[Category]

# FTA Access Control and Entry System (FACES)

## User Guide

Version:  6.5.5
As of 2 April 2025

**Prepared for:**

**Prepared by:**

Federal Transit Administration

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## Revision History

| Date | Version | Description | Author |
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| 08/08/2021 | 6.3.0 | Updated with Login.gov instructions. | C. Palencia |
| 10/29/2021 | 6.3.1 | Updated OTrak user roles table. | C. Palencia |
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| 12/07/2021 | 6.3.3 | Updated Sections 6.3 and 7.3. | C. Palencia |
| 12/17/2021 | 6.3.4 | Updated Screenshots to 6.3.4. | C. Palencia |
| 01/10/2022 | 6.3.5 | Updated email screenshots throughout. | C. Palencia |
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| 04/27/2023 | 6.4.2 | Updated formatting and layout. | G. Nesburg |
| 10/30/2023 | 6.4.3 | Updates – Template changed, any direct reference to "you" changed to "users" or "the user". | G. Nesburg |
| 12/05/2023 | 6.4.4 | Updated sections to add NTD Non-FTA User Category and External Read Only role | |
| 02/20/2024 | 6.4.5 | Updated DOT User Role Category for Otrak to External Read ONLY | B. Khan |
| 03/01/2024 | 6.4.6 | Updated sections of recertifying users, add/update users, and review role requests regarding comment section in FACES | B. Khan |
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| 08/19/2024 | 6.4.9 | Updated all FTA TrIAD homepage screenshots with SMS tile | B. Khan |
| 09/20/2024 | 6.5.0 | Updated all screenshots to reflect Welcome Page Footers | B. Khan |
| 11/22/2024 | 6.5.1. | Updated all screenshots to reflect Welcome Page Header | B. Khan |
| 02/19/2025 | 6.5.2. | Updated ECHO-Web Rules and added Echo Actor Role Matrix to Section 8 in Appendix B | B. Khan |
| 03/05/2025 | 6.5.3 | Updated DGS, CRM, SMS Rules and added the Actor Role Matrices in Appendix B | B. Khan |

| Date | Version | Description | Author |
|---|---|---|---|
| 3/19/2025 | 6.5.4 | • Updated TrAMS Cost Center screenshots,<br>• Updated rules (SSOR & NTD),<br>• Added actor role matrices (SSOR & FACES),<br>• Reformatted all recertification sub-sections & appendices,<br>o Renamed 7.1 to Recertification Synopsis<br>• Created Recertification Windows section of appendix | A. McCall-Wali & B. Khan |
| 4/2/2025 | 6.5.5 | • Removal of reactivation related action verbiage from section 6.3 Managing User Records<br>• Added reactivation guidance to section 6.2.1 Action: Create and Manage Users | A. McCall-Wali |

# 1. Introduction

## 1.1. What is FACES?

The Federal Transit Administration (FTA) maintains several web-based software systems that reside on the same FTA platform. The FTA platform is accessed via the website, https://faces.fta.dot.gov/suite/. The systems on this FTA platform include the Transit Award Management System (TrAMS), the National Transit Database (NTD), FTA Discretionary Grant System (DGS), the Joint Procurement Clearinghouse (JPC), and the FTA Access Control and Entry System (FACES). TrAMS is FTA's system for awarding and managing federal grants. NTD is FTA's system for tracking transit statistics on American transit systems. The JPC is available to FTA grant recipients for communicating about procurement needs and soliciting partners for a joint purchase. DGS is FTA's system for approving or rejecting grant applications and preparing funding scenarios. FACES is the user creation and management system for each user on the FTA platform. All other software systems on the FTA platform rely on FACES for user management functions. Within FACES, each software system has its own set of user roles access privileges.

# 2. User Access

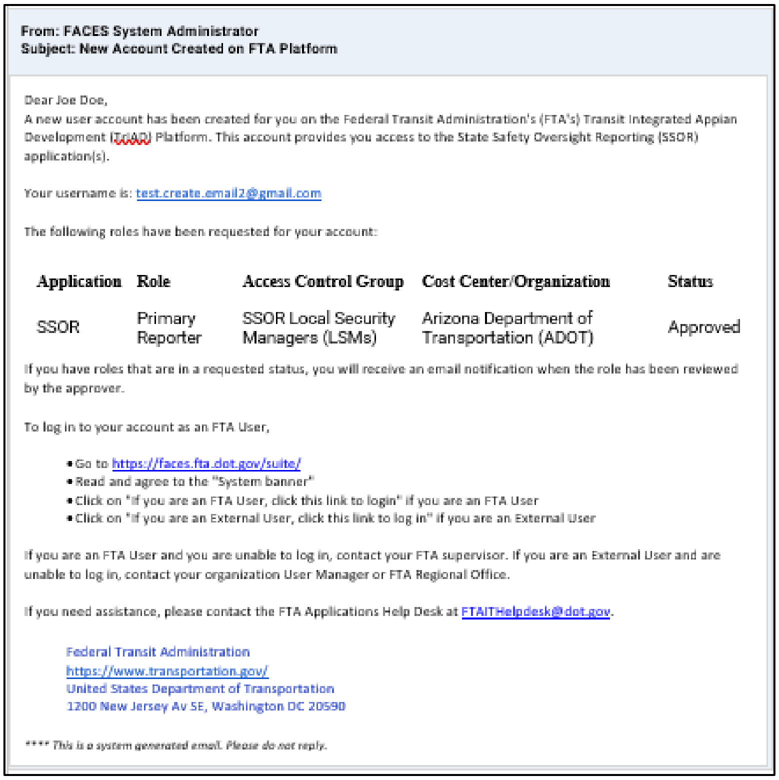
## 2.1. New User Account Creation

User access to each of the FTA software systems on the FTA platform, https://faces.fta.dot.gov/, is granted by either an organizational User Manager (UM), Local Security Manager (LSM), or Global Security Manager (GSM) within the appropriate system. An individual with one of those roles can create user accounts and assign users an initial suite of roles. Once an account has been created, the user will receive an automated email notification containing their username and access/login instructions,

- **Username** – all usernames are initially set to the email address associated with the user's account. The username cannot be changed. If a user needs to update their email address, they will need to contact FTAITHelpdesk@dot.gov for assistance.

### 2.1.1 Non-FTA User Setup

New non-FTA users will receive an automatic email notification from FACES once their account is created. It will look like the one below. If you need an account on the TrIAD platform, then reach out to your User Manager or Local Security Manager.



**From: FACES System Administrator**
**Subject: New Account Created on FTA Platform**

Dear Joe Doe,
A new user account has been created for you on the Federal Transit Administration's (FTA's) Transit Integrated Appian Development (TrIAD) Platform. This account provides you access to the State Safety Oversight Reporting (SSOR) application(s).

Your username is: test.create.email2@gmail.com

The following roles have been requested for your account:

| Application | Role | Access Control Group | Cost Center/Organization | Status |
|---|---|---|---|---|
| SSOR | Primary Reporter | SSOR Local Security Managers (LSMs) | Arizona Department of Transportation (ADOT) | Approved |

If you have roles that are in a requested status, you will receive an email notification when the role has been reviewed by the approver.

To log in to your account as an FTA User,

- Go to https://faces.fta.dot.gov/suite/
- Read and agree to the "System banner"
- Click on "If you are an FTA User, click this link to login" if you are an FTA User
- Click on "If you are an External User, click this link to log in" if you are an External User

If you are an FTA User and you are unable to log in, contact your FTA supervisor. If you are an External User and are unable to log in, contact your organization User Manager or FTA Regional Office.

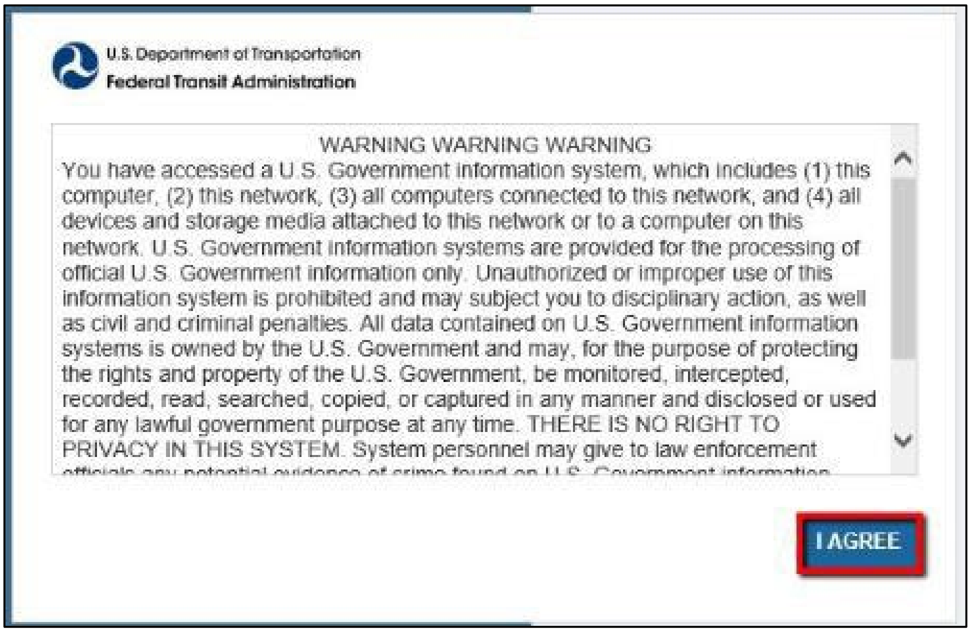
If you need assistance, please contact the FTA Applications Help Desk at FTAITHelpdesk@dot.gov.

Federal Transit Administration
https://www.transportation.gov/
United States Department of Transportation
1200 New Jersey Av SE, Washington DC 20590

***** This is a system generated email. Please do not reply.*

1) Using the email, select the URL (internet link) to access the site, https://faces.fta.dot.gov/.

2) Read the security policy and select ***I AGREE.***

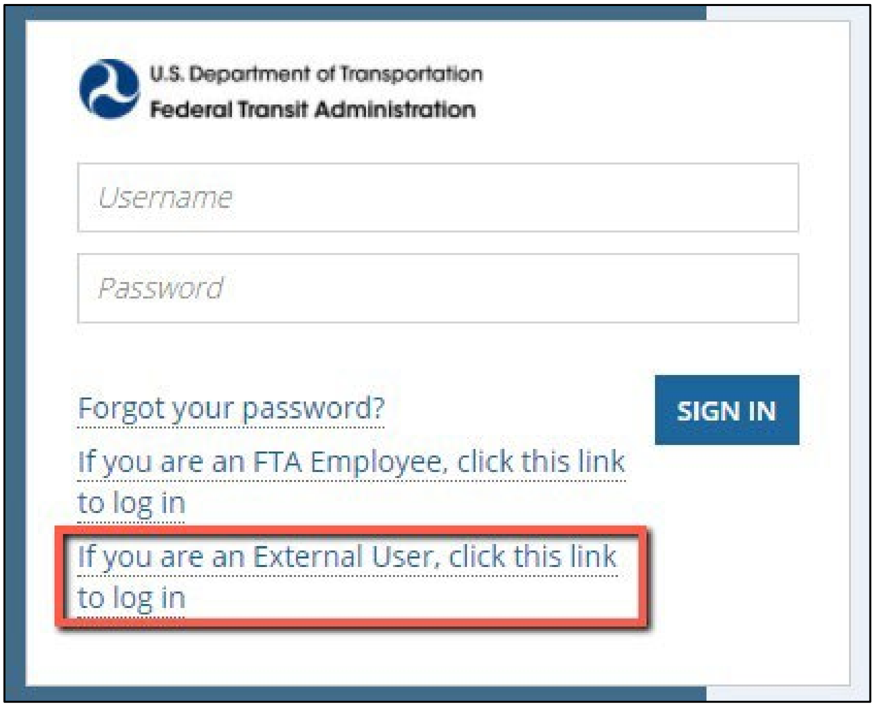


U.S. Department of Transportation
Federal Transit Administration

WARNING WARNING WARNING

You have accessed a U.S. Government information system, which includes (1) this computer, (2) this network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. U.S. Government information systems are provided for the processing of official U.S. Government information only. Unauthorized or improper use of this information system is prohibited and may subject you to disciplinary action, as well as civil and criminal penalties. All data contained on U.S. Government information systems is owned by the U.S. Government and may, for the purpose of protecting the rights and property of the U.S. Government, be monitored, intercepted, recorded, read, searched, copied, or captured in any manner and disclosed or used for any lawful government purpose at any time. THERE IS NO RIGHT TO PRIVACY IN THIS SYSTEM. System personnel may give to law enforcement

3) On the login page, select the ***If you are an External User, click this link to log in*** link next to ***Sign In***.



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Federal Transit Administration

Username

Password

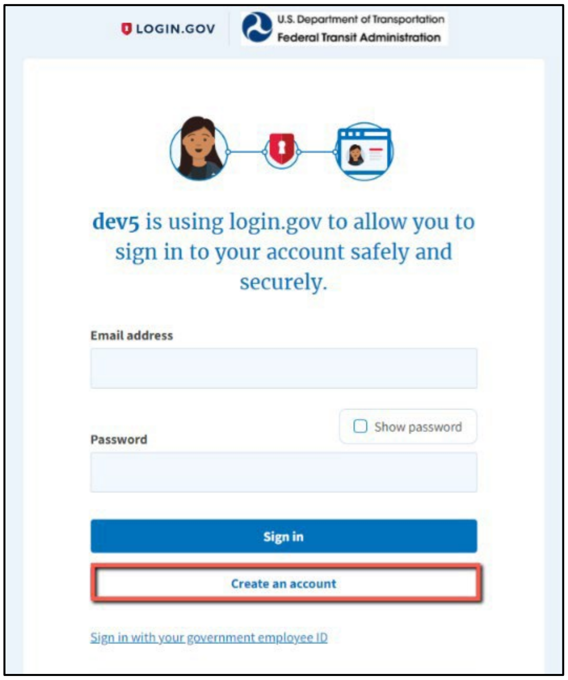
Forgot your password?

If you are an FTA Employee, click this link to log in

If you are an External User, click this link to log in

4) Users will be redirected to Login.gov where all External users will need to initially create and register an account.

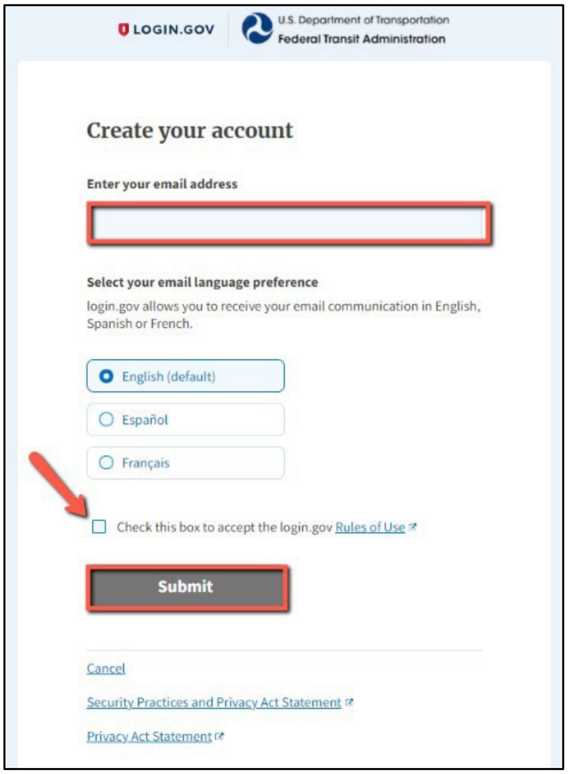
5) If this is the first-time using Login.gov the user will need to Click on ***Create an account***.


LOGIN.GOV
U.S. Department of Transportation
Federal Transit Administration

dev5 is using login.gov to allow you to sign in to your account safely and securely.

Email address
Password
□ Show password
Sign in
Create an account
Sign in with your government employee ID

6) Enter your email and check off the box accepting login.gov ***Rules of Use***.


LOGIN.GOV
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Federal Transit Administration

Create your account

Enter your email address

Select your email language preference

login.gov allows you to receive your email communication in English, Spanish or French.

● English (default)

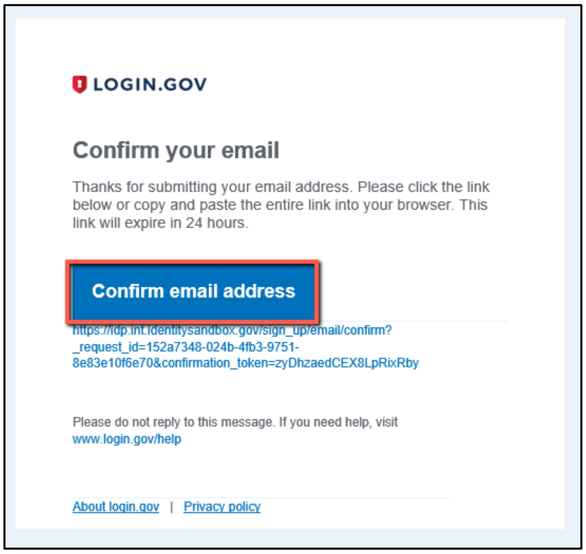
○ Español

○ Français

□ Check this box to accept the login.gov Rules of Use

Submit
Cancel
Security Practices and Privacy Act Statement
Privacy Act Statement

7) Login.gov will send you a “Confirm Your Email” email. In that email, click on “Confirm email address”.



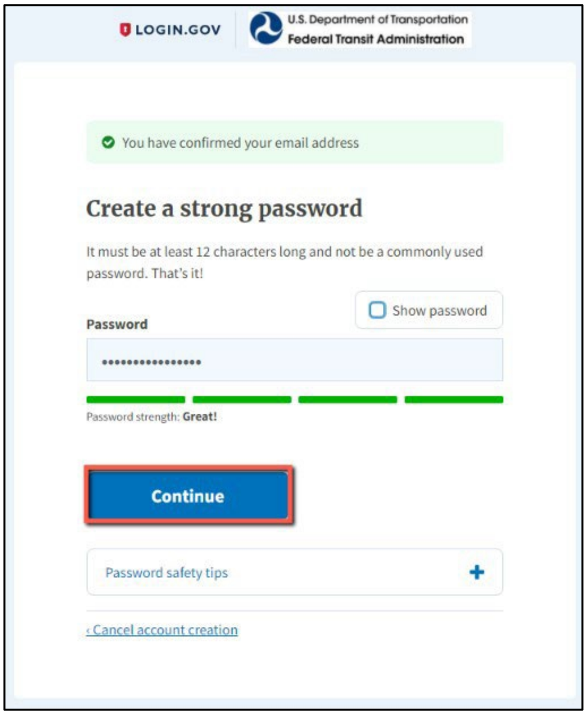
Confirm your email

Thanks for submitting your email address. Please click the link below or copy and paste the entire link into your browser. This link will expire in 24 hours.

https://idp.int.identitysandbox.gov/sign_up/email/confirm?_request_id=152a7348-024b-4fb3-9751-8e83e10f6e70&confirmation_token=zyDhzaedCEX8LpRixRby

Please do not reply to this message. If you need help, visit www.login.gov/help

8) The user is redirected back to login.gov and is asked to create a strong password and click Continue.



LOGIN.GOV
U.S. Department of Transportation
Federal Transit Administration

You have confirmed your email address

Create a strong password

It must be at least 12 characters long and not be a commonly used password. That's it!

□ Show password

Password: ●●●●●●●●●●●●●●●●

Password strength: **Great!**

Continue
Password safety tips +
‹ Cancel account creation

9) Select one of the five authentication method options and follow the setup instructions.

   1) **Security Key** - A security key is typically an external physical device, like a USB, that you plug into your computer. The key is linked to your accounts and will only grant access to those

accounts once the key is plugged in and activated. Login.gov requires security keys that meet the FIDO (Fast Identity Online) standards.

2) **Government Employee ID** - Physical PIV (personal identity verification) cards or CACs (common access cards) are secure options for federal government employees and military personnel. These cards, with encrypted chip technology, are resistant to phishing and difficult to hack if stolen.

3) **Authentication Application** - Authentication applications are downloaded to your device and generate secure, six-digit codes you use to sign into your accounts.

   i. Google Authenticator

   ii. Authy

   iii. LastPass

   iv. 1Password

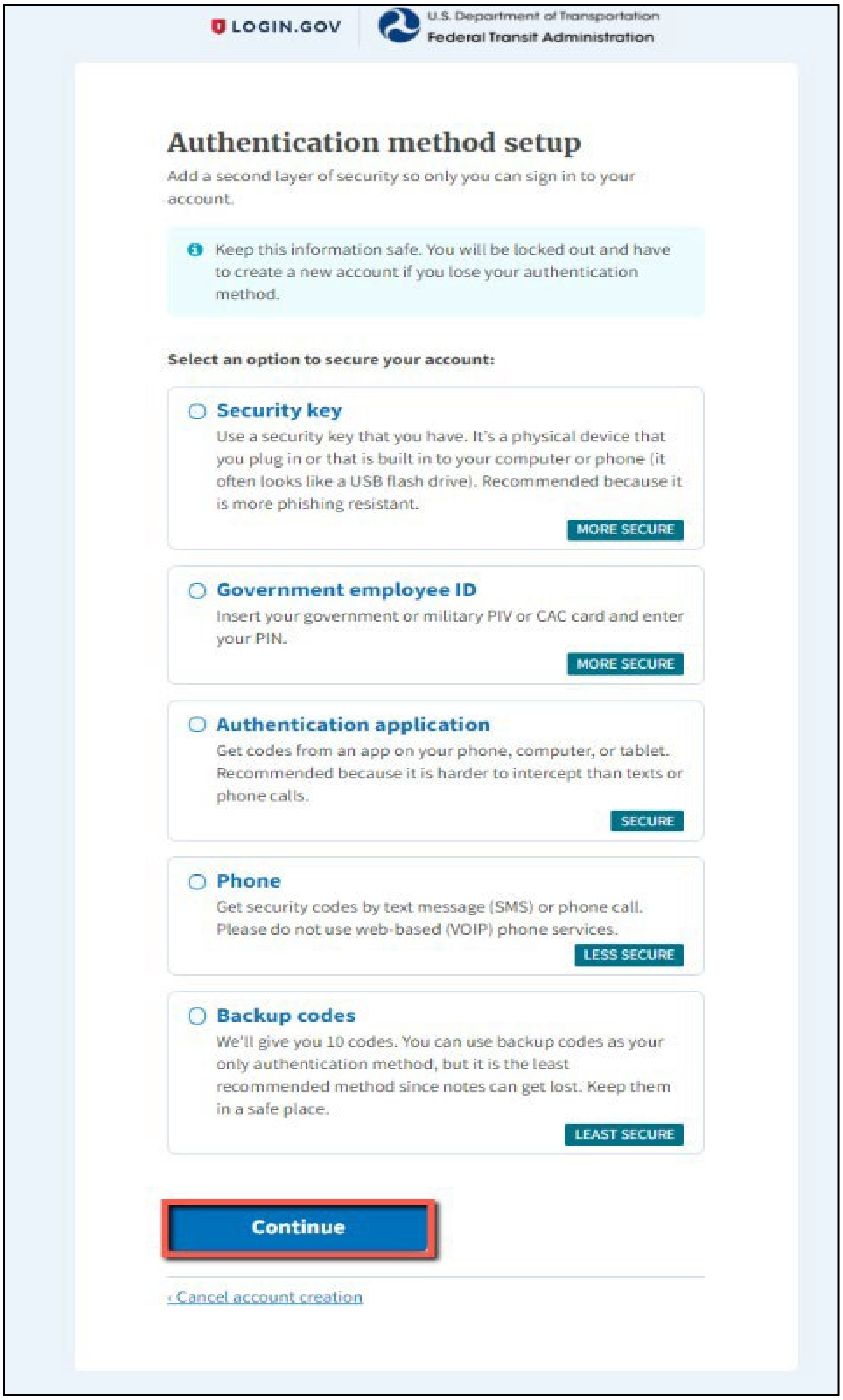
   v. OTP Manager

   vi. Authenticator

   This method offers more security than phone calls or text messaging against phishing, hacking, or interception. A one-time passcode is generated by the application each time you sign in to login.gov.

4) **Phone** - A unique security code is sent to that phone number via SMS or phone call each time you sign in to your login.gov account. Each security code expires after ten minutes and can only be used once. You will receive a new security code each time you sign in to your login.gov account.

5) **Backup codes** - are an accessible option for users who do not have access to a phone. However, backup codes are the least secure option for two-factor authentication. Login.gov will generate a set of ten codes. Backup codes must be printed or written down which makes them more vulnerable to theft and phishing. After you sign in with your username and password, you will be prompted for a code. Each code may be used only once. When the tenth code has been used you will be prompted to download a new list.



LOGIN.GOV
U.S. Department of Transportation
Federal Transit Administration

Authentication method setup

Add a second layer of security so only you can sign in to your account.

Keep this information safe. You will be locked out and have to create a new account if you lose your authentication method.

Select an option to secure your account:

○ Security key
Use a security key that you have. It's a physical device that you plug in or that is built in to your computer or phone (it often looks like a USB flash drive). Recommended because it is more phishing resistant.
MORE SECURE

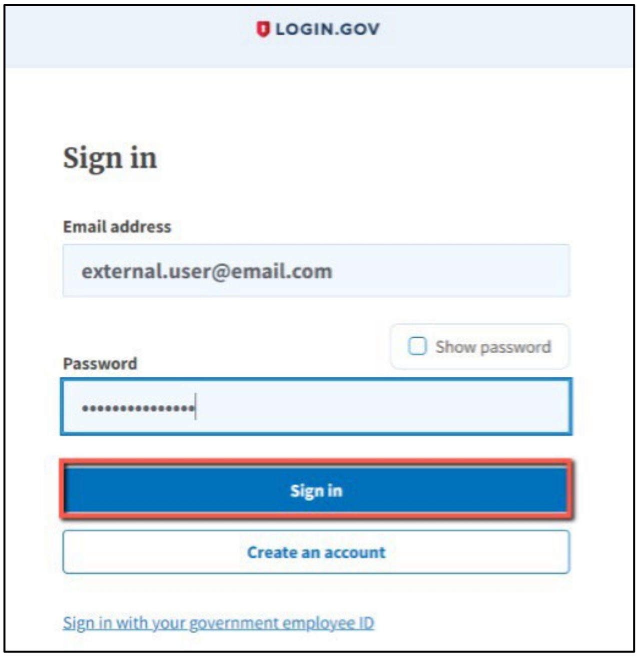
○ Government employee ID
Insert your government or military PIV or CAC card and enter your PIN.
MORE SECURE

○ Authentication application
Get codes from an app on your phone, computer, or tablet. Recommended because it is harder to intercept than texts or phone calls.
SECURE

○ Phone
Get security codes by text message (SMS) or phone call. Please do not use web-based (VOIP) phone services.
LESS SECURE

○ Backup codes
We'll give you 10 codes. You can use backup codes as your only authentication method, but it is the least recommended method since notes can get lost. Keep them in a safe place.
LEAST SECURE

6) Once the authentication method has been set up, the user will be redirected to sign in to Login.gov using the credentials just created.

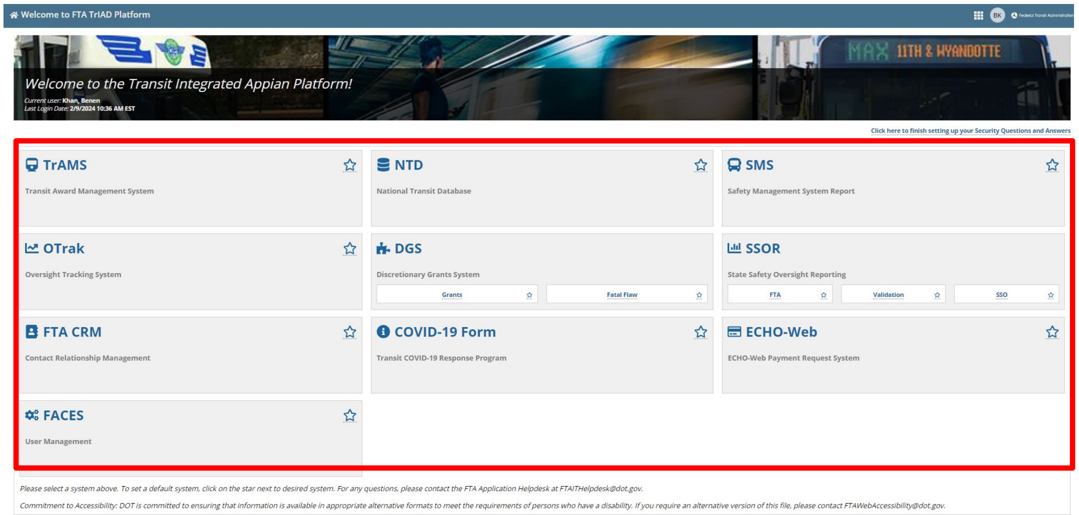


Sign in

Email address: external.user@email.com

Password: •••••••••••••••

7) The user will be directed to the **FTA Homepage**.


