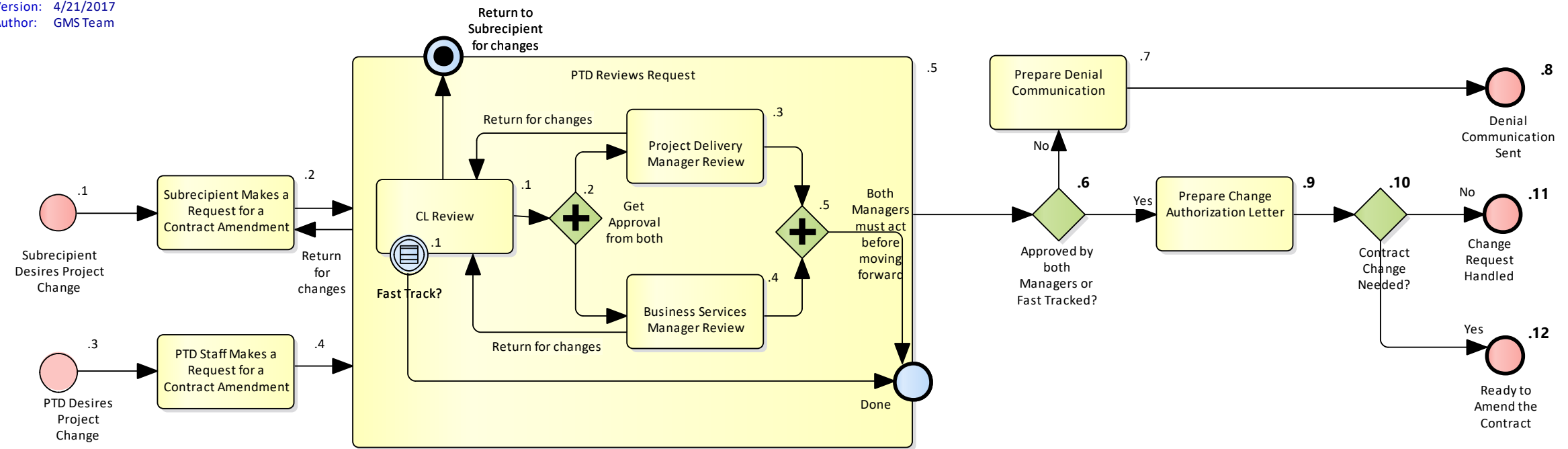
#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.11.2a            Implement Contract Amendment Request Process Workflow   (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

Contract Amendment Request Process

Name: Contract Amendment Request Process 1.11.2  
Package: PTD Grant Process Map  
Version: 4/21/2017  
Author: GMS Team



### 1.11.2.1: Subrecipient Desires Project Change

The subrecipient desires a change to the scope or budget of their project(s)

### 1.11.2.2: Subrecipient Makes a Request for a Contract Amendment

Description: The subrecipient submits a request to change the scope or budget of their project(s).

Timing: Requests can be submitted at any time during the course of a project that has not been completed.

Stakeholders: The subrecipient and the Community Liaison

Rationale: Projects are awarded competitively. Per the grant contract, changes to the scope or budget of an agreement must be approved in advanced.

Inputs: The grant contract, subrecipient change request

Outputs: Request submitted to PTD

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.11.2.2a Change Request Form (Priority: Medium)**

The system will house a Change Request Form that is managed by PTD staff.

##### **1.11.2.2b Contract Change Request Form (Priority: Medium)**

The system will provide a mechanism for the subrecipient to fill out and submit PTD's Contract Change Request Form.

##### **1.11.2.2c No Change until Amendment Execution (Priority: High)**

The system will not change, or allow to be changed, the official scope, budget, term or project details until the contract amendment is signed by WSDOT.

##### **1.11.2.2d Request Change to Project Scope, Term, Budget (Priority: Medium)**

The system will provide a mechanism for subrecipients to request a change to the project scope, term, and/or budget.

### 1.11.2.3: PTD Desires Project Change

PTD has determined that a change needs to be made to a project and its underlying contract.

### 1.11.2.4: PTD Staff Makes a Request for a Contract Amendment

Description: The CL or BST staff submits a request to revise the project budget, the project scope, or the funding sources awarded to the project.

Timing: Following concurrence from a subrecipient, obligation of additional federal funds, or decision by BST to alter the project funding sources.

Participants: The Community Liaison or BST Staff

Rationale: To make state funds available for other projects that would otherwise be left unspent at the end of the biennium; to apply projects to the oldest available federal grant; to move project funding sources from projected to current; and maybe other reasons.

Inputs: The grant contract, subrecipient concurrence, dollar value to be released (if any), reason for contract amendment, and federal funds available.

Outputs: Request initiated

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.11.2.4a Change Request Form (Priority: Medium)**

The system will house a Change Request Form that is managed by PTD staff.

##### **1.11.2.4b Contract Change Request Form (Priority: Medium)**

The system will provide a mechanism for the subrecipient to fill out and submit PTD's Contract Change Request Form.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.11.2.4c PTD Submits a Request for Contract Amendment (Priority: Medium)**

The system will provide a mechanism for the CL to request a change to the project budget by updating the project details to reflect the proposed change and submitting to PTD management for approval.

Note: The system will not change the official scope or budget until the change is approved by PTD.

##### **1.11.2.5: PTD Reviews Request**

PTD staff reviews the Contract Change Request Form to determine if the request is reasonable and does not change the purpose of the grant award, and if sufficient funds are available to accommodate the change.

Timing: following the receipt of a request from a subrecipient

Stakeholders: The Community Liaison, the Grants Compliance Analyst, the Business Services Manager, the PD Manager, the PTD Director and others that may be consulted within PTD

Rationale: Projects are awarded on a competitive basis (either by WSDOT, FTA, or the State Legislature). PTD needs to ensure that the change still meets the intent of the grant award and the project as revised is still eligible for the funding awarded.

Inputs: Project Change Request , PTD policies and federal and state legislation

Outputs: Approval, denial or returned for changes

##### **1.11.2.5.1: CL Review**

Description: The Community Liaison reviews the request and the justification used to determine if the request is reasonable and does not change the purpose of the grant award. The CL makes their recommendation to Business Services Manager and the Project Delivery Manager. For minor changes such as administrative requests the CL is allowed to "Fast Track" Submit the request, bypassing manager approval.

Timing: following the receipt of a request from a subrecipient

Participants: The Community Liaison

Rationale: The CL is responsible for coordination and project management oversight and acts as the first line of communication for subrecipients

Inputs: Contract Change Request Form

Outputs: Recommendation for approval or denial to managers, fast tracked, or returned to subrecipient for changes.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.11.2.5.1a Fast Track Rule (Priority: Medium)**

The system will not allow the change request to be Fast Tracked if it involves a change to scope or budget.

##### **1.11.2.5.1b Recommendation by CL (Priority: Medium)**

The system will provide a mechanism for the CL to recommend the approval or denial of the change request, providing comments if desired by the CL.

##### **1.11.2.5.1c Review Change Request (Priority: Medium)**

The system will provide a mechanism for the CL to view the change request and make changes to the assessment of the kind of change (based on reading the text of the request).

##### **1.11.2.5.2: Get Approval from both**

Send the Contract Change Request to both the PD Manager and the BST Manager.

#### **1.11.2.5.3: Project Delivery Manager Review**

Description: The PD Manager reviews the request to ensure that the change matches the original intent of the grant award. The PD Manager may return the form for more details, approve or deny the request. For denials the PD Manager must provide the reason for denial.

Timing: After recommendation is received from the CL.

Participants: PD Manager

Inputs: Contract Change Request Form, recommendations from the CL, original application, current contract, PTD policy and state and federal regulations

Outputs: Approval, Denial or Returned to CL

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.11.2.5.3a PD Manager Form Review (Priority: Medium)**

The system will provide a mechanism for the PD Manager to review the submitted Contract Change Request Form and edit the change assessment fields (scope change, etc).

#### **1.11.2.5.4: Business Services Manager Review**

Description: The BST Manager reviews the request to ensure that the change is possible; is there available funding? Is the change allowable under state or federal program eligibility? The BST Manager may return the form for more details, approve or deny the request. For denials the BST Manager must provide the reason for denial.

Timing: After recommendation is received from the CL.

Participants: BST Manager

Inputs: Contract Change Request Form, recommendations from the CL, current contract, PTD policy and state and federal regulations

Outputs: Approval, Denial or Returned to CL

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.11.2.5.4a BST Manager Form Review (Priority: Medium)**

The system will provide a mechanism for the BST Manager to review the Contract Change Request Form and edit the change assessment fields (scope change, etc).

#### **1.11.2.5.5: Both Managers must act before moving forward**

The Change Request cannot proceed until both the PD Manager and the BST Manager have acted on the form (Approval or Rejection).

#### **1.11.2.6: Approved by both Managers or Fast Tracked?**

The Community Liaison in coordination with the BST Compliance Analyst determine whether the proposed change should be recommended for approval. If recommended, concurrence is obtained from the Project Delivery manager.

#### **1.11.2.7: Prepare Denial Communication**

Description: When an amendment request is denied, the Community Liaison prepares a communication to be sent to the applicant explaining the reasons for the denial.

Timing: following the decision by either the BST or the PD manager to deny the amendment request

Participants: The Community Liaison

Rationale: subrecipients need to be made aware of the decision and PTD needs to have documentation of formal communications made during the management of a project.

Inputs: Decision made

Outputs: Denial communication

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.11.2.7a Denial Letter Stored in the System (Priority: Medium)**

The system will provide a mechanism for PTD staff to store a denial letter to the subrecipient. Either copy may be uploaded and associated with the amendment request, or the letter can be created, sent and stored in the system.

#### **1.11.2.8: Denial Communication Sent**

The Community Liaison sends the denial communication to the subrecipient

#### **1.11.2.9: Prepare Change Authorization Letter**

Description: When an amendment request is approved, the CL prepares a communication to the subrecipient authorizing the change requested and the action to be taken (i.e. administrative change or formal contract amendment). Letter or other communication is sent to subrecipient.

Timing: Following the approval by the Project Delivery Manager.

Rationale: subrecipients need to know if their change is approved to implement and whether or not to expect a contract amendment

Participants: The Community Liaison.

Inputs: Decision received from Project Delivery Manager

Outputs: Authorization Letter

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.11.2.9a Change Authorization Letter Stored (Priority: Medium)**

The system will provide a mechanism for PTD staff to store a change authorization letter to the subrecipient. Either copy may be uploaded and associated with the amendment request, or the letter can be created, sent and stored in the system.

#### **1.11.2.10: Contract Change Needed?**

Does the change require a formal contract amendment or will and administrative authorization suffice?

#### **1.11.2.11: Change Request Handled**

#### **1.11.2.12: Ready to Amend the Contract**

The Revision request form was forwarded to the Contracts Analyst.

## 1.12: Subrecipient Oversight

Description: PTD performs subrecipient oversight. This includes various activities including site visits, subrecipient policy review, review of independent audits, In good standing analysis, and training and technical assistance.

Timing: Ongoing

Participants: BST Compliance Analyst, the applicable Community Liaison, and the Safety & Asset Management Specialist, BST & PD Managers

Rationale: to ensure compliance with the requirements associated with receiving state and federal grant funds

Inputs: Subrecipient grant awards and open projects

Outputs: Site visits performed

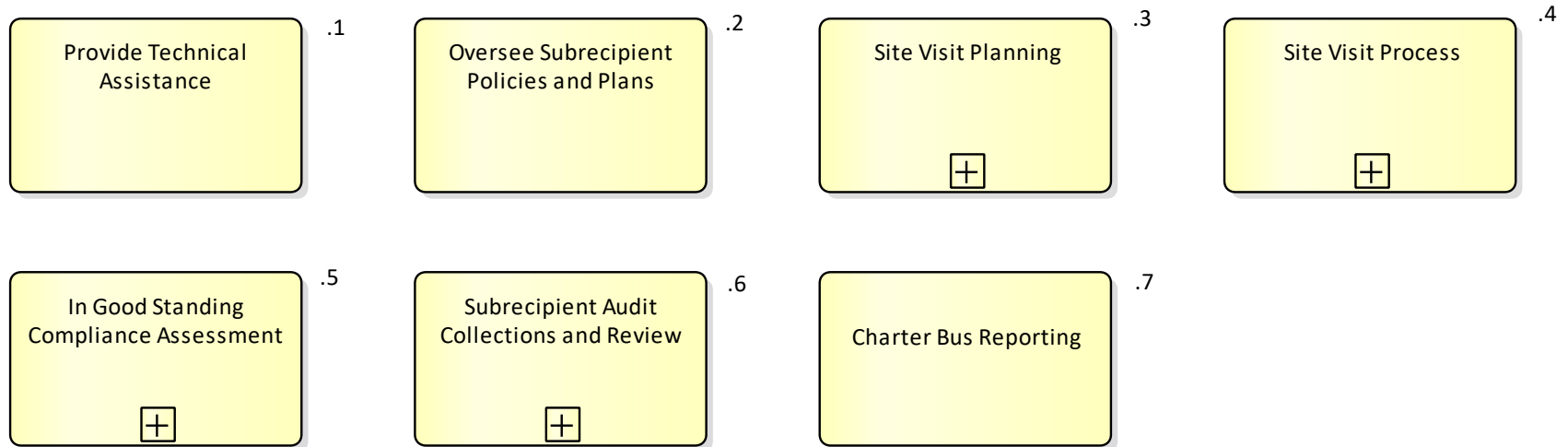
### **GMS Requirements/Business Rules Associated with this Activity**

- |              |  |
|--------------|--|
| <b>1.12a</b> | <b>Include Subrecipients with Active Contracts (Priority: Mandatory)</b><br>The system will enable Subrecipient Oversight for any subrecipient with an active (not closed) contract.<br><br>Note that a project within a contract may be closed (i.e. the delivery of buses is completed and reimbursements are complete) but subrecipient oversight is required until the contract is closed. |
|--------------|--|



## Subrecipient Oversight

Name: Subrecipient Oversight **1.12**  
Package: PTD Grant Process Map  
Version: 3/23/2017  
Author: GMS Team



### 1.12.1: Provide Technical Assistance

Description: PTD provides technical support and information to subrecipients.

Timing: Upon request from the subrecipient and/or part of the site visit process.

Participants: Community Liaisons, BST staff

Rationale: To assist subrecipients comply with the laws and regulations associated with grant funds

Inputs: Request from subrecipient, site visit questions, federal and state grant management regulations/guidance, PTD policies.

Outputs: Technical assistance provided

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.12.1a Technical Assistance Log (Priority: Low)**

The system will provide a mechanism for PTD staff to maintain an electronic log of technical assistance provided to a subrecipient. (Who provided, what was provided, when provided)

### 1.12.2: Oversee Subrecipient Policies and Plans

Description: PTD staff reviews required policies and plans provided by the subrecipient and provides guidance where changes need to be made

Timing: Begins when a new subrecipient is established and continues as long as the subrecipient has open contract obligations.

Participants: Community Liaisons, BST Compliance Analyst, and subrecipients

Rationale: To receive federal or state funds there are certain operating policies that a subrecipient must have in place. Those policies need to be submitted to WSDOT PTD for review to assure that they meet the federal requirements.

Inputs: Subrecipient Policies, subrecipient plans, federal and state regulations/guidance, and WSDOT policy

Outputs: Approved and current subrecipient policies on file with WSDOT or policies sent back for needed revisions

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.12.2a Subrecipient Policies and Plans Stored (Priority: High)**

The system will house the subrecipient's policies and plans.

### 1.12.3: Site Visit Planning

Description: PTD develops and plans to conduct site visit trips statewide.

Timing: At the beginning of each state Biennium

Participants: Community Liaisons, BST Compliance Analyst, PD & BST Managers, Safety & Asset Management Specialist.

Rationale: To ensure that all subrecipients are reviewed for compliance with state and federal regulations

Inputs: List of Subrecipients including the type of funds and/or project awarded.

Outputs: Site Visit Schedule

Notes: Different PTD staff are designated to perform specific site-visit types (financial, administrative, capital vehicle/equipment, construction, drug and alcohol testing program).

The list of necessary site visits, and the scope for each visit, is subject to change based on federal requirements.

#### GMS Requirements/Business Rules Associated with this Activity

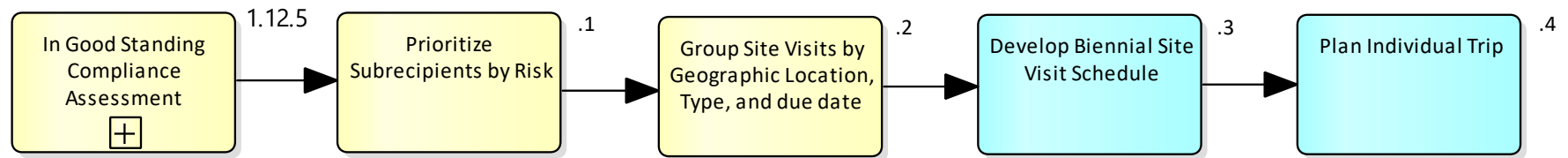
##### **1.12.3a Implement the Site Visit Planning Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

## Site Visit Planning

Name: Site Visit Planning  
Package: PTD Grant Process Map  
Version: 4/3/2017  
Author: GMS Team

**1.12.3**



### 1.12.3.1: Prioritize Subrecipients by Risk

Description: Based on the results of the risk assessment, PTD develops a prioritized list of site visits to be conducted during the biennium.

Timing: Following completion of the risk assessments

Participants: Community Liaisons, BST Compliance Analyst, Procurement Analyst, Safety & Asset Management Specialist, and PD & BST Managers

Rationale: To identify which site visits should be conducted first

Inputs: Risk Assessments

Outputs: [Prioritized site visit list](#)

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.12.3.1a Assign Risk Score (Priority: Medium)**

The system will provide a mechanism for PTD staff to enter a risk score for each subrecipient.

### 1.12.3.2: Group Site Visits by Geographic Location, Type, and due date

Description: PTD reviews the geographic location, the risk score the date of last site visit, and the type of site visit required for each subrecipient, then decides which subrecipients to group together for trip planning.

Site visits types are:

- Financial Site Visits (operating and mobility management subrecipients)
- Administrative Site Visits (applies to all subrecipients)
- Drug and Alcohol Site Visits (limited to certain FTA funds)
- Capital Site Visit (limited to Capital subrecipients)
- Policy/Plan Review and Approval (applies to all subrecipients)
- Safety and Security Site Visits (light rail systems, 5309, 5311 and 5339 recipients and subrecipients)

Site visit due dates are determined as followed:

- Capital, Financial, and Administrative at least once every 2 years
- Drug and Alcohol at least once every 3 years
- Policy and plan review as needed when plans or policies are developed and/or updated

If the subrecipient has never had a required site visit, one must be performed within the first 6 months of their grant award.

Timing: following development of the prioritized list of subrecipient risk

Participants: Community Liaisons, BST Compliance Analyst, Procurement Analyst, and Safety & Asset Management Specialist.

Rationale: To make more effective use of time in the field and ensure all site visits due are completed in a timely manner.

Inputs: prioritized list of subrecipient risk, Washington State map, type of site visits required (capital, operating, drug & alcohol, construction, etc)

Outputs: [Site visits grouped](#)

Notes: Capital equipment/vehicle/construction site visits continue throughout the life of the asset.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.12.3.2a Automated Site Visit Due Notification (Priority: Medium)**

The system will automatically send a notification to the assigned Community Liaison or BST staff member 45 days in advance of the “next site visit due” date for each subrecipient.

### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.12.3.2b Set up Site Visit Types and Frequency (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to identify the type of site visits required for a given subrecipient, and the frequency of site visits, based on the funding source(s) awarded to the subrecipient (federal program vs state program) and the type of project (capital, operating, construction, etc).

#### **1.12.3.2c Site Visit Grouping Report (Priority: High)**

The system will provide a mechanism for PTD staff to generate a report detailing the type of site visits required for each subrecipient the site visit due date, and the subrecipient's geographic location (city).

### **1.12.3.3: Develop Biennial Site Visit Schedule (Out of Scope for GMS)**

Description: PTD develops a proposed 2 year site visit schedule for subrecipient groups.