Welcome to FTA TrIAD Platform
BK
Federal Transit Administration
MAX 11TH & WYANDOTTE
Click here to finish setting up your Security Questions and Answers
TrAMS
Transit Award Management System
NTD
National Transit Database
SMS
Safety Management System Report
OTrak
Oversight Tracking System
DGS
Discretionary Grants System
Grants
Fatal Flaw
SSOR
State Safety Oversight Reporting
FTA
Validation
SSO
FTA CRM
Contact Relationship Management
COVID-19 Form
Transit COVID-19 Response Program
ECHO-Web
ECHO-Web Payment Request System
FACES
User Management

*Welcome to the Transit Integrated Appian Platform!*

*Current user:* **Khan, Benen**
*Last Login Date:* **2/9/2024 10:36 AM EST**

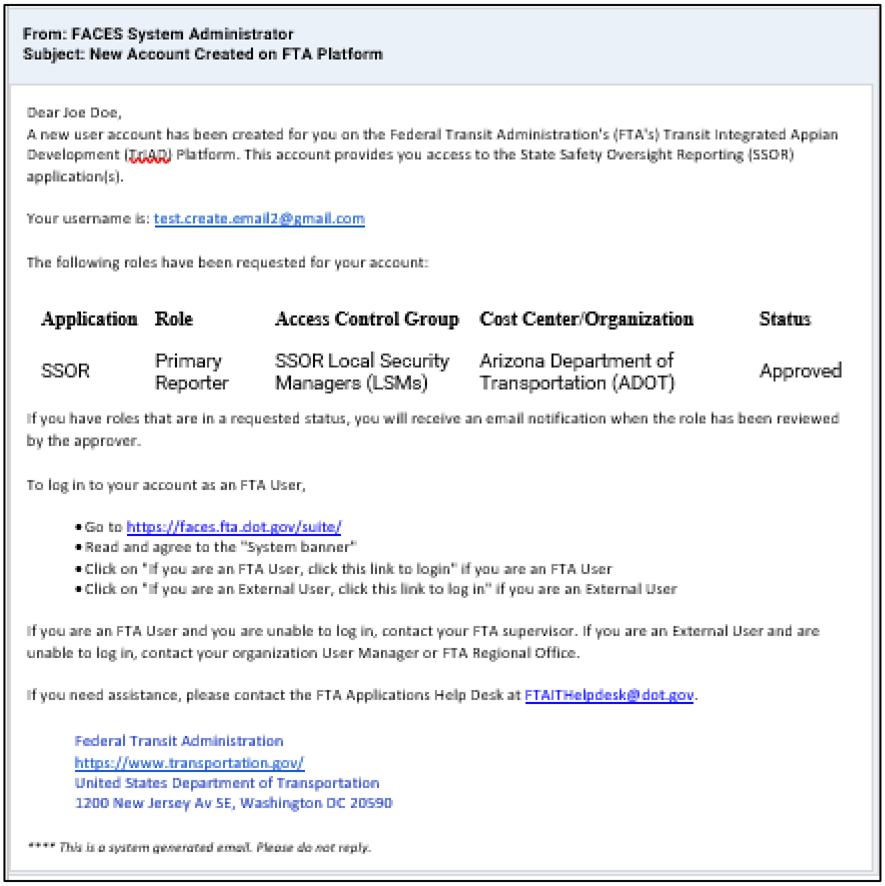
*Please select a system above. To set a default system, click on the star next to desired system. For any questions, please contact the FTA Application Helpdesk at FTAITHelpdesk@dot.gov.*

*Commitment to Accessibility: DOT is committed to ensuring that information is available in appropriate alternative formats to meet the requirements of persons who have a disability. If you require an alternative version of this file, please contact FTAWebAccessibility@dot.gov.*

### 2.1.2 FTA User Setup

New users will receive an automatic email notification from FACES once their account is created. If you need an account on the TrIAD platform, then reach out to your User Manager or Local Security Manager.

1) The email will be formatted much like the one below:



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The following roles have been requested for your account:

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|---|---|---|---|---|
| SSOR | Primary Reporter | SSOR Local Security Managers (LSMs) | Arizona Department of Transportation (ADOT) | Approved |

If you have roles that are in a requested status, you will receive an email notification when the role has been reviewed by the approver.

To log in to your account as an FTA User,

- Go to https://faces.fta.dot.gov/suite/
- Read and agree to the "System banner"
- Click on "If you are an FTA User, click this link to login" if you are an FTA User
- Click on "If you are an External User, click this link to log in" if you are an External User

If you are an FTA User and you are unable to log in, contact your FTA supervisor. If you are an External User and are unable to log in, contact your organization User Manager or FTA Regional Office.

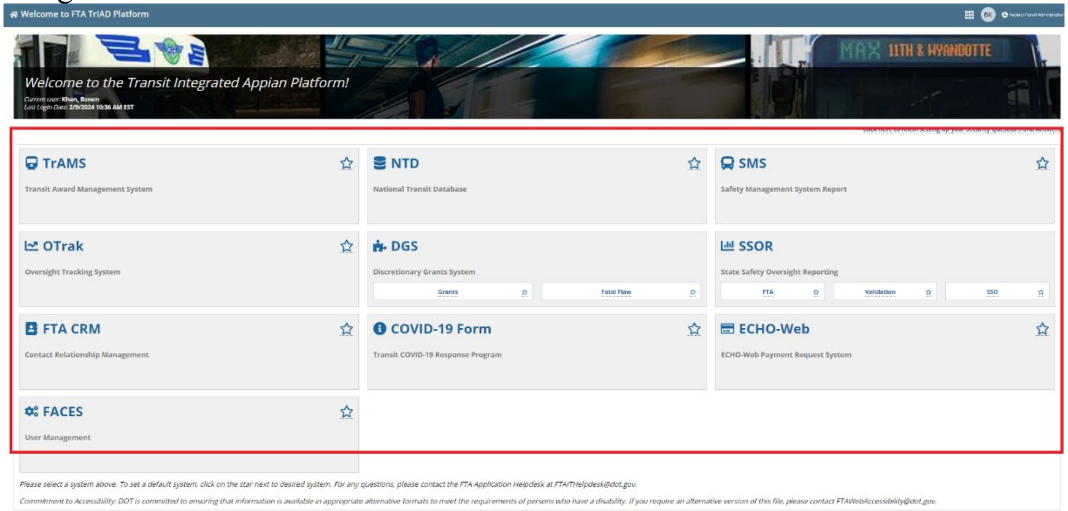
If you need assistance, please contact the FTA Applications Help Desk at FTAITHelpdesk@dot.gov.

Federal Transit Administration
https://www.transportation.gov/
United States Department of Transportation
1200 New Jersey Av SE, Washington DC 20590

***** This is a system generated email. Please do not reply.*

2) Using the email, select the URL (internet link) to access the site, https://faces.fta.dot.gov/.

3) The user will be automatically logged while inside the network or using VPN.



Welcome to FTA TriAD Platform
BK
MAX 11TH & HYANDOTTE
TrAMS
Transit Award Management System
NTD
National Transit Database
SMS
Safety Management System Report
OTrak
Oversight Tracking System
DGS
Discretionary Grants System
Grants
Fatal Flaw
SSOR
State Safety Oversight Reporting
FTA
Validation
SSO
FTA CRM
Contact Relationship Management
COVID-19 Form
Transit COVID-19 Response Program
ECHO-Web
ECHO-Web Payment Request System
FACES
User Management

*Welcome to the Transit Integrated Appian Platform!*
*Current user:* **Khan, Benen**
*Last Login Date:* **2/9/2024 10:36 AM EST**

*Please select a system above. To set a default system, click on the star next to desired system. For any questions, please contact the FTA Application Helpdesk at FTAITHelpdesk@dot.gov.*

*Commitment to Accessibility: DOT is committed to ensuring that information is available in appropriate alternative formats to meet the requirements of persons who have a disability. If you require an alternative version of this file, please contact FTAWebAccessibility@dot.gov.*

All new users will have to set up **Security Questions and Answers (Q&As)** to ensure the security of the account and to provide a mechanism to re-establish access when lost due to a lockout, etc. **It is strongly recommended that all users set up account security questions.** Click on, “Click here to finish setting up your Security Questions and Answers” to continue.

4) On the **Manage Security Questions** page, select three questions and provide appropriate answers that can be easily recalled when needed. A few rules apply to the setting of Security Q&As:

    a. All users can set up and manage three (3) security questions through the **Manage Security Questions** page.

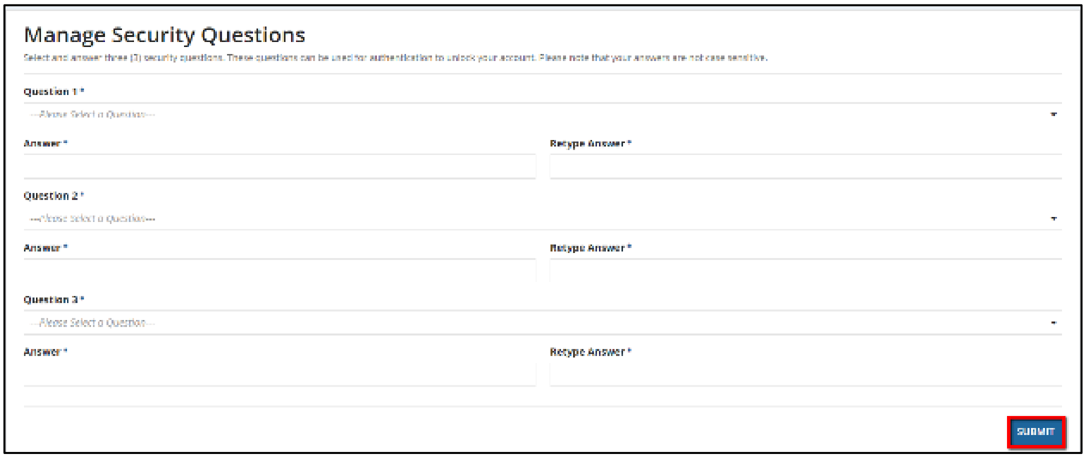
    b. Questions must be selected from an FTA approved list and 3 distinct questions must be selected.

    c. Answers must contain at least three (3) characters and the same answer cannot be used for more than one question.

    d. Answers are case insensitive (e.g., “dog” is the same as “DOG”).

    e. Once questions are established, users must correctly answer their existing questions to change them. Section 5.2.3 address how to change existing security questions.

5) Click ***Submit***.



Manage Security Questions

Select and answer three (3) security questions. These questions can be used for authentication to unlock your account. Please note that your answers are not case sensitive.

Question 1 *

---Please Select a Question---

Answer * | Retype Answer *

Question 2 *

---Please Select a Question---

Answer * | Retype Answer *

Question 3 *

---Please Select a Question---

Answer * | Retype Answer *

6) Users will receive an automated email notification that their questions have been updated.

## 2.2. Logging In

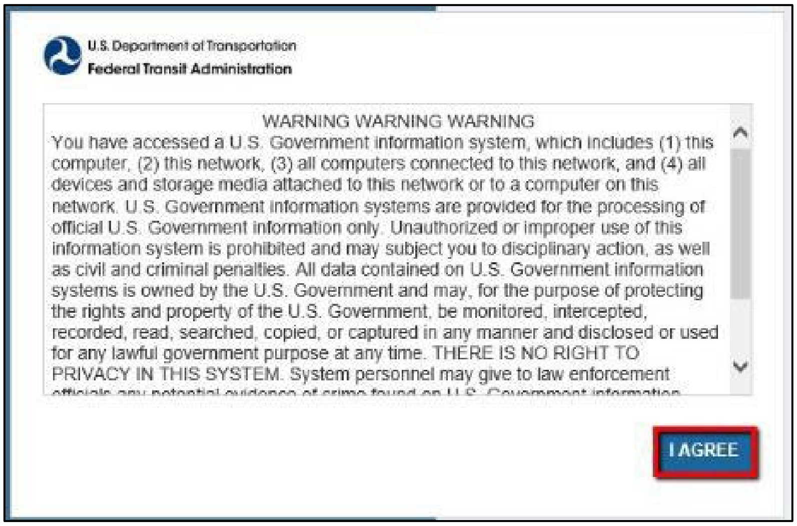
FACES manages user access to the FTA platforms via the FACES login page, accessed via a web browser. Two login methods are available, but one is only accessible to FTA employees using FTA's internal network. User access to software systems like TrAMS and NTD is based on the user's assigned **Roles**.

### 2.2.1 Standard Login (Non-FTA Employee)

Non-FTA Employees will be redirected to Login.gov for authentication.

To login:

1) Open a web browser and enter the FACES URL, https://faces.fta.dot.gov/.



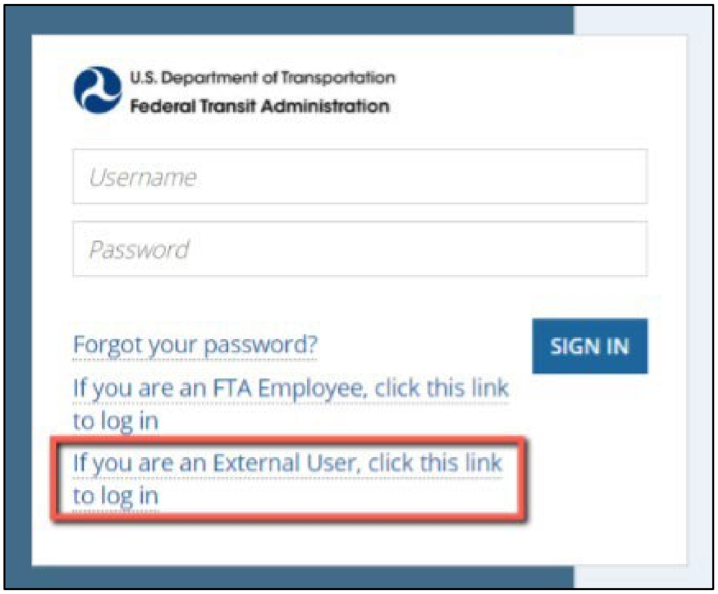
U.S. Department of Transportation
Federal Transit Administration

WARNING WARNING WARNING

You have accessed a U.S. Government information system, which includes (1) this computer, (2) this network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. U.S. Government information systems are provided for the processing of official U.S. Government information only. Unauthorized or improper use of this information system is prohibited and may subject you to disciplinary action, as well as civil and criminal penalties. All data contained on U.S. Government information systems is owned by the U.S. Government and may, for the purpose of protecting the rights and property of the U.S. Government, be monitored, intercepted, recorded, read, searched, copied, or captured in any manner and disclosed or used for any lawful government purpose at any time. THERE IS NO RIGHT TO PRIVACY IN THIS SYSTEM. System personnel may give to law enforcement officials any potential evidence of crime found on U.S. Government information

2) Read the security policy and click ***I AGREE***.

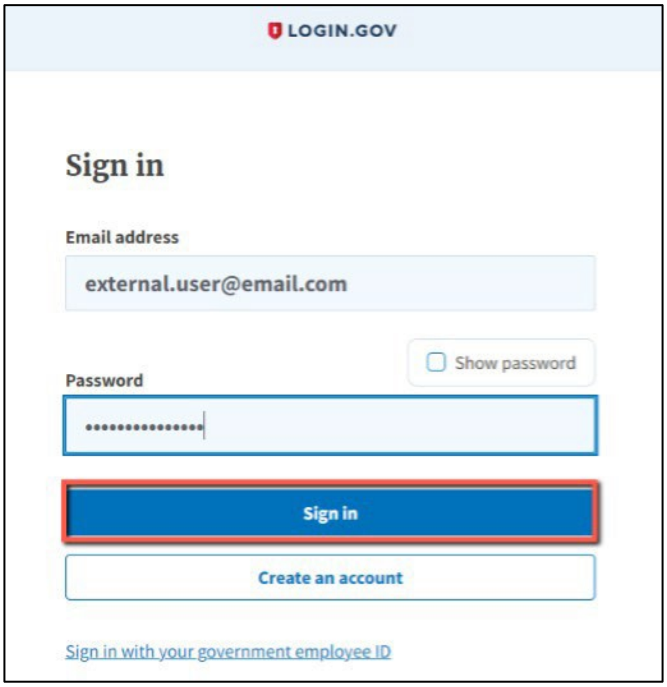
3) On the login page, select the ***If you are an External user, click this link to log in*** link next to ***Sign In***.



U.S. Department of Transportation
Federal Transit Administration

Username
Password
Forgot your password?
SIGN IN
If you are an FTA Employee, click this link to log in
If you are an External User, click this link to log in

4) Users will be redirected to Login.gov where all external users will need to sign in with the account that was created in section 2.1.1 and will need to be authenticated with the authentication method that was set up.



Sign in

Email address

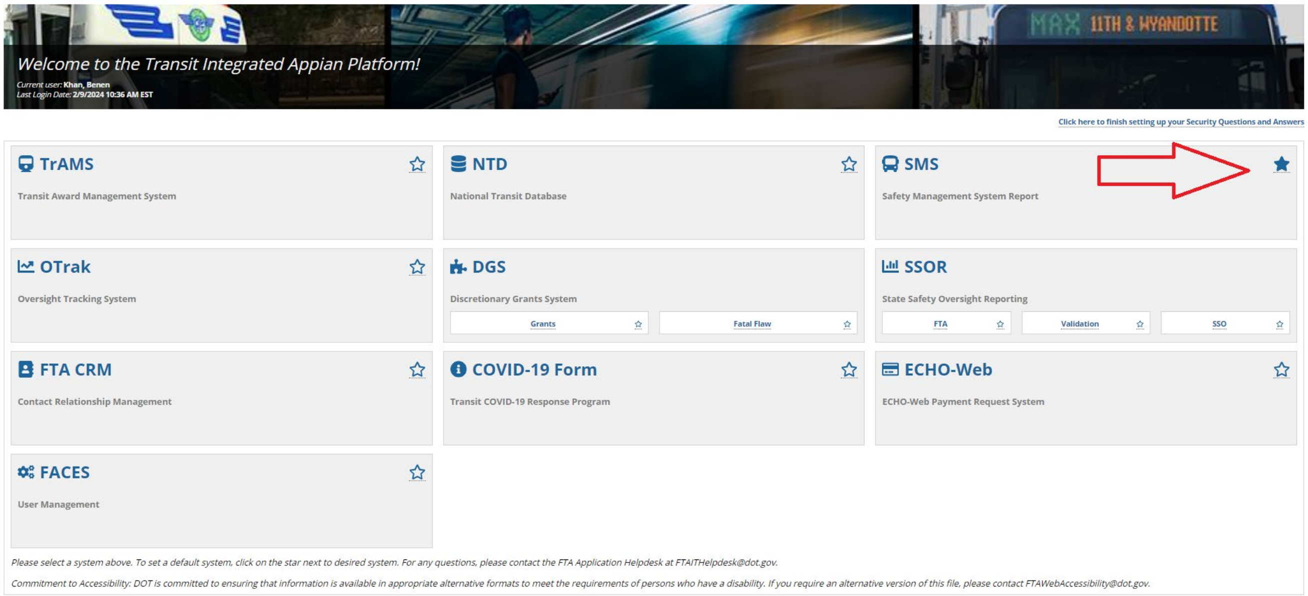
external.user@email.com

Password

☐ Show password

•••••••••••••••

5) The user will be taken to the **Homepage**, where the user has the option to click the system they wish to use. If the user has access to more than one FTA platform (TrAMS, NTD, DGS, SSOR or FACES) all those options will be available to click.



*Welcome to the Transit Integrated Appian Platform!*

*Current user:* Khan, Benen
*Last Login Date:* 2/9/2024 10:36 AM EST

Click here to finish setting up your Security Questions and Answers
TrAMS
Transit Award Management System
NTD
National Transit Database
SMS
Safety Management System Report
OTrak
Oversight Tracking System
DGS
Discretionary Grants System
Grants
Fatal Flaw
SSOR
State Safety Oversight Reporting
FTA
Validation
SSO
FTA CRM
Contact Relationship Management
COVID-19 Form
Transit COVID-19 Response Program
ECHO-Web
ECHO-Web Payment Request System
FACES
User Management

*Please select a system above. To set a default system, click on the star next to desired system. For any questions, please contact the FTA Application Helpdesk at FTAITHelpdesk@dot.gov.*

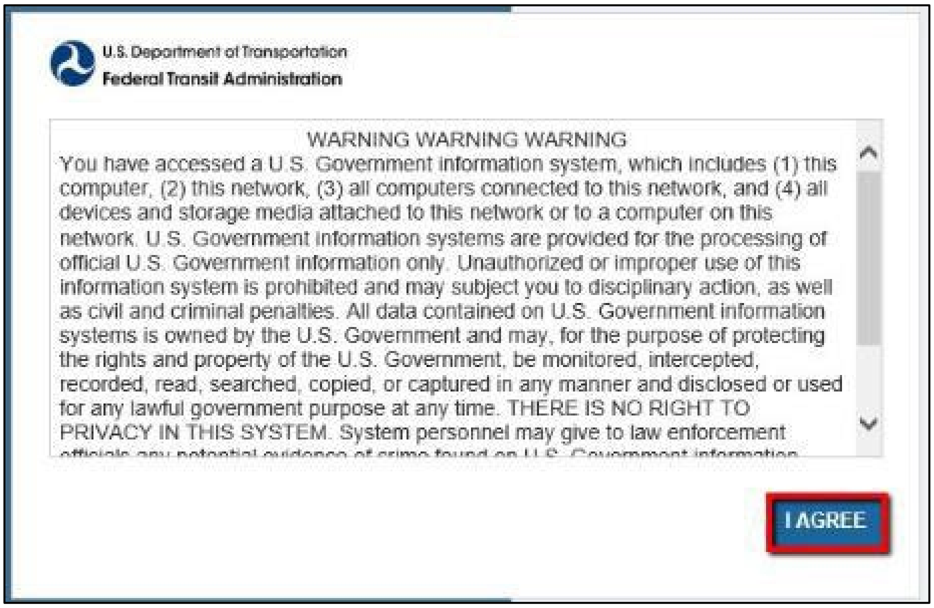
*Commitment to Accessibility: DOT is committed to ensuring that information is available in appropriate alternative formats to meet the requirements of persons who have a disability. If you require an alternative version of this file, please contact FTAWebAccessibility@dot.gov.*

### 2.2.2 FTA Employee Login

FTA employees should access FACES via the FTA network.

To log in:

1) Open a web browser and enter the FACES URL, https://faces.fta.dot.gov/.

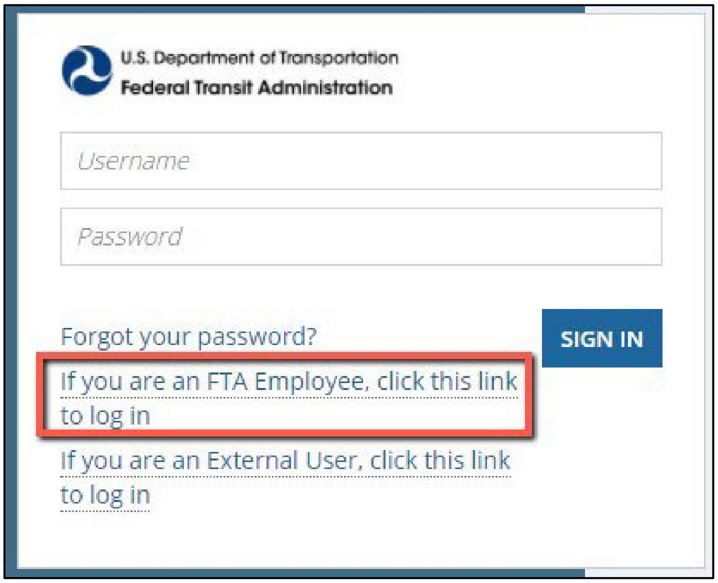

U.S. Department of Transportation
Federal Transit Administration
I AGREE

WARNING WARNING WARNING

You have accessed a U.S. Government information system, which includes (1) this computer, (2) this network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. U.S. Government information systems are provided for the processing of official U.S. Government information only. Unauthorized or improper use of this information system is prohibited and may subject you to disciplinary action, as well as civil and criminal penalties. All data contained on U.S. Government information systems is owned by the U.S. Government and may, for the purpose of protecting the rights and property of the U.S. Government, be monitored, intercepted, recorded, read, searched, copied, or captured in any manner and disclosed or used for any lawful government purpose at any time. THERE IS NO RIGHT TO PRIVACY IN THIS SYSTEM. System personnel may give to law enforcement officials any potential evidence of crime found on U.S. Government information

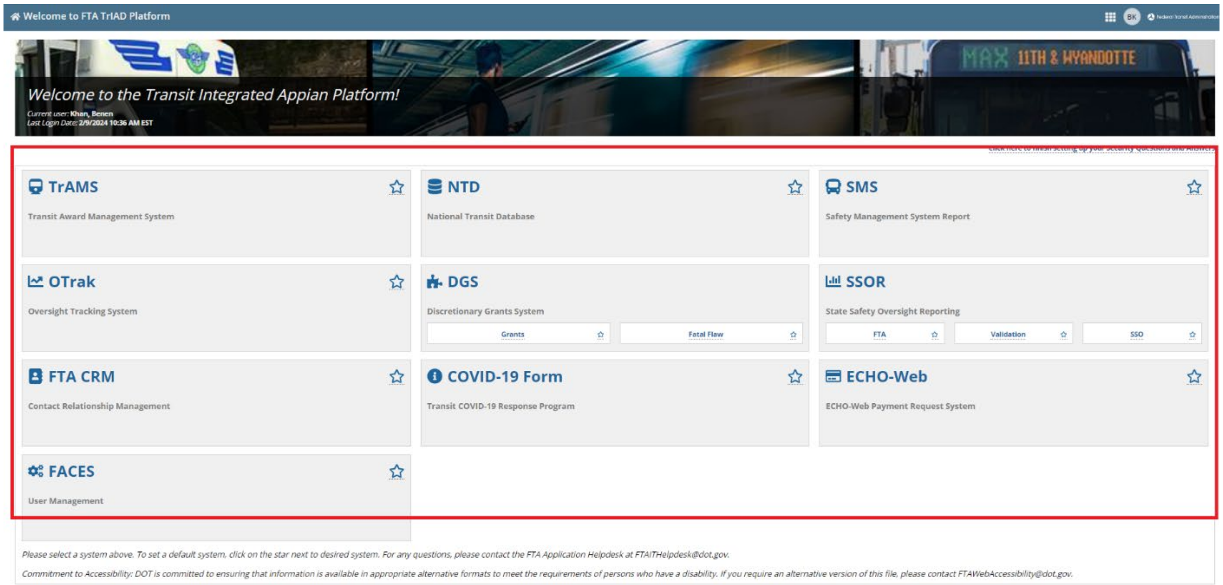
2) Read the security policy and select ***I AGREE***.

3) On the login page, select the ***If you are an FTA Employee, click this link to login*** link.


U.S. Department of Transportation
Federal Transit Administration
Username
Password
Forgot your password?
SIGN IN
If you are an FTA Employee, click this link to log in
If you are an External User, click this link to log in

4) FTA Users will be automatically taken into the TrIAD Platform home page if they are in FTA network or logged into VPN.

5) On the Homepage, the user has the option to click the system they wish to use. If the user has access to more than one FTA platform (TrAMS, NTD, DGS, SSOR or FACES) all those options will be available as an option on the Homepage.

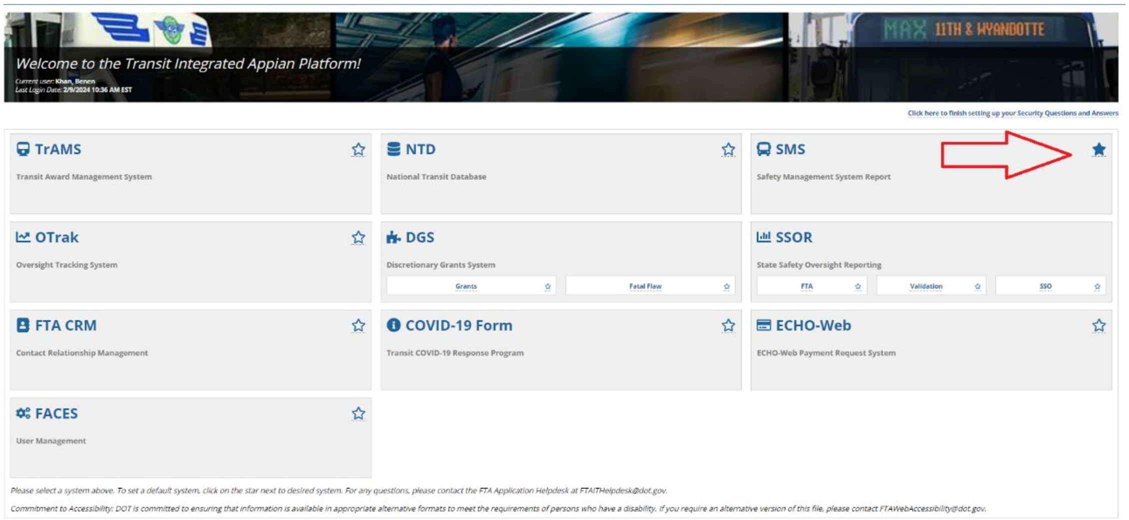

Welcome to FTA TrIAD Platform
BK
Welcome to the Transit Integrated Appian Platform!
Current user: Khan, Benen
Last Login Date: 2/9/2024 10:36 AM EST
TrAMS
Transit Award Management System
NTD
National Transit Database
SMS
Safety Management System Report
OTrak
Oversight Tracking System
DGS
Discretionary Grants System
Grants
Fatal Flaw
SSOR
State Safety Oversight Reporting
FTA
Validation
SSO
FTA CRM
Contact Relationship Management
COVID-19 Form
Transit COVID-19 Response Program
ECHO-Web
ECHO-Web Payment Request System
FACES
User Management

*Please select a system above. To set a default system, click on the star next to desired system. For any questions, please contact the FTA Application Helpdesk at FTAITHelpdesk@dot.gov.*

*Commitment to Accessibility: DOT is committed to ensuring that information is available in appropriate alternative formats to meet the requirements of persons who have a disability. If you require an alternative version of this file, please contact FTAWebAccessibility@dot.gov.*

### 2.2.3 Setting A Default System

The Homepage has the option for a user to select an FTA System to become the default system they log into the next time the user logs in. This is done by clicking on one of the stars next to the system you wish to make your default.


Welcome to the Transit Integrated Appian Platform!
Current user: Khan, Benen
Last Login Date: 2/9/2024 10:36 AM EST
Click here to finish setting up your Security Questions and Answers
TrAMS
Transit Award Management System
NTD
National Transit Database
SMS
Safety Management System Report
OTrak
Oversight Tracking System
DGS
Discretionary Grants System
Grants
Fatal Flaw
SSOR
State Safety Oversight Reporting
FTA
Validation
SSO
FTA CRM
Contact Relationship Management
COVID-19 Form
Transit COVID-19 Response Program
ECHO-Web
ECHO-Web Payment Request System
FACES
User Management

*Please select a system above. To set a default system, click on the star next to desired system. For any questions, please contact the FTA Application Helpdesk at FTAITHelpdesk@dot.gov.*

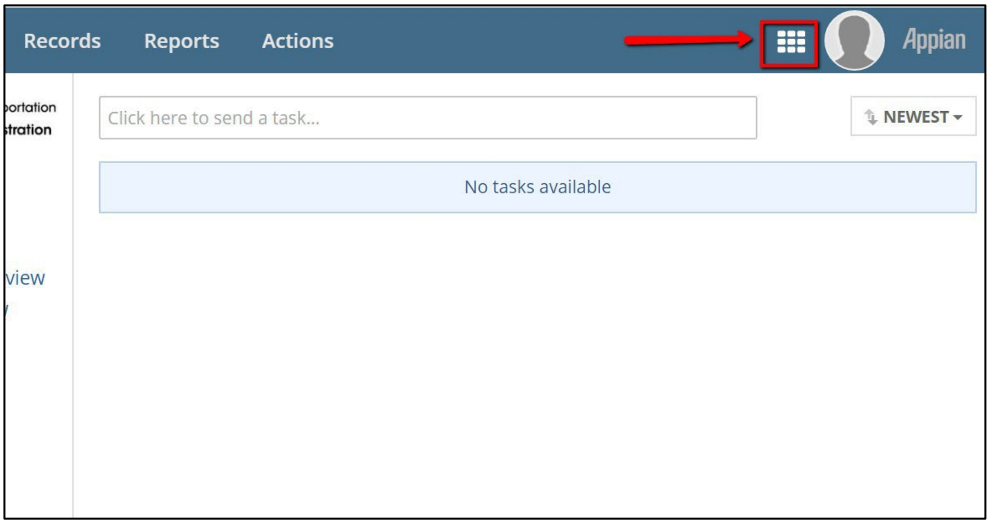
*Commitment to Accessibility: DOT is committed to ensuring that information is available in appropriate alternative formats to meet the requirements of persons who have a disability. If you require an alternative version of this file, please contact FTAWebAccessibility@dot.gov.*

When a default system is selected, the next time a user logs in, they are taken to the default system and bypass the Sites Splash page.

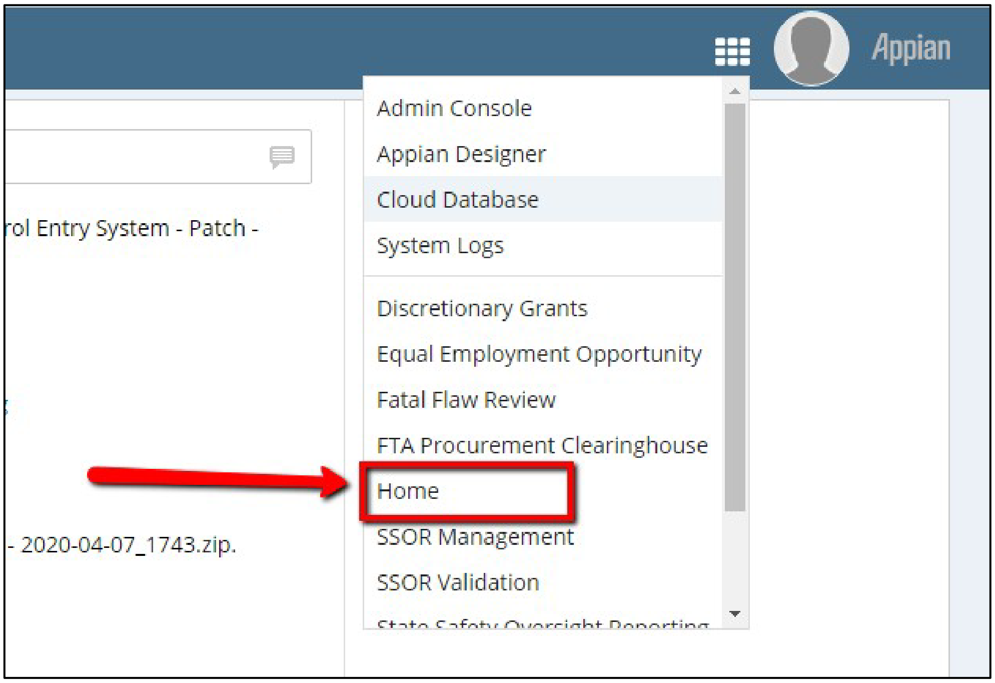
#### 2.2.3.1 Changing User Default System or Return to Homepage

If a user wishes to change their default system to another system, they can do so by returning to the Homepage. To return to the home page,

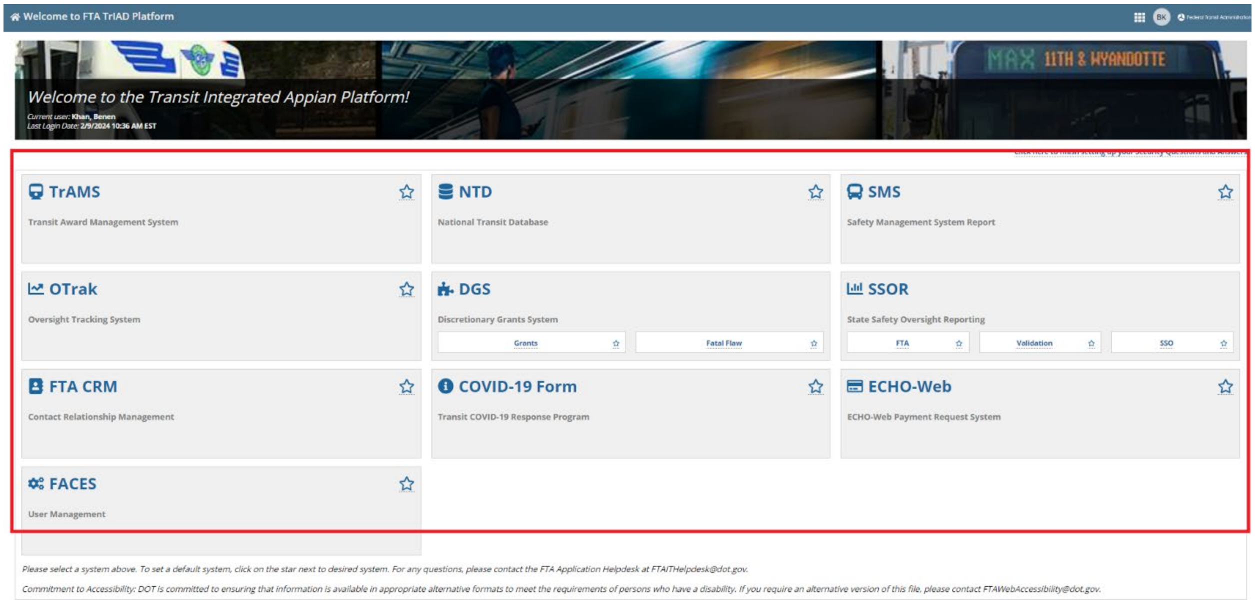
1) Click on the **NAVIGATION** button at the top right corner, next to the avatar.



2) In the drop-down menu, find Home and click on it.



3) The user is taken back to the Homepage and can select another system to make a default system.



Welcome to FTA TrIAD Platform

Welcome to the Transit Integrated Appian Platform!

Current user: Khan, Benen

Last Login Date: 2/9/2024 10:36 AM EST

TrAMS ☆ Transit Award Management System

NTD ☆ National Transit Database

SMS ☆ Safety Management System Report

OTrak ☆ Oversight Tracking System

DGS Discretionary Grants System — Grants ☆ | Fatal Flaw ☆

SSOR State Safety Oversight Reporting — FTA ☆ | Validation ☆ | SSO ☆

FTA CRM ☆ Contact Relationship Management

COVID-19 Form ☆ Transit COVID-19 Response Program

ECHO-Web ☆ ECHO-Web Payment Request System

FACES ☆ User Management

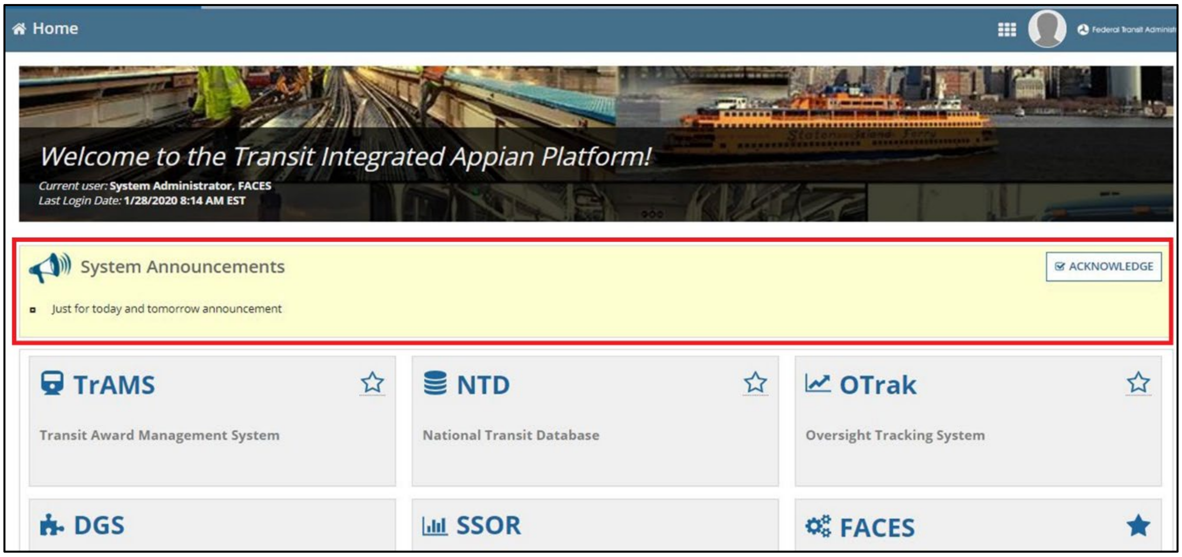
*Please select a system above. To set a default system, click on the star next to desired system. For any questions, please contact the FTA Application Helpdesk at FTAITHelpdesk@dot.gov.*

*Commitment to Accessibility: DOT is committed to ensuring that information is available in appropriate alternative formats to meet the requirements of persons who have a disability. If you require an alternative version of this file, please contact FTAWebAccessibility@dot.gov.*

4) The next time the user logs in, they will then be taken to the new default system.

### 2.2.4 System Announcements

System Announcements are often needed to communicate to users about important information. When an announcement is created, it is posted in a yellow banner in the Homepage as shown below.



Home

Welcome to the Transit Integrated Appian Platform!

Current user: System Administrator, FACES

Last Login Date: 1/28/2020 8:14 AM EST

System Announcements

ACKNOWLEDGE

- Just for today and tomorrow announcement

TrAMS ☆ Transit Award Management System

NTD ☆ National Transit Database

OTrak ☆ Oversight Tracking System

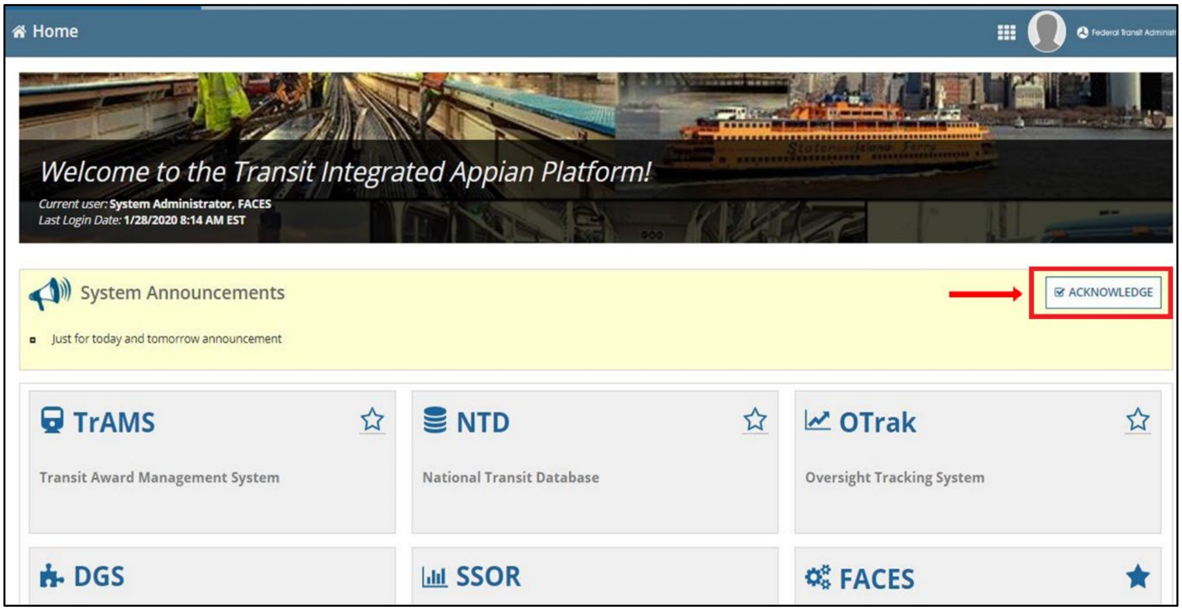
DGS

SSOR

FACES ★

All users regardless of having set a default system (4.2.3 Setting A Default System) or not, will be redirected to the FTA Homepage when they log in. System Announcements will remain visible on the Homepage until they expire. The user can bypass being automatically directed to the Sites Splash page when they log in by acknowledging the System Announcement.

To acknowledge the System Announcement(s), click on **ACKNOWLEDGE** to the right of the banner.


Home
Welcome to the Transit Integrated Appian Platform!
Current user: System Administrator, FACES
Last Login Date: 1/28/2020 8:14 AM EST
System Announcements
ACKNOWLEDGE
Just for today and tomorrow announcement
TrAMS
Transit Award Management System
NTD
National Transit Database
OTrak
Oversight Tracking System
DGS
SSOR
FACES

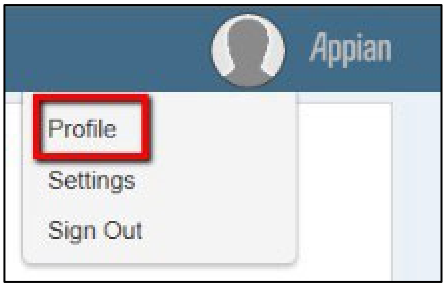
The next time the user logs in, they are directed to their default system if they elected one. However, anytime there is a new System Announcement, the user will always be directed to the FTA Home page when they login until they have acknowledged the announcement.

### 2.2.5 Accessing User Record

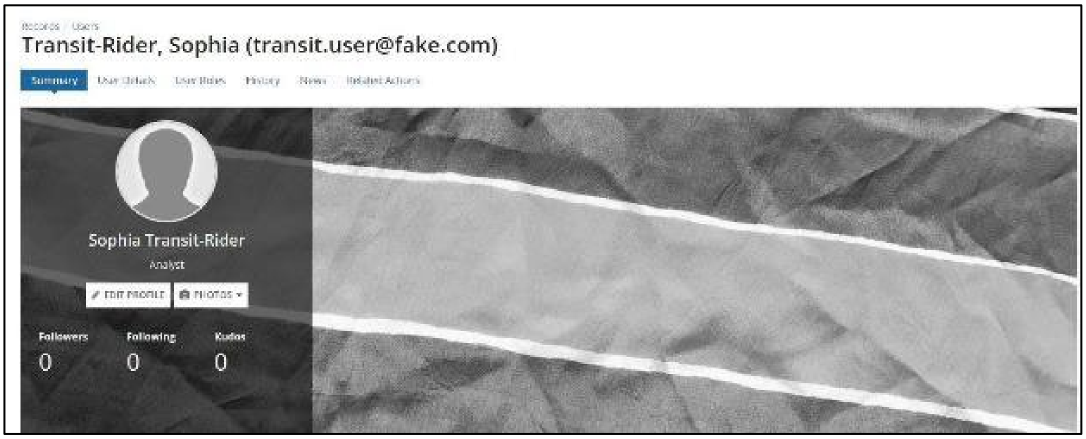
A user can access their own profile in two different ways: from either the ***Account*** information area or through the ***Records*** tab.

To view your own **Profile** from the ***Account*** information area:

1) Select the down arrow next to the user's name to reveal the dropdown menu and click ***Profile***.



2) The user records **Summary Page** displays.



## 2.3. Account Information

### 2.3.1 Non-FTA User Setup

FACES stores user profile information such as name, username, address, contact information, security questions, and PINs. User information displays on the user's record as discussed in Section 6.4. Users can self-manage security questions and PINs (no other user can set up security questions or PINs for another user). Administrators and appropriate chain of command (e.g., User Managers) can modify specific user profile information and role assignment.

There are explicit rules controlling access to user information within the system:

1) FTA users cannot edit their **Profile** information (this is automatically handled via a nightly data sync with FTA systems).

2) Non-FTA users can edit all **Profile** information other than their username AND email address.

3) **User Managers** can edit **Profile** information for users in their organizations.

4) **Local Security Managers (LSMs)** can edit the user **Profile** of users in their FTA Regions/Cost Centers.

5) **Global Security Managers (GSMs)** can edit the user **Profile** of any non-FTA user in their system (e.g., a TrAMS GSM can manage the profile of any non-FTA user in TrAMS).

6) All users can self-manage their security questions and, if applicable, their PINs.

### 2.3.2 Account Settings

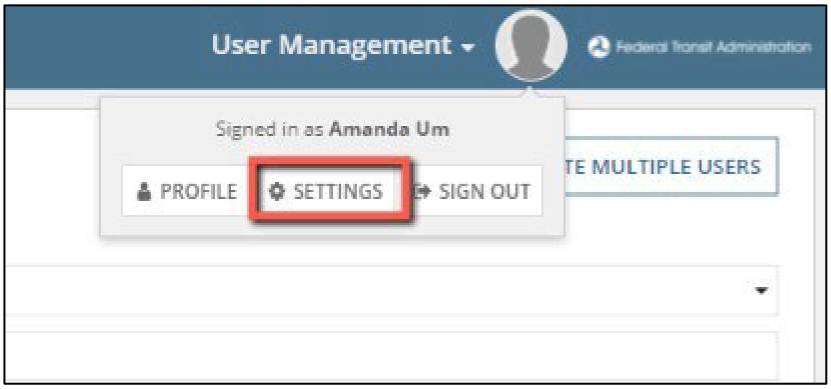
The account settings page provides a way for the user to manage their own preferred localized settings for date/time formats, language, and time zone.

Non-FTA users can also change their password via the settings page. The following settings can be adjusted:

- Language
- Time Zone
- Calendar Type
- To access user account

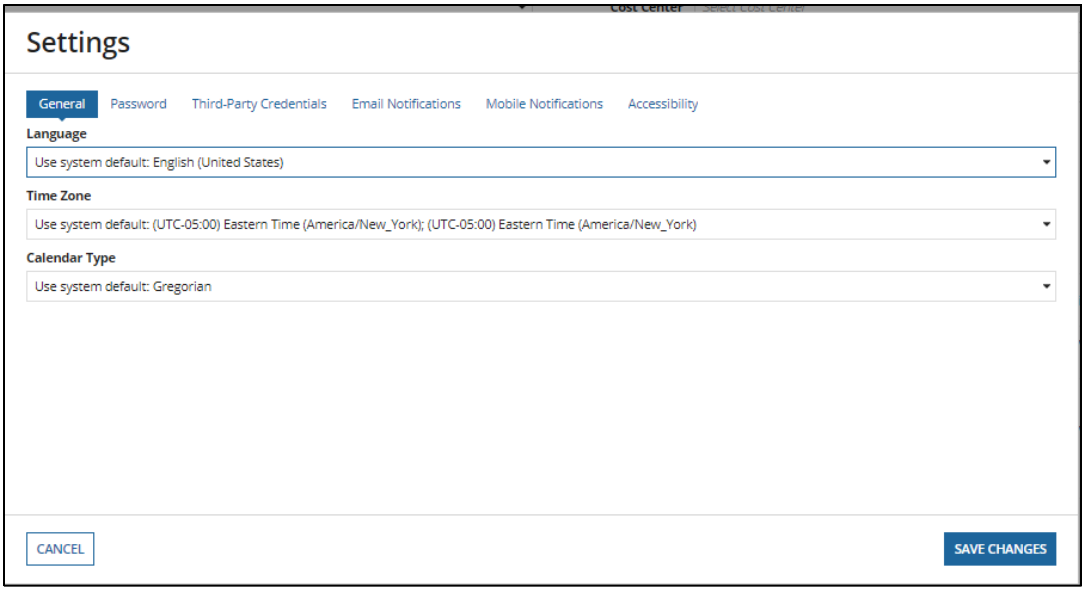
Settings:

1) Select the icon (circular image) in the top right-corner of the screen to reveal a dropdown menu and click **Settings**.



Signed in as Amanda Um

2) The **General** tab displays.



Language: Use system default: English (United States)

Time Zone: Use system default: (UTC-05:00) Eastern Time (America/New_York); (UTC-05:00) Eastern Time (America/New_York)

Calendar Type: Use system default: Gregorian

3) Using the dropdown lists for Language, Time Zone, and Calendar Year, make whatever adjustments are necessary.

| **Note:** | *At present, English is the only language available for selection.* |
|---|---|

4) Click ***Save Changes*** to update the settings.

## 2.4. Passwords

Login Passwords are handled differently for FTA Employees and Non-FTA Employees. Please make sure to review the appropriate password related sections for FTA or Non-FTA Employees.

### 2.4.1 Forgotten Passwords (FTA Employees Only)

If the user has forgotten their password, they will need to contact 5-Help to rest their password.

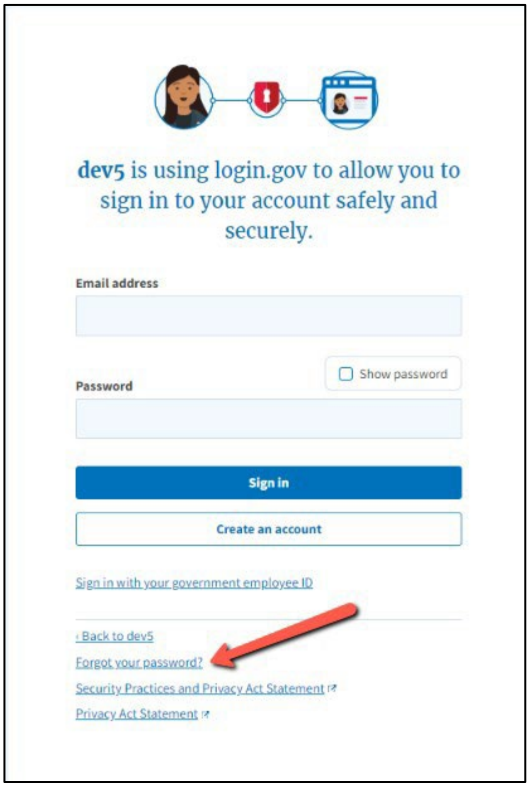
- **Internal:** 5-HELP (x5-4357)
- **External:** (202) 385-4357
- **Toll-free:** (866) 466-5221

### 2.4.2 Forgot Login.gov Password (Non-FTA Employees Only)

If a non-FTA Employee has forgotten their password, they can reset it by using a link on the Login.gov screen.

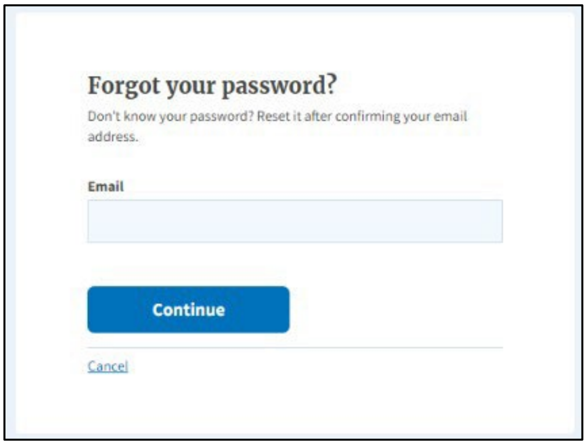
To reset a forgotten password:

1) On the Login.gov sign in screen, click on Forgot your password?



**dev5** is using login.gov to allow you to sign in to your account safely and securely.

2) Enter the users email address and click Continue.

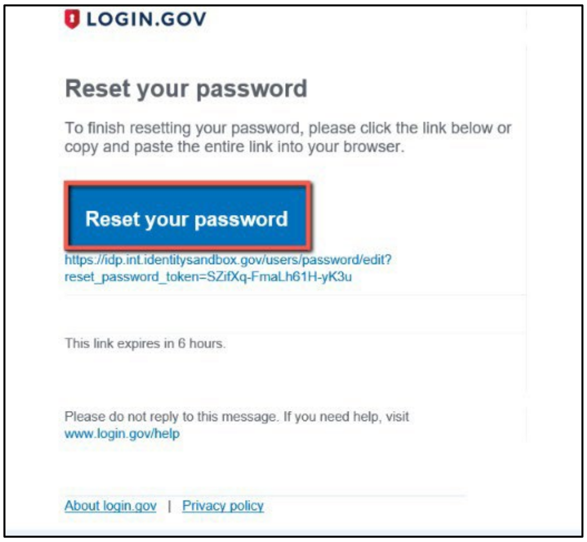


**Forgot your password?**

Don't know your password? Reset it after confirming your email address.

Email

3) Look for an email “Reset your password” from Login.gov and click on Reset your password link in the body of the email.