Timing: following the site visit grouping process

Participants: Community Liaisons, BST Compliance Analyst, Procurement Analyst, and Safety & Asset Management Specialist.

Rationale: To ensure the highest risk subrecipients receive site visits as early as possible. Some locations are difficult to reach during winter months so forward planning is essential

Inputs: Site visit groups, risk assessments, typical weather conditions for each season.

Outputs: Biennial Schedule

### **1.12.3.4: Plan Individual Trip (Out of Scope for GMS)**

Description: For each planned trip to perform a group of site visits in a geographic area, BST Compliance Analyst, the applicable Community Liaison, and the Safety & Asset Management Specialist coordinate efforts to reduce the number of site-visits to a single subrecipient. They decide the target week/month for travel. Develop a draft itinerary that includes locations, travel times, lodging and transportation/vehicle needs.

Timing: following development of the biennial schedule

Participants: BST Compliance Analyst, the applicable Community Liaison, and the Safety & Asset Management Specialist

Rationale: to make the most efficient use of time for PTD staff and the subrecipient

Inputs: Biennial Schedule, type of site visits required for each subrecipient

Outputs: site visit trip planned

### **1.12.4: Site Visit Process**

Description: PTD staff conduct site visits with subrecipients. The scope and frequency of those visits depend on the type of funding and type of project awarded to the specific subrecipient.

Timing: Ongoing on a biennial schedule

Participants: Community Liaisons, BST Compliance Analyst, BST Procurement Analyst, Safety & Asset Management Specialist

Rationale: to ensure compliance with state and/or federal requirements associated with receipt of grant funds

Inputs: Subrecipients with open contracts

Outputs: Site Visits completed

Notes: The site visit list below is subject to change based on federal and/or state requirements.

### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.12.4a Implement the Site Visit Process Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

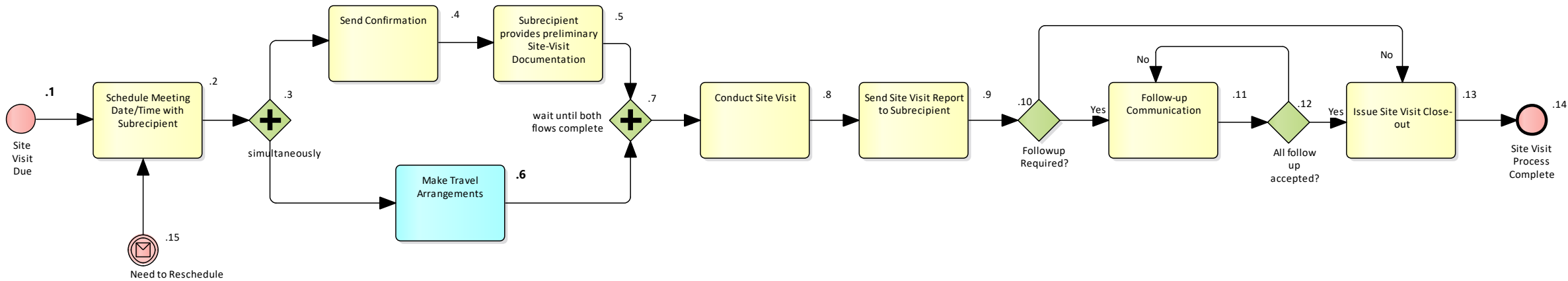
**GMS Requirements/Business Rules Associated with this Activity**

**1.12.4b Plan and Track Site Visits (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to track site visits and the progress of those site visits, including housing all site visit documentation.

Site Visit Process

Name: Site Visit Process 1.12.4  
Package: PTD Grant Process Map  
Version: 4/3/2017  
Author: GMS Team



#### 1.12.4.1: Site Visit Due

Site Visits have standard frequencies:

- Capital, Financial, Administrative and Operating at least once every 2 years
- Drug and Alcohol at least once every 3 years

If the subrecipient has never had a required site visit, one must be performed within the first 6 months of their grant award.

#### 1.12.4.2: Schedule Meeting Date/Time with Subrecipient

Description: PTD contacts the subrecipient to schedule the date and time and scope of the site visit; and identify the subrecipient staff that are required to be present at the visit, and which grant funded assets will be inspected while on site.

Timing: Approximately 1 month prior to the planned site visit target date (Biennial Site Visit Schedule)

Participants: Community Liaison or other staff performing the site visit and the subrecipient

Rationale: to formally schedule the site visit appointment and to ensure the appropriate subrecipient staff are available.

Inputs: biennial site visit schedule, PTD staff availability, subrecipient staff availability

Outputs: site visit scheduled and subrecipient staff identified

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.12.4.2a Change Scheduled Site Visit Date (Priority: Medium)

The system will provide a mechanism for PTD staff to change the scheduled date of a site visit if needed.

#### 1.12.4.2b Record Scheduled Site Visit Date (Priority: Medium)

The system will provide a mechanism for PTD staff to record the scheduled date for each type of site visit to be conducted with a specific subrecipient.

#### 1.12.4.2c Upcoming Site Visit Notification (Priority: Medium)

The system will automatically notify the Community Liaison or BST staff member 45 days in advance of the "next site visit due" date for each subrecipient.

#### 1.12.4.3: simultaneously

#### 1.12.4.4: Send Confirmation

Description: PTD sends a notice to the subrecipient confirming the agreed upon schedule and scope of the site visit; and requesting any preliminary documentation required.

Timing: Following the conversation with the subrecipient to schedule the site visit

Participants: Applicable PTD staff (dependent on the scope of the visit)

Rationale: To issue formal confirmation of the site visit and obtain any needed preliminary documentation.

Inputs: Schedule and scope of the site visit

Outputs: [site visit confirmation notice sent](#)

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.12.4.4a Send Site Visit Confirmation (Priority: Medium)

The system will provide a mechanism for PTD staff to send a confirmation notice to the subrecipient for scheduled site visits that includes the date and type of site visit and a list of any preliminary documentation required, and record the letter sent and date sent.



#### **1.12.4.5: Subrecipient provides preliminary Site-Visit Documentation**

Description: PTD may request preliminary documentation such as updated policies. The subrecipient provides any updates to PTD prior to the site visit.

Timing: following the site visit confirmation notice

Participants: Subrecipient and appropriate PTD staff (dependent on site visit scope).

Rationale: to save time while on site, some documents such as policies are reviewed prior to the site visit.

Inputs: subrecipient policies, other documentation as determined by the site visit staff member performing the site visit.

Outputs: requested documents provided to PTD

Notes: Occasionally the subrecipient fails to provide requested documentation; the site visit can still proceed, takes somewhat longer to perform, and affects the subrecipient's In-Good-Standing status.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.12.4.5a      Review/Act on Site Visit Preliminary Documentation    (Priority: Medium)**

The system will provide a mechanism for PTD staff to review and provide comments and/or identify required changes/corrections needed to each document provided by the subrecipient.

#### **1.12.4.6: Make Travel Arrangements (Out of Scope for GMS)**

Description: PTD staff participating in the site visit(s) make any necessary travel arrangements. This may include reserving a vehicle, making hotel reservations and coordinating with the fiscal Specialist to make airline/flight arrangements (if needed)

Timing: Following confirmation of all site visits to be conducted on a specific grouped (or individual) trip.

Participants: PTD staff performing the site visit(s) and the Fiscal Specialist.

Rationale: to ensure staff have the necessary resources to complete the site visit

Inputs: Site visit trip schedule

Outputs: Travel arrangements made

#### **1.12.4.7: wait until both flows complete**

#### 1.12.4.8: Conduct Site Visit

Description: PTD staff meet with the subrecipient's staff and complete a checklist for each type of site visit to be conducted that day. This includes discussing compliance parameters with the subrecipient for each checklist item; inspecting records and supporting documentation, and inspecting any grant funded assets. Occasionally, there will be issues that cannot be resolved while on-site. In that event, the issue will be addressed following the PTD staff member's return to the office.

Timing: During the site visit and if needed, upon return to the office

Participants: PTD Staff and subrecipient staff (specific staff members dependent on the scope of the site visit)

Rationale: To ensure subrecipient compliance with the requirements associated with receiving state and/or federal grant funds.

Inputs: [Site visit checklists](#) and federal/state regulations

Outputs: Site visit performed

Notes: During the site visit PTD also provides technical assistance (advice) on a variety of topics based on the subrecipient's questions/needs.

##### GMS Requirements/Business Rules Associated with this Activity

- |                  |  |
|------------------|--|
| <b>1.12.4.8a</b> | <b>Comment on Specific Assets (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to record comments and a date-stamp regarding a specific grant funded asset.<br><br>Note that the grant funded asset is already stored in the system.  |
| <b>1.12.4.8b</b> | <b>Findings and Followup Actions/Dates (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to identify any findings and follow-up action required of the subrecipient, including the date the follow-up actions need to be submitted to PTD.  |
| <b>1.12.4.8c</b> | <b>No Network Capabilities (Priority: Medium)</b><br>In the event there is no network access by WSDOT staff at the subrecipient's location (while the site visit is in progress) the system will provide a mechanism for PTD staff to access the site visit module to complete the site visit, either offline while onsite, by printing the checklist prior to the visit, or by using an electronic form, then uploading the completed site visit checklists or data entered when WSDOT network access is available. |
| <b>1.12.4.8d</b> | <b>Onsite Completion of Site Visit Checklist (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to complete the site visit checklist when performing each specific site visit using a portable electronic device.   |
| <b>1.12.4.8e</b> | <b>Site Visit Checklist in System (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to create and store a site visit checklist.   |

#### 1.12.4.9: Send Site Visit Report to Subrecipient

Description: PTD issues a site visit report identifying its assessment of the subrecipient's compliance with grant requirements, any deficiencies requiring follow-up action, deficiencies corrected while on site, and agreed upon timeline for submitting required follow-up documentation. If there are no follow-up actions required, this report constitutes the site visit closeout.

Timing: Following completion of a site visit

Participants: Applicable PTD staff (depending on site visit scope).

Rationale: To advise the subrecipient of the site visit findings and to confirm the deadline for submitting documentation of any follow-up action required.

Inputs: [Site visit report](#)/checklist

Outputs: site visit report sent

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.12.4.9a Notify Subrecipient of Site Visit Report (Priority: Medium)

The system will automatically notify the subrecipient that the site visit report has been published and whether or not follow up action is required.

#### 1.12.4.9b Prepare Site Visit Report (Priority: Medium)

The system will provide a mechanism for PTD staff to prepare a detailed Site Visit Report.

#### 1.12.4.9c Send Site Visit Report to Subrecipient (Priority: Medium)

The system will provide a mechanism for PTD staff to send the Site Visit Report to the subrecipient.

#### 1.12.4.10: Followup Required?

Are there any actions the subrecipient needs to take as a result of the site visit?

#### 1.12.4.11: Follow-up Communication

Description: The subrecipient submits follow-up documentation. The PTD reviews and accepts or identifies further action needed. Once all follow-up actions are completed PTD sends a Site Visit Closeout letter.

Timing: within the specified time agreed upon during the site visit (typically 30-90 days following the visit depending on the required action)

Participants: Applicable PTD & subrecipient staff

Rationale: To ensure issues requiring follow-up are addressed and completed within a reasonable timeframe

Inputs: follow up actions identified in the site visit report

Outputs: site visit follow up documentation reviewed and accepted

##### GMS Requirements/Business Rules Associated with this Activity

#### 1.12.4.11a Act on Followup Documentation Provided (Priority: Medium)

The system will provide a mechanism for PTD staff to review the documentation submitted and either provide comments on changes/corrections needed or indicate that the follow up action is complete/resolved.

#### 1.12.4.11b Notify Participants that Action is Needed (Priority: Medium)

The system will notify the assigned PTD staff and the assigned Subrecipient staff when tasks are awaiting their action.

#### 1.12.4.12: All follow up accepted?

Are all the follow up actions complete with no further action needed from the Subrecipient?

#### **1.12.4.13: Issue Site Visit Close-out**

Description: PTD notifies the subrecipient to confirm that all follow-up items have been completed and accepted.

Timing: Following PTD's acceptance of all follow-up actions submitted by the subrecipient, and provided that there are no outstanding follow up actions.

Rationale: To formally acknowledge that the subrecipient has met all of the requirements associated with the site visit conducted.

Participants: PTD staff who conducted the site visit

Inputs: Completed Checklists, identified deficiencies, follow-up documentation submitted by the subrecipient

Outputs: [Site visit Closed](#)

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.12.4.13a Formal Site Visit Close Out (Priority: High)**

Once all site visit follow up actions/documentation are accepted and marked completed, the system will provide a mechanism for PTD staff to issue the formal close out of the site visit.

##### **1.12.4.13b Prepare Site Visit Closeout (Priority: Medium)**

The system will provide a mechanism for PTD staff to prepare close out correspondence.

##### **1.12.4.13c Send Closeout Notification (Priority: Medium)**

The system will provide a mechanism for PTD staff to send the closeout notification to the subrecipient.

#### **1.12.4.14: Site Visit Process Complete**

All follow up actions, if any, have been completed and the site visit is closed out.

#### **1.12.4.15: Need to Reschedule**

Either PTD staff or the subrecipient needs to re-schedule.

### 1.12.5: In Good Standing Compliance Assessment

Description: PTD performs ongoing risk assessments of all active subrecipients to determine if the subrecipient is in good standing status. A result of falling out of good standing may be termination of a grant, withholding payment on all pending invoices, the subrecipient becoming ineligible for future grants, and, in extreme cases, repossession of grant funded assets. For new applicants with no history of PTD grants, staff reviews other documentation, such as:

- Most recent audit reports
- Experience of the applicant's staff in managing federal or state grants.

Timing: Begins with the establishment of a new subrecipient and continues as long as the subrecipient has open contract obligations with PTD.

Participants: Community Liaisons, BST Compliance Analyst, PD Manager, and BST Manager

Rationale: to increase the likelihood of project success and a good grant experience. To measure the subrecipient's fiscal and managerial capacity to manage grants.

Inputs: Responsiveness of the subrecipient to contract requirements and grant management guidance. Subrecipient's management structure and financial management abilities/track record.

Outputs: Determination of In Good Standing or Not in Good Standing and [Risk Assessed](#).

Notes: Factors that contribute to In Good Standing status include the subrecipient submitting timely reports and invoices, provides timely response to site visit follow-up actions, submits their annual audit (if required) and have no audit findings that affect their ability to receive grant funds.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.12.5a Compute Applicant/Subrecipient In Good Standing Metrics (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate one or more reports containing the following metrics computed from historical facts collected in the system during the last 24 months:

By Subrecipient, by project:

- Invoices: # of invoices, # of invoices not returned for changes, # of invoices received by due date (operating: within 30 days of the end of the calendar quarter; capital vehicle/equipment: within 30 days of acceptance of the asset by subrecipient; capital construction: tbd)
- Quarterly Reports: # of Quarters within last 2 years that the project was active, # of Reports not returned for changes, # submitted within 30 days of the reported calendar quarter.
- Project-to-date Match Ratio Met? (match provided/net expenditures) is equal to or greater than the percentage match identified in the contract for the project.

Summary of all projects:

- Compute Percentages: Average the ratios above x 100.

By Subrecipient:

Site Visits: # of Site Visits by Type

# of deficiencies, # of deficiencies handled timely (follow-up documentation received by due date identified for the follow-up action during the site visit)

##### **1.12.5b Hold Invoice Payments (Priority: Mandatory)**

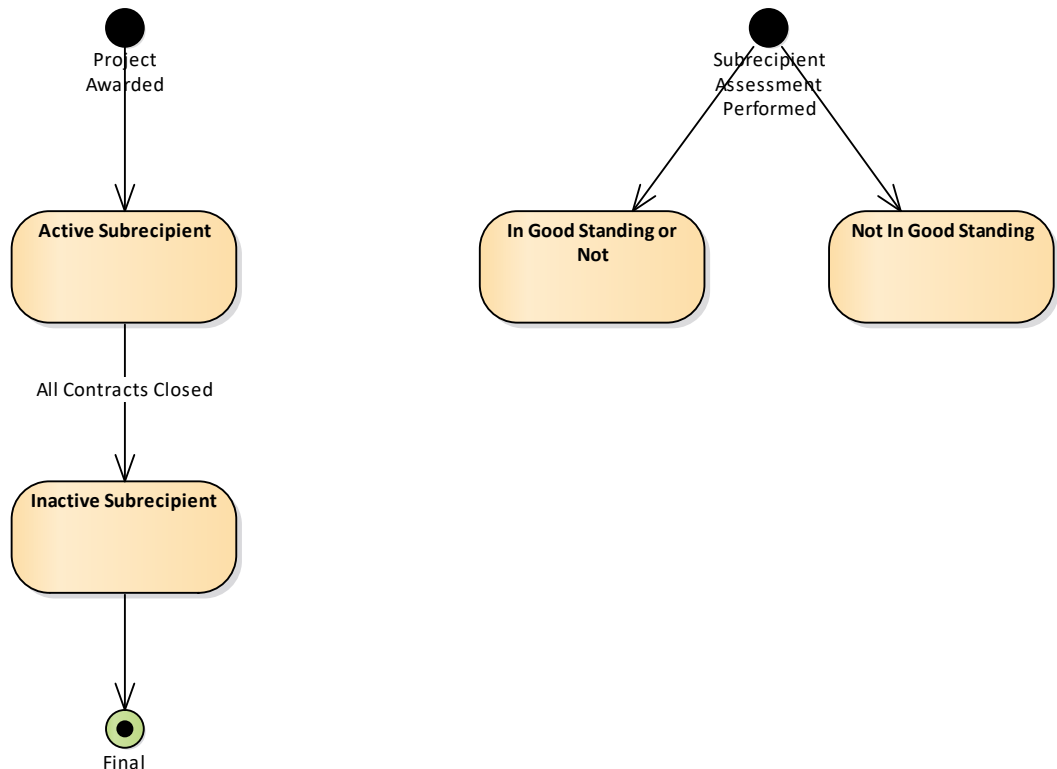
The system will provide a mechanism for PTD staff to hold invoice payments to any subrecipient that is not in good standing.

### GMS Requirements/Business Rules Associated with this Activity

- 1.12.5c Repossess Grant Funded Assets (Priority: High)**  
The system will provide a mechanism for PTD staff to mark grant funded assets as having been repossessed.
- 1.12.5d Risk Assessment Comments (Priority: Medium)**  
The system will provide a mechanism for PTD staff to add comments to a risk assessment.
- 1.12.5e Terminate Contract for Cause (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to mark a contract as terminated for cause.

### Subrecipient Status

Name: Subrecipient Status  
Package: PTD Grant Process Map  
Version: 7/19/2016  
Author: GMS Team



### 1.12.6: Subrecipient Audit Collections and Review

Description: PTD sends a reminder to all Subrecipients who received federal funds.

The subrecipients submit annual audit reports in compliance with OMB circular 2 CFR 200 (formerly A-133) or a schedule of federal financial assistance that evidences that they did not meet the single audit threshold. PTD collects subrecipient audit reports and reviews them for any findings. If findings exist we determine if the findings were related to PTD grants and documents the corrective action taken to resolve the findings. PTD may also provide subrecipients with guidance, track when the report was received and the status of actions required to resolve any findings.

Timing: After required audits have been performed by either the State Auditor's Office or an independent audit firm. This must occur within 9 months following the end of the subrecipient's fiscal year.

Participants: Subrecipient, BST Compliance Analyst, Community Liaisons

Rationale: Subrecipients receiving federal funds WSDOT must have an independent A133 audit performed if their total federal funds received by them during their fiscal year is greater than or equal to \$750K from all sources (WSDOT and others), and submit that form within 9 months of the end of their fiscal year.