**Reset your password**

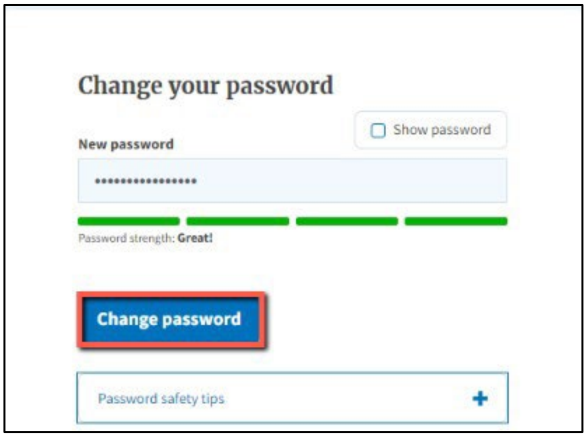
To finish resetting your password, please click the link below or copy and paste the entire link into your browser.

https://idp.int.identitysandbox.gov/users/password/edit?reset_password_token=SZifXq-FmaLh61H-yK3u

This link expires in 6 hours.

Please do not reply to this message. If you need help, visit www.login.gov/help

4) User is taken to Login.gov page to change the password, enter new password and click on Change password.



**Change your password**

New password: ••••••••••••••••

□ Show password

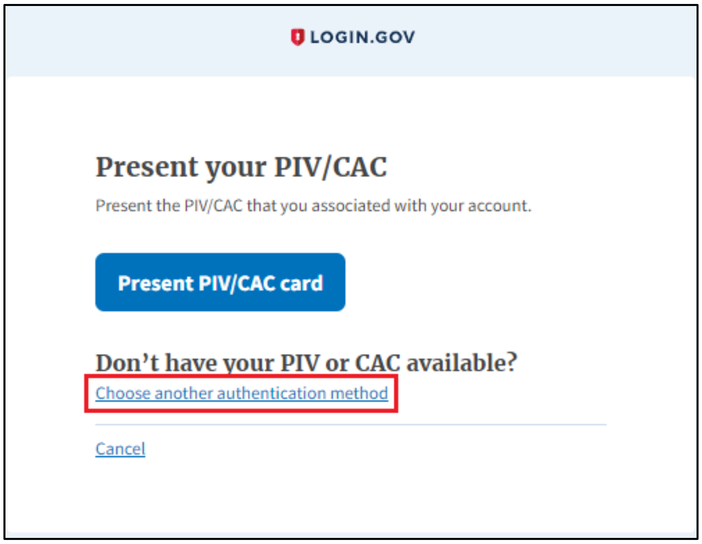
Password strength: **Great!**

5) The user can sign in using their email and newly created password.

### 2.4.3 Reset Login.gov Account (Non-FTA Employees Only)

If a user is unable to login to Login.gov using their password and authentication method(s), they will need to delete their account. As a security measure, Login.gov requires a two-step process and 24-hour waiting period if you have lost access to your authentication methods and need to delete your account.

1) Sign in with your email and password.
2) On the authentication page (enter your security, app, or backup code; PIV/CAC card; or security key), click on “Choose another security option”.



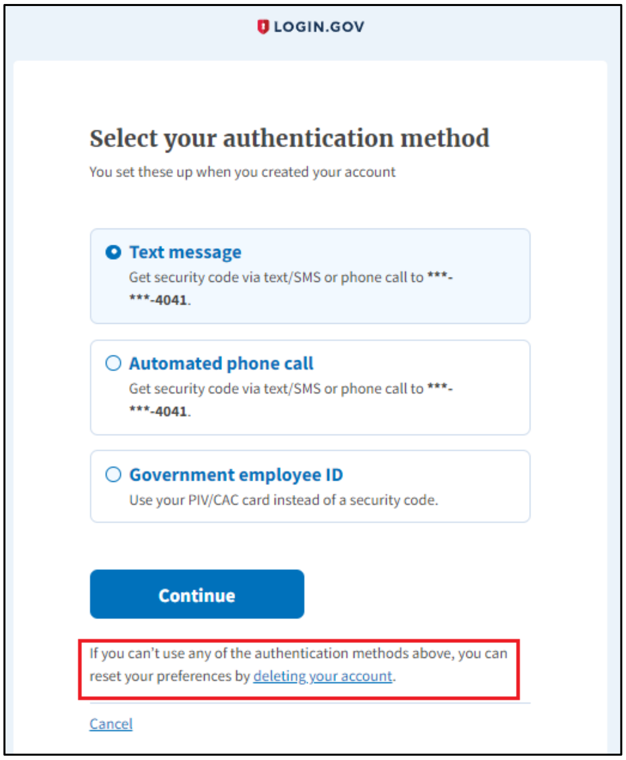
LOGIN.GOV

Present your PIV/CAC

Present the PIV/CAC that you associated with your account.

Don’t have your PIV or CAC available?

3) Scroll to the bottom and click on the “deleting your account” link.



Select your authentication method

You set these up when you created your account

● **Text message**
Get security code via text/SMS or phone call to ***-***-4041.

○ **Automated phone call**
Get security code via text/SMS or phone call to ***-***-4041.

○ **Government employee ID**
Use your PIV/CAC card instead of a security code.

If you can't use any of the authentication methods above, you can reset your preferences by deleting your account.

4) Read through all the information carefully to make sure deleting your account is your only option.

5) Click on "Yes, continue deletion".

6) You will receive two emails.

   - The first email confirms Login.gov received your request. Your account is not yet deleted. Additional action is required.
   - The second email is sent to you 24 hours later. Follow the directions in that email to complete the deletion process.

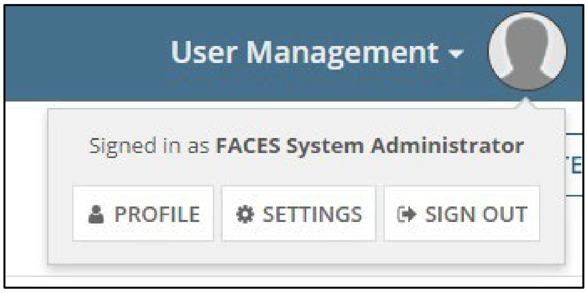
# 3. System Layout

The software systems residing on the FTA Platform, https://faces.fta.dot.gov, all share a common layout. This section provides a high-level view of the system and how to navigate, find, and work with data.

## 3.1. Account Information

***Account Information*** provides access to information specific to the user. It lists the user's first and last name. By selecting the username, the user will be presented with the following three options:

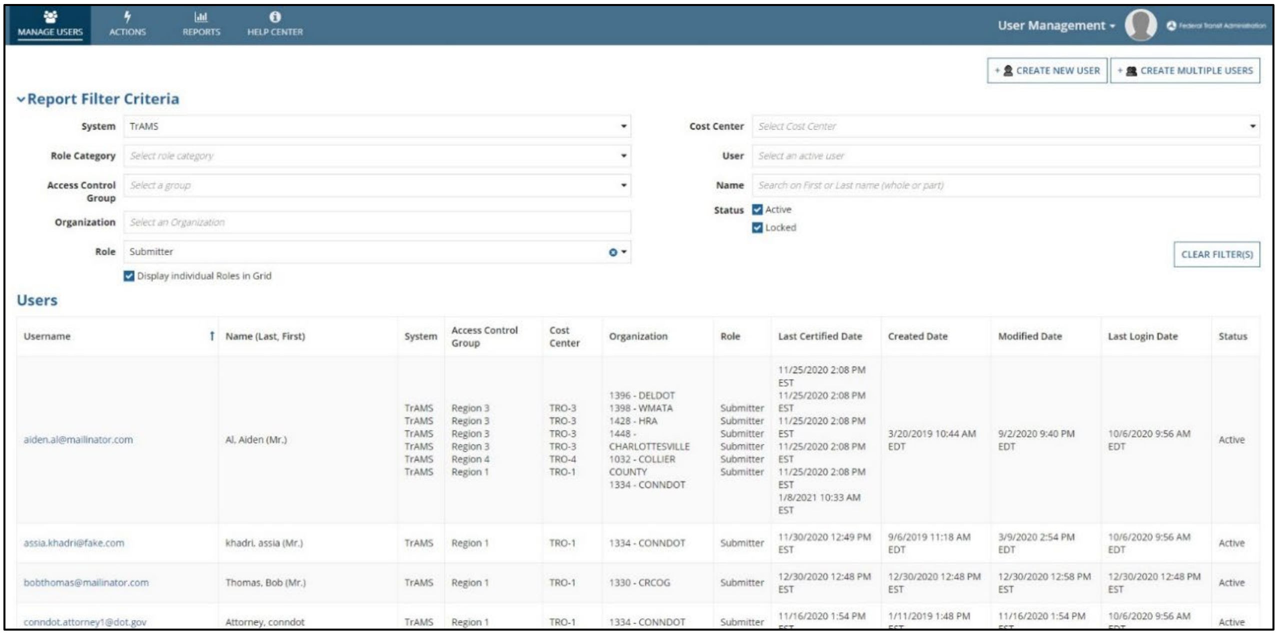
1) **Profile** – Provides a means for the user to view and update their individual profile information, and to set their Personnel Identification Number (PIN). Refer to Section 4, for more details.
2) **Settings** – Opens the Settings Page where the user can select language and time zone and subscribe to news feeds. Non-FTA users can also change their password here.
3) **Sign Out** – Select ***Sign Out*** to log out and exit FACES.



Signed in as **FACES System Administrator**

## 3.2. Manage Users

The **Manage users** tab provides access to view all users that the logged-in user is approved to see (generally, users within their same organization). More information on the content of user records is in Section 3.4 of this user guide.



Report Filter Criteria

System TrAMS
Role Category Select role category
Access Control Group Select a group
Organization Select an Organization
Role Submitter
☑ Display individual Roles in Grid
Cost Center Select Cost Center
User Select an active user
Name Search on First or Last name (whole or part)
Status ☑ Active ☑ Locked

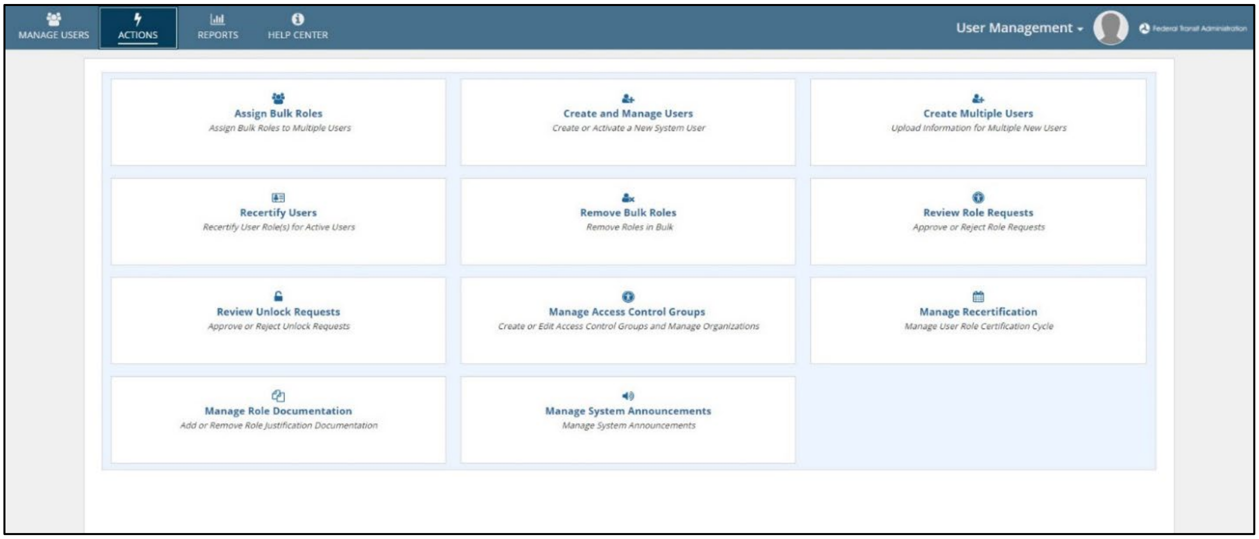
Users

| Username | Name (Last, First) | System | Access Control Group | Cost Center | Organization | Role | Last Certified Date | Created Date | Modified Date | Last Login Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|
| aiden.al@mailinator.com | Al, Aiden (Mr.) | TrAMS<br>TrAMS<br>TrAMS<br>TrAMS<br>TrAMS<br>TrAMS | Region 3<br>Region 3<br>Region 3<br>Region 3<br>Region 4<br>Region 1 | TRO-3<br>TRO-3<br>TRO-3<br>TRO-3<br>TRO-4<br>TRO-1 | 1396 - DELDOT<br>1398 - WMATA<br>1428 - HRA<br>1448 - CHARLOTTESVILLE<br>1032 - COLLIER COUNTY<br>1334 - CONNDOT | Submitter<br>Submitter<br>Submitter<br>Submitter<br>Submitter<br>Submitter | 11/25/2020 2:08 PM EST<br>11/25/2020 2:08 PM EST<br>11/25/2020 2:08 PM EST<br>11/25/2020 2:08 PM EST<br>11/25/2020 2:08 PM EST<br>1/8/2021 10:33 AM EST | 3/20/2019 10:44 AM EDT | 9/2/2020 9:40 PM EDT | 10/6/2020 9:56 AM EDT | Active |
| assia.khadri@fake.com | khadri, assia (Mr.) | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | Submitter | 11/30/2020 12:49 PM EST | 9/6/2019 11:18 AM EDT | 3/9/2020 2:54 PM EDT | 10/6/2020 9:56 AM EDT | Active |
| bobthomas@mailinator.com | Thomas, Bob (Mr.) | TrAMS | Region 1 | TRO-1 | 1330 - CRCOG | Submitter | 12/30/2020 12:48 PM EST | 12/30/2020 12:48 PM EST | 12/30/2020 12:58 PM EST | 12/30/2020 12:48 PM EST | Active |
| conndot.attorney1@dot.gov | Attorney, conndot | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | Submitter | 11/16/2020 1:54 PM | 1/11/2019 1:48 PM | 11/16/2020 1:54 PM | 10/6/2020 9:56 AM | Active |

Selecting a specific record displays a **User Summary Page**, containing detailed information associated with that selected user. The specific pages of the user record are discussed in Section 3.4.

## 3.3. Actions

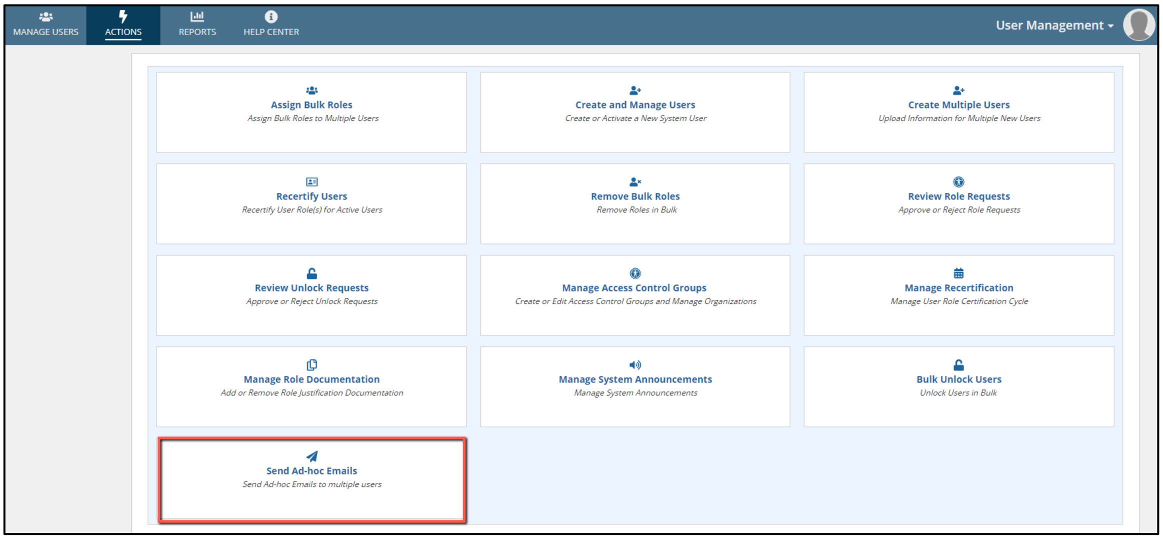
The **Actions** tab provides a list of actions that the logged-in user is approved to take within the system. In general, FACES actions are only visible to users with user management roles (e.g., User Managers, Local Security Managers, and Global Security Managers). In the case below, the User Manager is presented with a list allowing them to create and manage users (even multiple users), manage role documentation, review unlock requests, and perform searches for specific records. Users will see other actions specific to their roles in the other FTA software systems. The **Actions** available to any user are limited to their **role(s)**.


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Federal Transit Administration
Assign Bulk Roles
Assign Bulk Roles to Multiple Users
Create and Manage Users
Create or Activate a New System User
Create Multiple Users
Upload Information for Multiple New Users
Recertify Users
Recertify User Role(s) for Active Users
Remove Bulk Roles
Remove Roles in Bulk
Review Role Requests
Approve or Reject Role Requests
Review Unlock Requests
Approve or Reject Unlock Requests
Manage Access Control Groups
Create or Edit Access Control Groups and Manage Organizations
Manage Recertification
Manage User Role Certification Cycle
Manage Role Documentation
Add or Remove Role Justification Documentation
Manage System Announcements
Manage System Announcements

Selecting a specific Actions displays detailed information related to the Actions. The specific pages of the Actions are discussed in Section 6.5.

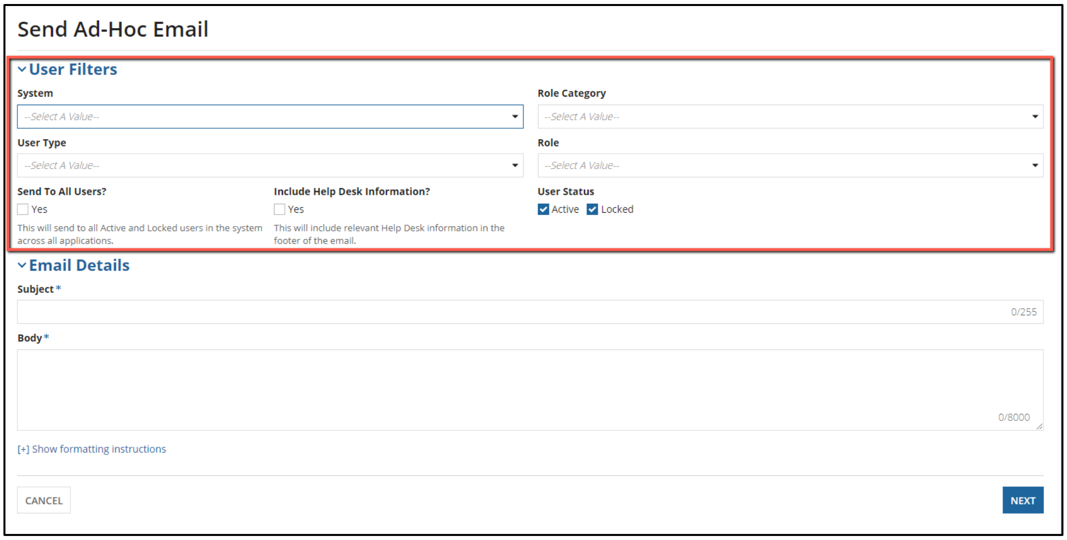
### 3.3.1 Action: Send Ad-hoc Emails (GSMs Only)

The Send Ad-hoc Emails action is available for all GSMs. This action can be used to send system-specific and user-specific emails for general information purposes.


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Assign Bulk Roles
Assign Bulk Roles to Multiple Users
Create and Manage Users
Create or Activate a New System User
Create Multiple Users
Upload Information for Multiple New Users
Recertify Users
Recertify User Role(s) for Active Users
Remove Bulk Roles
Remove Roles in Bulk
Review Role Requests
Approve or Reject Role Requests
Review Unlock Requests
Approve or Reject Unlock Requests
Manage Access Control Groups
Create or Edit Access Control Groups and Manage Organizations
Manage Recertification
Manage User Role Certification Cycle
Manage Role Documentation
Add or Remove Role Justification Documentation
Manage System Announcements
Manage System Announcements
Bulk Unlock Users
Unlock Users in Bulk
Send Ad-hoc Emails
Send Ad-hoc Emails to multiple users

To create and send an Ad-hoc email:

1) Under the Actions Tab click on Send Ad-hoc Emails.
2) On the next page the GSM can use the User Filters section to narrow down the audience for which the Ad-hoc email is intended for.



Send Ad-Hoc Email

User Filters

System: --Select A Value--

Role Category: --Select A Value--

User Type: --Select A Value--

Role: --Select A Value--

Send To All Users? □ Yes

This will send to all Active and Locked users in the system across all applications.

Include Help Desk Information? □ Yes

This will include relevant Help Desk information in the footer of the email.

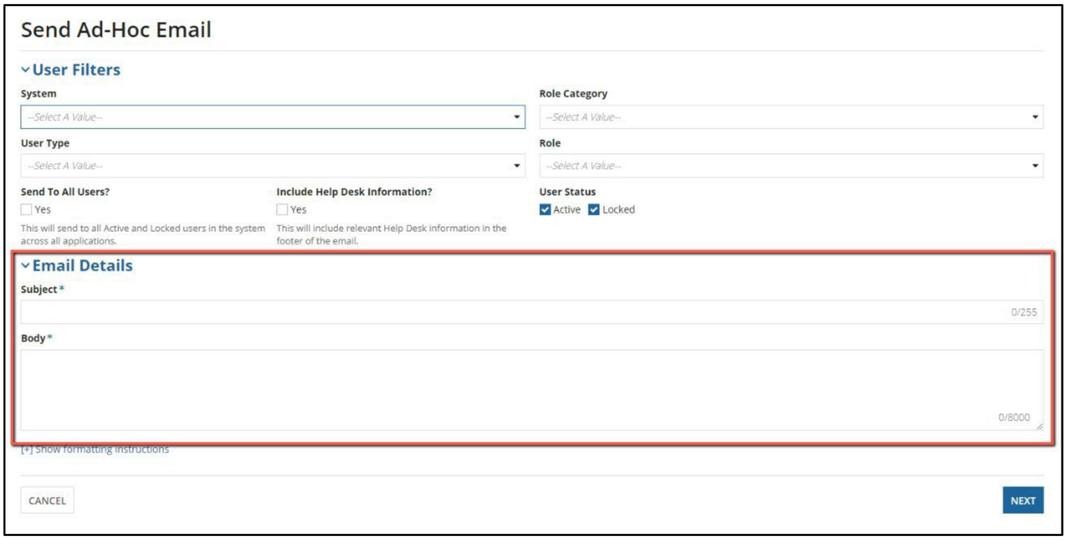
User Status: ☑ Active ☑ Locked

Email Details

Subject*: 0/255

Body*: 0/8000

3) In the Emails Details section, the GSM enters the Ad-hoc email message.



Send Ad-Hoc Email

User Filters

System: --Select A Value--

Role Category: --Select A Value--

User Type: --Select A Value--

Role: --Select A Value--

Send To All Users? □ Yes

This will send to all Active and Locked users in the system across all applications.

Include Help Desk Information? □ Yes

This will include relevant Help Desk information in the footer of the email.

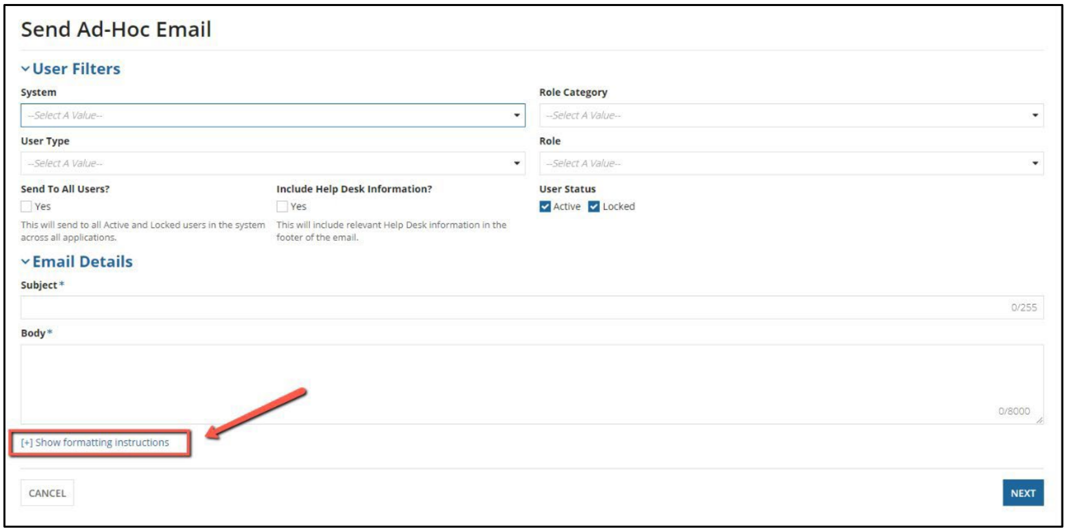
User Status: ☑ Active ☑ Locked

Email Details

Subject*: 0/255

Body*: 0/8000

4) Additional formatting instructions are available by clicking on **[+] Show Formatting Instructions**.


## Send Add-Hoc Email

**User Filters**

System: --Select A Value--

Role Category: --Select A Value--

User Type: --Select A Value--

Role: --Select A Value--

Send To All Users? □ Yes
This will send to all Active and Locked users in the system across all applications.

Include Help Desk Information? □ Yes
This will include relevant Help Desk information in the footer of the email.

User Status: ☑ Active ☑ Locked

**Email Details**

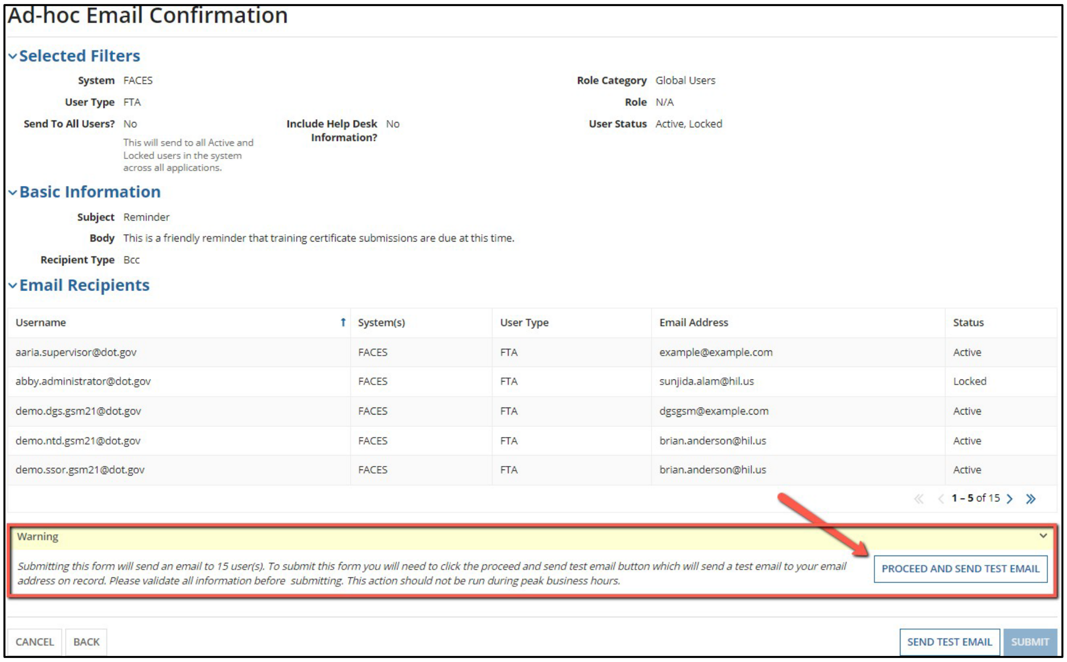
Subject * 0/255

Body * 0/8000

5) After completing the email, click "Next" to go to the next screen.

6) On the confirmation screen, the GSM can review all the details pertaining to the ad hoc email.

7) Towards the bottom of the page there is a warning banner which will show the number of users to whom the ad-hoc email will be sent. The GSM may click on **Proceed and Send Test Email**. This will send the GSM a test email.


## Ad-hoc Email Confirmation

**Selected Filters**

System: FACES

Role Category: Global Users

User Type: FTA

Role: N/A

Send To All Users? No
This will send to all Active and Locked users in the system across all applications.

Include Help Desk Information? No

User Status: Active, Locked

**Basic Information**

Subject: Reminder

Body: This is a friendly reminder that training certificate submissions are due at this time.