Inputs: grant awards to subrecipients using federal funds, subrecipient audits, subrecipient fiscal year

Outputs: audit reports reviewed and follow up completed

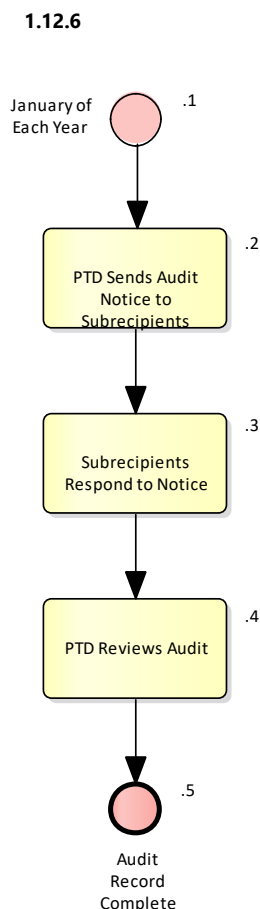
#### GMS Requirements/Business Rules Associated with this Activity

##### 1.12.6a Subrecipient Audit Collections and Review Workflow (Priority: Medium)

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

#### Subrecipient Audit Collections and Review

Name: Subrecipient Audit Collections and Review  
Package: PTD Grant Process Map  
Version: 3/28/2017  
Author: GMS Team



### 1.12.6.1: January of Each Year

### 1.12.6.2: PTD Sends Audit Notice to Subrecipients

Description: PTD notifies all subrecipients that received federal funds through PTD of the single audit requirements and the need to submit any required audits to PTD.

Timing: January of each year

Rationale: Subrecipients receiving federal funds through WSDOT must have an independent A133 audit performed if their total federal funds received by them during their fiscal year is greater than or equal to \$750K from all sources (WSDOT and others), and submit that form within 9 months of the end of their fiscal year.

Participants: BST Compliance Analyst

Inputs: grant awards to subrecipients using federal funds

Outputs: [audit reminder sent](#) to subrecipients

#### GMS Requirements/Business Rules Associated with this Activity

- 1.12.6.2a Compute Due Date for Audit Requirements Response (Priority: Medium)**  
The system will automatically compute and store the audit requirements response due date for each subrecipient based on their respective fiscal year.
- 1.12.6.2b Log Reminder Sent Date/Time (Priority: Medium)**  
Upon sending the reminder notice, the system will record the date and time the notice was sent.
- 1.12.6.2c Produce List of Subrecipients Receiving Federal Funds (Priority: Medium)**  
The system will provide a mechanism for PTD staff to generate a report listing all subrecipients who were paid using federal funds for any active or completed projects during the prior calendar year.
- 1.12.6.2d Send Single Audit Requirements Reminder (Priority: Medium)**  
The system will provide a mechanism for PTD staff to create and send a notification to federally funded subrecipients from last calendar year reminding them of the single audit requirements and the deadline for submitting the required documentation.

### 1.12.6.3: Subrecipients Respond to Notice

Description: The subrecipient either completes the audit requirement and submits the report to PTD or submits a statement that the total federal funds received by them fell below the Single Audit requirement.

Timing: Within 9 months following the end of each subrecipient's fiscal year.

Rationale: PTD is required to collect and review any required audits to demonstrate subrecipient compliance with the requirement.

Participants: subrecipient

Inputs: total federal funds received/expended by the subrecipient, completed single audit.

Outputs: [Audit report](#) or statement that they did not meet threshold sent to PTD (SEFA document uploaded)

#### GMS Requirements/Business Rules Associated with this Activity

- 1.12.6.3a Identify Whether Single Audit Requirement Was Met (Priority: Medium)**  
The system will provide a mechanism for subrecipients to identify whether or not they met the single audit requirement. If the single audit threshold was met, the system will provide a mechanism for subrecipients to identify whether or not there were any audit findings.
- 1.12.6.3b Provide Comments on Audit Findings (Priority: Medium)**  
The system will provide a mechanism for a subrecipient who had audit findings to provide comments on the actions taken to resolve the findings and the status of the findings.



#### 1.12.6.4: PTD Reviews Audit

Description: PTD Reviews the audit report to identify if there were any findings related to the subrecipients management of the federal funds received through WSDOT. If there were audit findings, PTD contacts the subrecipient to determine what corrective measures have been implemented, the status of the audit finding(s); and determine whether the findings warrant a special technical assistance visit or follow-up during the next site visit.

Timing: Following the submission of an audit report from a subrecipient

Participants: BST Compliance Analyst and the subrecipient

Rationale: Required by federal regulation

Inputs: Audit report

Outputs: report reviewed and any follow up action recorded

Notes: Depending on the nature of the finding, PTD may schedule a special on-site review and/or provide additional training to the subrecipient.

##### GMS Requirements/Business Rules Associated with this Activity

- 1.12.6.4a Mark as Review with/without Findings (Priority: Medium)**  
The system will provide a mechanism for PTD staff that are reviewing an audit report to mark the audit as either reviewed with no findings or reviewed with findings.
- 1.12.6.4b Respond to Information Request (Priority: Medium)**  
The system will provide a mechanism for the subrecipient to update the details provided earlier regarding corrective measures implemented (to date) and the status of the audit finding(s), if more information is requested by PTD.
- 1.12.6.4c Review Comments (Priority: Medium)**  
The system will provide a mechanism for PTD staff to review the comments input by the subrecipient for any audit findings and accept the comments or request additional details from the subrecipient.
- 1.12.6.4d Review Submitted Audit Report Or SEFA (Priority: Medium)**  
The system will provide a mechanism for PTD staff to review the audit report or SEFA submitted by the subrecipient.

#### 1.12.6.5: Audit Record Complete

### 1.12.7: Charter Bus Reporting

Description: Subrecipients report to PTD any charter bus services they provided (on a specialized form). The report includes the date the service was provided, the nature of the service/event, and their efforts to locate a private charter operator, and other specific details about the charter service provided.

Timing: Within 30 days of providing the charter service.

Rationale: Required by FTA regulation for all subrecipients who received FTA 5311 or 5339 funding.

Participants: Subrecipient and PTD Community Liaison Supervisor

Inputs: Details about the charter service, reporting instructions, and charter bus report form

Outputs: Charter Bus Report submitted

#### GMS Requirements/Business Rules Associated with this Activity

- |                |   |
|----------------|---|
| <b>1.12.7a</b> | <b>Act on submitted Charter Bus Report (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to review and either accept the report as submitted or return it to the subrecipient with comments for changes.  |
| <b>1.12.7b</b> | <b>Charter Report Form (Priority: Medium)</b><br>The system will provide a mechanism to house the Charter Bus Report form and give PTD staff the ability to modify the form as needed.  |
| <b>1.12.7c</b> | <b>Complete and submit Charter Bus Report (Priority: Medium)</b><br>The system will provide a mechanism for the subrecipient to complete and submit to PTD the Charter Bus Report form  |
| <b>1.12.7d</b> | <b>Extract Charter Bus Reports package (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to extract all reports submitted by subrecipients to PTD during a specific time range based on the date the service was provided.                      |
| <b>1.12.7e</b> | <b>List of Charter Bus Reports Received (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to generate a report that identifies all Charter Bus reports received by PTD during a specific time range based on the date the service was provided. |

### 1.13: Asset Management Processes

Description: PTD and the subrecipient manage assets purchased with grant funds and/or local funds. There are a variety of activities carried out to ensure compliance with federal and state requirements. Specific activities include: Maintenance of assets by the subrecipient, Asset and/or Vehicle Management Plans, maintaining an inventory of grant funded assets, subrecipient reporting on asset condition, and PTD reporting to the FTA and the Governor's Office.

Timing: Various - please read the timing for each activity in this section.

Participants: Transit agencies, capital grant subrecipients, BST staff, Asset Management staff

Rationale: Ensure assets are maintained in safe and useable condition, ensure ongoing continuing control over grant funded assets, Comply with FTA and State reporting requirements.

Inputs: Capital Grants, State and Federal Asset Management requirements, Federal and State reporting requirements,

Outputs: Assets Maintained and ongoing continuing control accomplished, and asset reports completed

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.13a Add/Change/Remove Data elements (Priority: High)**

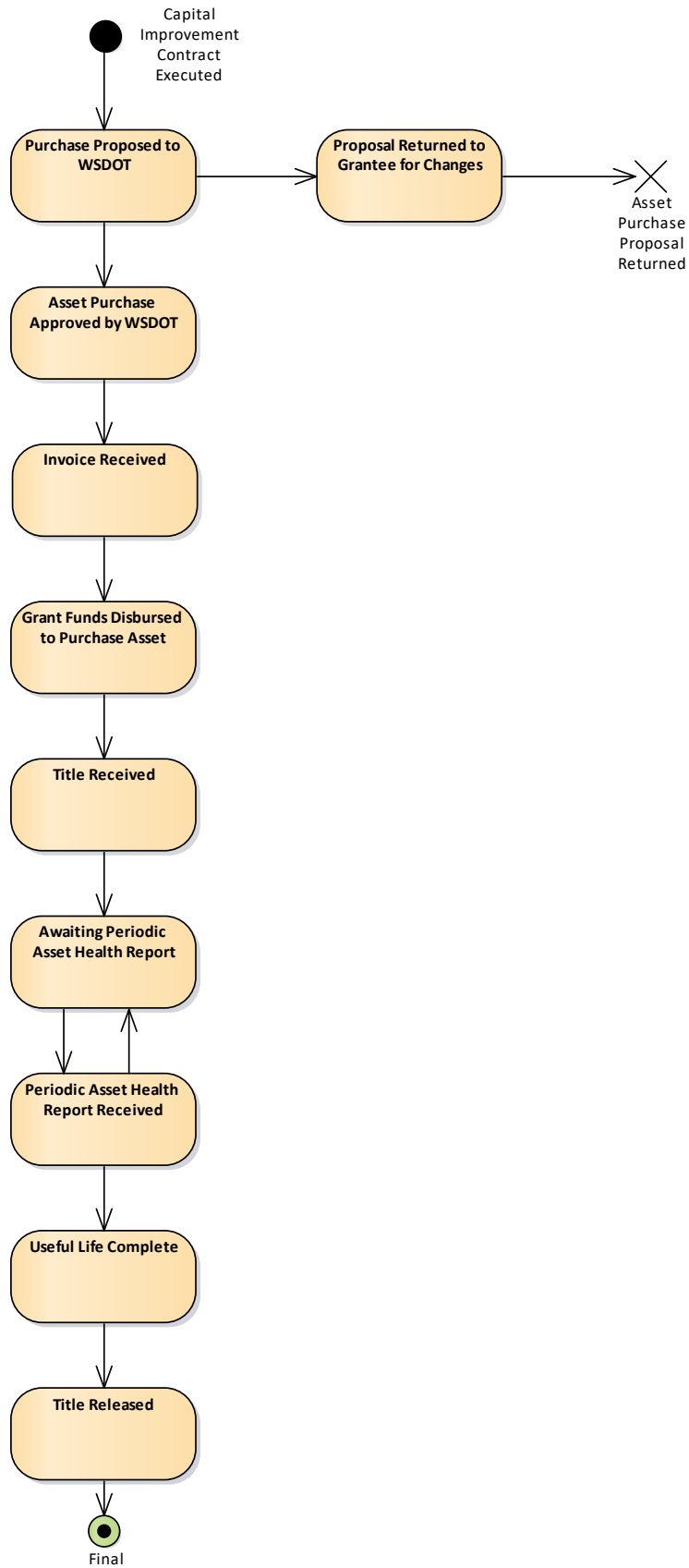
The system will provide a mechanism for PTD staff to add, change, or modify reporting requirements (i.e. be able to add new fields to capture new data points).

Rationale: Rules and regulations are added/updated regularly.

##### **1.13b Record and Track Asset Status (Priority: Medium)**

The system will provide a mechanism to store and track the status of a grant-funded asset with status as shown in the diagram named "Asset Status".

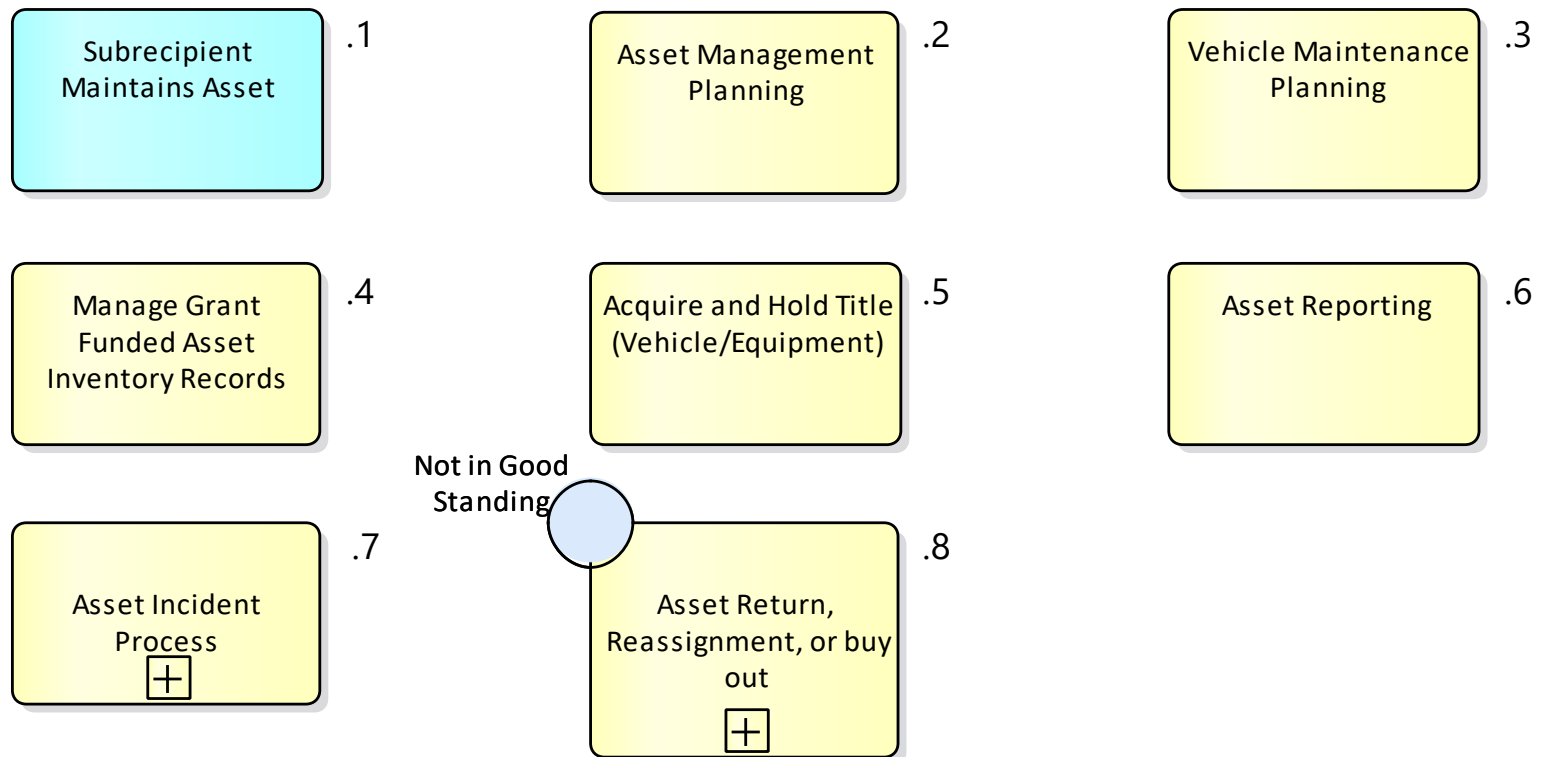
## Asset Status



## Asset Management Processes

Name: Asset Management Processes  
Package: PTD Grant Process Map  
Version: 4/3/2017  
Author: GMS Team

1.13



### **1.13.1: Subrecipient Maintains Asset (Out of Scope for GMS)**

Description: The subrecipient maintains their grant funded assets in accordance with their Asset Management Plan or their Vehicle Maintenance Plan.

Timing: Ongoing as defined by the subrecipient's AMP or VMP.

Participants: Subrecipient

Rationale: To ensure that assets remain functional throughout their useful life. All assets are subject to wear and tear.

Inputs: AMP, VMP and manufacturer's recommendations.

Outputs: Asset is maintained

### **1.13.2: Asset Management Planning**

Description: Subrecipients prepare and submit their plans to PTD for review and approval. New transit agencies must submit their initial plan prior to acquiring their first asset. PTD staff review the plan and either approve it or return it to the transit agency for changes. Every two years the transit agency must submit an updated plan and self certify that the update is consistent with the requirements or that they are still following the approved plan.

Timing: Prior to a new transit agency acquiring their first asset and updated every two years.

Participants: Asset Management staff and capital subrecipients.

Rationale: All Transit Agencies, as a condition of receiving state funds are required to have an Asset Management Plan covering all assets owned by the transit agency. Transit subrecipients receiving FTA funds must also comply with MAP-21 requirements, state law and FTA regulations to ensure assets are maintained according to lowest life cycle cost methodologies.

Inputs: State law-AMP requirements, FTA regulations, Initial plan submission from subrecipients, and self certification letters and/or updated plans.

Outputs: [Approved AMP's](#) or returned to transit agency for changes

Note: VMPs are different from AMPs. VMPs, with the exception of transit agencies, are required by WSDOT policy from all subrecipients who were awarded grants for vehicle purchases, and MAP-21 requirements for subrecipients receiving FTA funds. AMPs are required by state law for all transit agencies as a condition of receiving state funds, and for transit subrecipients receiving FTA funding.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.13.2a AMP Submittal Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report on submittals.

##### **1.13.2b Updated Plan/Self Certification Due (Priority: Medium)**

The system will provide PTD staff a mechanism to send a reminder notification to all transit agency subrecipients that their updated plans and/or self certifications are due.

### 1.13.3: Vehicle Maintenance Planning

Description: Subrecipients submit their initial plan prior to being reimbursed for their first grant-funded vehicle. PTD staff review the plan and either approve it or return it to the subrecipient for changes. Every two years the subrecipient must submit an updated plan and self certify that the update is consistent with grant requirements, or certify they are still following the approved plan.

Timing: Prior to the reimbursement to a new capital subrecipient and updated every two years for as long as PTD holds title to any vehicle used by the subrecipient.

Participants: Asset Management staff and capital subrecipients

Rationale: Subrecipients purchasing vehicles are required to have a Vehicle Maintenance Plan (VMP) as a condition of receiving federal or state grant funds. Required by PTD policy and FTA regulation (FTA subrecipients only) for subrecipients receiving capital grants for vehicles to ensure vehicles are properly maintained.

Inputs: VMP requirements, Initial plan submission from subrecipients, and self certification letters and/or updated plans.

Outputs: [Approved VMPs](#)

Note: VMP's are different from AMP's. VMPs are required by WSDOT policy for all subrecipients, except transit agencies, who were awarded grants for vehicle purchases, and MAP-21 requirements for subrecipients receiving FTA funds. AMPs are required by state law for all transit agencies as a condition of receiving state funds and for transit subrecipients receiving FTA funding.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.13.3a VMP Submittal Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report listing the status of submittals of VMPs and Certifications, noting where they are missing or late as well as present.

##### **1.13.3b VMP/Self Certifications Notification (Priority: Medium)**

The system will provide a mechanism for PTD staff to send a reminder notification to all transit agency subrecipients that updated plans and/or self certifications are due.

#### 1.13.4: Manage Grant Funded Asset Inventory Records

Description: PTD records and maintains data on grant funded assets. In the case of vehicles, PTD holds title to the vehicles for a specified time period based on the type and size of the vehicle. Assets are inspected during subrecipient site visits. FTA reviews the inventories during State Management Reviews. Subrecipients are required to submit asset management and asset condition reports.

Timing: Ongoing

Rationale: FTA requirements and state policy dictate that PTD maintains ongoing continuing control of all grant-funded assets.

Participants: Subrecipients, PTD Safety and Asset Management Specialist, PTD Compliance Analyst, Community Liaisons

Inputs: State and federal regulations, state and federal grant sources, subrecipient asset procurement data, vehicle titles.