Recipient Type: Bcc

**Email Recipients**

| Username | System(s) | User Type | Email Address | Status |
|---|---|---|---|---|
| aaria.supervisor@dot.gov | FACES | FTA | example@example.com | Active |
| abby.administrator@dot.gov | FACES | FTA | sunjida.alam@hil.us | Locked |
| demo.dgs.gsm21@dot.gov | FACES | FTA | dgsgsm@example.com | Active |
| demo.ntd.gsm21@dot.gov | FACES | FTA | brian.anderson@hil.us | Active |
| demo.ssor.gsm21@dot.gov | FACES | FTA | brian.anderson@hil.us | Active |

1 – 5 of 15

Warning

*Submitting this form will send an email to 15 user(s). To submit this form you will need to click the proceed and send test email button which will send a test email to your email address on record. Please validate all information before submitting. This action should not be run during peak business hours.*

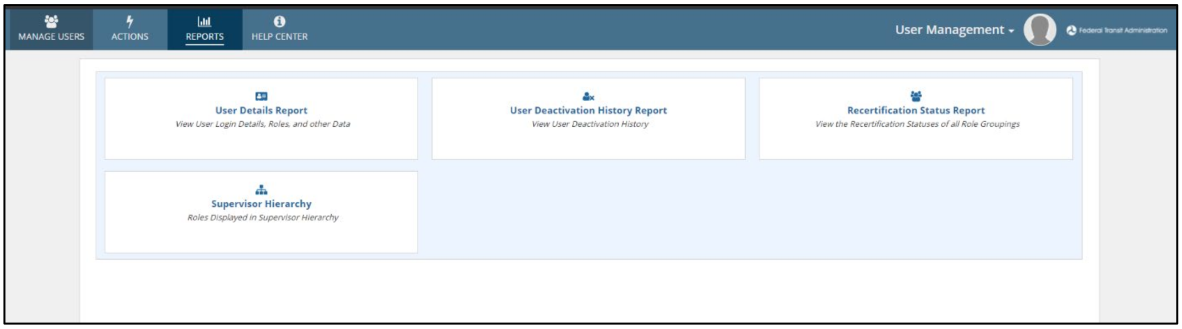
8) Any changes can be made to the email by clicking on Back.

9) When ready to send the final email, click on Submit.

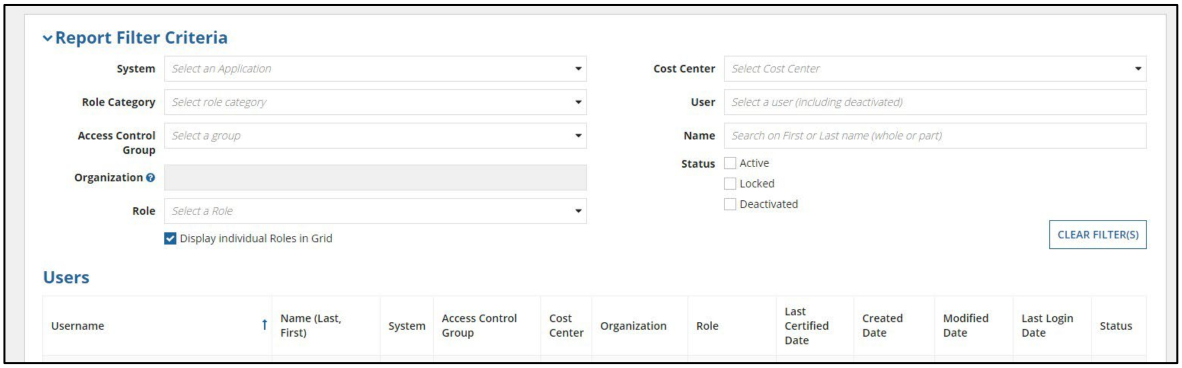
## 3.4. Reports

### 3.4.1 User Details Report

The **Reports** tab contains all reports that the user has access to. The purpose of this report is to provide a way to search for users by different characteristics. The logged-in user can only search for other users that he or she is approved to see (the same set of users that displays on the User records list in Section 3).


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Federal Transit Administration
User Details Report
View User Login Details, Roles, and other Data
User Deactivation History Report
View User Deactivation History
Recertification Status Report
View the Recertification Statuses of all Role Groupings
Supervisor Hierarchy
Roles Displayed in Supervisor Hierarchy

Selecting an individual report from the list will launch the report process that presents the finished report details to the page. Selecting ***User Details Report*** from above presents:


Report Filter Criteria

System: Select an Application

Role Category: Select role category

Access Control Group: Select a group

Organization:

Role: Select a Role

☑ Display individual Roles in Grid

Cost Center: Select Cost Center

User: Select a user (including deactivated)

Name: Search on First or Last name (whole or part)

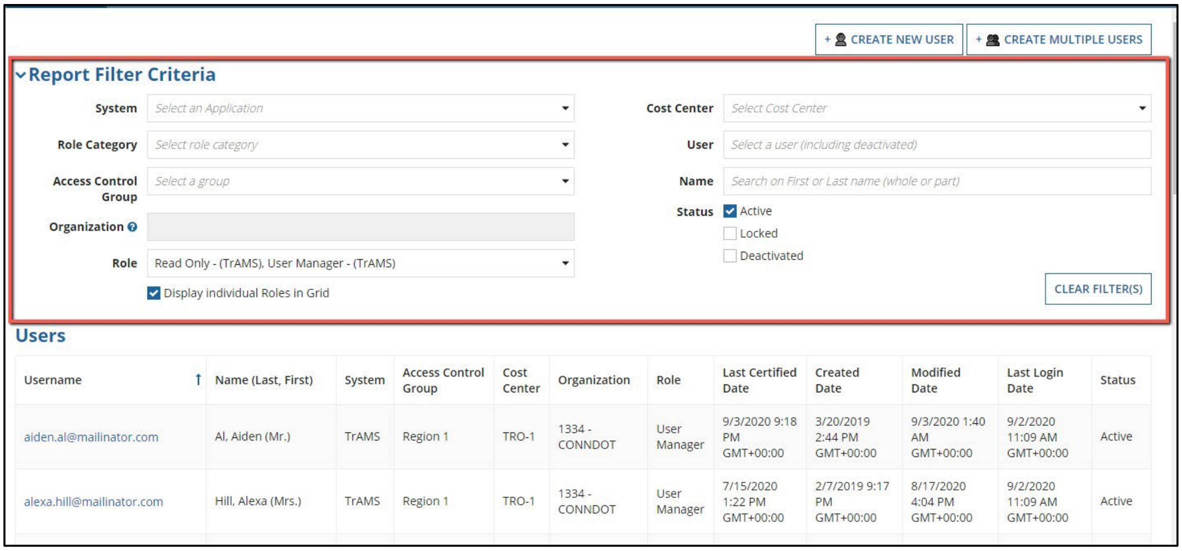
Status: □ Active □ Locked □ Deactivated

CLEAR FILTER(S)

Users

| Username ↑ | Name (Last, First) | System | Access Control Group | Cost Center | Organization | Role | Last Certified Date | Created Date | Modified Date | Last Login Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|

The report page provides several ways to filter the data presented. In most cases, the report filter is pre- determined by the logged-in user's characteristics (**Role Category**, **Access Control Group, Cost Center** and/or **Organization)**. The filter can be further limited by Username, or by partial name (first or last). The list can also be filtered by users who are **Active**, **Locked**, or **Deactivated**.



**Report Filter Criteria**

| | | | |
|---|---|---|---|
| System | Select an Application | Cost Center | Select Cost Center |
| Role Category | Select role category | User | Select a user (including deactivated) |
| Access Control Group | Select a group | Name | Search on First or Last name (whole or part) |
| Organization | | Status | ☑ Active<br>□ Locked<br>□ Deactivated |
| Role | Read Only - (TrAMS), User Manager - (TrAMS) | | |

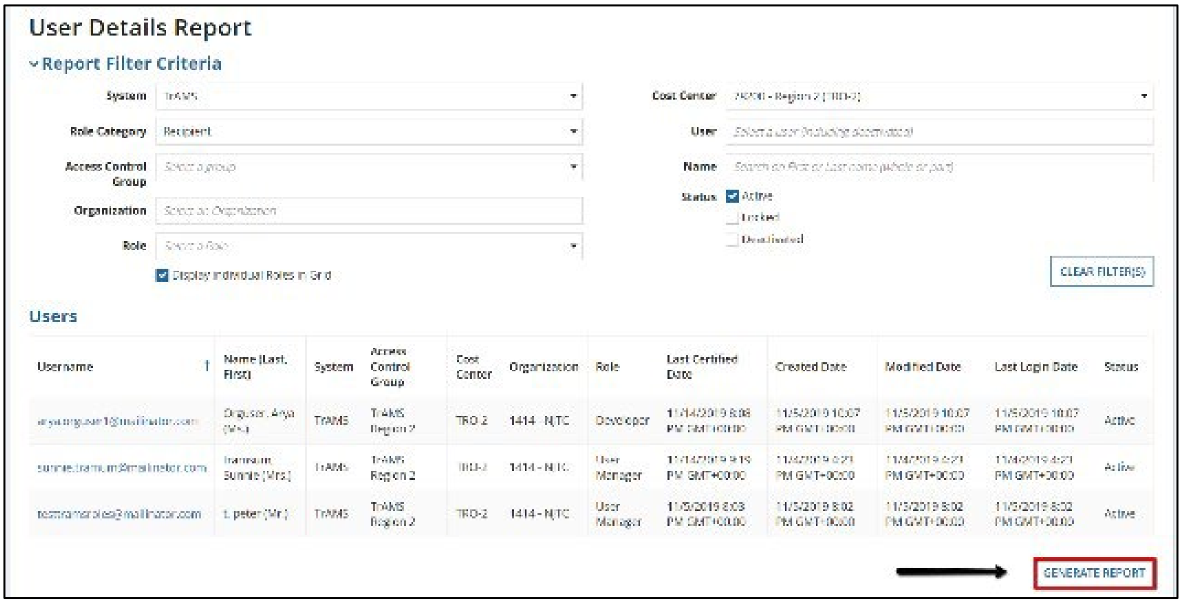
☑ Display individual Roles in Grid

**Users**

| Username | Name (Last, First) | System | Access Control Group | Cost Center | Organization | Role | Last Certified Date | Created Date | Modified Date | Last Login Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|
| aiden.al@mailinator.com | Al, Aiden (Mr.) | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | User Manager | 9/3/2020 9:18 PM GMT+00:00 | 3/20/2019 2:44 PM GMT+00:00 | 9/3/2020 1:40 AM GMT+00:00 | 9/2/2020 11:09 AM GMT+00:00 | Active |
| alexa.hill@mailinator.com | Hill, Alexa (Mrs.) | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | User Manager | 7/15/2020 1:22 PM GMT+00:00 | 2/7/2019 9:17 PM GMT+00:00 | 8/17/2020 4:04 PM GMT+00:00 | 9/2/2020 11:09 AM GMT+00:00 | Active |

To return to the full list, select ***CLEAR FILTER(S).***

Clicking ***GENERATE REPORT*** will execute a process to create an Excel spreadsheet of details.



**User Details Report**

**Report Filter Criteria**

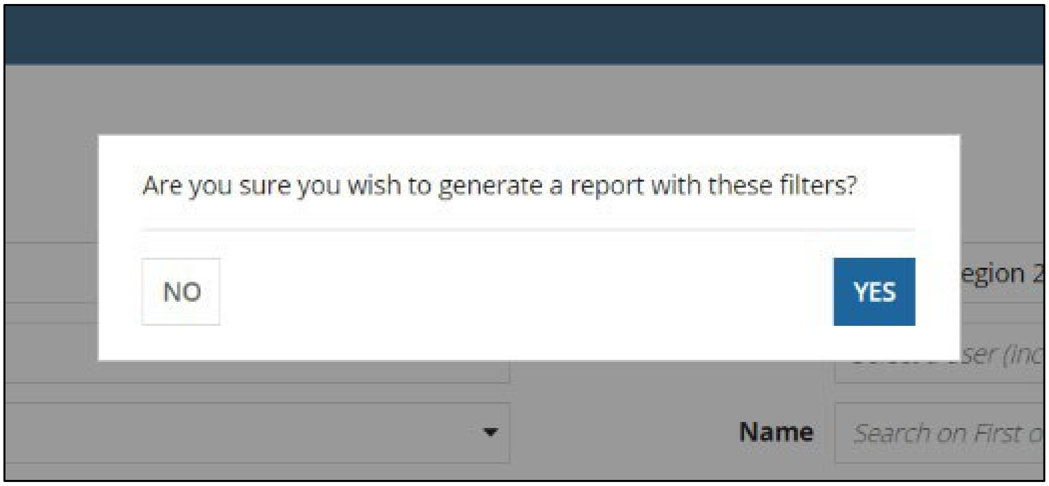
| | | | |
|---|---|---|---|
| System | TrAMS | Cost Center | 2500 - Region 2 (TRO-2) |
| Role Category | Recipient | User | Select a user (including deactivated) |
| Access Control Group | Select a group | Name | Search on First or Last name (whole or part) |
| Organization | Select an Organization | Status | ☑ Active<br>□ Locked<br>□ Deactivated |
| Role | Select a Role | | |

☑ Display individual Roles in Grid

**Users**

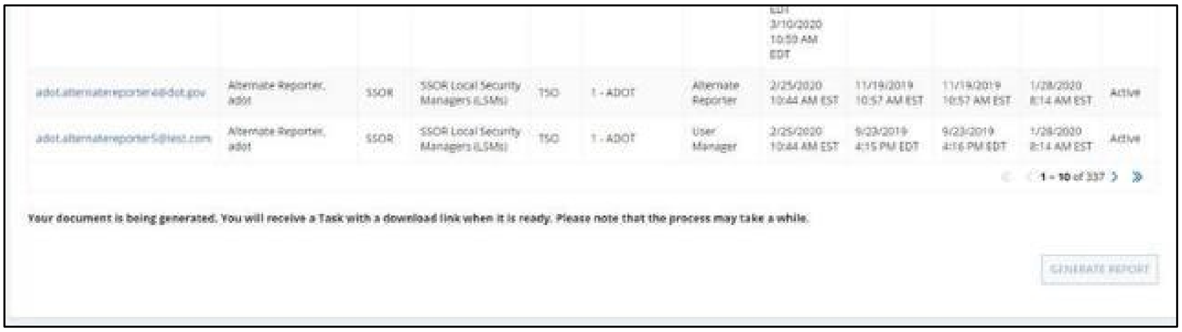
| Username | Name (Last, First) | System | Access Control Group | Cost Center | Organization | Role | Last Certified Date | Created Date | Modified Date | Last Login Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|
| aryaorguser1@mailinator.com | Orguser, Arya (Ms.) | TrAMS | TrAMS Region 2 | TRO-2 | 1414 - NJTC | Developer | 11/14/2019 8:08 PM GMT+00:00 | 11/5/2019 10:07 PM GMT+00:00 | 11/5/2019 10:07 PM GMT+00:00 | 11/5/2019 10:07 PM GMT+00:00 | Active |
| sunnie.tramum@mailinator.com | Tramum, Sunnie (Mrs.) | TrAMS | TrAMS Region 2 | TRO-2 | 1414 - NJTC | User Manager | 11/14/2019 9:19 PM GMT+00:00 | 11/4/2019 4:21 PM GMT+00:00 | 11/4/2019 4:21 PM GMT+00:00 | 11/4/2019 4:21 PM GMT+00:00 | Active |
| testtramsroles@mailinator.com | t, peter (Mr.) | TrAMS | TrAMS Region 2 | TRO-2 | 1414 - NJTC | User Manager | 11/5/2019 8:03 PM GMT+00:00 | 11/5/2019 8:02 PM GMT+00:00 | 11/5/2019 8:02 PM GMT+00:00 | 11/5/2019 8:02 PM GMT+00:00 | Active |

A prompt will pop up asking to verify to generate a report with the current filters.



Are you sure you wish to generate a report with these filters?

Clicking the link to the report (***User Details Report***) will create a task with a download link. Once opened, the Excel spreadsheet presents separate data pages based on the details selected.



| | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | EDT<br>3/10/2020<br>10:50 AM<br>EDT | | | | |
| adot.alternatereporter4@dot.gov | Alternate Reporter, adot | SSOR | SSOR Local Security Managers (LSMs) | TSO | 1 - ADOT | Alternate Reporter | 2/25/2020 10:44 AM EST | 11/19/2019 10:57 AM EST | 11/19/2019 10:57 AM EST | 1/28/2020 8:14 AM EST | Active |
| adot.alternatereporter5@test.com | Alternate Reporter, adot | SSOR | SSOR Local Security Managers (LSMs) | TSO | 1 - ADOT | User Manager | 2/25/2020 10:44 AM EST | 9/23/2019 4:15 PM EDT | 9/23/2019 4:16 PM EDT | 1/28/2020 8:14 AM EST | Active |

1 – 10 of 337

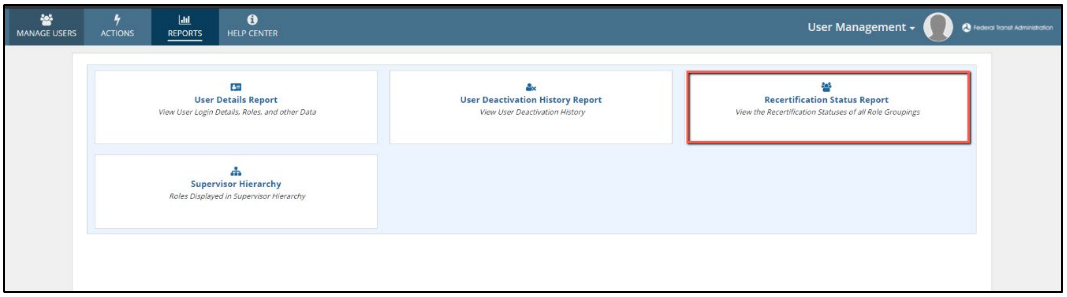
Your document is being generated. You will receive a Task with a download link when it is ready. Please note that the process may take a while.

### 3.4.2 Recertification Status Report

After the end of each recertification window, FACES will generate a recertification status report, accessible by Global Security Managers and Local Security Managers only (*see Section 8.1 for* Recertification Process*)*.

How a **Certifier** can view recertification status report:

1) **Certifier** log into System and clicks Reports.
2) User clicks ***Recertification Status Report***.



User Details Report
View User Login Details, Roles, and other Data

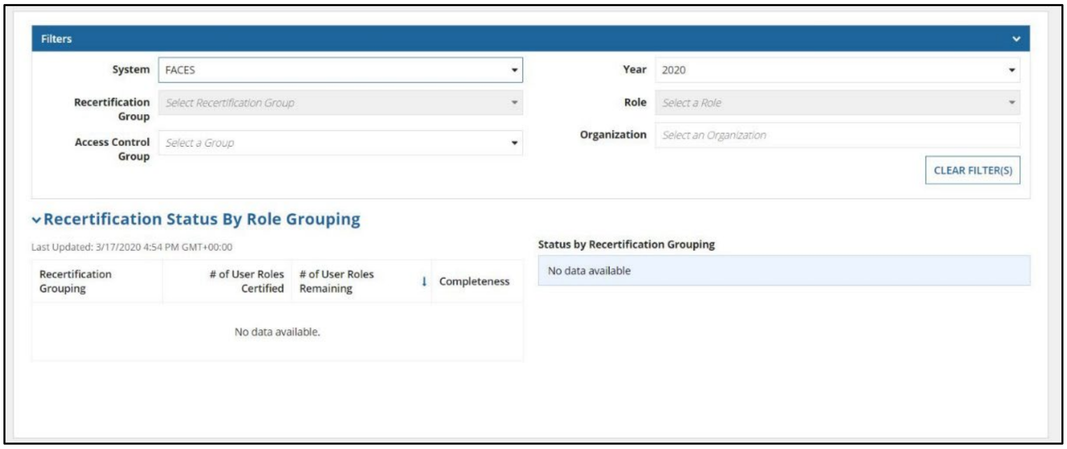
User Deactivation History Report
View User Deactivation History

Recertification Status Report
View the Recertification Statuses of all Role Groupings

Supervisor Hierarchy
Roles Displayed in Supervisor Hierarchy

3) The **System** displays Recertification Status Report.

4) The **Certifier** has the filtering options by systems, year, role, recertification group, organization, and access control group.



Filters

System FACES

Recertification Group Select Recertification Group

Access Control Group Select a Group

Year 2020

Role Select a Role

Organization Select an Organization

Recertification Status By Role Grouping

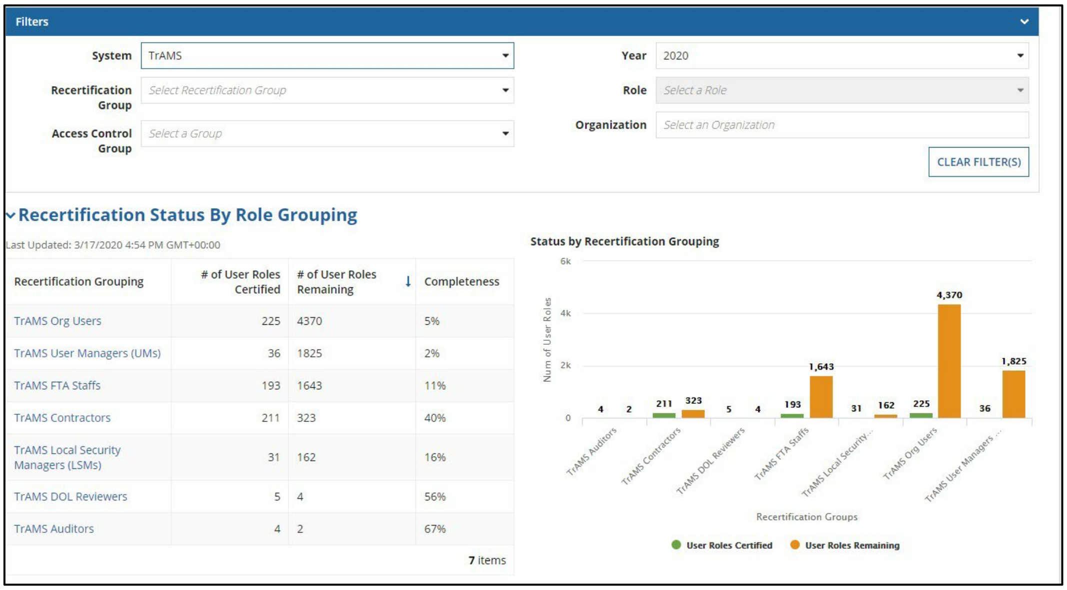
Last Updated: 3/17/2020 4:54 PM GMT+00:00

| Recertification Grouping | # of User Roles Certified | # of User Roles Remaining | Completeness |
|---|---|---|---|
| No data available. | | | |

Status by Recertification Grouping

No data available

5) The **Certifier** can see recertification status by role grouping.



Filters

System TrAMS

Recertification Group Select Recertification Group

Access Control Group Select a Group

Year 2020

Role Select a Role

Organization Select an Organization

Recertification Status By Role Grouping

Last Updated: 3/17/2020 4:54 PM GMT+00:00

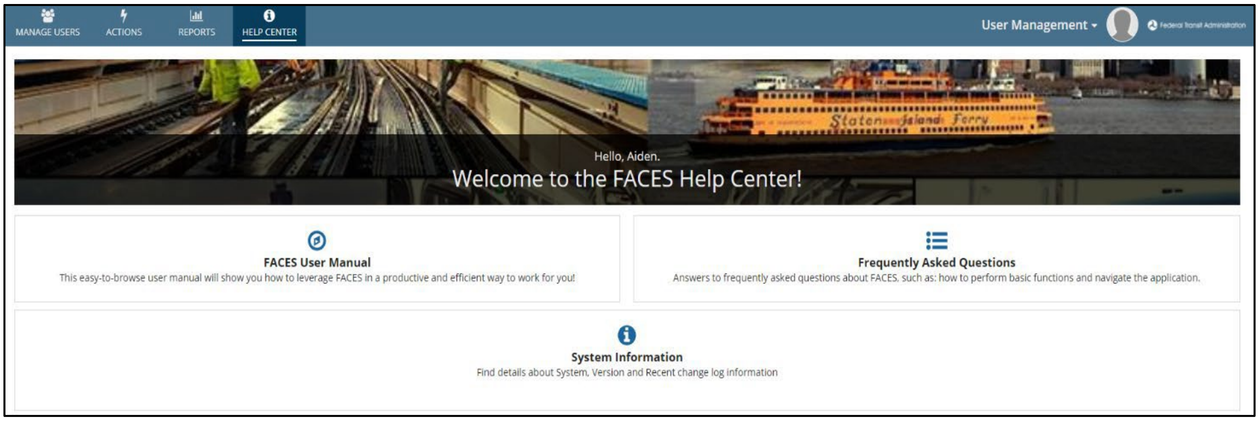
| Recertification Grouping | # of User Roles Certified | # of User Roles Remaining | Completeness |
|---|---|---|---|
| TrAMS Org Users | 225 | 4370 | 5% |
| TrAMS User Managers (UMs) | 36 | 1825 | 2% |
| TrAMS FTA Staffs | 193 | 1643 | 11% |
| TrAMS Contractors | 211 | 323 | 40% |
| TrAMS Local Security Managers (LSMs) | 31 | 162 | 16% |
| TrAMS DOL Reviewers | 5 | 4 | 56% |
| TrAMS Auditors | 4 | 2 | 67% |

7 items

Status by Recertification Grouping

## 3.5. Help Center

The **Help Center** tab contains the FACES User Manual, Frequently Asked Questions (FAQs), and System Information.



Hello, Aiden.

Welcome to the FACES Help Center!

**FACES User Manual**

This easy-to-browse user manual will show you how to leverage FACES in a productive and efficient way to work for you!

**Frequently Asked Questions**

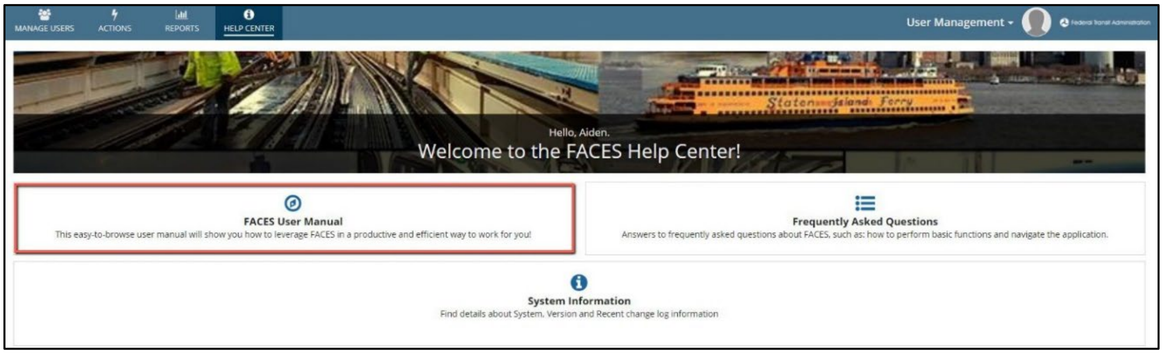
Answers to frequently asked questions about FACES, such as: how to perform basic functions and navigate the application.

**System Information**

Find details about System, Version and Recent change log information

### 3.5.1 FACES User Manual

To access the User Manual/User Guide, click on FACES User Manual.



Hello, Aiden.