Outputs: [Inventory containing all grant funded assets](#)

##### GMS Requirements/Business Rules Associated with this Activity

- 1.13.4a Add and Report on New Asset Fields (Priority: High)**  
The system will provide a mechanism for PTD staff to add additional fields to track MAP-21 requirements that are under development by FTA and/or future changes to state reporting requirements.
- 1.13.4b Asset Added to Managed Inventory (Priority: Mandatory)**  
Upon approval of an invoice by the BST Manager, the system will add a grant-funded asset to the managed inventory for each grant-funded asset present on the invoice.
- 1.13.4c Asset Tied to Its Funding Sources (Priority: Mandatory)**  
The system will tie each grant-funded asset to its funding sources, the federal grant number (if any), and subrecipient contract number.
- 1.13.4d Assets Collected During Invoicing (Priority: Mandatory)**  
The system will provide a mechanism for subrecipients to enter and store purchased asset information during the invoicing process.  
  
Note that it isn't officially a grant funded asset until approved by the BST Manager.
- 1.13.4e Grant-Funded Asset Status Report for Subrecipients (Priority: Medium)**  
The system will provide a mechanism for subrecipients to generate a report of the status of all grant-funded assets.
- 1.13.4f Subrecipient Asset Titles Held Funding Source Report (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to generate a report on all assets, where titles are still held, for each funding source, sorted by subrecipient.
- 1.13.4g Subrecipient Asset Titles Held Report (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to generate a report, for each subrecipient, on all assets where PTD still retains title.
- 1.13.4h Subrecipient Released Assets Report (Priority: High)**  
The system will provide a mechanism for PTD staff to generate a report of all assets where titles have been released to the subrecipient, for each funding source, sorted by subrecipient and date of release.
- 1.13.4i Unstructured Subrecipient Asset Data (Priority: Medium)**  
The system will provide a mechanism for PTD staff to store unstructured attachments containing information regarding the subrecipient's assets (such as .xlsx, .pdf, .docx, etc.) in support of changing federal or state requirements.



### 1.13.5: Acquire and Hold Title (Vehicle/Equipment)

Description: WSDOT holds title on all grant-funded assets until the asset has reached its useful life. PTD receives the title for each of the vehicle assets directly from the Washington State Department of Licensing provided that it has been properly licensed with WSDOT as legal owner. Once the useful life of an asset is completed, WSDOT releases interest (and title) of the asset to the subrecipient.

Timing: Receipt: following the purchase of a grant funded asset. Release: upon completion of useful life.

Participants: Capital subrecipients, Community Liaison, BST staff, Asset Management staff.

Rationale: To retain ongoing continuing control of the grant funded asset throughout its defined useful life.

Inputs: Asset data, related agreement number, new agreement or add to an existing agreement of the receiving agency, date of transfer, asset release date criteria.

Outputs: Held or released title

Notes: WSDOT may release interest early in the event of vehicle damage or subrecipient buys out WSDOT's grant share.

#### GMS Requirements/Business Rules Associated with this Activity

- |                |   |
|----------------|---|
| <b>1.13.5a</b> | <b>Awaiting Title Report (Priority: High)</b><br>The system will provide a mechanism for PTD staff to generate a list of assets awaiting receipt of the title.  |
| <b>1.13.5b</b> | <b>Reason for Title Release (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to record the reason for the title release.   |
| <b>1.13.5c</b> | <b>Title Estimated Release Date (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to record and store the estimated release date for each asset purchased with grant funds.  |
| <b>1.13.5d</b> | <b>Title Received Date (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to record the date the title was received for a particular grant funded vehicle or equipment.  |
| <b>1.13.5e</b> | <b>Title Released Date (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to record the date the asset was released.  |
| <b>1.13.5f</b> | <b>Titles Due to be Released Report (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to generate a report, covering a specified date range, that identifies all assets that are due to be released, based on the estimated title release date recorded in the system, sorted by subrecipient. |

### 1.13.6: Asset Reporting

Description: Subrecipients submit reports regarding the condition of each asset owned, whether or not grant funded. Reports include:

- Annual Asset Condition Reports
- FTA MAP-21 Report

Timing: Annually by subrecipients, usually in late spring.

Participants: Subrecipients, PTD Asset management staff

Rationale: Needed as part WSDOT's process to ensure ongoing continuing control of grant funded assets. Ensure compliance with State asset management laws and FTA regulations under MAP-21.

Inputs: Asset Inventory, Asset conditions, Reporting criteria, FTA reporting requirements

Outputs: [Asset condition report](#)

Notes: New reporting rules are being implemented to comply with MAP-21-Transit Asset Management (TAM) and State of Good Repair. This field sees new and evolving tracking and reporting criteria regularly.

#### GMS Requirements/Business Rules Associated with this Activity

- |                |   |
|----------------|---|
| <b>1.13.6a</b> | <b>Act on Uploaded Transportation System Asset Reports (Priority: Medium)</b><br>The system will provide a mechanism for the Safety and Asset Management Specialist to review and either accept uploaded asset related reports or return them to the submitter with comments for changes. |
| <b>1.13.6b</b> | <b>Merge Reports From a Subrecipient (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to generate reports summarizing all subrecipient reports into a single document as needed to satisfy FTA and/or state reporting requirements.                            |
| <b>1.13.6c</b> | <b>Odometer Reading (Priority: Medium)</b><br>The system will provide a warning message to the subrecipient when entering an Odometer reading that is less than the odometer reading currently in the system.   |
| <b>1.13.6d</b> | <b>Store and Update MAP-21 data for all Grant Funded Assets (Priority: High)</b><br>The system will provide a mechanism for subrecipients to report and update odometer readings, vehicle condition, and other data required by MAP-21 for all grant funded assets.                       |
| <b>1.13.6e</b> | <b>Upload Reports on All Transportation System Assets (Priority: Medium)</b><br>The system will provide a mechanism for subrecipients to upload asset reports containing data on all their transportation system assets and as required under MAP-21.                                     |

### 1.13.7: Asset Incident Process

Description: On occasion, grant-funded assets are involved in an incident, such as a collision, and sustains damage. Subrecipients repair the damage and return the asset to service. In the event that the damage results in a total loss of the asset, the subrecipients report the incident and intended course of action to PTD.

Timing: Following an incident involving a grant-funded asset

Rationale: Subrecipients are required to ensure assets remain in a state of good repair throughout its useful life. PTD retains legal ownership of grant funded assets and is required to track and monitor those assets.

Participants: Subrecipients and PTD's Safety and Asset Management Coordinator

Inputs: Asset Records, Incident reports, and subrecipient insurance policy.

Outputs: Incidents reported; asset repaired, asset replaced, or insurance proceeds received by PTD.

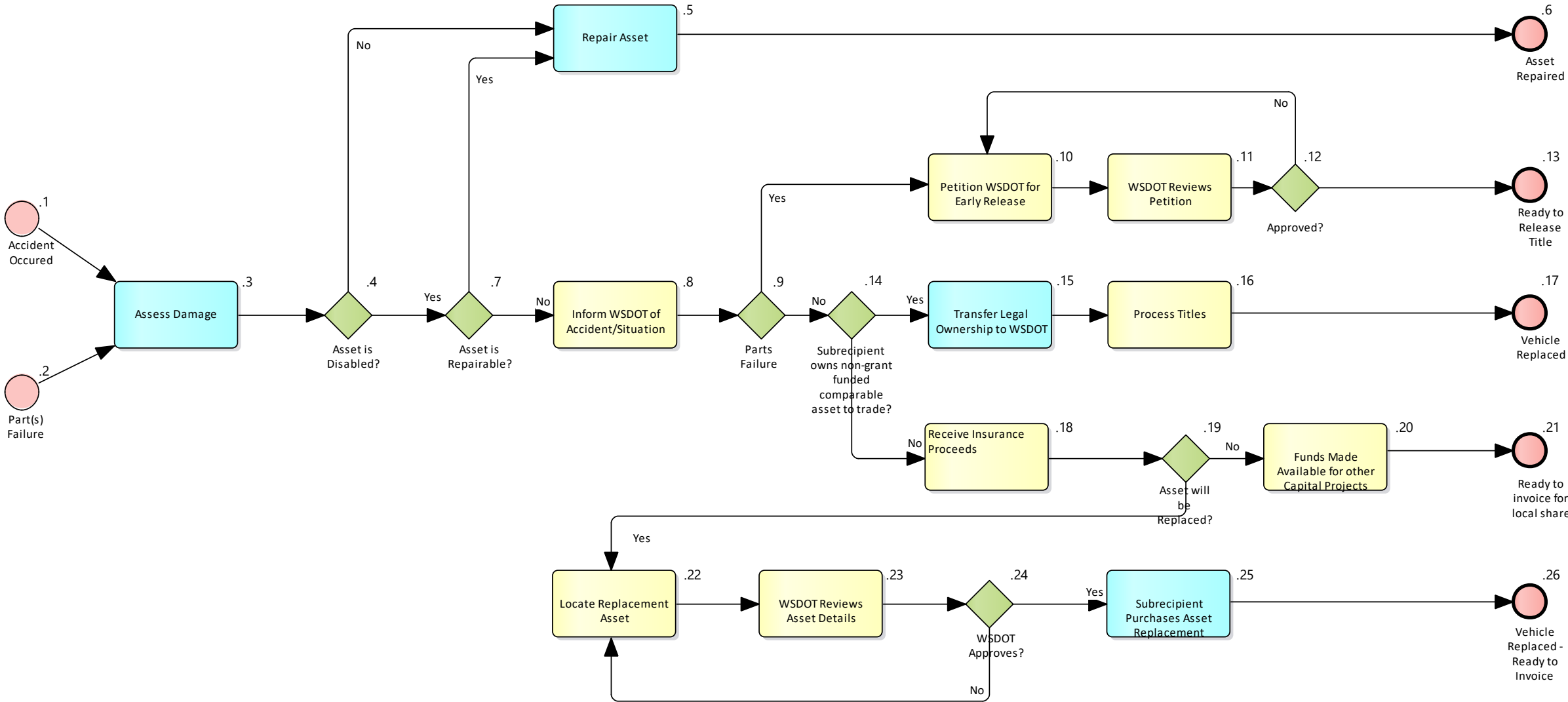
Notes:

#### **GMS Requirements/Business Rules Associated with this Activity**

- |                |   |
|----------------|---|
| <b>1.13.7a</b> | <b>Implement Asset Incident Process Workflow (Priority: Medium)</b><br>The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams. |
|----------------|---|

Asset Incident Process

Name: Asset Incident Process  
Package: PTD Grant Process Map  
Version: 6/6/2017  
Author: GMS Team



#### **1.13.7.1: Accident Occurred**

The asset (almost always a vehicle) was involved in an accident

#### **1.13.7.2: Part(s) Failure**

#### **1.13.7.3: Assess Damage (Out of Scope for GMS)**

Description: The subrecipient and/or their insurance carrier assess the damage to the grant funded asset

Timing: Following an incident with a grant funded asset

Rationale: To determine the cause of the incident and whether to repair the asset or declare it as a total loss

Participants: Subrecipient and their insurance carrier

Inputs: Incident report, maintenance records, cost to repair, value of asset

Outputs: Determination of incident cause and decision to repair, replace, or dispose of the asset.

#### **1.13.7.4: Asset is Disabled?**

#### **1.13.7.5: Repair Asset (Out of Scope for GMS)**

Description: The subrecipient repairs the grant funded asset

Timing: following the damage assessment

Rationale: Repairs are required to return the asset it to service

Participants: Subrecipient

Inputs: damage assessment

Outputs: asset repaired

#### **1.13.7.6: Asset Repaired**

#### **1.13.7.7: Asset is Repairable?**

#### **1.13.7.8: Inform WSDOT of Accident/Situation**

Description: The subrecipient notifies PTD that a grant-funded asset was involved in an incident and has been declared a total loss

Timing: Following the damage assessment with a determination that the asset was a total loss.

Rationale: To inform PTD of the incident and the subrecipient's intended course of action

Participants: Subrecipient

Inputs: Incident report, accident report (collisions), identification of the asset involved

Outputs: Incident reported to PTD

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.13.7.8a Associate Incident with specific asset (Priority: Medium)**

The system will provide a mechanism for subrecipients to associate the incident with a specific grant-funded asset.

##### **1.13.7.8b Report Asset Incident (Priority: Medium)**

The system will provide a mechanism for subrecipients to report an incident involving a grant-funded asset.

#### **1.13.7.9: Parts Failure**

#### **1.13.7.10: Petition WSDOT for Early Release**

Description: The subrecipient petitions PTD for the release of legal ownership prior to the normal useful life of the asset.

Timing: Following the determination that parts needed to repair the asset are no longer available.

Rationale: Technologies for low emission or hybrid fuel vehicles are rapidly changing. Some of the parts associated with earlier technologies are now obsolete and not available on the marketplace.

Participants: Subrecipient

Inputs: Damage assessment identifying parts failure as cause, availability of parts

Outputs: Petition for early release submitted to PTD

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.13.7.10a Early Release Request (Priority: Medium)**

The system will provide a mechanism for subrecipients to submit a request for early release of a specific asset to PTD.

#### **1.13.7.11: WSDOT Reviews Petition**

Description: PTD reviews the petition for early release and either concurs with the request or returns the request to the subrecipient with comments for additional supporting documentation.

Timing: Following receipt of a petition for early release.

Rationale: In the case of vehicles, PTD retains legal ownership. Subrecipients cannot dispose of the vehicle without PTD's release of title.

Participants: PTD's Safety and Asset Management Coordinator

Inputs: Subrecipient's petition for early release and supporting documentation

Outputs: PTD issues concurrence or returns the request to the subrecipient for additional documentation

#### **1.13.7.12: Approved?**

#### **1.13.7.13: Ready to Release Title**

#### **1.13.7.14: Subrecipient owns non-grant funded comparable asset to trade?**

#### **1.13.7.15: Transfer Legal Ownership to WSDOT (Out of Scope for GMS)**

Description: The subrecipient transfers legal ownership of a non-grant-funded asset that is equivalent to the original asset damaged in the incident.

Timing: Following the decision to trade the damaged grant-funded asset with an asset purchased with solely local funds

Rationale: To compensate PTD for the grant share in lieu of remitting insurance proceeds

Participants: Subrecipient

Inputs: year, make, model, and mileage for both the damaged vehicle and the vehicle used as replacement.

Outputs: Legal ownership of replacement vehicle transferred to PTD.

#### 1.13.7.16: Process Titles

Description: PTD receives the title of the replacement vehicle and records it in the inventory. PTD then releases legal ownership of the damaged vehicle.

Timing: Following the transfer of legal ownership of the replacement vehicle to PTD

Rationale: To record the exchange of assets and allow the subrecipient to dispose of the damaged asset

Participants: PTD Safety and Asset Management Coordinator

Inputs: Title for both vehicles

Outputs: New title recorded and old title released

##### GMS Requirements/Business Rules Associated with this Activity

- 1.13.7.16a Record Replacement Vehicle (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to record the title of the replacement vehicle and associate it with the original grant award.
- 1.13.7.16b Record title release of replaced asset (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to record the release of the title of a replaced asset.

#### 1.13.7.17: Vehicle Replaced

#### 1.13.7.18: Receive Insurance Proceeds

Description: PTD receives the insurance proceeds for the totaled asset and places the funds in a holding account

Timing: Following the report to PTD of the incident

Rationale: PTD is the loss payee for grant-funded assets

Participants: Subrecipient and PTD Safety & Asset Management Coordinator

Inputs: Insurance Proceeds

Outputs: Funds received placed in holding account

Notes: The funds may be received directly from the insurance company or from the subrecipient.

##### GMS Requirements/Business Rules Associated with this Activity

- 1.13.7.18a Reason for Release (Priority: High)**  
The system will provide a mechanism for PTD staff to record the reason a title was released.
- 1.13.7.18b Record Insurance Proceeds (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to record the receipt of insurance proceeds (funds) and associate the funds with a specific asset, subrecipient contract and project.
- 1.13.7.18c Title Released date (Priority: Mandatory)**  
The system will provide a mechanism for PTD to record the date the asset was released.

#### 1.13.7.19: Asset will be Replaced?

#### **1.13.7.20: Funds Made Available for other Capital Projects**

Description: PTD records the federal grant share, if any, of the insurance proceeds as available for award to other capital projects and records the local share of the insurance proceeds as payable to the subrecipient.

Timing: Following notification from the subrecipient that the asset will not be replaced.

Rationale: FTA allows states to retain the federal share of funds received through insurance proceeds for use on other capital program costs

Participants: PTD staff

Inputs: the funding sources used for the original purchase and the proportional share of federal, state, and local funds.

Outputs: Federal funding made available for other projects, state funds returned to the state treasurer, and identification of amount due to the subrecipient

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.13.7.20a Record federal share of insurance proceeds. (Priority: Mandatory)**

The system will provide a mechanism for PTD to record the federal share of insurance proceeds as available.

Rationale: funds must be made available to award to other capital projects.

#### **1.13.7.20b Record Local Share of Insurance Proceeds (Priority: Mandatory)**

The system will provide a mechanism for PTD to record the local share of the insurance proceeds as payable to the subrecipient.

#### **1.13.7.21: Ready to invoice for local share**

#### **1.13.7.22: Locate Replacement Asset**

Description: The subrecipient locates a vehicle available for sale that is similar to the totaled vehicle and submits the documentation to PTD along with a request for approval of the vehicle as a replacement.

Timing: Following the decision to replace the totaled vehicle.

Rationale: The vehicle used to replace a grant-funded asset must be similar to the original grant-funded vehicle in age, size, mileage, and condition.

Participants: Subrecipient

Inputs: Details of the original grant-funded asset and the proposed asset to be purchased

Outputs: Request submitted to PTD along with the supporting documentation

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.13.7.22a Submit Request for Vehicle Replacement Concurrence (Priority: Medium)**

The system will provide a mechanism for subrecipients to submit a request for PTD's concurrence on the proposed vehicle replacement along with supporting documentation



#### **1.13.7.23: WSDOT Reviews Asset Details**

Description: PTD reviews the request for concurrence on the choice of replacement asset along with the supporting documentation and either concurs with the request or returns it to the subrecipient with comments

Timing: Following the receipt of the request for concurrence

Rationale: To ensure the asset to be purchased is comparable to the asset that was totaled

Participants: PTD's Safety & Asset Management Coordinator

Inputs: Details of the asset totaled and those of the asset to be purchased as a replacement along with supporting documentation

Outputs: Concurrence issued by PTD or returned to the subrecipient with comments

#### **1.13.7.24: WSDOT Approves?**

#### **1.13.7.25: Subrecipient Purchases Asset Replacement (Out of Scope for GMS)**

Description: The subrecipient purchases the replacement asset and records PTD as the legal owner

Timing: Following PTD's concurrence with the asset to be purchased

Rationale: The asset is being replaced, PTD is listed as legal owner to ensure oversight of grant funded assets

Participants: The subrecipient

Inputs: asset for sale

Outputs: asset purchased

#### **1.13.7.26: Vehicle Replaced - Ready to Invoice**

#### **1.13.8: Asset Return, Reassignment, or buy out**

Description: Occasionally, grant funded vehicles are returned to PTD. This occurs when a subrecipient discontinues service or falls out of good standing. When this happens, PTD staff begin the process to recover and re-assign the asset to another eligible subrecipient. On rare occasions this may involve repossession of the asset. Alternately, a subrecipient may elect to buy out the remainder of the grant share of an asset at any time.

Timing: Following one of the following:

- Notification that the subrecipient desires to return an asset
- PTD finds the subrecipient to be not in good standing
- Subrecipient notifies PTD of their desire to buy out the remaining grant share

Rationale: PTD is responsible for ongoing continuing control of the asset(s). Ensure compliance with FTA and state asset management requirements

Participants: PTD Community Liaison, Safety and Asset Management Coordinator, subrecipient

Inputs: Funding used to purchase the asset, in good standing status of subrecipient, asset procurement details, fair market valuation, identification of other eligible subrecipients

Outputs: Grant share bought out by subrecipient or vehicles re-assigned to other eligible subrecipient.