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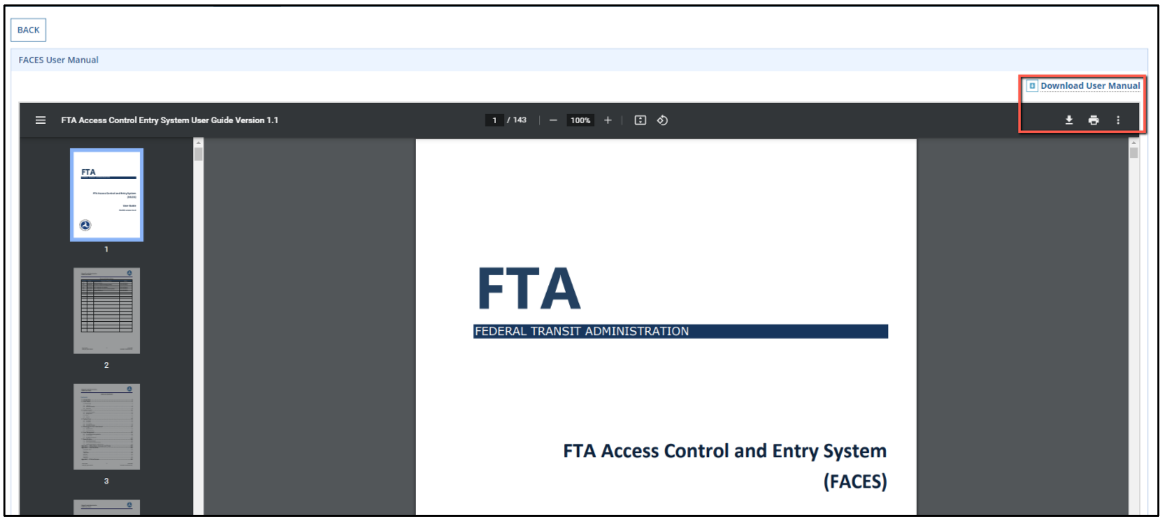
**System Information**

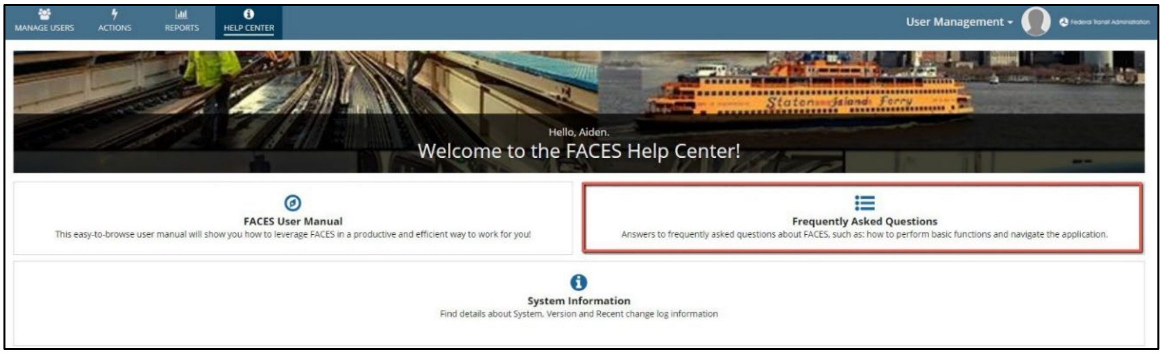
Find details about System, Version and Recent change log information

On this page the user can view it directly, download, or print it out.


BACK
FACES User Manual
Download User Manual
FTA Access Control Entry System User Guide Version 1.1
1 / 143
100%
1
2
3
FTA
FEDERAL TRANSIT ADMINISTRATION
FTA Access Control and Entry System
(FACES)

### 3.5.2 Frequently Asked Questions

Users can click on Frequently Asked Questions to review helpful answers for questions that are frequently asked.



Hello, Aiden.

Welcome to the FACES Help Center!

**FACES User Manual**

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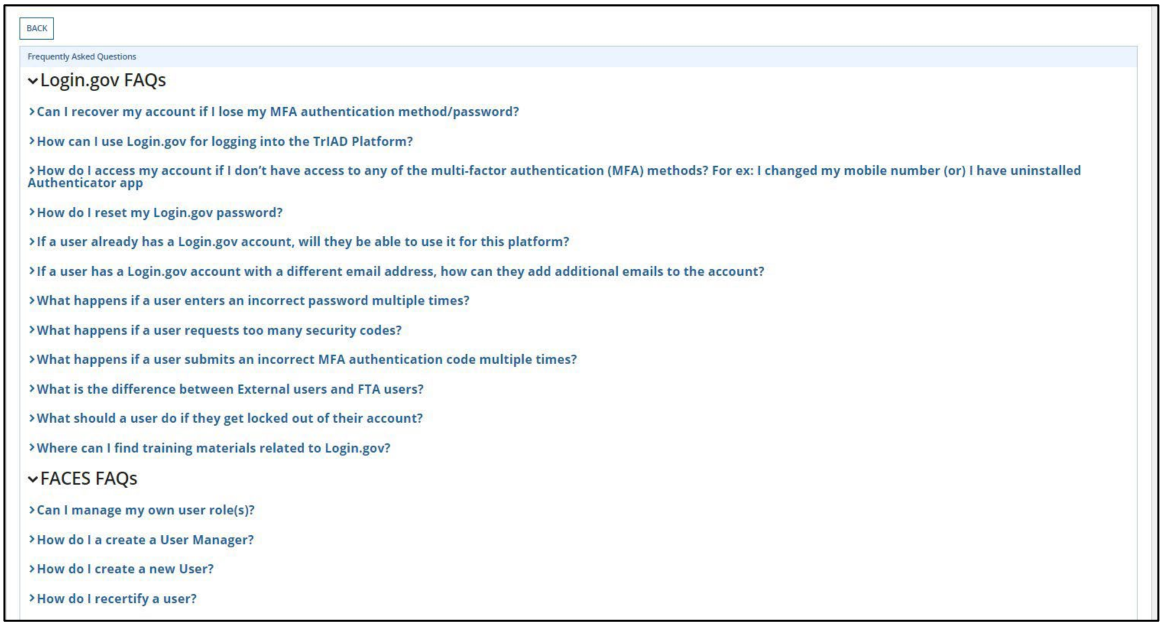
**Frequently Asked Questions**

Answers to frequently asked questions about FACES, such as: how to perform basic functions and navigate the application.

**System Information**

Find details about System, Version and Recent change log information

Responses for each question can be expanded by clicking on a question.



Frequently Asked Questions

⌄Login.gov FAQs

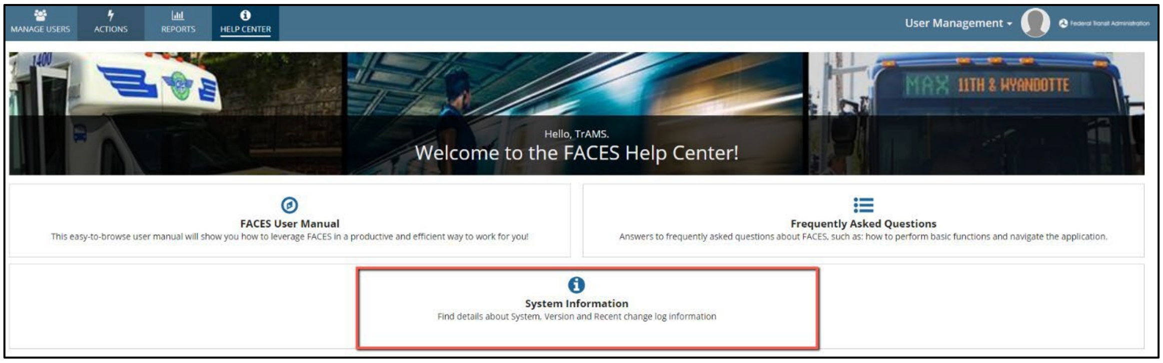
- ›Can I recover my account if I lose my MFA authentication method/password?
- ›How can I use Login.gov for logging into the TrIAD Platform?
- ›How do I access my account if I don't have access to any of the multi-factor authentication (MFA) methods? For ex: I changed my mobile number (or) I have uninstalled Authenticator app
- ›How do I reset my Login.gov password?
- ›If a user already has a Login.gov account, will they be able to use it for this platform?
- ›If a user has a Login.gov account with a different email address, how can they add additional emails to the account?
- ›What happens if a user enters an incorrect password multiple times?
- ›What happens if a user requests too many security codes?
- ›What happens if a user submits an incorrect MFA authentication code multiple times?
- ›What is the difference between External users and FTA users?
- ›What should a user do if they get locked out of their account?
- ›Where can I find training materials related to Login.gov?

⌄FACES FAQs

- ›Can I manage my own user role(s)?
- ›How do I a create a User Manager?
- ›How do I create a new User?
- ›How do I recertify a user?

### 3.5.3 System Information

System Information allows a user to view information on the latest version of the system and provides Help Desk information to the user should they encounter any issues with FACES.



Hello, TrAMS.

Welcome to the FACES Help Center!

**FACES User Manual**

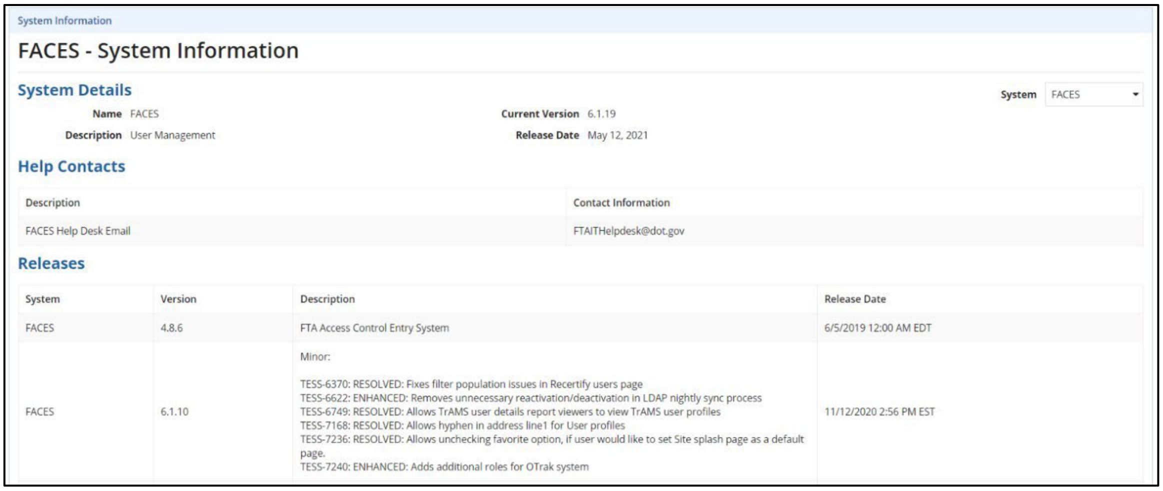
This easy-to-browse user manual will show you how to leverage FACES in a productive and efficient way to work for you!

**Frequently Asked Questions**

Answers to frequently asked questions about FACES, such as: how to perform basic functions and navigate the application.

**System Information**

Find details about System, Version and Recent change log information



FACES - System Information

System Details

Name FACES

Description User Management

Current Version 6.1.19

Release Date May 12, 2021

System FACES

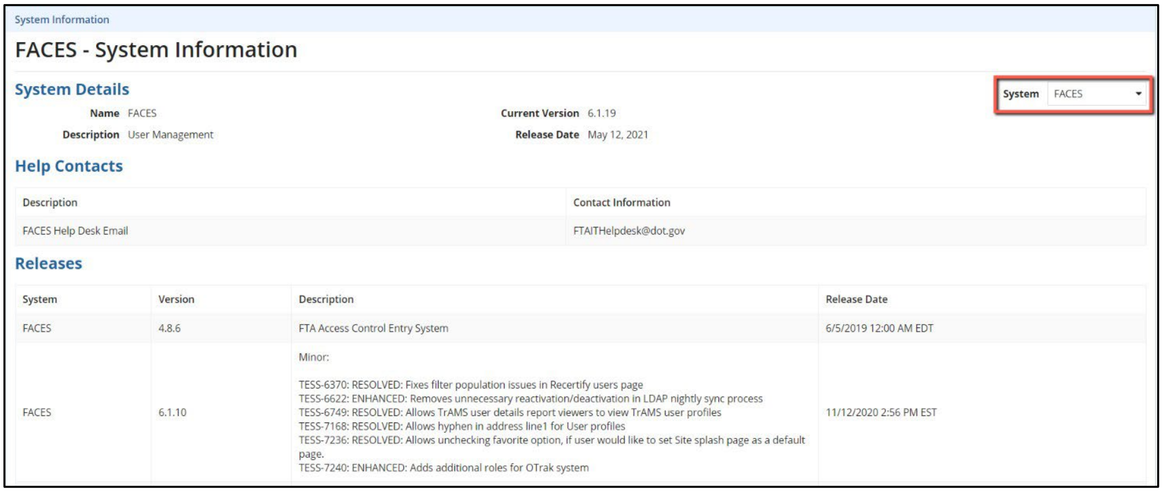
Help Contacts

| Description | Contact Information |
|---|---|
| FACES Help Desk Email | FTAITHelpdesk@dot.gov |

Releases

| System | Version | Description | Release Date |
|---|---|---|---|
| FACES | 4.8.6 | FTA Access Control Entry System | 6/5/2019 12:00 AM EDT |
| FACES | 6.1.10 | Minor:<br>TESS-6370: RESOLVED: Fixes filter population issues in Recertify users page<br>TESS-6622: ENHANCED: Removes unnecessary reactivation/deactivation in LDAP nightly sync process<br>TESS-6749: RESOLVED: Allows TrAMS user details report viewers to view TrAMS user profiles<br>TESS-7168: RESOLVED: Allows hyphen in address line1 for User profiles<br>TESS-7236: RESOLVED: Allows unchecking favorite option, if user would like to set Site splash page as a default page.<br>TESS-7240: ENHANCED: Adds additional roles for OTrak system | 11/12/2020 2:56 PM EST |

Users with access to multiple systems can use the drop-down feature to view system information for other systems they have access to.



FACES - System Information

System Details

Name FACES

Description User Management

Current Version 6.1.19

Release Date May 12, 2021

System FACES

Help Contacts

| Description | Contact Information |
|---|---|
| FACES Help Desk Email | FTAITHelpdesk@dot.gov |

Releases

| System | Version | Description | Release Date |
|---|---|---|---|
| FACES | 4.8.6 | FTA Access Control Entry System | 6/5/2019 12:00 AM EDT |
| FACES | 6.1.10 | Minor:<br>TESS-6370: RESOLVED: Fixes filter population issues in Recertify users page<br>TESS-6622: ENHANCED: Removes unnecessary reactivation/deactivation in LDAP nightly sync process<br>TESS-6749: RESOLVED: Allows TrAMS user details report viewers to view TrAMS user profiles<br>TESS-7168: RESOLVED: Allows hyphen in address line1 for User profiles<br>TESS-7236: RESOLVED: Allows unchecking favorite option, if user would like to set Site splash page as a default page.<br>TESS-7240: ENHANCED: Adds additional roles for OTrak system | 11/12/2020 2:56 PM EST |

# 4. System Users

A User Record includes all information directly related to the user's **Profile** (e.g., name, address, title, and role(s), audit history). It also includes all news items specific to the user and any Kudos received. Users may see other staff members' **User Summary** page and **User Details** within their organization.

Each user may manage their own **Profile** information. Some user information may be edited by the individual user. User roles are granted and managed by **User Managers, Local Security Managers (LSMs), and Global Security Managers (GSMs)**.

## 4.1. User Types

There are three account types used to classify each user on the FTA platform: FTA users, Organization users (e.g., TrAMS Recipient, DGS Recipient and NTD Reporter), and External users.

1) **FTA Users:** This user type includes FTA employees and federal contractors who directly support FTA. All FTA users have FTA email accounts ending in @dot.gov.
2) **Organization Users:** This user type includes individuals who are employed by or support an organization that uses an FTA platform software system. The users are grouped by their organization(s). This user type includes TrAMS Recipients, DGS Recipients, and NTD Reporters.
3) **External Users:** This user type includes individuals external to FTA but provide support or oversight to one of the FTA platform software systems. External users have three sub-types: Auditors, Contractors, DGS DOT users and Department of Labor (DOL) users.

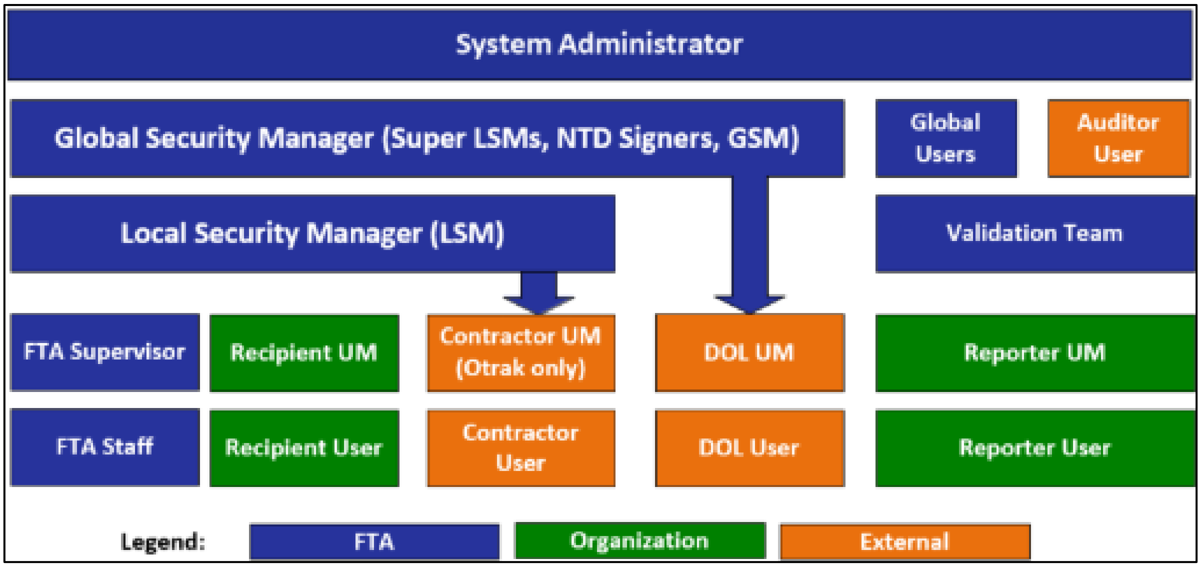
The types of roles that a user can be granted are specific to the user's account type. FACES defines standardized role types, role hierarchy, and security for the various software systems on the FTA platform. New roles and user categories may be incorporated as needed in the future to allow FACES to support additional software systems and to meet changing requirements.

## 4.2. User Roles

User roles on the FTA platform are grouped by role category (e.g., FTA Staff, TrAMS Recipient Users, TrAMS Reporters and DGS Recipient Users).

Each organization user has an assigned ***User Manager***. The **User Manager** assigns roles to each user in their organization in accordance with the rules specific to their FTA software system (e.g., TrAMS, NTD, SSOR, etc..). Users may be assigned one or multiple roles within their organization. Roles assigned to each user control the **Actions** available to a user and the **Tasks** assigned to the user.

The image below provides an outline of all user roles within the FACES landscape. Each will be further defined in subsequent paragraphs.



The following tables lists the available user roles that may be assigned. For definitions of each role and associated privileges, please see the corresponding system user guide.

| | Organization User Roles | FTA User Roles | External User Roles |
|---|---|---|---|
| NTD Reporters | 1) CEO<br>2) CEO Delegate<br>3) Editor<br>4) NTD Contact<br>5) Safety Contact<br>6) Safety Editor<br>7) Safety Viewer<br>8) User Manager<br>9) Viewer | System Administrator<br>1) System Administrator<br>Global Roles<br>1) FTA Signer<br>2) FTA Viewer<br>3) Global Security Manager (GSM)<br>4) Global Viewer<br>5) User Details Report Global Viewer<br>FTA Staff<br>1) Local Security Manager (LSM)<br>Validation Team<br>1) Validation Analyst<br>2) Validation Ops<br>3) Validation PM<br>4) Validation QA | 1) Auditor |
| TrAMS Recipients | 1) Attorney<br>2) Civil Rights<br>3) Developer<br>4) FFR Reporter<br>5) JPC Procurement Officer<br>6) MPR Reporter<br>7) Official<br>8) Read Only | System Administrator<br>1) System Administrator<br>Global Roles<br>1) Global Security Manager (GSM)<br>2) Global Viewer<br>3) TrAMS Help Desk<br>4) User Details Report Global Viewer<br>FTA Staff | Auditor<br>1) Auditor<br>DOL User<br>1) DOL Reviewer<br>2) DOL User Manager<br>Contractors<br>1) Contractor |

| | | | |
|---|---|---|---|
| | 9) Submitter<br>10) User Manager | 1) Administrator<br>2) Apportionment Manager<br>3) Budget Analyst<br>4) Budget Director<br>5) Civil Right Officer<br>6) Dataset Administrator<br>7) DBE Approver<br>8) Director<br>9) Director of Operations<br>10) Discretionary Admin<br>11) Discretionary Manager<br>12) Environmental Reviewer<br>13) Initial Reviewer<br>14) Intake Manager<br>15) Legal Counsel<br>16) Local Security Manager (LSM)<br>17) Post-Award Manager<br>18) Pre-Award Manager<br>19) Read-Only<br>20) Reservationist<br>21) Supervisor<br>22) TCA Recorder<br>23) Technical Reviewer<br>24) Transit Director<br>25) Vendor Setup | |
| DGS | | System Administrator<br>1) Administrator<br>Global User<br>1) Global Security Manager (GSM)<br>2) Global Viewer<br>FTA Staff<br>1) DGS FTA – Fatal Flaw Reviewer<br>2) FTA Staff Read Only<br>3) Local Security Manager (LSM)<br>4) Management<br>5) Program Admin/Manager<br>6) Reviewer<br>7) Team Lead | Auditor<br>1) Auditor<br>DOT User<br>1) DGS External – Fatal Flaw Reviewer<br>2) External Read Only<br>3) Reviewer<br>Non-DOT User<br>1) External Reviewer |

|  |  |  |  |
|---|---|---|---|
| SSOR | 1) Alternate Reporter<br>2) Primary Reporter<br>3) User Manager<br>4) Viewer | System Administrator<br>1) System Administrator<br>Global Roles<br>1) Global Security Manager (GSM)<br>2) Global Viewer<br>3) Program Management Lead<br>FTA Staff<br>1) Director<br>2) Local Security Manager (LSM)<br>3) Program Management Team Member<br>4) Regional Safety Officer<br>5) Validation Lead<br>6) Validation Team Member | Auditor<br>1) Auditor<br>DOT User<br>1) External Validation Team Member |
| CRM |  | System Administrator<br>1) System Administrator<br>Global Roles<br>1) Global Security Manager (GSM)<br>2) FTA Users<br>3) Global Viewer |  |

| | | | |
|---|---|---|---|
| OTRAK | 1) Recipient User<br>2) User Manager | Administrator<br>1) System Administrator<br>Program Admin<br>1) Program Administrator<br>Global Users<br>1) Global Security Manager (GSM)<br>2) Global Viewer FTA<br>Staff<br>1) Local Security Manager (LSM) HQ Staff<br>1) Civil Rights Officer<br>2) FMO Program Manager<br>3) HQ User<br>4) OAT Program Manager<br>5) PSR Program Manager<br>6) Single Audit HQ Program Manager<br>7) SMR Program Manager<br>8) SSO Audit Program Manager<br>9) TCR Program Manager<br>10) TR Program Manager<br>11) Tribal Transit Program Manager<br>Region<br>1) Region Read-only<br>2) Region User<br>3) Regional Oversight Director<br>4) Regional Tribal Liaison<br>5) Single Audit Regional/Program Office Point of Contact | External Auditor<br>1) DOT User External Read Only<br>2) OIG Auditor (Read-only)<br>Contractor<br>3) CTR Program Manager<br>4) CTR Recipient Delegate<br>5) CTR Regional Delegate<br>6) CTR Reviewer<br>7) CTR User Manager<br>HQ Staff CTR Delegate<br>8) CTR Review Requirement Editor |
| COVID-19 | 1) CEO<br>2) NTD Contact<br>3) Editor<br>4) Viewer<br>5) Safety Contact<br>6) Safety Editor<br>7) Safety Viewer<br>8) CEO Delegate | | |

| | | | |
|---|---|---|---|
| ECHO-Web | 1) Grantee<br>2) Read Only<br>3) Approving Official | Global Users:<br>1) Global Security Manager (GSM)<br>2) Global Viewer<br>FTA Staff:<br>1) Local Security Manager (LSM) | |

**Table 1 – Organization User Roles**

### 4.2.1 User Visibility

There are explicit rules controlling access to user records and user information within the system. The following rules independently to each FTA system (e.g., TrAMS, NTD):

1) Organization users can see all other users within their organization(s). For example, a user who belongs to 'Transit Organization Blue' will see all other users with roles in 'Transit Organization Blue'.
2) Organization users cannot see FTA user records, external user records, or users outside their organizations.
3) FTA users can see all other FTA users within their system (e.g., TRAMS, NTD, DGS).
4) FTA users can see all organization users who belong to organizations within their FTA region or cost center. Global FTA users can see all organization users within their system (e.g., TrAMS, NTD, DGS).
5) FTA users with specific roles (e.g., GSM, validation analyst, LSM) can view external user records.
6) External users can only see user records for other external users of the same subtype. For example, TrAMS DOL users will only see other DOL users in TrAMS.

The following table summarizes these rules from the perspective of the logged-in users type:

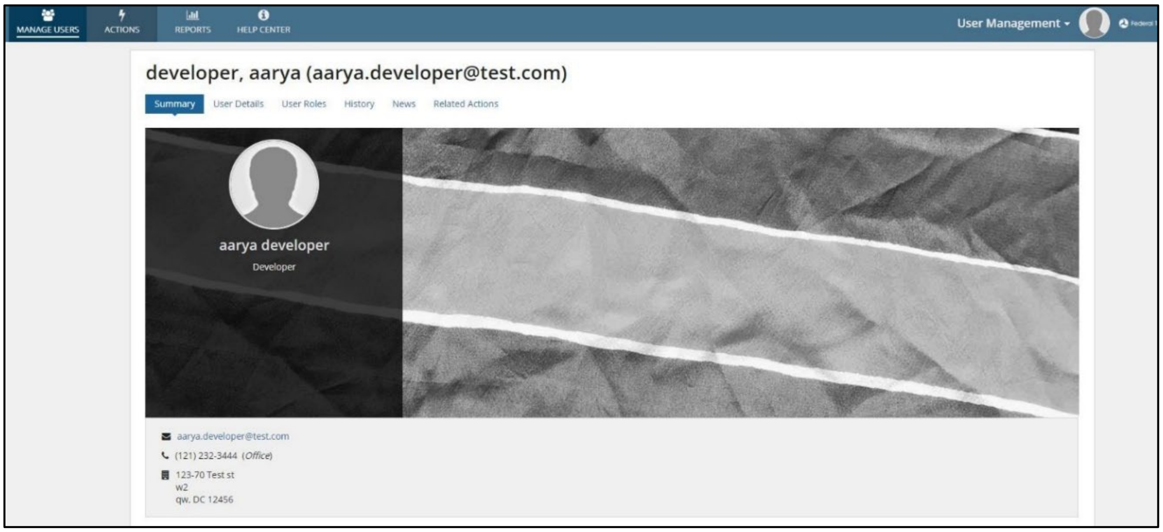
| | User Records I Can View | | |
|---|---|---|---|
| My User Type | Organization | FTA | External |
| Organization | All organization users within my own organization(s). | No FTA user records. | No external user records. |
| FTA | All users belonging to organizations within their FTA cost centers.<br>A global user sees all organization users within his/her system (e.g., TrAMS). | All FTA users within the user's system (e.g., NTD, DGS). | See some external user records depending on roles assigned. |

| | | | |
|---|---|---|---|
| External | No organization user records. | No FTA user records. | All users of same external subtype (e.g., Auditor) in my approved systems (e.g., TrAMS, NTD, DGS). |

**Table 2 – User Record Viewing Privileges**

### 4.2.2 User Record Content

Each user's record opens to a user ***Summary*** page.



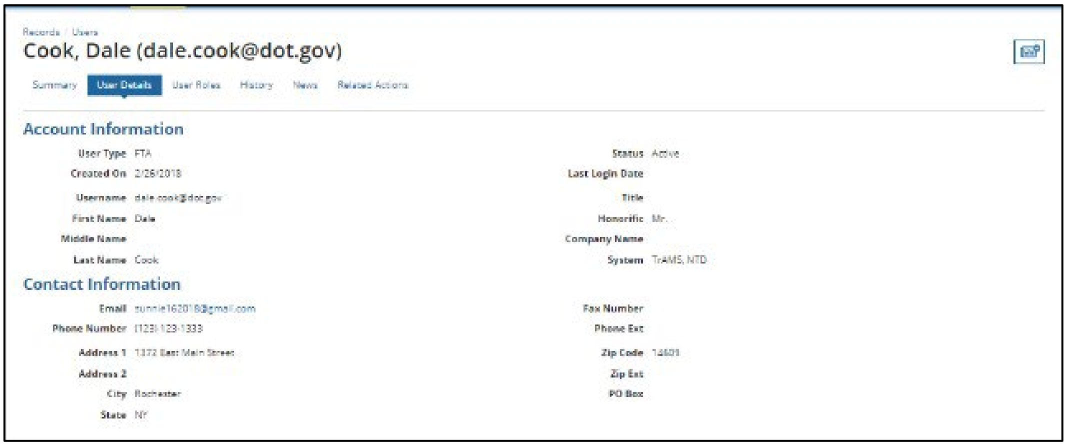
developer, aarya (aarya.developer@test.com)

aarya developer
Developer

aarya.developer@test.com
(121) 232-3444 (*Office*)
123-70 Test st
w2
qw. DC 12456

User record content is split between multiple pages. Each user's record contains:

1) A ***User Details*** page visible to all users who have access to that user's record. The ***User Details*** page contains the user's account and contact information (e.g., first and last name, email, user type, and account status).