#### **GMS Requirements/Business Rules Associated with this Activity**

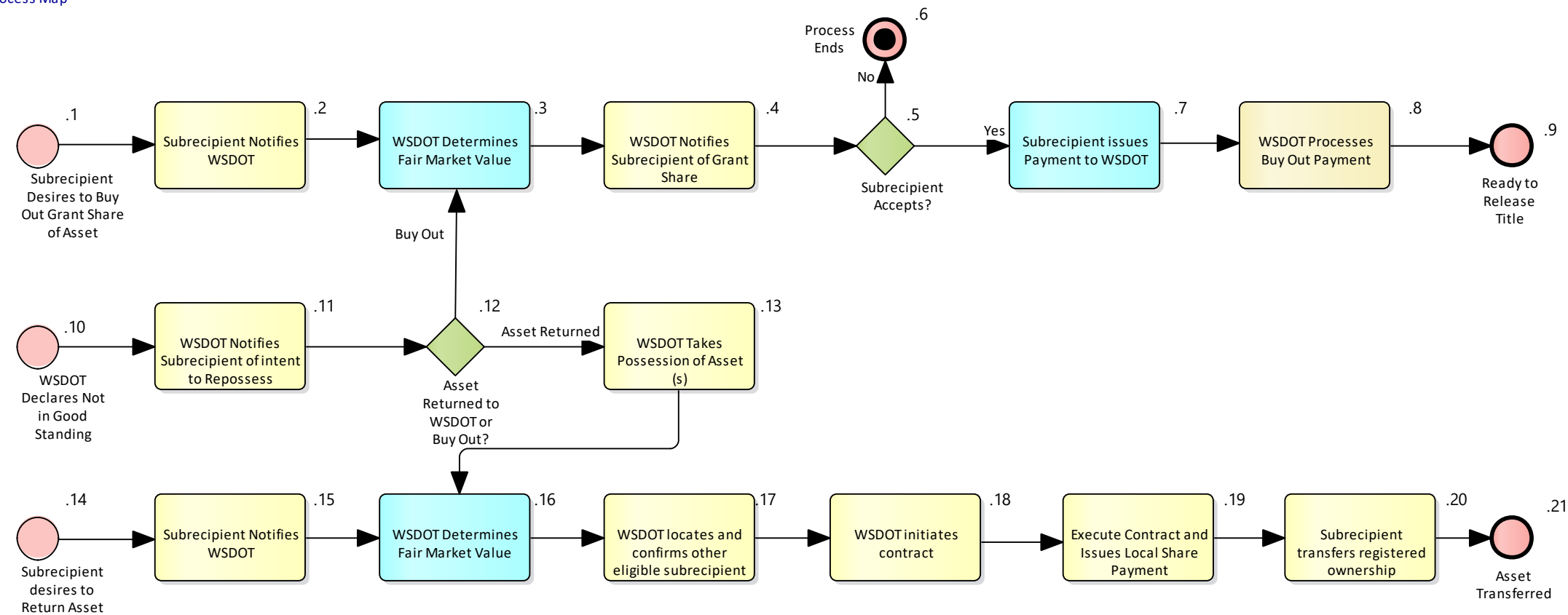
##### **1.13.8a Implement Asset Return, Reassignment and Buy Out Workflows (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagram.

Asset Return, Reassignment, or Buy-out

Name: Asset Return, Reassignment, or Buy-out  
Package: PTD Grant Process Map  
Version: 6/8/17  
Author: GMS Team

1.13.8



#### **1.13.8.1: Subrecipient Desires to Buy Out Grant Share of Asset**

#### **1.13.8.2: Subrecipient Notifies WSDOT**

Description: The subrecipient notifies PTD that they desire to buy out the grant share of an asset.

Timing: Following the subrecipient's decision to buy out the grant share

Rationale: Subrecipients may "buy out" the remaining grant share of an asset at any time.

Participants: Subrecipient

Inputs: Subrecipient service needs

Outputs: Request submitted to PTD

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.13.8.2a Associate Request with Asset(s) (Priority: Medium)**

The system will provide a mechanism for subrecipients to associate their buy out request with a specific asset(s).

##### **1.13.8.2b Association Required (Priority: Medium)**

The system will require the subrecipient to associate the buy out request with one or more specific assets.

##### **1.13.8.2c Submit Request to Buy Out (Priority: Medium)**

The system will provide a mechanism for subrecipients to submit a request to buy out the remaining grant balance of a grant funded asset.

#### **1.13.8.3: WSDOT Determines Fair Market Value (Out of Scope for GMS)**

Description: PTD conducts performs market research to determine the fair market value of the grant-funded asset

Timing: following the notification from the subrecipient that desires to buy out the remaining grant share of an asset

Rationale: the fair market value is used as a baseline to determine the dollar value of the remaining grant share

Participants: PTD's Safety and Asset Management Coordinator

Inputs: Vehicle year, make, model, and mileage; and comparable vehicles available for sale on the open market

Outputs: Fair market value determined

#### **1.13.8.4: WSDOT Notifies Subrecipient of Grant Share**

Description: PTD notifies the subrecipient of the current fair market value of the asset and the dollar value of the remaining grant share

Timing: Following completion of the fair market valuation

Rationale: Needed for the subrecipient to issue payment for the grant share

Participants: PTD's Safety & Asset Management Specialist

Inputs: Proportionate grant share of the original purchase

Outputs: Subrecipient notified of remaining grant share

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.13.8.4a Notify Subrecipient of Buy Out Amount (Priority: Medium)**

The system will provide a mechanism for PTD staff to notify the subrecipient of the funds required to buy out the grant requested funded asset(s).

#### **1.13.8.4b Record Asset Fair Market Value (Priority: Medium)**

The system will provide a mechanism for PTD staff to record the fair market valuation for each of the requested asset(s).

#### **1.13.8.4c Record remaining Grant Share (Priority: Medium)**

The system will provide a mechanism for PTD staff to record the dollar value of the remaining grant share needed for a buy out.

#### **1.13.8.5: Subrecipient Accepts?**

#### **1.13.8.6: Process Ends**

#### **1.13.8.7: Subrecipient issues Payment to WSDOT (Out of Scope for GMS)**

Description: The subrecipient issues payment to PTD for the remaining grant share of the asset(s)

Timing: Following acceptance of the fair market value

Rationale: To complete the buy out process

Participants: Subrecipient and PTD staff

Inputs: Dollar value of remaining grant share of the asset.

Outputs: PTD receives the funds to complete the buy out

#### **1.13.8.8: WSDOT Processes Buy Out Payment**

Description: PTD staff receives payment for the remaining grant share of the asset(s), records the amount received, and delivers the check to WSDOT's cashier's office.

Timing: Upon receipt of buy-out payment from subrecipient

Rationale: To complete the buy out process

Participants: PTD staff

Inputs: Check from subrecipient.

Outputs: Payment recorded and check delivered to cashier's office

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.13.8.8a Make Federal Funds Available (Priority: Medium)**

When federal funds were used in the original asset purchase, the system will provide a mechanism for PTD staff to make the federal portion of the funds received available for award to other capital projects.

#### **1.13.8.8b Record Buy-Out Check Received (Priority: Medium)**

The system will provide a mechanism for PTD staff to record the received check amount and date in the system.

#### **1.13.8.9: Ready to Release Title**

#### **1.13.8.10: WSDOT Declares Not in Good Standing**

#### **1.13.8.11: WSDOT Notifies Subrecipient of intent to Repossess**

Description: PTD notifies a subrecipient that they are no longer In Good Standing and that they intend to repossess the grant-funded asset(s) due to non-compliance with the terms and conditions of the grant award. The notice may also include an option for the subrecipient to buy out any remaining grant share in the asset(s).

Timing: Following the subrecipient found to be not in good standing and their apparent refusal to come into compliance with the terms and conditions of the grant award

Rationale: Subrecipients must use the grant-funded assets for the original intended purpose. All grant sources have specific requirements, whether federal or state. If a subrecipient does not comply with those requirements, PTD may initiate repossession.

Participants: PTD

Inputs: Documentation identifying the areas of non-compliance and PTD's effort to work with the subrecipient to bring them into compliance.

Outputs: Notification of repossession sent

Notes: This is a very rare occurrence. Repossession is only initiated when all efforts to attain compliance have failed. The notification will also be sent via certified mail.

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.13.8.11a Indicate Compliance (Priority: Medium)**

The system will provide a mechanism for the subrecipient to indicate their compliance with the repossession or request to buy-out the remaining grant share.

#### **1.13.8.11b Notify Subrecipient CEO (Priority: Medium)**

The system will provide a mechanism for PTD staff to create a notification to the subrecipient's CEO.

#### **1.13.8.12: Asset Returned to WSDOT or Buy Out?**

#### **1.13.8.13: WSDOT Takes Possession of Asset(s)**

Description: PTD takes physical possession of the assets and moves them to at WSDOT facility for storage until they can be reassigned to other subrecipients.

Timing: Following notification of intent to repossess and either concurrence from the subrecipient or failure by the subrecipient to respond to the notice.

Rationale: To safeguard the grant-funded asset and to make the asset available to other subrecipients

Participants: PTD staff and their agents, if any

Inputs: Notice of intent to repossess, identification of assets to be repossessed

Outputs: Assets secured at WSDOT facility

Notes: Depending on the circumstances, local law enforcement may be asked to accompany PTD staff during the repossession process.

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.13.8.13a Record Date of Repossession (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to record the date of repossession.

#### **1.13.8.13b Repossession Comments (Priority: High)**

The system will provide a mechanism for PTD staff to make comments about the repossession process in the subrecipient's profile.

#### **1.13.8.14: Subrecipient desires to Return Asset**

#### **1.13.8.15: Subrecipient Notifies WSDOT**

Description: The subrecipient notifies PTD that the assets purchased under one or more grant awards are no longer needed, and they would like to return the assets to PTD.

Timing: Following the subrecipient's decision to return the asset(s)

Rationale: A subrecipient's service may not warrant retention of one or more of the grant-funded assets.

Subrecipients are encouraged to return assets rather than allow the asset to be dormant, or risk non-compliance with minimum service thresholds.

Participants: Subrecipient staff

Inputs: Subrecipient's needs

Outputs: Request to return assets to PTD

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.13.8.15a Associate Request with Specific Asset (Priority: Medium)**

The system will provide a mechanism for subrecipients to associate the asset return request with specific grant-funded assets.

##### **1.13.8.15b Submit Asset Return Request (Priority: Medium)**

The system will provide a mechanism for subrecipients to submit a request to return asset(s) to PTD.

#### **1.13.8.16: WSDOT Determines Fair Market Value (Out of Scope for GMS)**

See 1.13.8.3

#### **1.13.8.17: WSDOT locates and confirms other eligible subrecipient**

Description: PTD contacts other eligible service providers willing and able to take possession of the returned assets.

Timing: Following notification from the subrecipient that they desire to return assets to PTD

Rationale: To ensure assets continue to be used for services to the public and the assets are re-granted to providers eligible for the funding source used during the original purchase

Participants: PTD staff, service providers eligible for the funding used to purchase the vehicles

Inputs: Asset description, funding sources, funding eligibility criteria.

Outputs: Eligible service providers identified

Notes: In identifying another service provider PTD first looks in the service area of the subrecipient and those who provide service to the same general clientele (special needs, general public, etc).

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.13.8.17a Assets Available for Reassignment Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report that includes the assets available for reassignment.

##### **1.13.8.17b Identify Nearby Subrecipients (Priority: Low)**

The system will provide a mechanism for PTD staff to identify other subrecipients in the same geographic area of the subrecipient returning the assets.

##### **1.13.8.17c Transfer Asset Ownership (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to assign one or more assets to another subrecipient.

#### **1.13.8.18: WSDOT initiates contract**

Description: PTD initiates a new subrecipient grant agreement or an amendment to an existing subrecipient grant agreement and forwards it to the subrecipient accepting the reassigned asset(s), along with any required certifications and assurances.

Timing: Following identification of the receiving subrecipient(s)

Rationale: Ensure the receiving subrecipient is bound to the terms and conditions applicable to the funding source(s) used for the purchase of the asset(s)

Participants: PTD's Contracts Specialist

Inputs: Funding source requirements associated with the assets, fair market value of the asset(s), dollar value of the grant share and the local share

Outputs: Contract sent to subrecipient

#### **1.13.8.19: Execute Contract and Issues Local Share Payment**

Description: The receiving subrecipient signs the subrecipient grant contract and forwards it to PTD along with any required certifications and a check made payable to the original subrecipient for the local share. PTD makes a copy of the check and forwards it, along with the vehicle title(s) to the original subrecipient for signature.

Timing: Following receipt of the subrecipient grant agreement

Rationale: To bind the receiving subrecipient to the terms and conditions of the grant award, document local match is met

Participants: Receiving subrecipient, PTD's Contracts Specialist and the Safety and Asset Management Coordinator

Inputs: Signed contract, vehicle title(s), and check payable to the subrecipient.

Outputs:

Notes: The title signature is to release registered ownership. WSDOT does not sign the title during this process.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.13.8.19a Record Contract Signature Date (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to record signature of the contract in the system.

##### **1.13.8.19b Upload Signed Contract (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to upload the signed contract and associate it with the new subrecipient.

#### 1.13.8.20: Subrecipient transfers registered ownership

Description: The subrecipient transfers registered ownership of the asset(s). PTD records the receipt of the revised title from the Department of Licensing

Timing: Following release of registered ownership by the original subrecipient

Rationale: Required to transfer operational control and ensure WSDOT maintains ongoing legal ownership of the asset.

Participants: Subrecipient

Inputs: Vehicle title signed by the original subrecipient

Outputs: Registered ownership of the asset transferred.

##### GMS Requirements/Business Rules Associated with this Activity

#### **1.13.8.20a Record Receipt of Revised Title (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to record receipt of the revised title, upload a copy of the title, and associate the uploaded copy with the appropriate asset.

#### **1.13.8.20b Upload Vehicle Registration Copy (Priority: High)**

The system will provide a mechanism for the subrecipient to upload a copy of the new vehicle registration and associate it with the applicable asset.

#### 1.13.8.21: Asset Transferred

### 1.14: Close Project

Description: Following the completion of a project and payment of the final billing to the subrecipient, PTD closes the project. The charge codes used for the project are closed in WSDOT's systems to prevent further charges. The remaining funds (if any) are returned to the funding program and made available for award to other projects if allowed.

Timing: When the CL and/or BST has processed the final invoice and approved the final QPR.

Participants: BST staff, CL, subrecipients

Rationale: To document the completion of a project, ensure no additional charges are made, and to make any remaining funds available to award to other projects.

Inputs: Final invoice and QPR.

Outputs: Closed project

Notes: If there are multiple projects and only one project is complete, PTD needs to close the work order group.

##### GMS Requirements/Business Rules Associated with this Activity

#### **1.14a Early Closure Warning (Priority: Medium)**

The system will provide a warning when PTD staff attempt to close a project where a final invoice or QPR has not been received.

Note that PTD staff will still be able to close a project even if the final QPR has not been received.

#### **1.14b Manually Close Project (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to manually close a project.

#### **1.14c Return Unspent Funds (Priority: High)**

Upon project closure, the system will automatically return any remaining funds to the funding program for possible re-allocation.



### 1.15: Close Contract in WSDOT's Accounting System (Out of Scope for GMS)

Description: Notify TRAINS (WSDOT's accounting system) that the agreement is completed so no further payments can be processed.

Timing: When all projects are closed (i.e. all payments made or project term has elapsed) on a contract

Participants: Accounting Office, BST group (Transportation Planner)

Rationale: To prevent future payments and update WSDOT's accounting system.

Inputs: All Project Status for the contract.

Outputs: Contract closed in TRAINS.

### 1.16: Close Contract in GMS

Description: PTD closes the contract in GMS to indicate that there are no further oversight activities required. Where operating and mobility management contracts are concerned, once the last project on an agreement is closed, the contract can be closed. Capital contracts remain open until all assets purchased under the contract have been released to the subrecipient. However, Regional Mobility projects remain open for a minimum of four years beyond the completion of a project.

Timing: Following the expiration of the contract term and final payment has been made for operating, mobility management, and planning projects. Following release of all assets purchased under the agreement.

Participants: CL, BST Staff, subrecipient

Rationale: To release the subrecipient from the terms and conditions of a contract and to terminate any reporting and oversight requirements.

Inputs: Status of project assets for capital contracts. For all others, the project term and funding balance.

Outputs: Contract closed in GMS.

#### GMS Requirements/Business Rules Associated with this Activity

- |              |  |
|--------------|--|
| <b>1.16a</b> | <b>Automatic Contract Closure (Priority: Low)</b><br>The system will automatically close a contract once all restrictions have been addressed.   |
| <b>1.16b</b> | <b>Manual Contract Closure (Priority: Mandatory)</b><br>The system will provide a mechanism for PTD staff to manually close a contract.  |
| <b>1.16c</b> | <b>Restrict Contract Closure (Priority: Medium)</b><br>The system will provide a mechanism to restrict a contract from being closed by any method until all of the following conditions have been met:<br>For Regional Mobility Grants (RMG): <ul style="list-style-type: none"><li>• Final payment has been made to the subrecipient</li><li>• All assets purchased under the contract have been released to the subrecipient</li><li>• The Subrecipient's final annual report has been approved by PTD (reporting is required for four years following completion of a project).</li></ul> For Operating, Mobility Management, and Planning (except RMG): <ul style="list-style-type: none"><li>• Expiration of the contract term</li><li>• Final payment is made to the subrecipient</li><li>• Final QPR is approved</li></ul> For Capital (except RMG): <ul style="list-style-type: none"><li>• Final Payment is made to the subrecipient</li><li>• All assets purchased under the contract have been released to the subrecipient</li></ul> |

### 1.17: Administrative Functions

Description: PTD performs a variety of administrative functions that don't fit in the normal work flow of any single grant or contract. This includes activities such as User set up, funds management, federal reporting, and other administrative activities.

Timing: Ongoing

Participants: PTD Staff and Subrecipients

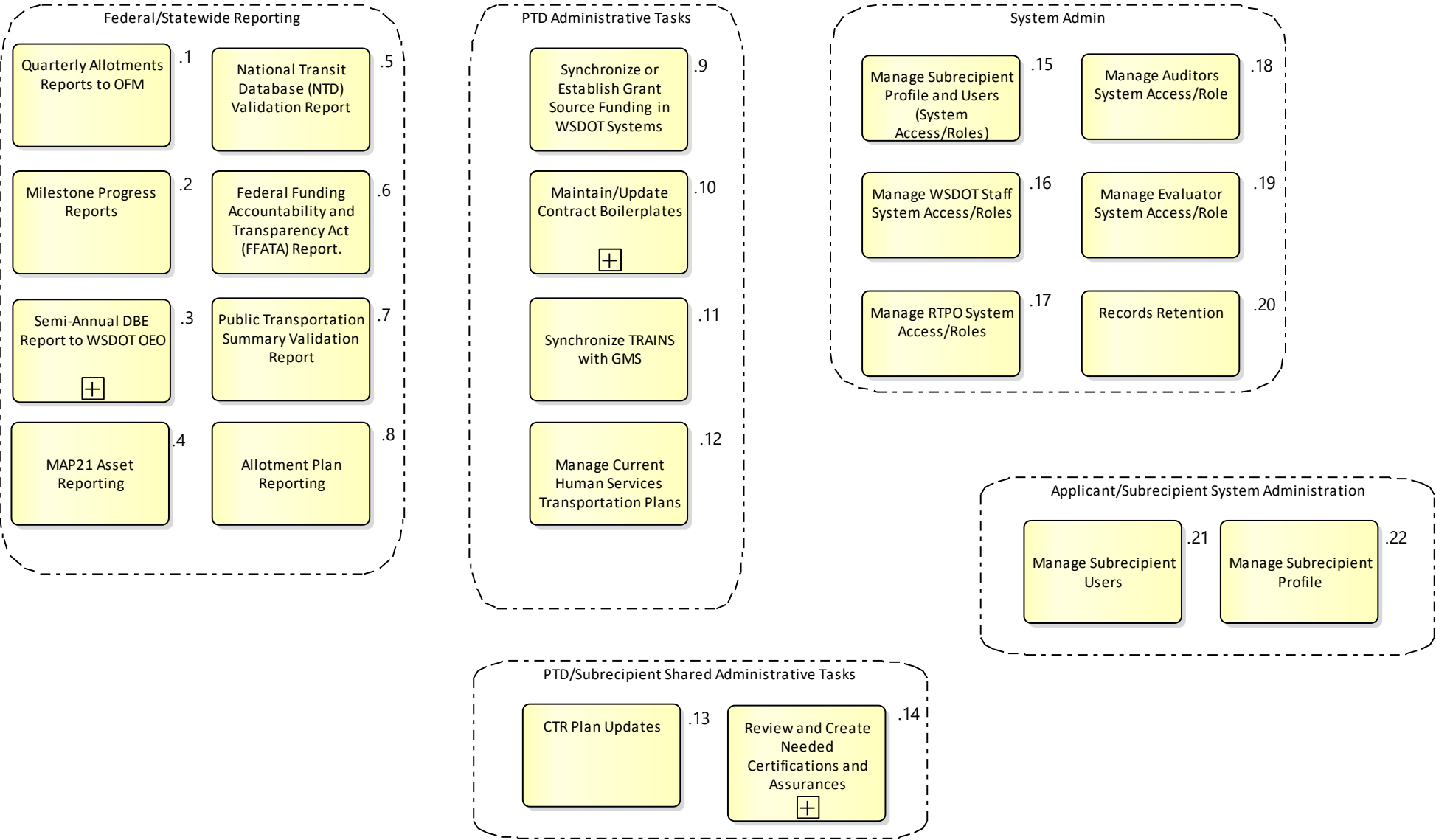
Rationale: To enable PTD to properly administer grant funding sources and prepare federal and state required reports.

Inputs: Multiple, see details below

Outputs: Administrative functions performed

Administrative Functions

Name: Administrative Functions 1.17  
Package: PTD Grant Process Map  
Version: 4/3/2017  
Author: GMS Team



### 1.17.1: Quarterly Allotments Reports to OFM

Description: As part of the state budget and reporting process PTD develops a two year spending plan that estimates when expenditures will be made, including subrecipient reimbursements. PTD reports to the State Office of Financial Management (OFM) quarterly to make adjustments to the allotments and explain any variances in spending during the prior period.

Timing: Just prior to the start of a new biennium and ongoing quarterly throughout the state fiscal cycle.

Participants: BST Manager, BST Budget & Systems Analyst, BST Planner

Rationale: Required by law to enable OFM to forecast state expenditures and funds availability

Inputs: State Budget and WSDOT expenditure reports

Outputs: Allotment reports

Notes: We will need the state budget "sub program" recorded with each grant fund source.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.17.1a Spending Patterns By Funding Source Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report that summarizes the spending pattern by funding source and subrecipient for operating and mobility management projects during a specified time period.

##### **1.17.1b Subrecipient Actual Expenditures Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report by funding source and subrecipient of actual expenditures during a specified time period for all projects.

##### **1.17.1c Subrecipient Milestone and Project Balances Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report for capital projects that are not yet complete that identifies subrecipient milestones and project balances.

### 1.17.2: Milestone Progress Reports

Description: PTD prepares annual and quarterly statistical and narrative reports on Milestones and project accomplishments/status for FTA on federal grants and WSDOT executives for all subrecipient grant projects.

Timing: Reports are submitted quarterly to WSDOT executive staff and, depending on the federal funding program, either quarterly or annually to FTA.

Participants: Community Liaisons, BST Budget & Systems Analyst, BST Planner.

Rationale: to comply with federal reporting requirements and to inform decision makers on program activity.

Inputs: quarterly reports submitted by subrecipients, federal reporting requirements, state reporting requirements

Outputs: Milestone/Progress report for each federal award to FTA. Milestone/Progress Report on all grant-funded projects to Executive Staff

Notes: Subrecipients will input narrative and statistical information (see the Project Management section (1.10) for more details).

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.17.2a Federal Grant Subrecipient Milestones Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report, covering specified date ranges, for each federal grant, that includes the milestone data for each subrecipient.

##### **1.17.2b Subrecipient Open Project Narrative Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report, covering specified date ranges, that include the narrative reports submitted by subrecipients for each open project.

### 1.17.3: Semi-Annual DBE Report to WSDOT OEO

Description: PTD compiles a semi-annual report of purchases made from Disadvantaged Business Enterprises using FTA funds. The data includes all WSDOT expenditures using FTA funds and the dollar value of DBE purchases made by both subrecipients and WSDOT.

Timing: In November and May of each year

Participants: BST Compliance Analyst and WSDOT Office of Equal Opportunity (OEO)

Rationale: Required as a condition of receiving federal funds

Inputs: Subrecipient DBE reports, TRAINS reports showing all federal expenditures, data regarding PTD purchases made using DBE vendors

Outputs: Semi-annual DBE report

#### GMS Requirements/Business Rules Associated with this Activity

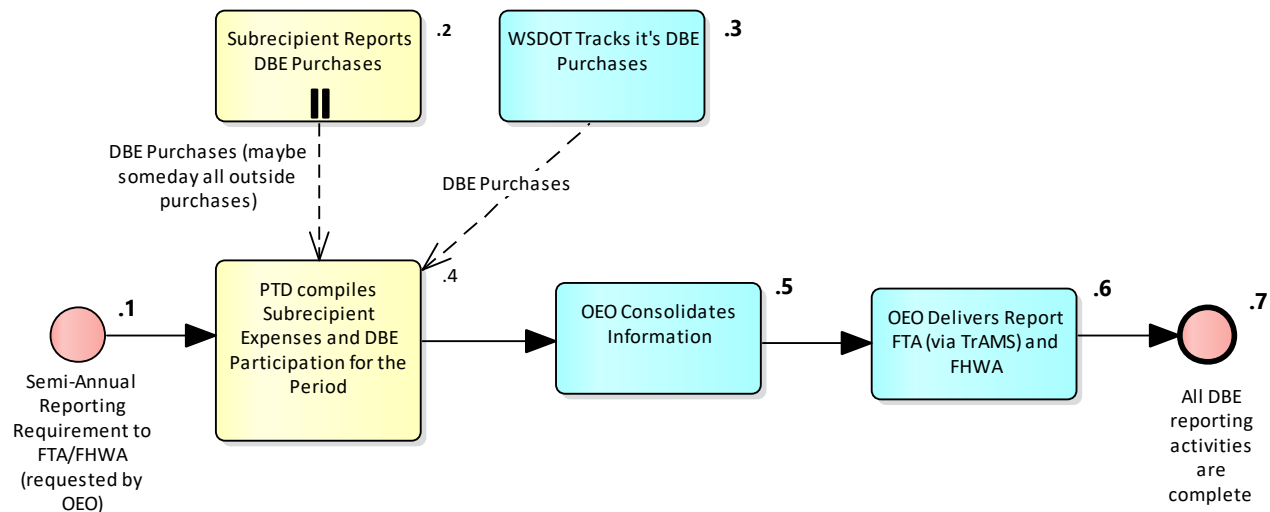
##### 1.17.3a Semi-Annual DBE Report (Priority: Medium)

The system will provide a mechanism for PTD staff to compile a report showing DBE purchases made by each subrecipient during the six month reporting period.

#### Semi-Annual DBE Report to WSDOT OEO

Name: Semi-Annual DBE Report to WSDOT OEO  
Package: PTD Grant Process Map  
Version: 4/3/2017  
Author: GMS Team

1.17.3



#### 1.17.3.1: Semi-Annual Reporting Requirement to FTA/FHWA (requested by OEO)

OEO requests DBE reporting data at the beginning of October and April each year for the semi-annual DBE report to USDOT for each subdivision.

### **1.17.3.2: Subrecipient Reports DBE Purchases**

Description: Subrecipients who receive FTA funds submit reports on expenditures made using federal funds, the number of Disadvantaged Business Enterprises (DBEs) utilized, the dollar value paid to the DBEs, and good faith/outreach efforts made to locate DBEs .

Timing: Quarterly

Rationale: Information needed to compile the semiannual report to FTA on DBE participation

Participants: Subrecipients

Inputs: total expenditures by subrecipient, number of DBEs used, and the dollar value paid to DBEs

Outputs: completed subrecipient DBE report

Notes: Capital vehicle subrecipients must also report upon award to a Transit Vehicle Manufacturer (TVM). This report is a new FTA requirement.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.17.3.2a DBE Report Data Entry (Priority: Mandatory)**

The system will provide a mechanism for subrecipients to enter quarterly DBE reports.

### **1.17.3.3: WSDOT Tracks it's DBE Purchases (Out of Scope for GMS)**

Description: PTD staff track purchases made from DBE vendors and good faith efforts made to locate and purchase from DBEs

Timing: Ongoing

Rationale: To provide data needed for the semi-annual DBE report for FTA.

Participants: All PTD staff involved in purchasing goods and/or services

Inputs: Purchases made, dollar value spent with DBEs, good faith efforts

Outputs: Data available for DBE report

### **1.17.3.4: PTD compiles Subrecipient Expenses and DBE Participation for the Period**

Description: PTD compiles a consolidated report on all expenditures and all DBE reporting data submitted by the subrecipients during a six month report period. That information is combined with PTD direct purchases to complete the report.

Timing: semi-annually based on the federal fiscal year. Reports are due to FTA in May and November each year.

Rationale: Required as a condition of receiving FTA funding

Participants: Business Services Staff

Inputs: The DBE tab of the quarterly statistical reports; DBE purchases made by PTD staff, Total expenditures by subrecipients

Outputs: Semi-annual DBE Report

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.17.3.4a Subrecipient DBE Purchases Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report detailing the DBE purchasing activities on all federally funded projects (excluding vehicle projects) during a specified six month reporting period sorted by subrecipient.

#### **1.17.3.5: OEO Consolidates Information (Out of Scope for GMS)**

Description: OEO compiles a DBE report for WSDOT that combines PTD data with the data from other WSDOT divisions

Timing: May and November of each year

Rationale: Required as a condition of receiving USDOT funding.

Participants: WSDOT Office of Equal Opportunity (OEO)

Inputs: DBE reports from divisions

Outputs: A completed agency wide DBE report

#### **1.17.3.6: OEO Delivers Report FTA (via TrAMS) and FHWA (Out of Scope for GMS)**

Description: OEO submits the semi-annual DBE report to FTA in TrAMS and other USDOT administrations as necessary.

Timing: May and November of each year

Rationale: Required as a condition of receiving federal funds

Participants: OEO

Inputs: Completed DBE report

Outputs: Report submitted to FTA

#### **1.17.3.7: All DBE reporting activities are complete**

OEO has submitted the semi-annual DBE report to FTA

#### **1.17.4: MAP21 Asset Reporting**

Description: PTD prepares a statewide asset inventory report containing specific data on all of the assets held by subrecipients in the state, whether or not grant-funded, and submits it to FTA .

Timing: Annually based on FTA requirements.

Participants: Asset Management Staff, PTD Data & Evaluation

Rationale: To comply with federal grant requirements and to generate annual reports to the legislature.

Inputs: Subrecipient Asset Reports submitted December/January of each year.

Outputs: MAP21 Asset Report submitted to FTA

Notes: FTA is still developing specific reporting requirements.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.17.4a Add Asset Data Entry and Reporting Fields Ad-hoc (Priority: Medium)**

The system will provide a mechanism for PTD staff to add data fields for data entry and reporting of subrecipient assets, when needed, based on updated FTA requirements.

##### **1.17.4b MAP-21 Asset Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report that contains the data submitted by each subrecipient, during the subrecipient asset reporting process, into a single asset report for all subrecipients. The report will be sorted by subrecipient and asset type.

### 1.17.5: National Transit Database (NTD) Validation Report

Description: PTD validates the data submitted by subrecipients under the FTA 5311 program in the National Transit Database (NTD) by reviewing the grant expenditures compared to the data submitted in NTD by the subrecipient. Additionally, the NTD inventories vehicles used by the subrecipients, and it would be desirable to be able to cross-reference reported vehicles with the fleet information contained within the GMS.

Timing: NTD reporting is performed annually starting mid-January and continues through August.

Participants: PTD Data Evaluation Team and BST staff

Rationale: To validate data submitted by subrecipients in FTA's NTD system.

Inputs: Subrecipient project invoices, funding types, and project types

Outputs: Subrecipient validation data

Notes: NTD reporting is handled in a separate system that is managed by FTA.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.17.5a Asset Inventory Report (Priority: Medium)**

The system will provide a mechanism for the PTD data evaluation team to review and export the asset inventory reports submitted by each subrecipient.

##### **1.17.5b NTD Validation Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate reports for each subrecipient with projects that were open during the reporting period using FTA 5311 funds that details the grant funds invoiced to PTD, sorted by project type and funding source during a specified billing period (operating and mobility management) and acceptance date (Capital).

### 1.17.6: Federal Funding Accountability and Transparency Act (FFATA) Report.

Description: PTD submits a FFATA report, using the FFATA subaward reporting system (FSRS), that identifies all new subrecipient awards and the associated federal grant.

Timing: within 90 days of FTA executing a grant award with PTD

Participants: BST Planner

Rationale: Required as a condition of receiving federal funds

Inputs: Federal Grant Identification number (FAIN), subrecipient data including:

- Subrecipient name
- Subrecipient DUNS #
- Award amount
- Project description
- Zip code for project location
- Congressional district of project

Outputs: [FFATA report](#) ready for submission in the FSRS

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.17.6a FFATA Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report on each open federal grant that details each subrecipient award under the specific federal grant.



### 1.17.7: Public Transportation Summary Validation Report

Description: PTD validates grant related data submitted by transit agencies as part of the annual Public Transportation Summary compared to the grant funds paid to them by PTD.

Timing: Begins in June of each year and is completed by October of the same year.

Participants: BST Staff and PTD Data Evaluation Team

Rationale: To ensure the accuracy of the data submitted for The Summary of Public Transportation

Inputs: Grant funds paid to the subrecipient, data from subrecipients including expenditures, funding, miles traveled, and ridership.

Outputs: Subrecipient grant data validated.

Notes: The Summary of Public Transportation reporting is an annual requirement under state law. The reports are submitted to PTD using a separate system.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.17.7a Public Transportation Summary Validation Report (Priority: Medium)**

The system will provide a mechanism for PTD staff to generate a report for each subrecipient detailing all grant funds paid to them during a specified date range sorted by the funding source and project type.

### 1.17.8: Allotment Plan Reporting

Description: PTD staff report the timing of planned expenditures to WSDOT's Budget Office and OFM.

Timing: At the beginning of each state fiscal year and adjusted quarterly as needed

Rationale: The spending plan is required by the budget office and OFM.

Participants: PTD Business Manager, WSDOT's Budget Office, and OFM

Inputs: Aging plans submitted by subrecipients.

Outputs: subrecipient portion of the PTD spending plan.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.17.8a Generate Allotment Plan by Project (Priority: Medium)**

The system will have a mechanism for PTD staff to generate a report summarizing all actual and planned expenditures by project for a specific time range based on the date paid.

### 1.17.9: Synchronize or Establish Grant Source Funding in WSDOT Systems

Description: PTD updates and/or establishes the grant source funding in TRAINS and the Grants Management System

Timing: As soon as funding amounts are known (new funds), following reconciliation of federal grants, or following notification of increased funding from the state legislature.

Participants: BST Planner, BST Compliance Analyst (system administrator)

Rationale: To enable assignment of funds to projects and ensure consistency between FTA and WSDOT systems.

Inputs: State budget, Federal apportionments, grant reconciliations

Outputs: Grant source funding Synchronized in GMS and TRAINS

Notes: For more details, see 1.1.13

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.17.9a Adjust Funding (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to make any adjustments to current grant source funding as deemed necessary.

##### **1.17.9b Establish Funding (Priority: Mandatory)**

The system will provide a mechanism for PTD staff to establish new grant sources and funding.

**GMS Requirements/Business Rules Associated with this Activity**

- 1.17.9c      Funding Source Attributes (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to associate each funding source with the State Biennium (state funding sources), the FAIN number, apportionment year (federal funding sources), appropriation code, subprogram code, and object code.
- 1.17.9d      Modify Charge Codes for Funding Sources (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to modify the charge codes associated with a funding source when necessary.
- 1.17.9e      Modify Dollars Assigned (Priority: Mandatory)**  
The system will provide a mechanism for the BST Planner to modify the dollar amounts assigned to each charge code and funding sources.

**1.17.10: Maintain/Update Contract Boilerplates**

Description: All PTD boilerplates are used to draft all PTD's grant programs for each type of project.

Timing: every two years (Before each biennium starts)

Participants: Contract Specialist, Assistant Attorney General

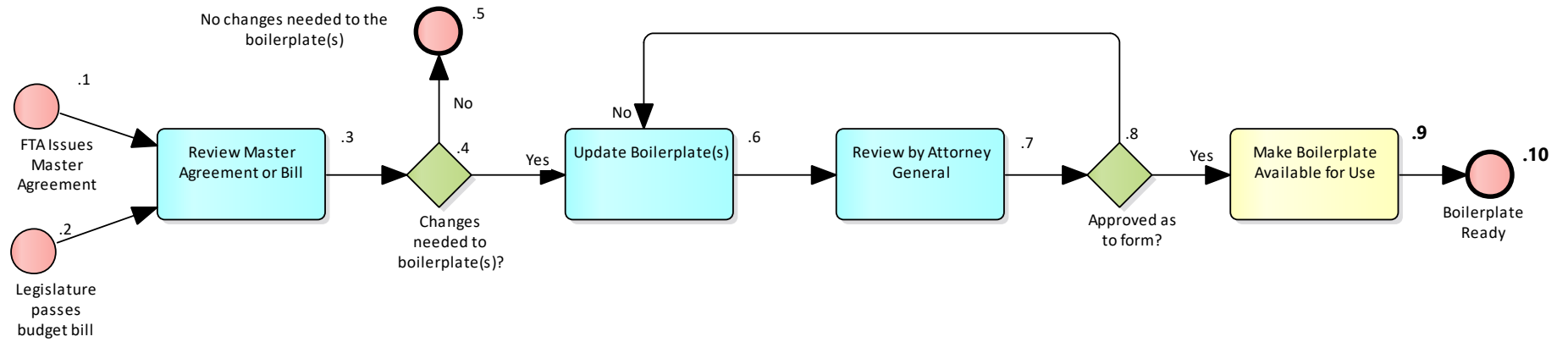
Rationale: to ensure compliance with the law and to provide proper authority/appropriation and authorization to spend federal and state funds.

Inputs: FTA Master Agreement, OMB Circulars, Budget Bills

Outputs: A well-constructed agreement that has no ambiguous language and clarifies the roles and responsibilities of the parties involved in the agreement.

## Maintain/Update Contract Boilerplates

Name: Maintain/Update Contract Boilerplates 1.17.9  
Package: PTD Grant Process Map  
Version: 9/12/2016  
Author: Brown/Savary



#### **1.17.10.1: FTA Issues Master Agreement**

FTA published the new Federal Master Agreement applicable to all FTA funding.

#### **1.17.10.2: Legislature passes budget bill**

Both the House and Senate have passed the transportation budget and it has been forwarded to the Governor for review/signature.

#### **1.17.10.3: Review Master Agreement or Bill (Out of Scope for GMS)**

Description: PTD reviews the FTA Master Agreement and any new state legislation to identify if any changes are needed to the boilerplates for the subrecipient agreements. If there are changes needed in the boilerplate it requires AAG review and approval.

Timing: October-November before the biennium starts for the master agreement and March-April for the State bill

Participants: Contract Specialist

Rationale: the updates/changes must be incorporated in PTD boilerplates because it provides information, guidance, rules, and/or background information on legislative or procedural matters.

Inputs: FTA-Federal Master Agreement, State Legislation

Outputs: Documents reviewed and changes to boilerplates identified

#### **1.17.10.4: Changes needed to boilerplate(s)?**

Are there any changes needed to the boilerplate(s)?

#### **1.17.10.5: No changes needed to the boilerplate(s)**

BST Contracts Analyst determined that the current boilerplate language is still appropriate.

#### **1.17.10.6: Update Boilerplate(s) (Out of Scope for GMS)**

Description: PTD updates the contract boilerplates to ensure inclusion of all the required FTA and state clauses in the contracts, and to create a form that can be used for grant agreements. Once each boilerplate is updated it is sent to the Assistant Attorney General (AAG) for review and approval.

Timing: Following review of the Master Agreement and new state legislation

Participants: Contract Specialist

Rationale: ensure inclusion of all the required FTA and state clauses in the boilerplates and we are in compliance.

Inputs: all FTA and State required clauses and language.