Cook, Dale (dale.cook@dot.gov)

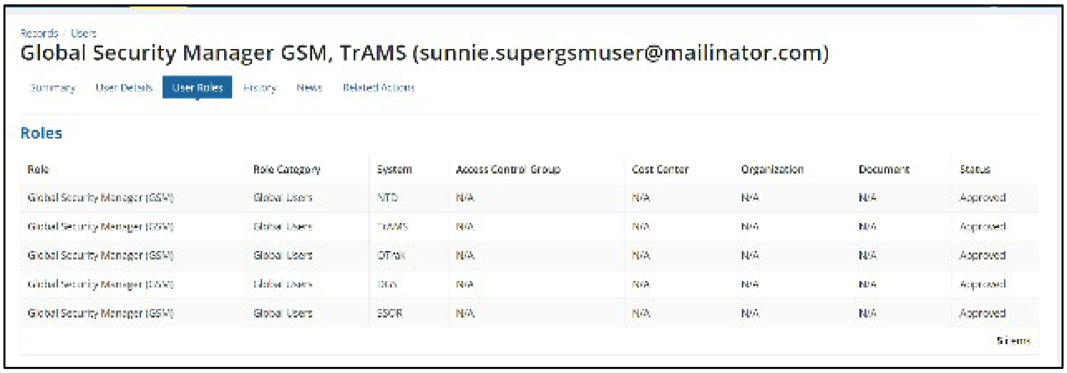
Account Information

| | | | |
|---|---|---|---|
| User Type | FTA | Status | Active |
| Created On | 2/26/2018 | Last Login Date | |
| Username | dale.cook@dot.gov | Title | |
| First Name | Dale | Honorific | Mr. |
| Middle Name | | Company Name | |
| Last Name | Cook | System | TrAMS, NTD |

Contact Information

| | | | |
|---|---|---|---|
| Email | sunnie162018@gmail.com | Fax Number | |
| Phone Number | (123) 123-1333 | Phone Ext | |
| Address 1 | 1372 East Main Street | Zip Code | 14601 |
| Address 2 | | Zip Ext | |
| City | Rochester | PO Box | |
| State | NY | | |

2) A ***User Roles*** page visible to all users who have access to that user's record. The ***User Roles*** page contains a grid of the user's active **Roles** and current **User Managers**.



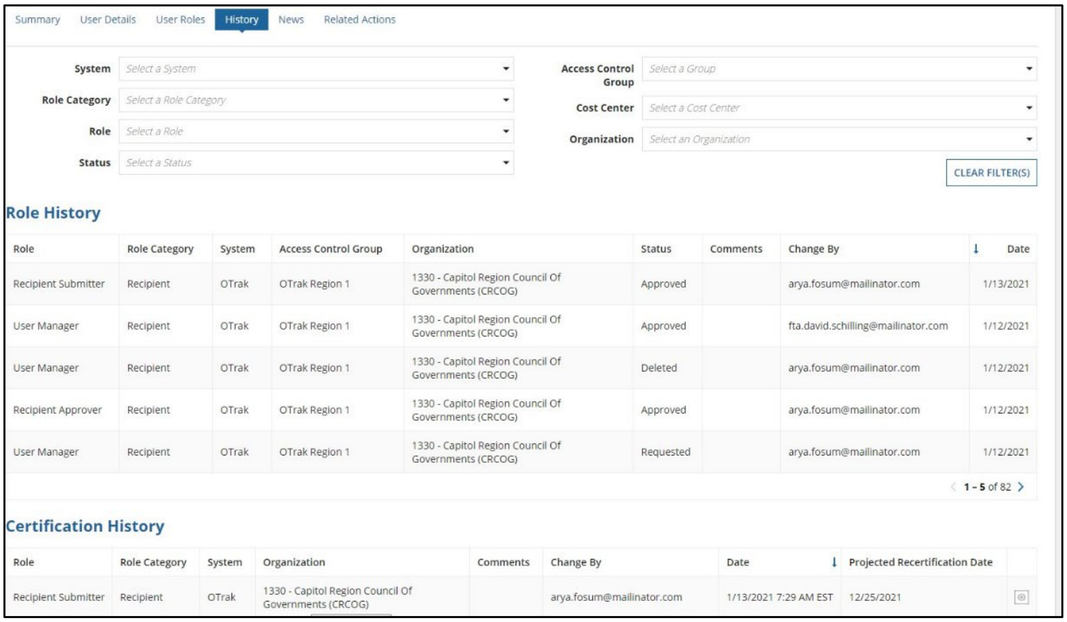
Global Security Manager GSM, TrAMS (sunnie.supergsmuser@mailinator.com)

Roles

| Role | Role Category | System | Access Control Group | Cost Center | Organization | Document | Status |
|---|---|---|---|---|---|---|---|
| Global Security Manager (GSM) | Global Users | NTD | N/A | N/A | N/A | N/A | Approved |
| Global Security Manager (GSM) | Global Users | TrAMS | N/A | N/A | N/A | N/A | Approved |
| Global Security Manager (GSM) | Global Users | OTrak | N/A | N/A | N/A | N/A | Approved |
| Global Security Manager (GSM) | Global Users | DGS | N/A | N/A | N/A | N/A | Approved |
| Global Security Manager (GSM) | Global Users | ESCR | N/A | N/A | N/A | N/A | Approved |

5 items

3) A ***History*** page visible to each user and their management chain (User Managers, Validation Analysts, LSMs, GSMs). This ***History*** page contains an audit trail of changes to the user's **Profile** and **Roles**. Users can filter role history using the following filters: System, Role Category, Status, Cost Center, Organization and Role.



Role History

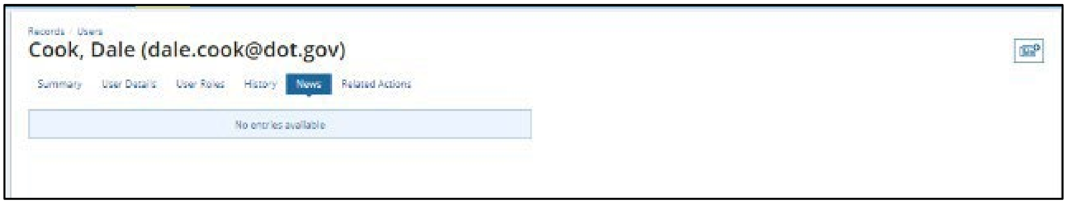
| Role | Role Category | System | Access Control Group | Organization | Status | Comments | Change By | Date |
|---|---|---|---|---|---|---|---|---|
| Recipient Submitter | Recipient | OTrak | OTrak Region 1 | 1330 - Capitol Region Council Of Governments (CRCOG) | Approved | | arya.fosum@mailinator.com | 1/13/2021 |
| User Manager | Recipient | OTrak | OTrak Region 1 | 1330 - Capitol Region Council Of Governments (CRCOG) | Approved | | fta.david.schilling@mailinator.com | 1/12/2021 |
| User Manager | Recipient | OTrak | OTrak Region 1 | 1330 - Capitol Region Council Of Governments (CRCOG) | Deleted | | arya.fosum@mailinator.com | 1/12/2021 |
| Recipient Approver | Recipient | OTrak | OTrak Region 1 | 1330 - Capitol Region Council Of Governments (CRCOG) | Approved | | arya.fosum@mailinator.com | 1/12/2021 |
| User Manager | Recipient | OTrak | OTrak Region 1 | 1330 - Capitol Region Council Of Governments (CRCOG) | Requested | | arya.fosum@mailinator.com | 1/12/2021 |

1 – 5 of 82

Certification History

| Role | Role Category | System | Organization | Comments | Change By | Date | Projected Recertification Date |
|---|---|---|---|---|---|---|---|
| Recipient Submitter | Recipient | OTrak | 1330 - Capitol Region Council Of Governments (CRCOG) | | arya.fosum@mailinator.com | 1/13/2021 7:29 AM EST | 12/25/2021 |

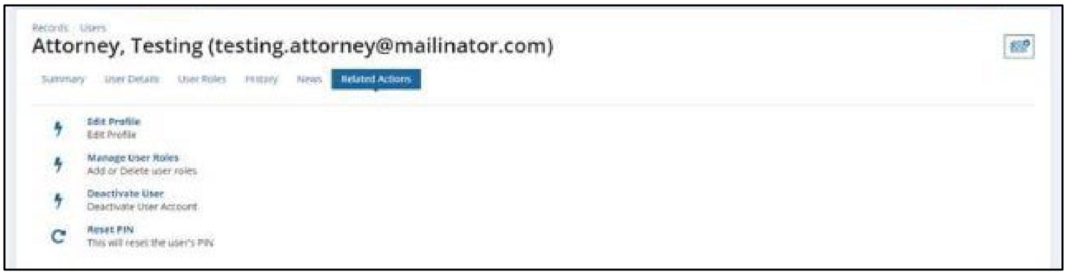
4) The ***News*** tab shows a listing of user activity with the most recent news displayed first.



Cook, Dale (dale.cook@dot.gov)

No entries available

5) The ***Related Action*** page contains any actions the viewing user is allowed to perform on the record. On this page, the user can manage their **Profile**, **Security Questions**, and **PIN**.



Records / Users

Attorney, Testing (testing.attorney@mailinator.com)

Edit Profile
Edit Profile

Manage User Roles
Add or Delete user roles

Deactivate User
Deactivate User Account

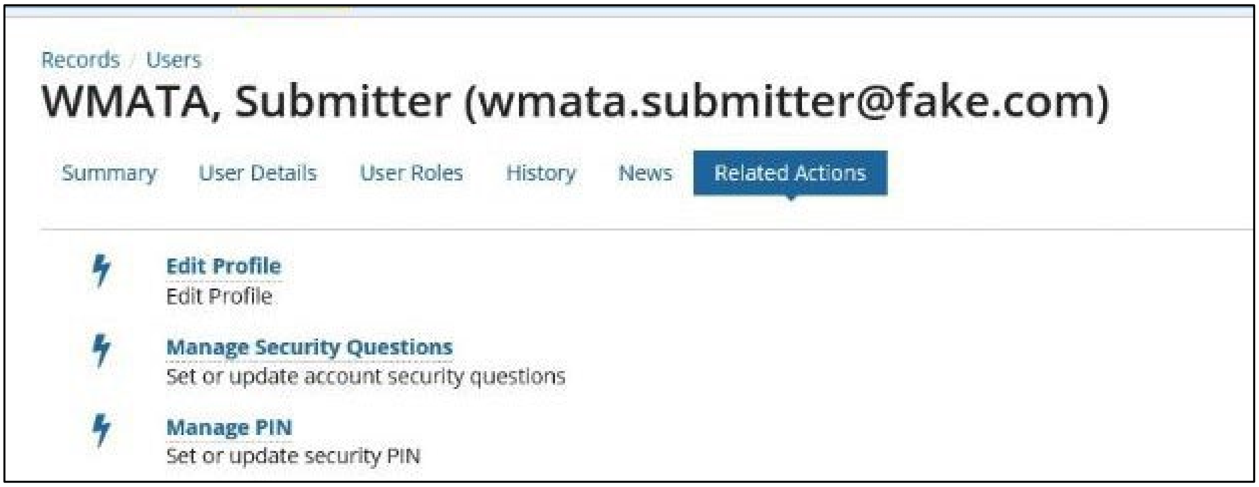
Reset PIN
This will reset the user's PIN

For detailed information about these user record pages, please reference Section 6.4.

# 5. Managing the User's Own Record

## 5.1. Related Actions

By selecting ***Related Actions*** users will be provided with additional options that can be performed on their **Summary** page.



Records / Users

WMATA, Submitter (wmata.submitter@fake.com)

Edit Profile
Edit Profile

Manage Security Questions
Set or update account security questions

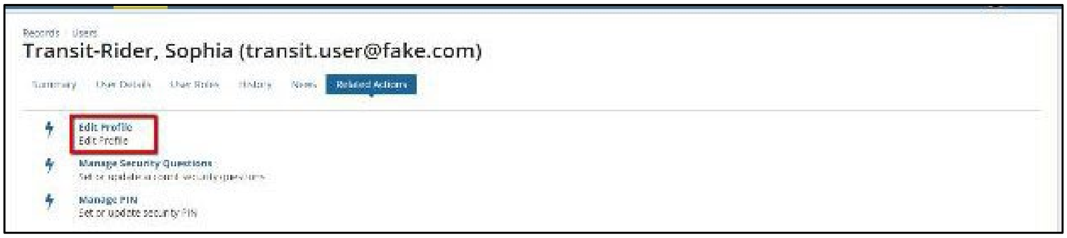
Manage PIN
Set or update security PIN

### 5.1.1 Related Action: Edit Profile

All non-FTA users can edit their own user profile (name, contact information, and business address) using a profile related action. The only profile information users cannot self-update is their username and email address. FTA users cannot edit their profile information because their information is provided to FACES by a nightly information transfer from FTA's internal systems. If an FTA user's information is incorrect, the information must be updated in FTA's internal systems.

To edit the user's profile:

1) Locate the **User Profile** through either the **User Settings** page or the **Records** page.
2) Select ***Related Actions***.
3) Click ***Edit Profile***.



Records / Users

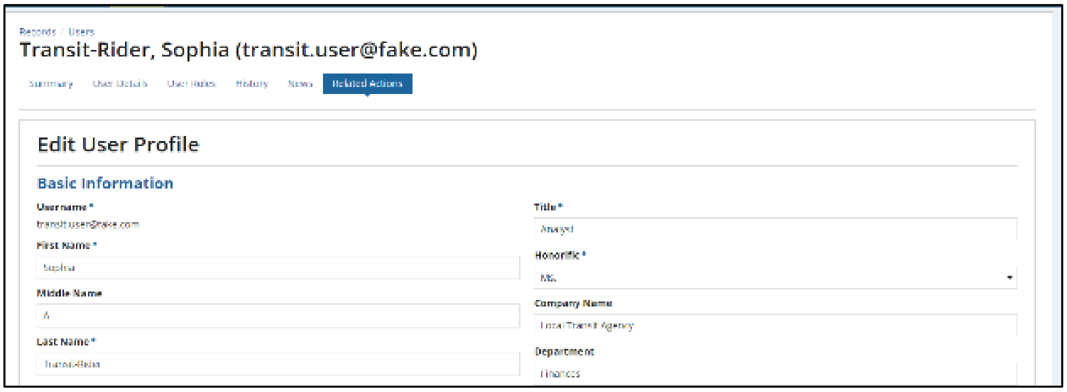
Transit-Rider, Sophia (transit.user@fake.com)

Edit Profile
Edit Profile

Manage Security Questions
Set or update account security questions

Manage PIN
Set or update security PIN

4) The **Edit User Profile** page will display all previously saved user-associated details in editable fields.



Records / Users

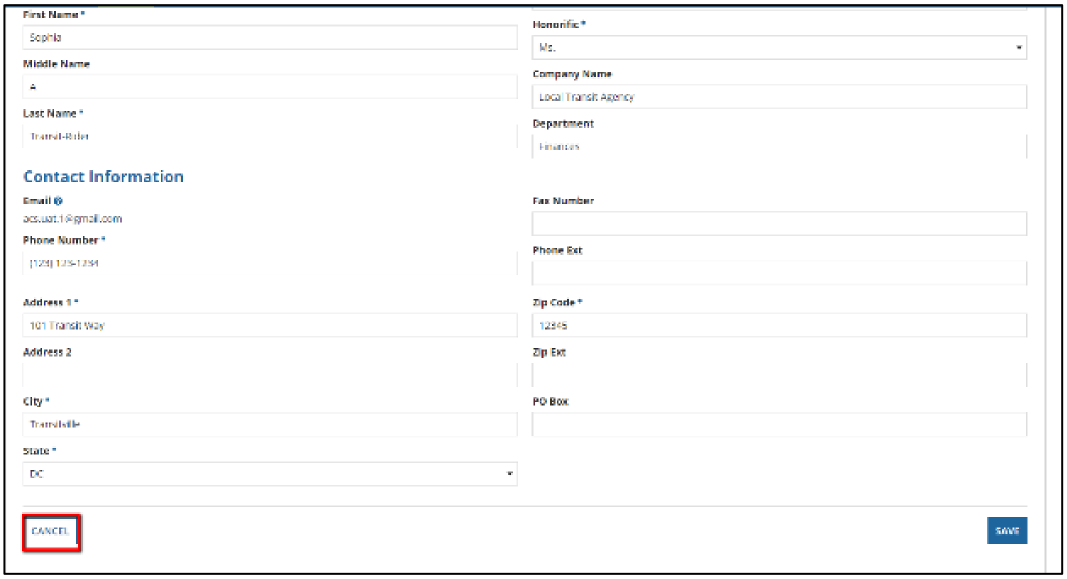
Transit-Rider, Sophia (transit.user@fake.com)

Edit User Profile

Basic Information

Username *: transit.user@fake.com
First Name *: Sophia
Middle Name: A
Last Name *: Transit-Rider
Title *: Analyst
Honorific *: Ms.
Company Name: Local Transit Agency
Department: Finances

5) Click ***Cancel*** to return to the **Related Actions** page without saving any changes.

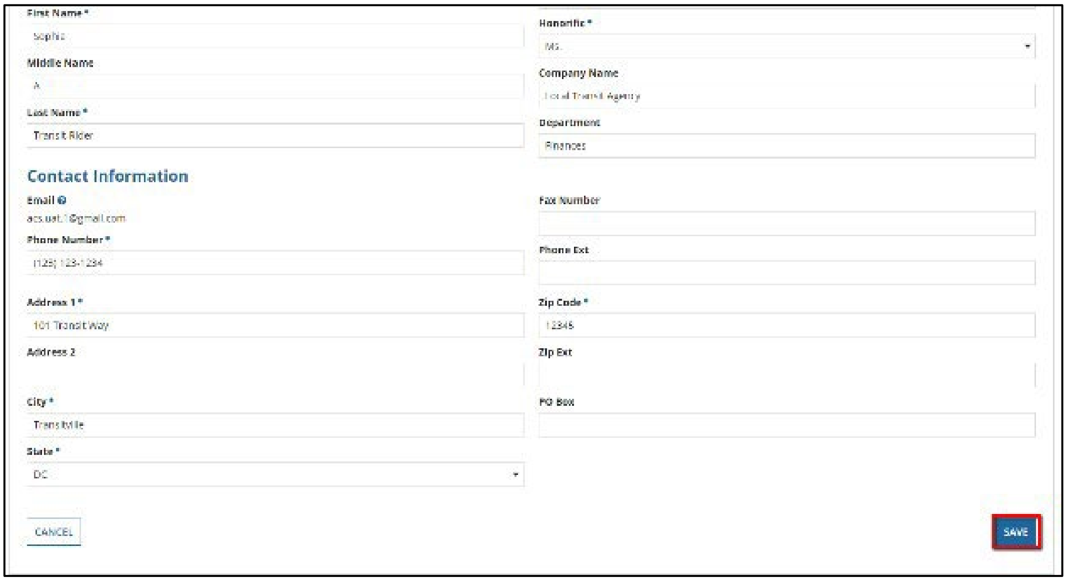


First Name *: Sophia
Middle Name: A
Last Name *: Transit-Rider
Honorific *: Ms.
Company Name: Local Transit Agency
Department: Finances

Contact Information

Email: acs.uat.1@gmail.com
Phone Number *: (123) 123-1234
Fax Number:
Phone Ext:
Address 1 *: 101 Transit Way
Zip Code *: 12345
Address 2:
Zip Ext:
City *: Transitville
PO Box:
State *: DC

6) Update any of the data fields as needed and then click ***Save*** to save all details. Required fields are marked with an asterisk * on the form. If required fields were missing from the previous FACES version, you will be required to add this information to save any other updates.



First Name*
Sophia

Middle Name
A

Last Name*
Transit Rider

Honorific*
MS.

Company Name
Local Transit Agency

Department
Finances

Contact Information

Email
acs.uat.1@gmail.com

Phone Number*
(123) 123-1234

Fax Number

Phone Ext

Address 1*
101 Transit Way

Zip Code*
12345

Address 2

Zip Ext

City*
Transitville

PO Box

State*
DC

7) Selecting ***Save*** will execute a validation script to ensure that all data entered matches pre-determined rules (e.g., the PO Box field cannot contain any letters). Once the data is validated, the information is saved and the **Related Actions** page displays. The system will briefly display (within the header area of the Related Actions page) a message that the *Action Completed Successfully*, indicating that all of changes were accepted.

### 5.1.2 Related Action: Set Security Questions/Answers

New user accounts are automatically assigned a **Task** to set up an initial set of **Security Questions and Answers (Q&As)** to ensure the security of the account and to provide a mechanism to re-establish access when lost due to a lockout, etc. To begin that process, the user must be assigned a **Task** to ***Set Security Q&As***.

A few rules apply to the setting of **Security Q&As**:

a) All users can set up and manage three (3) security questions through the **Manage Security Questions** page.

b) Questions must be selected from an FTA approved list and 3 distinct questions must be selected.

c) Answers must contain at least three (3) characters and cannot be used for more than one question.

d) Users must correctly answer their existing questions to change them.

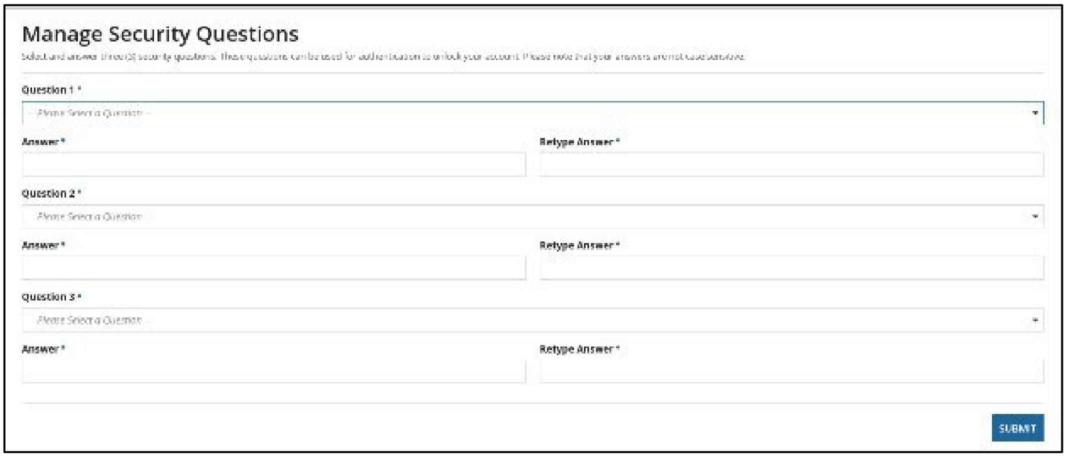
e) Users have three (3) attempts within a calendar day to answer their security questions correctly before they are locked out of the action.

f) Users cannot see the **Manage Security Questions** page on any other user's account.

g) Users will receive an automated email notification any time their questions have been updated.

To being the process of setting one's own security questions:

1. Locate the **User Profile** through either the **User Settings** page or the **Manage Users** page.
2. Select ***Related Actions***.
3. Click ***Manage Security Questions***.
4. The **Manage Security Questions** page displays, providing three areas for the user to select from a dropdown of questions and to enter their own answers to those questions.



Manage Security Questions

Select and answer three (3) security questions. These questions can be used for authentication to unlock your account. Please note that your answers are not case sensitive.

Question 1 *

-- Please Select a Question --

Answer *

Retype Answer *

Question 2 *

Please Select a Question

Answer *

Retype Answer *

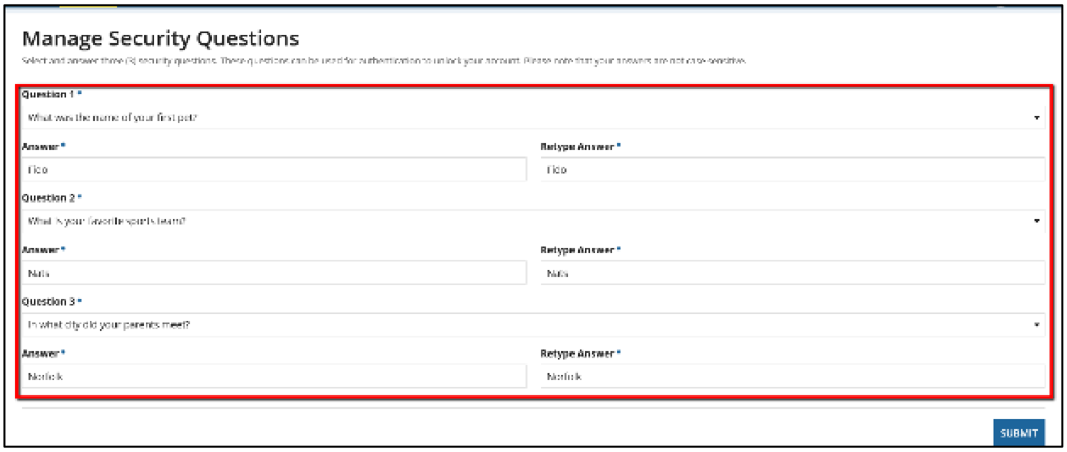
Question 3 *

Please Select a Question

Answer *

Retype Answer *

5. Select the question for each of the three security questions and enter the appropriate answer.



Manage Security Questions

Select and answer three (3) security questions. These questions can be used for authentication to unlock your account. Please note that your answers are not case sensitive.

Question 1 *

What was the name of your first pet?

Answer * Fido

Retype Answer * Fido

Question 2 *

What is your favorite sports team?

Answer * Nats

Retype Answer * Nats

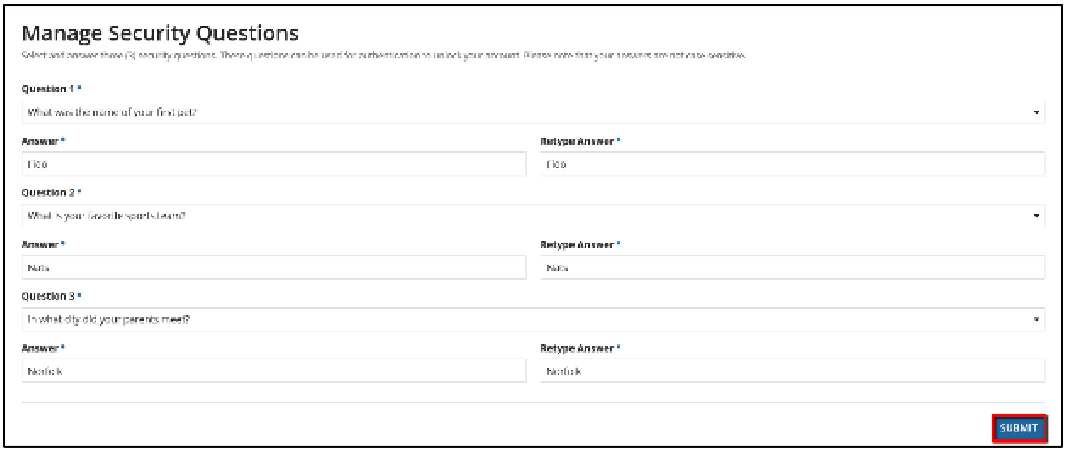
Question 3 *

In what city did your parents meet?

Answer * Norfolk

Retype Answer * Norfolk

6. When all three questions have been selected and answers provided, click ***Submit***.



Manage Security Questions

Select and answer three (3) security questions. These questions can be used for authentication to unlock your account. Please note that your answers are not case-sensitive.

Question 1 *
What was the name of your first pet?

Answer * Fido
Retype Answer * Fido

Question 2 *
What is your favorite sports team?

Answer * Nats
Retype Answer * Nats

Question 3 *
In what city did your parents meet?