Outputs: An updated boilerplate sent to the AAG for review and approval.

#### **1.17.10.7: Review by Attorney General (Out of Scope for GMS)**

Description: The AAG reviews all the revisions and updates made in the boilerplate and either approves the revised boilerplate to form or sends it back to PTD for corrections.

Timing: Once the Contract Specialist finishes incorporating the changes into the boilerplate.

Participants: AAG

Rationale: The AAG review makes sure we are in compliance with the law and provides clarity and no ambiguous language.

Inputs: Updated boilerplates and other documents requested by AAG

Outputs: Boilerplate approved as to form or requested changes

#### **1.17.10.8: Approved as to form?**

Did the AAG approve the boilerplate?

#### **1.17.10.9: Make Boilerplate Available for Use**

Description: PTD makes the boilerplates available for use in in the contracting process. The electronic versions are be saved under the Agreements folder and the hard copy will be saved in the cabinet.

Timing: Following the approval as to form by the AAG

Participants: Contract Specialist

Rationale: Needed for the preparation of contracts.

Inputs: Approved boilerplates

Outputs: Available for contracting

##### **GMS Requirements/Business Rules Associated with this Activity**

- 1.17.10.9a Associate Clause with Funding Source and Project Type (Priority: Medium)**  
The system will provide a mechanism for PTD staff to identify the applicability of each contract clause based on the funding sources used and the project type.
- 1.17.10.9b Contract Clauses (Priority: Medium)**  
The system will house all contract clauses.
- 1.17.10.9c Update/Manage Contract Clauses (Priority: Medium)**  
The system will provide a mechanism for PTD staff to update each independent contract clause as needed following the approval by the AAG.

#### **1.17.10.10: Boilerplate Ready**

All changes have been incorporated and the AAG has approved the boilerplate for contracting.

#### **1.17.11: Synchronize TRAINS with GMS**

Description: Business Services staff compares the financial data in the system with the financial data in TRAINS for each subrecipient grant. When discrepancies are identified Business Services staff make the necessary corrections in the appropriate system.

Timing: Annually as part of the grant reconciliation process

Participants: Business Services Planner, Business Services Grants Analyst

Rationale: To ensure that the data in both systems is accurate

Inputs: Financial data and transactions for the subrecipient grants in both TRAINS and the Grants Management System

Outputs: GMS and TRAINS reconciled

##### **GMS Requirements/Business Rules Associated with this Activity**

- 1.17.11a Apply TRAINS Transactions (Priority: Medium)**  
The system will provide a mechanism for PTD staff to associate transactions received from WSDOT's accounting system (TRAINS) with the contract, project, funding source and/or asset.
- 1.17.11b Receive transactions not sourced by GMS (Priority: Medium)**  
The system will provide a mechanism for PTD staff to import financial transactions from WSDOT's accounting system that were not sourced from by the Grants Management System.
- 1.17.11c Reject TRAINS Transaction (Priority: Medium)**  
The system will provide a mechanism for PTD staff to reject a financial transaction that was incorrectly applied to PTD's grant activities.

### 1.17.12: Manage Current Human Services Transportation Plans

Description: PTD collects Human Services Transportation Plans (HSTPs) from each RTPO. The plans identify the public transportation needs in their geographic area

Timing: Every two years prior to awarding grants under the Consolidated Grant Program

Participants: RTPOs, San Juan County, and the Project Delivery team.

Rationale: HSTPs provide validation that the subrecipient's project(s) are needed in within a geographic region. PTD is required by FTA to collect and review the plans prior to awarding 5310 funding.

Inputs: [HSTPs](#) received from each RTPO

Outputs: HSTPs made available for viewing in GMS

Notes: PTD extends the FTA requirement to all funding awarded under the Consolidated Grant Program.

#### GMS Requirements/Business Rules Associated with this Activity

- |                 |   |
|-----------------|---|
| <b>1.17.12a</b> | <b>Publish HSTP(s) (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to publish each current RTPO HSTP for viewing by any GMS user.   |
| <b>1.17.12b</b> | <b>Upload Human Services Transportation Plan(s) (HSTP) (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to upload a copy of each RTPO's HSTP, associating the document with a single RTPO. |
| <b>1.17.12c</b> | <b>View Published HSTPs (Priority: Medium)</b><br>The system will provide a mechanism for any GMS user to view all published HSTPs.   |

### 1.17.13: CTR Plan Updates

Description: Subrecipients update their plans at least every 4 years and submit to PTD, who delivers them to the CTR Board for approval.

Timing: Ongoing, based on the subrecipient's last approval date.

Participants: Subrecipients and Community Liaisons

Rationale: required per CTR Board Policy

Inputs: Subrecipient's planned activities and Plan Requirements

Outputs: Approved 4 year CTR Plan

#### GMS Requirements/Business Rules Associated with this Activity

- |                 |   |
|-----------------|---|
| <b>1.17.13a</b> | <b>Identify Expiring CTR Plans (Priority: High)</b><br>The system will provide a mechanism for PTD to identify subrecipient plans that are due to expire in the next 3 months.                              |
| <b>1.17.13b</b> | <b>Publish approved CTR plan (Priority: High)</b><br>The system will provide a mechanism for PTD staff to publish the approved CTR plan in pdf format so it may be forwarded to the CTR Board for approval. |
| <b>1.17.13c</b> | <b>Record CTR Board Approval Date (Priority: Medium)</b><br>The system will provide a mechanism for PTD staff to record the date each plan was approved by the CTR Board in the system.                     |

#### **1.17.14: Review and Create Needed Certifications and Assurances**

Description: PTD reviews certifications and assurances published by FTA, creates forms for subrecipients to complete, and sends notification to subrecipient.

Timing: Typically January of each year following the publication of the Certifications and Assurances by FTA

Participants: BST Compliance Analyst

Rationale: to obtain federally required certifications and assurances from subrecipients

Inputs: Federal Certifications and Assurances Published by FTA

Outputs: Subrecipient documents prepared and sent to subrecipients of FTA funding

##### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.17.14a      Implement Certifications and Assurances Workflow (Priority: Medium)**

The system will provide a mechanism to implement the workflows between participants as defined in the associated diagrams.

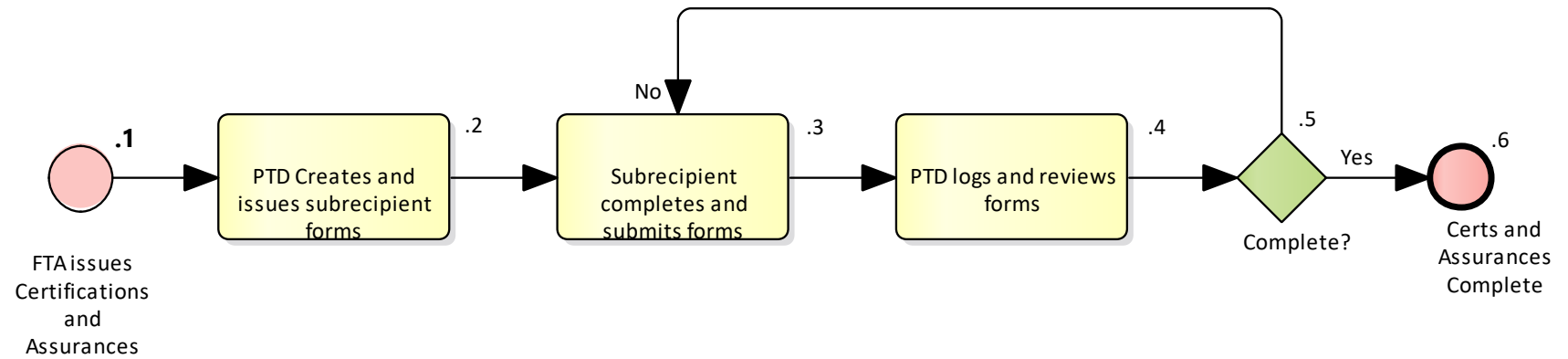
## Review and Create Needed Certifications and Assurances

Name: Review and Create Needed Certifications and Assurances 1.17.11

Package: PTD Grant Process Map

Version: 4/3/2017

Author: GMS Team





#### 1.17.14.1: FTA issues Certifications and Assurances

#### 1.17.14.2: PTD Creates and issues subrecipient forms

Description: PTD reviews the certifications and assurances published by FTA, creates subrecipient forms, and sends the applicable forms to each subrecipient with instructions on completing and submitting the documents.

Timing: Annually following FTA publishing the forms. This typically happens between October and January of each year.

Rationale: PTD is required to certify for itself and subrecipients to FTA.

Participants: BST Compliance Analyst

Inputs: [Annual Certifications and Assurances](#), [Subrecipients awarded FTA funding \(including type of funding awarded\)](#).

Outputs: Certifications and Assurances issued to subrecipients

##### **GMS Requirements/Business Rules Associated with this Activity**

- 1.17.14.2a      Notify Subrecipients Required to Submit Certifications and Assurances (Priority: Medium)**  
The system will provide a mechanism for PTD staff to send a notification, to each subrecipient required to submit Certifications and Assurances, stating the deadline and instructions for submission.
- 1.17.14.2b      Open Projects using FTA Funds Report (Priority: Mandatory)**  
The system will provide a mechanism for PTD staff to generate a report that identifies subrecipients with open projects using FTA funds and the type of funds each was awarded.
- 1.17.14.2c      Publish Certifications and Assurances Form (Priority: Medium)**  
The system will provide a mechanism for PTD staff to publish the certifications and assurances form for use by subrecipients.
- 1.17.14.2d      Update Certifications and Assurances Form (Priority: Medium)**  
The system will provide a mechanism for PTD staff to update the language for certifications and assurances in the system at least annually.

#### 1.17.14.3: Subrecipient completes and submits forms

Description: Each subrecipient reviews the forms and associated regulations, has the forms signed by their authorized representative and legal counsel (or board chair), then submits the signed forms to PTD.

Timing: Following PTD issuing the forms to the subrecipient

Rationale: Required to document subrecipient compliance

Participants: subrecipients

Inputs: [Subrecipient forms](#) and associated regulations

Outputs: signed forms submitted to PTD

##### **GMS Requirements/Business Rules Associated with this Activity**

- 1.17.14.3a      Download Certification and Assurances Forms (Priority: Medium)**  
The system will provide a mechanism for subrecipients to download the certification and assurances forms for “wet” signatures.
- 1.17.14.3b      Phase 2 - Electronically Fill out and Sign Certification and Assurances Forms (Priority: Medium)**  
Upon implementation of Phase 2, the system will provide a mechanism for subrecipients to fill out and digitally sign the certifications and assurances.

#### 1.17.14.4: PTD logs and reviews forms

Description: PTD logs the signed certifications and assurances received from each subrecipient to record the date received. PTD reviews the documents submitted by the subrecipient to verify that they are complete and all required documents have been received. If there are any errors or the documents are not complete, PTD communicates with the subrecipient on changes or additional documentation needed.

Timing: Following receipt of the signed documents from the subrecipient

Rationale: to document and ensure subrecipient compliance

Participants: BST Compliance Analyst

Inputs: completed and signed subrecipient certifications and assurances

Outputs: Subrecipient certifications and assurances accepted as complete or returned to subrecipient for corrections/additional documents

#### 1.17.14.5: Complete?

Are the Certifications and Assurances submitted by the subrecipient completed correctly and are all the required documents included?

#### 1.17.14.6: Certs and Assurances Complete

#### 1.17.15: Manage Subrecipient Profile and Users (System Access/Roles)

Description: A GMS system administrator, or their delegate, sets up and/or manages:

1. the list of active subrecipient organizations and the organization's profile
2. the list of subrecipient user roles that will have rights within GMS
3. the access to screens and screen features granted to each subrecipient user role
4. adding new subrecipient users to GMS
5. removing users that no longer use GMS
6. associating subrecipient users with one or more subrecipient user roles

Timing:

1. setting up the system and occasional changes to system features
2. when new applicants (potential subrecipients) request a grant that are not currently active in GMS
3. when subrecipient staff are hired, terminated or are reassigned

Participants: A GMS system administrator or their delegate

Rationale: To provide adequate access to GMS features so that grant management activities such as invoicing and grant applications are possible without using a paper process

Inputs: A request from an authorized subrecipient representative to add staff, remove staff or change a user's role.

Outputs: Subrecipient [Profile](#) data. Subrecipient users have the necessary level of access to GMS.

#### GMS Requirements/Business Rules Associated with this Activity

##### 1.17.15a Associate Users with User Roles (Priority: Mandatory)

The system will provide a mechanism for a GMS Administrator or an authorized subrecipient user Manager to control the list of active subrecipient users and to associate each user with appropriate roles. Only the GMS Administrator can assign the Subrecipient User Manager Role.

##### 1.17.15b Subrecipient Profile (Priority: Mandatory)

The system will provide a mechanism for a GMS Administrator or an assigned Subrecipient Profile Manager to edit the subrecipient's profile data.

## **GMS Requirements/Business Rules Associated with this Activity**

### **1.17.15c Subrecipient User Roles (Priority: High)**

The system will provide the following roles for subrecipients:

- Subrecipient Contract Executor
- Subrecipient Certification Authority-Executive
- Subrecipient Certification Authority-Attorney or Board Chair
- Subrecipient Preparer-Progress Reports
- Subrecipient Submitter-Progress Reports
- Subrecipient Invoice Preparer
- Subrecipient Invoice Submitter
- Subrecipient Profile Manager
- Subrecipient User Manager
- Subrecipient Project Manager

### **1.17.16: Manage WSDOT Staff System Access/Roles**

Description: A GMS system administrator, or their delegate, sets up and manages:

1. the list of WSDOT staff user roles that will have rights within GMS
2. the access to screens and screen features granted to each WSDOT staff user role
3. adding new WSDOT staff users to GMS
4. removing WSDOT staff users who no longer use GMS
5. associating WSDOT staff users with one or more WSDOT staff user roles

Timing:

1. setting up the system and occasional changes to system features
2. when WSDOT staff are hired, terminated or are reassigned

Participants: A GMS system administrator or their delegate

Rationale: To provide adequate access to GMS features so that grant management activities such as invoice processing and grant applications management are possible without using a paper process

Inputs: A request from an authorized WSDOT supervisor to add staff, remove staff or change a user's role.

Outputs: WSDOT staff users have the necessary level of access to GMS.

Notes: Description: A GMS system administrator, or their delegate, sets up and manages:

1. the list of WSDOT staff user roles who will have rights within GMS
2. the access to screens and screen features granted to each WSDOT staff user role
3. adding new WSDOT staff users to GMS
4. removing users who no longer use GMS
5. associating WSDOT staff users with one or more WSDOT staff user roles

### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.17.16a PTD Staff User Roles (Priority: High)**

The system will provide a mechanism for the System Administrator to manage the roles that the system recognizes for workflow purposes:

- Fiscal Specialist and BS Planner-receive and process invoices
- Community Liaisons (CL) - Review and approve policies and reports
- Compliance Analyst - Review and approve cost allocation, indirect and in-kind plans; review and comment on subrecipient audits.
- BST Planner and BS Manager-Review and approve project invoices
- BST Manager and PD Manager-Execute contracts (Possible phase 2)
- BST Planner and BS Budget and Systems Specialist-Assign funding sources to projects
- BST Planner and Compliance Analyst (System Administrator)-Establish Grant Source funding
- Internal application evaluator-Evaluate and comment on applications
- WSDOT Executives-view access for information
- PTD Staff-Compile reports

#### **1.17.17: Manage RTPO System Access/Roles**

Description: A GMS system administrator, or their delegate, sets up and manages:

1. the list of active RTPO organizations and their profile (see below)
2. the list of RTPO user roles that will have rights within GMS
3. the access to screens and screen features granted to each RTPO user role
4. adding new RTPO users to GMS
5. removing users that no longer use GMS
6. associating RTPO users with one or more RTPO user roles

Timing:

1. setting up the system and occasional changes to system features
2. if a new RTPO is formed or an existing one is disbanded
3. when RTPO staff are hired, terminated, or are reassigned

Participants: A GMS system administrator or their delegate

Rationale: To provide adequate access to GMS features so that grant management activities such as grant awards are possible without using a paper process

Inputs: A request from an authorized RTPO representative to add staff, remove staff or change a user's role.

Outputs: RTPO users have the necessary level of access to GMS.

### **GMS Requirements/Business Rules Associated with this Activity**

#### **1.17.17a RTPO Staff User Roles (Priority: Medium)**

RTPO Roles:

- Assign letter grade to applications in their region (at the end of the Consolidated application evaluation process)
- Upload the Human Services Transportation Plan for their jurisdiction.

### 1.17.18: Manage Auditors System Access/Role

Description: A GMS system administrator, or their delegate, sets up and manages:

1. the list of Auditor user roles that will have rights within GMS
2. the access to screens and screen features granted to each Auditor user role
3. adding new Auditor users to GMS
4. removing users that no longer use GMS
5. associating Auditor users with one or more Auditor user roles

Timing:

1. setting up the system and occasional changes to system features
2. when Auditor staff from the State Auditor's Office or FTA are assigned or reassigned

Participants: A GMS system administrator or their delegate

Rationale: To provide adequate access to GMS features so that auditors can view everything going on within GMS

Inputs: A request from an authorized Auditor representative to add staff, remove staff or change a user's role.

Outputs: Auditor users have the necessary level of access to GMS.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.17.18a Auditor User Role (Priority: High)**

Roles:

- Auditor (Temporary View access to all information in the Grants Management System)

### 1.17.19: Records Retention

Description: PTD retains and stores all documents associated with grant funds or third party contracts.

Timing: Ongoing

Participants: BST

Rationale: To comply with state law and federal regulations and to respond to state and federal audits/reviews in order to demonstrate WSDOT compliance.

Inputs: Project activities, state law and federal regulations

Outputs: Records retained per a prescribed duration

Notes: Until further notice, all documentation shall be retained by the system.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.17.19a Purge documents (Priority: Medium)**

The system will provide a mechanism for PTD staff to purge documents that have been held longer than required by records retention policy.

##### **1.17.19b Retention Policy for Artifact Type (Priority: Medium)**

The system will provide a mechanism for PTD staff to identify the retention schedule for each artifact type contained by the system.

### 1.17.20: Manage Evaluator System Access/Role

Description: A GMS system administrator, or their delegate, sets up and manages:

1. the list of Evaluator user roles that will have rights within GMS
2. the access to screens and screen features granted to each Evaluator user role
3. adding new Evaluator users to GMS
4. removing users that no longer use GMS
5. associating Evaluator users with one or more Evaluator user roles
6. associating Evaluator users with an Evaluation Team

Timing:

1. setting up the system and occasional changes to system features
2. during the evaluation cycle for consolidated grant processing

Participants: A GMS system administrator or their delegate

Rationale: To provide adequate access to GMS features so that an evaluator can perform forced pairs analysis on assigned applications

Inputs: The evaluator profile and assigned evaluation team.

Outputs: Evaluator users have the necessary level of access to GMS.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.17.20a Evaluator User Role (Priority: Medium)**

- Evaluator Role - Temporary to score/rank project applications assigned to their evaluator group in the consolidated grant application process.

### 1.17.21: Manage Subrecipient Users

Description: A subrecipient staff member delegated user manager authority may be given the ability to add new users for their organization, control each user's roles, and revoke user access to the GMS.

Timing: When subrecipient staff are hired, terminate or are reassigned.

Participants: Subrecipient User Manager

Rationale: To provide adequate access to GMS.

Inputs: A request from an authorized subrecipient staff member.

Outputs: Subrecipient users have the necessary level of access to GMS.

#### GMS Requirements/Business Rules Associated with this Activity

##### **1.17.21a Associate Users with User Roles (Priority: Medium)**

The system will provide a mechanism for a Subrecipient User Manager to control the list of active users for their organization and to associate each user with appropriate roles.

##### **1.17.21b External User Password Reset (Priority: Medium)**

The system will provide a mechanism for any external user to reset their own user password without having to contact the GMS Administrator or Subrecipient User Manager.

### 1.17.22: Manage Subrecipient Profile

Description: A Subrecipient profile manager will be given the ability to update [subrecipient profile](#) data (such as address, contacts, phone numbers, Federal ID#, DUNS#, annual service statistics, etc).

Timing: When new applicants (potential subrecipients) request a grant that are not currently active in GMS, or when profile data is no longer accurate.

Participants: A Subrecipient profile manager or their delegate

Rationale: To reduce the data entry required by WSDOT and subrecipients (when requesting new grants or submitting reports).

Outputs: [Subrecipient Profile](#) data.

#### **GMS Requirements/Business Rules Associated with this Activity**

##### **1.17.22a      Edit Profile Data    (Priority: Medium)**

The system will provide a mechanism for a Subrecipient Profile Manager to edit their organization's profile data.

## Glossary of terms:

**AFS:** WSDOT's Accounting and Financial Services Division

**AMP:** see Asset Management Plan

**Apparently Successful Vendor:** A business entity that has been selected by a subrecipient, through a competitive procurement process, to fulfill the needs of subrecipient's RFP or other procurement mechanism.

**Appropriation authority:** Spending limits authorized by the Governor and State legislature to fund WSDOT division activities. This includes both state and federal funding.

**Asset Management Plan:** A public transit system plan required as a condition of receiving state funding. It describes an agency's preventative maintenance and asset management policies. The correlating document for subrecipients that are not a public transit system is called a Vehicle Maintenance Plan (VMP).

**BST:** Business Services Team of WSDOT's Public Transportation Division.

**Business Services:** An organizational subdivision of the Public Transportation Division of WSDOT that is responsible for all fiscal and administrative functions of PTD.

**Capital Expenses:** Long-term assets such as land, vehicles, buildings, and bus shelters. These items must have a useful life of more than one year, exceed the organization's capital cost threshold or \$5,000 and are subject to depreciation and inventory records.

**CL:** Community Liaison

**CLs:** Community Liaisons

**CMAQ:** see Congestion Mitigation and Air Quality Improvement (CMAQ) Program

**Community Liaisons:** Members of PTD staff that act as coaches and project managers to grant recipients on how to comply with the requirements of their grant-funded agreements.

**Congestion Mitigation and Air Quality Improvement (CMAQ) Program:** A program administered by FHWA that provides grant funding to reduce traffic congestion and improve air quality from highway travelers.

**Contract Invoice Form:** A document used by a subrecipient to initiate and submit an invoice for reimbursement of expenses under a contract.

**Contract Reporting Form:** A document, or documents, used by a subrecipient to initiate and submit a progress report required under the contract.

Note: some contracts require both narrative reporting and separate statistical reporting.

**DBE:** Disadvantaged Business Enterprise

**Demand response:** Public Transportation Services that increase access to basic services such as education, medical, social, and employment, characterized by flexible routing and scheduling of relatively small vehicles to provide door-to-door or point-to-point transportation at the passenger's request. Also referred to as paratransit or dial-a-ride service.



**Dial-a-ride:** A type of demand response service where the customer calls the transit service to be picked up at their location. The service may or may not be restricted to persons with disabilities.

**Disadvantaged Business Enterprise:** A business status wherein persons must own 51 percent or more of a “small business,” establish that they are disadvantaged (women or minority), and prove they control their business.

**Fatal Flaw:** An error made in a grant application that causes the application to be rejected.

**FFATA:** Federal Funding Accountability and Transparency Act

**FHWA:** Federal Highway Administration

**Fixed route:** Public transportation service on a repetitive, fixed schedule basis along a specific route with vehicles stopping for passengers along the way.

**Form:** A pre-developed page layout containing specific data entry fields for use in grant applications, contracting, invoicing, site visits and project reporting. The form is used as a starting point for a particular data entry process. Forms must be published before they can be used as for data entry.

**FTA:** Federal Transit Administration

**FTA Section 5310:** A federally funded, competitive grant program administered by WSDOT that provides capital assistance to private, nonprofit corporations, tribal governments, and selected county governments who provide transportation services to elderly persons and/or persons with disabilities. The funding assistance is for capital purposes and consists of an 80 percent federal contribution requiring a 20 percent local match.

**FTA Section 5311:** A federally funded, competitive grant program administered by WSDOT that provides funding assistance for transportation providers serving the general public in rural areas of the state. The funding assistance is available for capital and operating assistance purposes. Capital funding consists of an 80 percent federal share matched by a 20 percent local share. Operating assistance consists of a 50 percent federal contribution and a 50 percent local match.

**FTA Section 5316:** A federally funded, competitive grant program, (aka The Job Access and Reverse Commute (JARC) program), administered by WSDOT to improve access to transportation services to employment and employment related activities for welfare recipients and low-income individuals. Funding assistance is available for operating assistance purposes with 50 percent being federal funds and 50 percent being local match.

**FTA Section 5317:** A federally funded competitive grant program (aka The New Freedom program), administered by WSDOT to overcome existing barriers facing Americans with Disabilities seeking integration into the work force and full participation in society. Funding assistance is available for capital and operating assistance purposes. Capital funding consists of an 80 percent federal share matched by a 20 percent local share. Operating assistance consists of a 50 percent federal contribution and a 50 percent local match.

**General and local government agencies:** Includes the following entities:

- Political subdivisions of the state.
  - Authority of at least one state or political subdivision of a state.
  - Public corporation, board, or commission established under the laws of a state.
  - Incorporated cities, town, and counties located in rural areas.
- Incorporated cities and counties located in urban areas.

**GMS:** Grants Management System to be created under this RFP.

**GPAC:** Grant Programs Advisory Committee

**Grant Funded Asset Inventory:** A list of assets purchased by subrecipients using grant funds.

**Grant Programs Advisory Committee:** Some years ago the Washington State Legislature required that PTD establish and manage a committee to provide input and guidance for PTD's managed grant programs. The committee is made up of grant subrecipients and other interested parties. Members of the committee review with PTD how the last round of a grant cycle went and offer advice on how to improve the process for the next cycle.

**HSTP:** see Human Services Transportation Plan

**Human Services Transportation Plan:** A document required by FTA that describes the public transportation needs of a regional area of the State.

**In-Good-Standing:** A status assessed by PTD on the subrecipients compliance with their current and former grant awards. Factors that contribute to In Good Standing status include the subrecipient submitting timely reports and invoices, provides timely response to site visit follow-up actions, submits their annual audit (if required) and have no audit findings that affect their ability to receive grant funds.

**In-kind contributions:** Goods and services donated from outside the general or local agency. The value of noncash charges for real property and equipment, and the value of goods and services must directly benefit and be specifically identifiable to the project. To be eligible as match, the monetary value of the in-kind contributions must be documented.

**In-kind match valuation Proposal:** A written proposal that identifies the sources of in-kind match and method for determining their value. It must only include goods and services donated for the project that would represent eligible grant activities.

Documentation for goods and services should include donation receipts stating the donor, the item donated and its fair market value. Volunteer time should include time cards and be charged at either the prevailing wage or the wage rate paid to an employee performing like duties. In-kind match proposals ultimately require WSDOT approval.

WSDOT can assist with writing this proposal.

**Intelligent Transportation System:** The application of advanced sensor, computer, electronics and communication technologies and management strategies - in an integrated manner - to improve the safety and efficiency of the surface transportation system.

This definition encompasses a broad range of systems and technologies. ITS projects require planning and coordination prior to implementation; the larger the project scale, the more partnerships, feedback and testing will be required for successful project completion.

Examples:

- Automatic Vehicle Locators
- Mobile Data Terminals
- Traveler Information Systems
- Automatic Passenger Counters
- Automated Stop Announcement Systems
- Integrated Voice Response for Paratransit

- Electronic Farebox
- Integrated Security Camera Systems
- Transit Signal Priority
- Proximity On-Board Safety Awareness systems
- Automated Maintenance Reporting Systems
- Automated Rideshare Reporting
- Data Warehouses

Web-Based Reporting Systems

**ITS:** Intelligent Transportation System

**Local Funds:** Money appropriated by local, general-purpose government, local municipal government as defined in RCW 35.58.272, local school districts, and by local private agencies for the purpose of supporting public transportation services.

**Local match:** Money, or in-kind contributions, provided by potential grant recipients to match requested funding from grant programs. Local match funds can come from local, state, or federal sources depending upon individual grant program requirements.

**Metropolitan Planning Organization:** An organization of elected officials in urbanized regions with 50,000 or more population that provide a forum for local decision-making on transportation issues of a regional nature. MPO's are responsible for comprehensive transportation planning and programming for in urbanized areas. aka: MPO. see: <http://www.wsdot.wa.gov/planning/metro>

**MPO:** see: Metropolitan Planning Organization

**Multimodal:** The availability of modal choices for people and goods. Multimodal is a system description for a total transportation network including rail, bus, bike, etc

**NOFA:** Notice of Funding Availability

**Notice of Funding Availability:** A posting to interested parties by the US Department of Transportation that grant monies are available for specific purposes in a one-time offering. The notice provides interested parties with the requirements to be eligible for project funding and the application schedule. (aka NOFA)

Note that during the writing of these requirements the US Federal government coined a replacement term for NOFA: NOFO - Notice of Funding Opportunity.

**OFM:** Office of Financial Management of Washington State

**Paratransit:** A type of demand response service where a person with disabilities calls the transit service to be picked up at their location because they are unable to access the fixed route service available in their area. The service is provided by the transit service to comply with the ADA.

**Paratransit/special needs grant:** Paratransit/special needs grants support public transportation for persons who, because of their age (youth or seniors), disabilities, or income status, are unable to provide or purchase their own transportation.

**PD:** Project Delivery

**Private for Profit:** An individual or association of individuals organized for the purpose of carrying on a commercial or industrial enterprise for gain, benefit, advantage, or livelihood.

**Private nonprofit:** An agency not organized for profit but operated exclusively for the promotion of social welfare, no part of the net earnings of which benefits any private shareholder or individual. These agencies must comply with the requirements of Section 501(c)(3) or (4) of the United States Internal Revenue Code.

**Program Tracking Report:** A report that includes all FTA grants under a specific funding program (i.e. 5310, 5311, etc), the amounts awarded to each subrecipient under each of the FTA grants, the subrecipient projects under each FTA grant are grouped by type of grant (capital, operating, etc). See A04 for examples

**Project:** A temporary endeavor undertaken to either:

- 1) purchase public transportation assets
- 2) construct public transportation facilities
- 3) operate public transportation services
- 4) coordinate public transportation services
- 5) conduct local or regional public transportation planning activities, or
- 6) engage in commute trip reduction activities.

**Project Delivery:** An organizational subdivision of the Public Transportation Division of WSDOT that provides oversight and implementation guidance for awarded grant funded projects. (Note: effective Summer 2017 PTD is changing the name of this unit to "Grants and Community Partnerships" (GCP).

**Project Manager:** see Community Liaison.

**PSRC:** Puget Sound Regional Council

**PTD:** Public Transportation Division of the Washington State Department of Transportation

**Public transportation:** Mass transportation by a conveyance that provides regular and continuing general or special transportation to the public, but does not include school bus, charter, sightseeing transportation, or intercity bus transportation or intercity passenger rail transportation provided by Amtrak. Coordinated human service transportation, which primarily serves elderly persons and persons with disabilities, but which is not restricted from carrying other members of the public, is considered available to the general public if it is marketed as public transit service.

**QPR:** Quarterly Progress Report

**Regional Mobility:** A measurement of efficiency on regional corridors through public transportation and increased integration of a multi-modal system.

**Regional Mobility Grant Program:** A grant program established by the Washington State legislature that supports local efforts to improve transit mobility and reduce congestion on our most heavily traveled roadways.

**Regional Transportation Planning Organization:**  
see: <http://www.wsdot.wa.gov/planning/Regional/>

**Replacement Equipment:** Capital assets such as vehicles, equipment, and facilities acquired to replace similar equipment that outlasted their useful life periods as designated by FTA, or because of accidents or defects. Capital assets replaced must be retired from regular services within three months of accepting the new asset. Assigning a vehicle to another service area or contractor, or leasing the vehicle to another organization is not considered replacement.

**Retired vehicle:** Sold, placed in backup reserve, placed in part time service (no longer available for service exceeding 30 percent of prior use) or otherwise disposed of. Assigning a vehicle or other capital asset to another service area or contractor or leasing the asset is not considered retiring.

**RMG:** Regional Mobility Grant Program

**Rolling stock:** Transit vehicles such as buses, vans, cars, and trolley buses, as well as vehicles used for support services.

**Route deviated:** Public transportation service on a nonexclusive basis operating along a public way, on a fixed route (from which it may deviate from time to time) in response to a demand for service or to take a passenger to a destination, after which it returns to its fixed route.

**RTAP:** see Rural Transit Assistance Program

**RTAP Scholarships:** *What is the RTAP scholarship program?*

WSDOT administers the Rural Transit Assistance Program with funding provided by the Federal Transit Administration. The RTAP program supports a variety of services including the provision of technical assistance and training to meet the specific needs of transportation operators in non-urbanized areas. Included in those services is the provision of scholarships to cover registration and travel expenses for individuals to attend training courses, workshops and conferences. The intent of the program is to supplement existing training resources, not to replace them.

*Who is eligible for an RTAP scholarship?*

Eligible transportation agencies include:

Rural transportation providers (transits, tribes and nonprofit).

Providers of special needs transportation services if training is specific to special needs operations.

Officers, members and staff of the Washington State Transit Association, Washington State Transit Insurance Pool and the Community Transportation Association of the Northwest.

Small urban providers and for-profit providers at the discretion of the RTAP Coordinator.

*What are the RTAP scholarship requirements?*

To apply for an RTAP training scholarship, you must meet the following requirements:

The training or conference you wish to participate in must further the development of rural and specialized transportation providers in Washington state.

The application/request for a scholarship must be signed by the chief executive officer of the agency and received by WSDOT at least 30 days prior to the event.

Before your training, you must have a copy of an approved WSDOT expense worksheet signed by WSDOT.

**RTPO:** For the purposes of this RFP: Washington State's various Regional Transportation Planning Organizations, plus San Juan County.

**Rural area:** Incorporated and unincorporated communities and unincorporated areas outside of a designated urbanized area. Total population may not exceed 50,000.

**Rural Mobility:** 1) Access to transportation for people living in rural areas that would otherwise have few or no options to get to job sites, medical appointments, schools or other life sustaining activities.

2) State-funded, competitive, and formula grants administered by WSDOT to establish, preserve, and improve rural public transportation. Projects are awarded biennially for capital, operating, construction, and planning purposes.

**Rural public transit:** A transit provider, whose administrative headquarters is located in a rural area, that operates principally in rural areas, but can operate into and returning from urban areas.

**Rural Transit Assistance Program:** Rural Transportation Assistance Program (RTAP)

Federal Transit Administration §5311(b)(2) funding is intended to assist in the design and implementation of training and technical assistance projects and other support services tailored to meet public transportation operators in nonurbanized areas. For additional language from federal circulars and the definition of nonurbanized, see Exhibit A.

WSDOT is the direct recipient of Washington's annual allocation of 5311(b)(2) funds and has the authority to contract with sub-recipients to deliver some or all of the state RTAP activities each biennium.

Multiple purchases of service contracts will result from this call for projects. The total amount of RTAP funding available for the two-year contract period is approximately \$330,000. Payments will be calculated on the number of deliverables performed each quarter at the predetermined fixed price.

Contracts may be eligible for amendment to update scope and budget.

**Services:** Assistance provided by a person or organization that forwards the mission of public transportation in the state of Washington.

**SGR:** State of Good Repair

**Small Urban Area:** see Urban Area definition

**Spare:** A vehicle placed in backup reserve (not to exceed 30 percent of its prior use) for active status vehicles.

**Specifications:** Technical requirements associated with the construction/procurement of facilities, vehicles or other public transportation assets.

**Standardized Invoicing Form:** A generic form used as a starting point to create a Contact invoice Form for use by a subrecipient.

**Standardized Reporting Form:** A generic form used as a starting point to create a Contact Reporting Form for use by a subrecipient.

**State funds:** Money appropriated by the Washington State Legislature to support a variety of programs and projects.

**State of Good Repair:** A measure of the condition of an asset that supports transportation of the public. Rating scale based on the following factors:

- (within agency ULB - e.g. 15 years - guidelines) based on age
- (within agency ULB - e.g. 3/4 M miles - mileage)
- yes to sufficient funding available to maintain vehicle beyond the preventative maintenance schedule
- yes to vehicle safe for operation?
- yes to is maintenance up to date?
- yes to does it perform as designed/intended?

**ULB:** useful life benchmark

Note that the FTA definition of useful life may be less than the agency ULB.

**Statewide Transportation Improvement Program:** A statewide financially-constrained listing/program of transportation related projects for all areas of the state. The STIP covers a period of four years, is consistent with the long-range statewide transportation plan, metropolitan transportation plans, and rural transportation improvement programs. A STIP is required for projects to be eligible for funding under title 23 USC and title 49 USC, Chapter 53, and is approved jointly by the Federal Highway Administration and the Federal Transit Administration.

aka: STIP

see: <http://www.wsdot.wa.gov/LocalPrograms/ProgramMgmt/STIP.htm>

**STIP:** Statewide Transportation Improvement Program

**STP:** Surface Transportation Program

**Subrecipient:** An agency/organization that receives grants administered by WSDOT PTD. Includes transit agencies, private non-profits, local government entities, tribal governments and for-profit transportation providers, service contractors (e.g. intercity bus providers).

**Subrecipient type:** The legal type organization as formed under state law or designated by federal treaty:

- Public Transit Agency
- Private Nonprofit Organization
- Private For Profit Organization
- Tribal Government
- Metropolitan or Regional Transportation Planning Organization (MPO or RTP)
- Other General or Local Government ( a) Political subdivisions of the state; b) Authority of at least one state or political subdivision of a state; c) Public corporation, board, or commission established under the laws of a state; d) Incorporated cities, town, and counties located in rural areas; e) Incorporated cities and counties located in urban areas

**Subrecipients:** Plural of subrecipient

**Summary of Public Transportation:** Summary of Public Transportation is a document required by policy makers and has been developed for over 35 years. The Summary of Public Transportation is due to the Legislature by December 1. Primary efforts for data collection begin in June, with review and validation of data continuing through September.

**Surface Transportation Program:** The most flexible of all the highway programs and historically one of the largest single programs, states and metropolitan regions may use these funds for highway, bridge, transit (including intercity bus terminals), and pedestrian and bicycle infrastructure projects.

aka: STP

see: <http://www.wsdot.wa.gov/LocalPrograms/ProgramMgmt/STP.htm>

**TDP:** Transit Development Plan

**The system:** The proposed vendor supplied Grant Management System

**TRAINS:** WSDOT's Accounting System

**Transit Development Plan:** A six-year plan, required by RCW 35.58.2795, that outlines the intended timetable for public transportation services, including a detailed program of revenues and expenditures for capital

equipment acquisition, system management, and operations. Commonly referred to as the transit development plan (TDP).

**Transit Tier:** Projects awarded funding directly by the state legislature

**Tribal Government:** The governing body or a governmental agency of an Indian tribe, band, or nation.

**Urban area:** A geographic area of 50,000 population or more, defined by the U.S. Bureau of the Census, with a central city and surrounding closely settled patterns. Small urban areas have populations between 50,000 and 200,000; large urban areas have populations greater than 200,000.

**Urban public transit, large:** A transit provider, whose administrative headquarters is located in a large urban area, that operates principally in a large urban area but may also operate into and returning from rural and small urban areas.

**Urban public transit, small:** A transit provider, whose administrative headquarters is located in a small urban area, that operates principally in the small urban area but may also operate into and returning from rural and large urban areas.

**Vanpool:** A transit mode comprised of vans, small buses, and other vehicles operating as a ride sharing arrangement, providing transportation to a group of individuals traveling directly between their homes and a regular destination within the same geographical area. The vehicles shall have a minimum seating capacity of five persons, including the driver.

**Vendor:** A business entity providing goods or services to a subrecipient.

**VIP:** Vanpool Investment Program

**Washington's Transportation Plan:** The statewide, multimodal transportation plan defined by RCW 47.06.040 that consists of a state-owned facilities component, a state-interest component, and is commonly titled "Washington's Transportation Plan".

**WSDOT:** Washington State Department of Transportation

**WTP:** Washington's Transportation Plan