Answer * Norfolk
Retype Answer * Norfolk

7. The **Tasks** tab will display with the just completed ***Set Security Q&As*** task being cleared from the page.

### 5.1.3 Related Action: Manage Security Questions/Answers

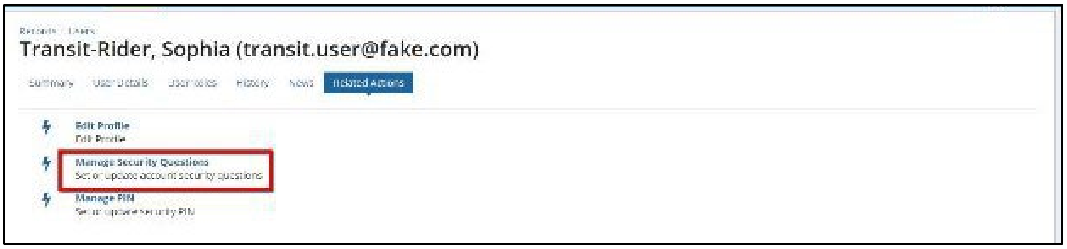
FACES provides a set of questions to add security to some of its functions. Three security questions, as set by the users themselves, are required to complete specialized actions.

To begin the process of managing one’s security questions:

1) Locate the **User Profile** through either the **User Settings** page or the **Records** page.

2) Select ***Related Actions***.

3) Click ***Manage Security Questions*** from the **Related Actions** page.



Records / Users

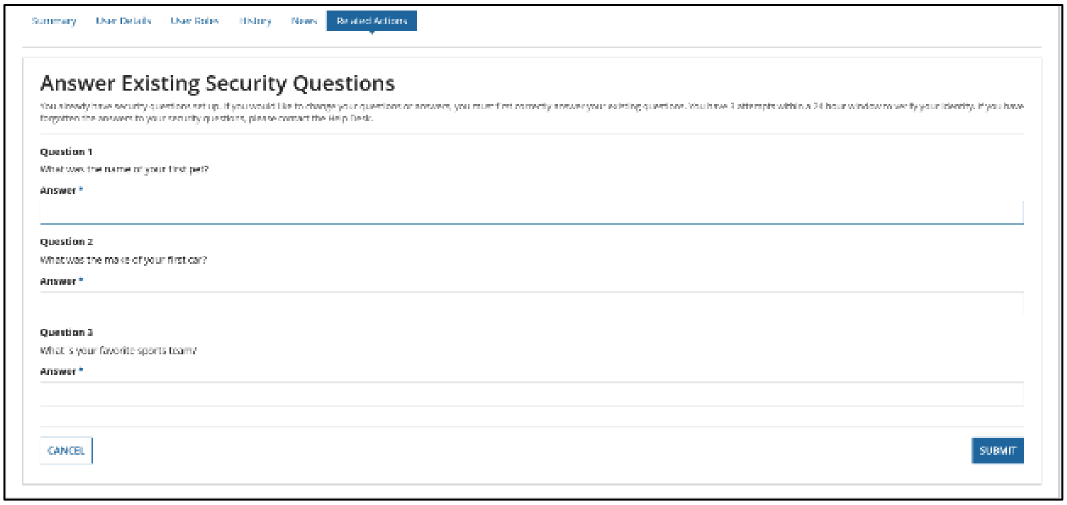
Transit-Rider, Sophia (transit.user@fake.com)

Edit Profile
Edit Profile

Manage Security Questions
Set or update account security questions

Manage PIN
Set or update security PIN

4) If there are existing security questions associated with the user profile, the **Answer Existing Security Questions** page displays. This page presents three questions and gives the user three attempts (within a 24-hour period) to answer them correctly.



Answer Existing Security Questions

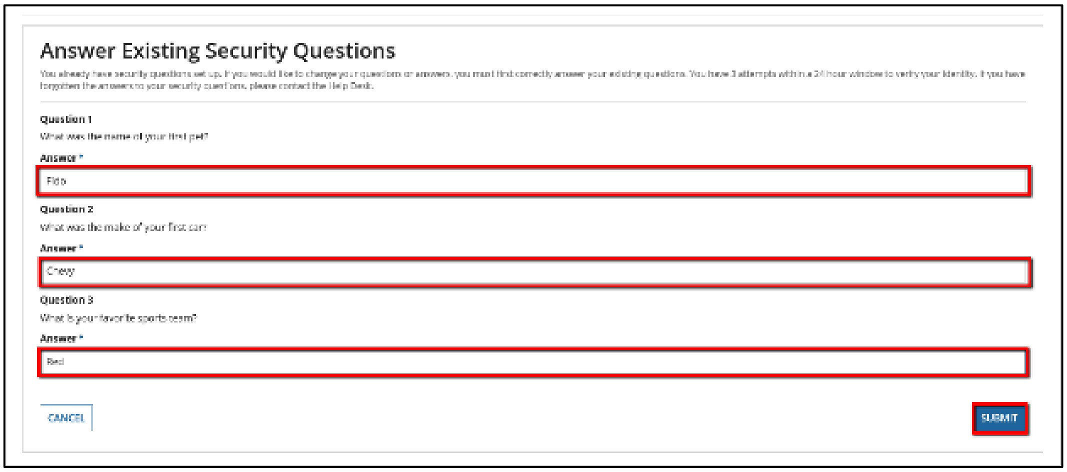
You already have security questions set up. If you would like to change your questions or answers, you must first correctly answer your existing questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten the answers to your security questions, please contact the Help Desk.

Question 1
What was the name of your first pet?
Answer *

Question 2
What was the make of your first car?
Answer *

Question 3
What is your favorite sports team?
Answer *

5) Enter the appropriate information and click ***Submit***.



Answer Existing Security Questions

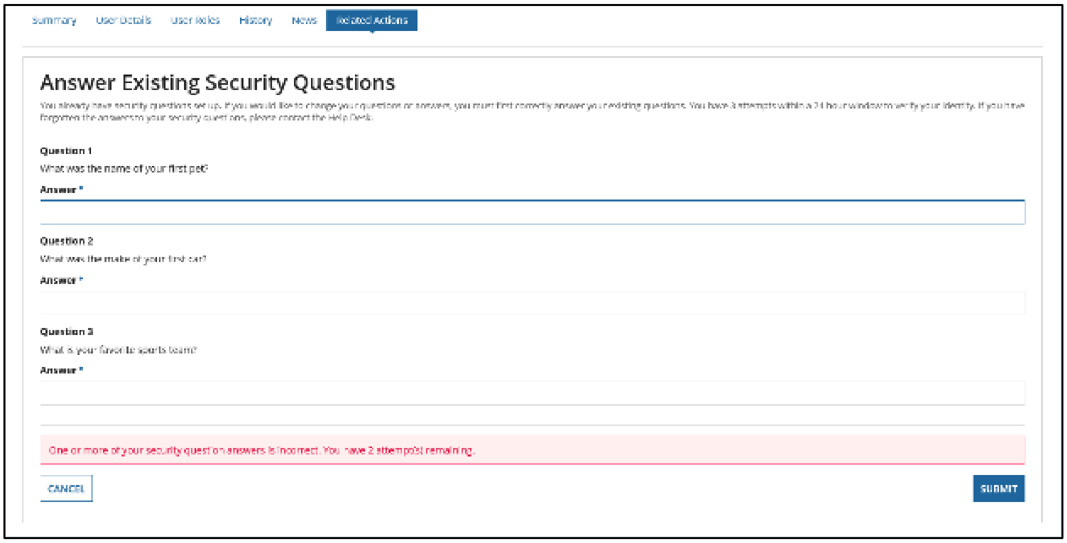
You already have security questions set up. If you would like to change your questions or answers, you must first correctly answer your existing questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten the answers to your security questions, please contact the Help Desk.

Question 1
What was the name of your first pet?
Answer *
Fido

Question 2
What was the make of your first car?
Answer *
Chevy

Question 3
What is your favorite sports team?
Answer *
Red

6) If the information entered for each question is incorrect, the answer to all questions is removed and a prompt is displayed to alert the user that they have not entered correct answers.



## Answer Existing Security Questions

You already have security questions set up. If you would like to change your questions or answers, you must first correctly answer your existing questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten the answers to your security questions, please contact the Help Desk.

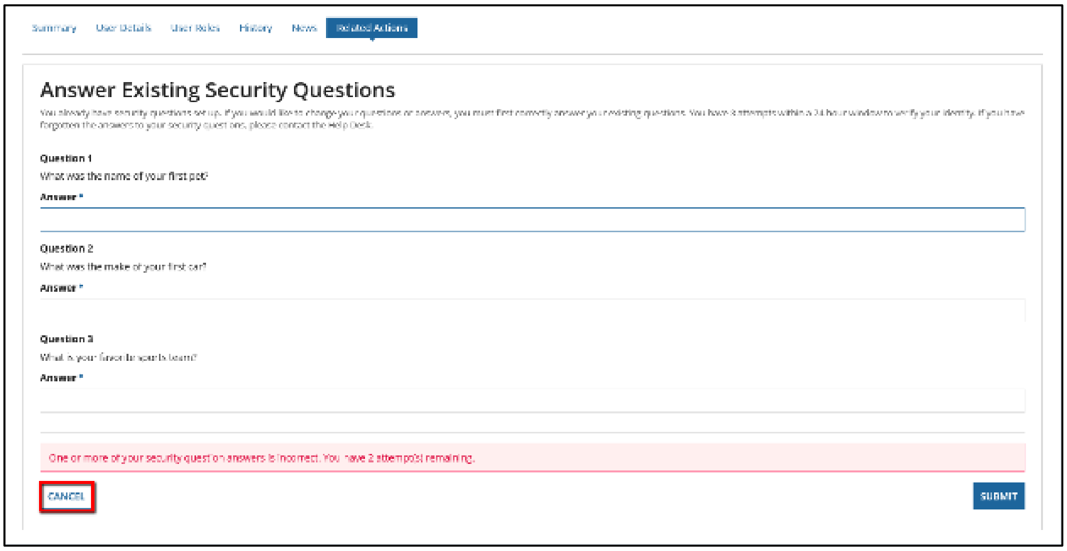
**Question 1**
What was the name of your first pet?
**Answer** *

**Question 2**
What was the make of your first car?
**Answer** *

**Question 3**
What is your favorite sports team?
**Answer** *

One or more of your security question answers is incorrect. You have 2 attempt(s) remaining.

7) Click ***Cancel*** to abort the security questions page.



## Answer Existing Security Questions

You already have security questions set up. If you would like to change your questions or answers, you must first correctly answer your existing questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten the answers to your security questions, please contact the Help Desk.

**Question 1**
What was the name of your first pet?
**Answer** *

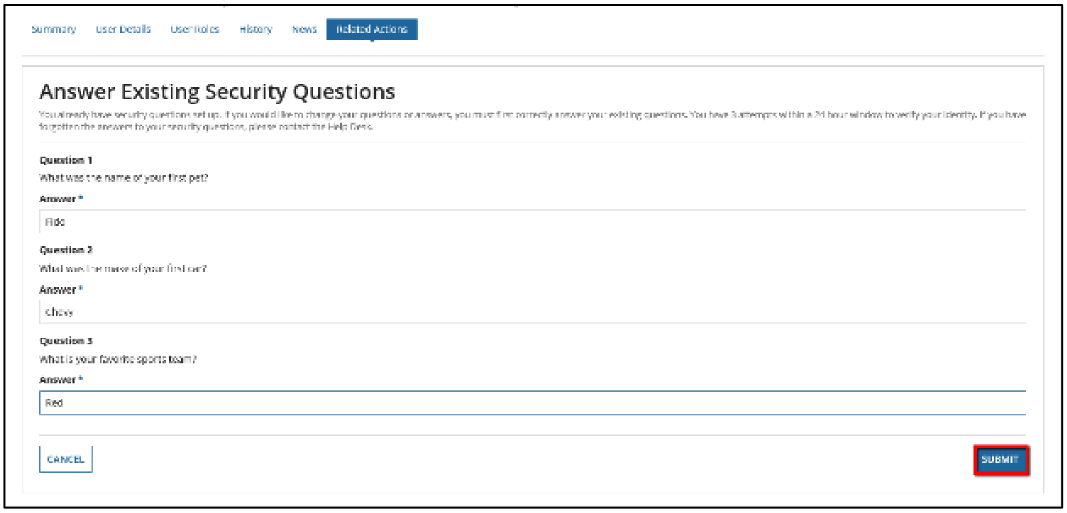
**Question 2**
What was the make of your first car?
**Answer** *

**Question 3**
What is your favorite sports team?
**Answer** *

One or more of your security question answers is incorrect. You have 2 attempt(s) remaining.

8) The **Related Actions** page is again displayed.

9) If the information entered has been corrected for each question, click ***Submit*** once more.



Answer Existing Security Questions

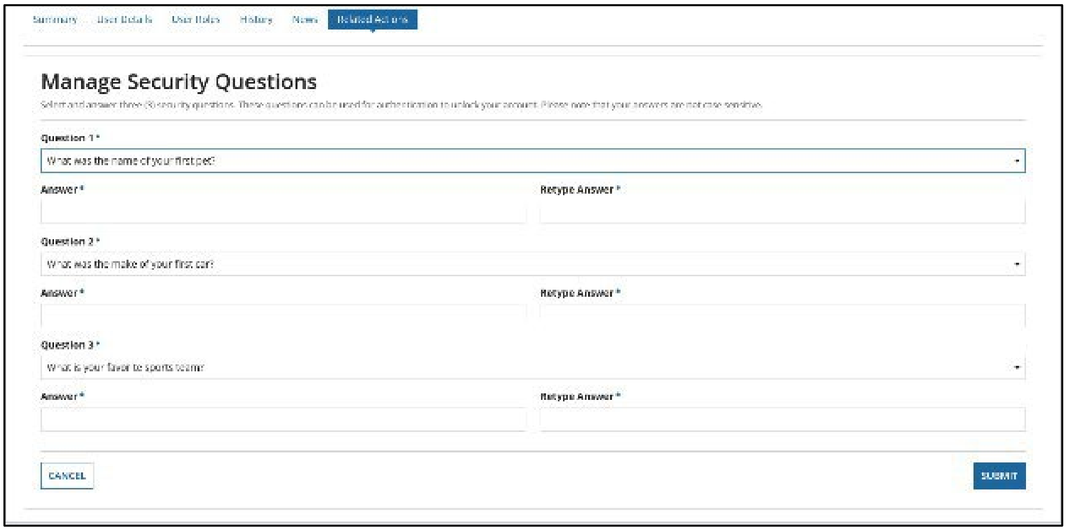
You already have security questions set up. If you would like to change your questions or answers, you must first correctly answer your existing questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten the answers to your security questions, please contact the Help Desk.

Question 1
What was the name of your first pet?
Answer *
Fido

Question 2
What was the make of your first car?
Answer *
Chevy

Question 3
What is your favorite sports team?
Answer *
Red

10) Once the three answers have been verified, the user is presented with a fresh page within which to enter either a fresh set of questions/answers or using one or more of the previous questions/answers and adding more.



Manage Security Questions

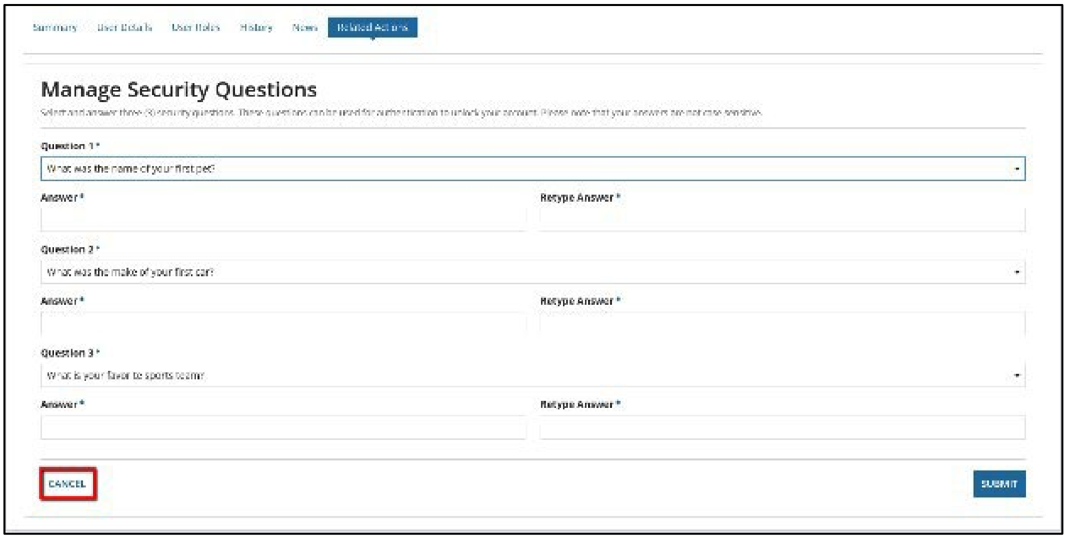
Select and answer three (3) security questions. These questions can be used for authentication to unlock your account. Please note that your answers are not case sensitive.

Question 1 *
What was the name of your first pet?
Answer * | Retype Answer *

Question 2 *
What was the make of your first car?
Answer * | Retype Answer *

Question 3 *
What is your favorite sports team?
Answer * | Retype Answer *

11) Click ***Cancel*** to abort the security questions page and return to the **Related Actions** page.



Manage Security Questions

Select and answer three (3) security questions. These questions can be used for authentication to unlock your account. Please note that your answers are not case sensitive.

Question 1 *
What was the name of your first pet?

Answer *

Retype Answer *

Question 2 *
What was the make of your first car?

Answer *

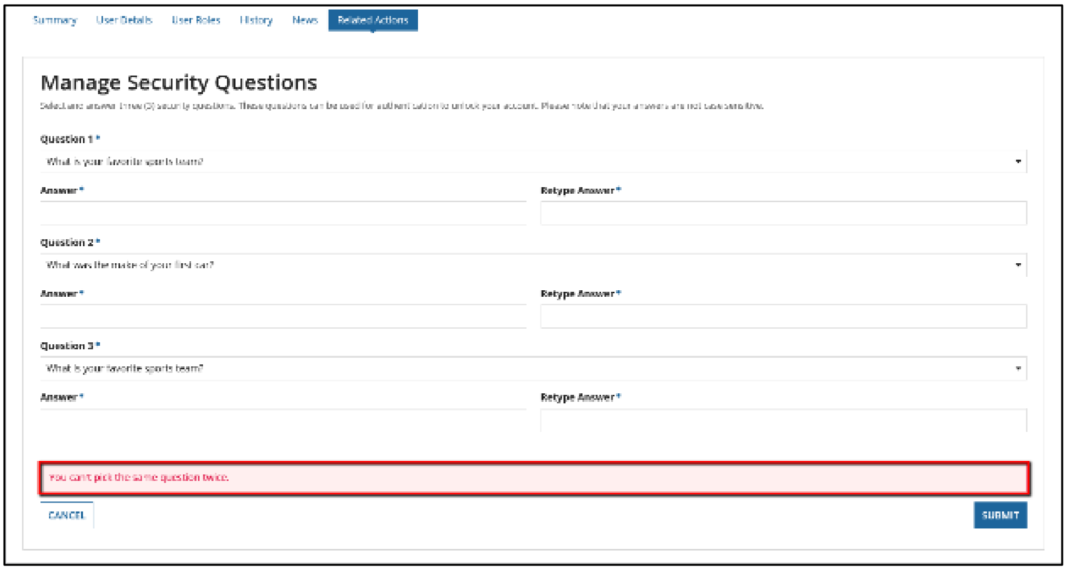
Retype Answer *

Question 3 *
What is your favorite sports team?

Answer *

Retype Answer *

12) If a previously used question is selected from the dropdown provided, an error message is raised that warns the user that *You can't pick the same question twice*.



Manage Security Questions

Select and answer three (3) security questions. These questions can be used for authentication to unlock your account. Please note that your answers are not case sensitive.

Question 1 *
What is your favorite sports team?

Answer *

Retype Answer *

Question 2 *
What was the make of your first car?

Answer *

Retype Answer *

Question 3 *
What is your favorite sports team?

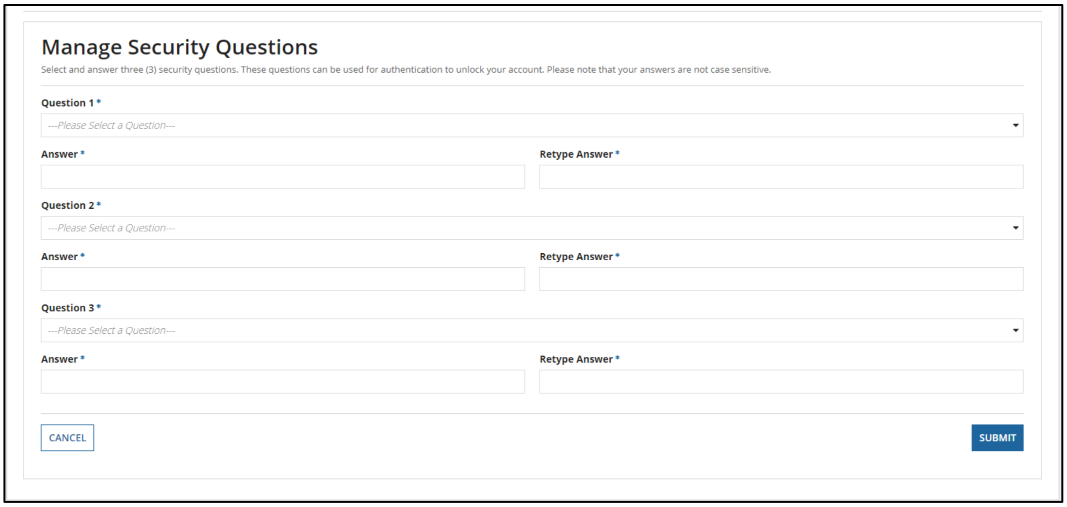
Answer *

Retype Answer *

You can't pick the same question twice.

13) Click ***Submit*** to save any changes made to any of the questions/answers.

| | |
|---|---|
| **Note:** | *Only the first question was changed.* |



Manage Security Questions

Select and answer three (3) security questions. These questions can be used for authentication to unlock your account. Please note that your answers are not case sensitive.

Question 1 *

---Please Select a Question---

Answer * | Retype Answer *

Question 2 *

---Please Select a Question---

Answer * | Retype Answer *

Question 3 *

---Please Select a Question---

Answer * | Retype Answer *

14) The **Related Actions** page is again displayed.

### 5.1.4 Related Action: Reset Security Questions

If a user is unable to answer security questions to re-establish access due to a lockout, etc., security questions can be reset by a System Administrator or through contacting the TrAMS Help Desk.

### 5.1.5 Related Action: Creating a PIN

Some user roles require a personal identification number (PIN) to complete actions or tasks within the system. These roles include the TrAMS Submitter, Attorney, Official, and Regional Administrator. Users that have one or more of the PIN-based roles gain access to a new user profile **Related Action** to set their personal four-digit PIN code. This **Related Action** will be shown as ***Manage PIN***. Adding any of the PIN-based roles to a user record will require that user to make use of a PIN code for certain actions that can only be performed by those roles.

There are a few basic rules surrounding the use of PINs:

a) Users with PIN roles (**TrAMS Submitter**, **Official**, **Attorney**, **Administrator**) will have access to a ***Manage PIN*** profile **Related Action** to create or change a PIN.

b) No user can see the ***Manage PIN*** profile **Related Action** on any other user's account.

c) PINs must be 4-digit numeric codes (e.g., "1234").

d) To reset a PIN, a user must correctly enter their current PIN or correctly answer their Security Questions.

e) Users have 3 attempts per calendar day to reset their PIN before they are locked out of the action.

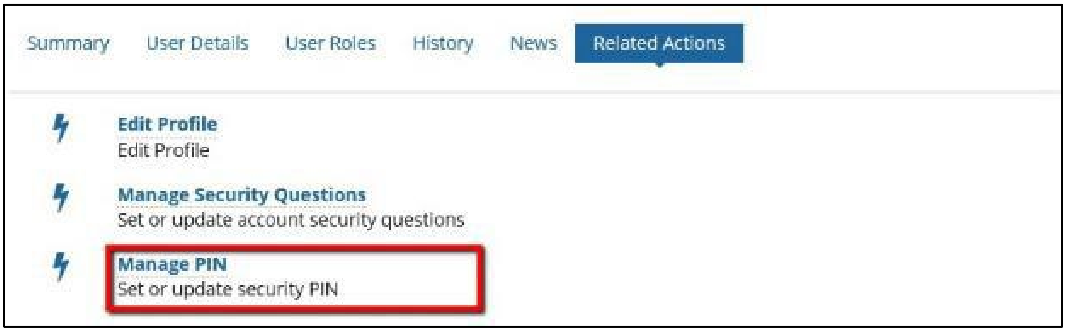
f) Users will receive an automated email notification any time their PIN has been updated.

To create the **PIN** code:

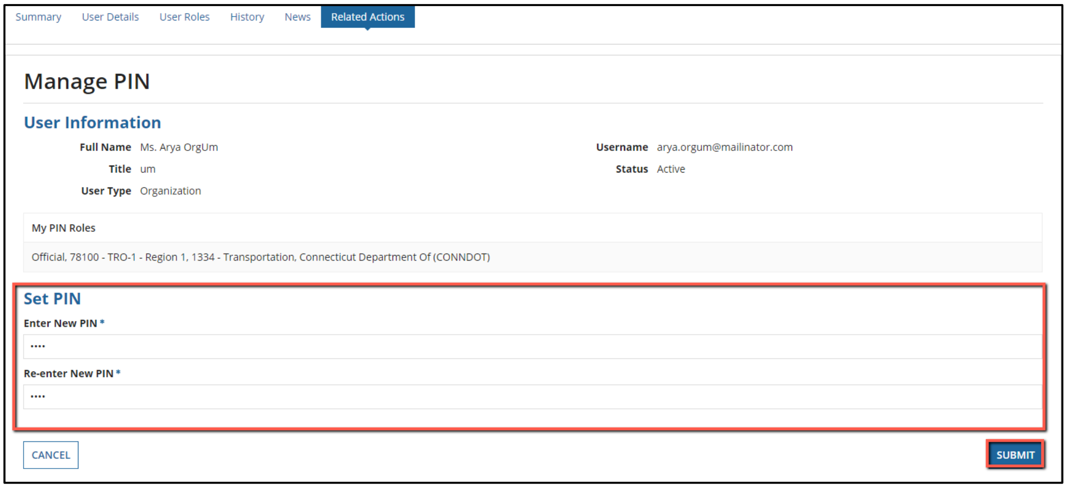
1) Locate the **User Profile** through either the **User Settings** page or the **Records** page.

2) Select ***Related Actions***.

3) Click ***Manage PIN***.


Summary
User Details
User Roles
History
News
Related Actions
Edit Profile
Edit Profile
Manage Security Questions
Set or update account security questions
Manage PIN
Set or update security PIN

4) First time users will see the **New PIN** field. Enter a four-digit PIN code. **This is a required field**.



Manage PIN

User Information

**Full Name** Ms. Arya OrgUm

**Title** um

**User Type** Organization

**Username** arya.orgum@mailinator.com

**Status** Active

My PIN Roles

Official, 78100 - TRO-1 - Region 1, 1334 - Transportation, Connecticut Department Of (CONNDOT)

Set PIN

**Enter New PIN** *

••••

**Re-enter New PIN** *

••••

5) Select ***SUBMIT*** so save the PIN.

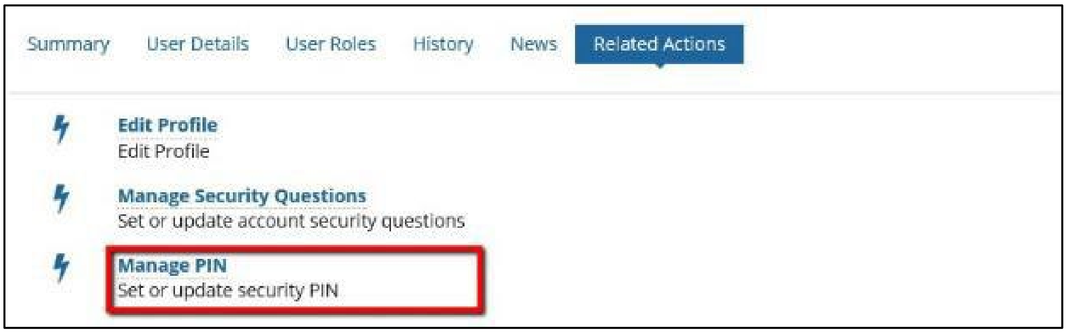
6) Select ***Cancel*** to return to the **Related Actions** page without saving any changes.

### 5.1.6 Related Action: Changing the PIN

Once the PIN has been created, a user may again select the ***Manage PIN*** function from the **Related Action** page to change or re-set their personal four-digit PIN code.

To change the PIN code:

1) Locate the **User Profile** through either the **User Settings** page or the **Manage Users** page. Select ***Related Actions*** and then click ***Manage PIN***.

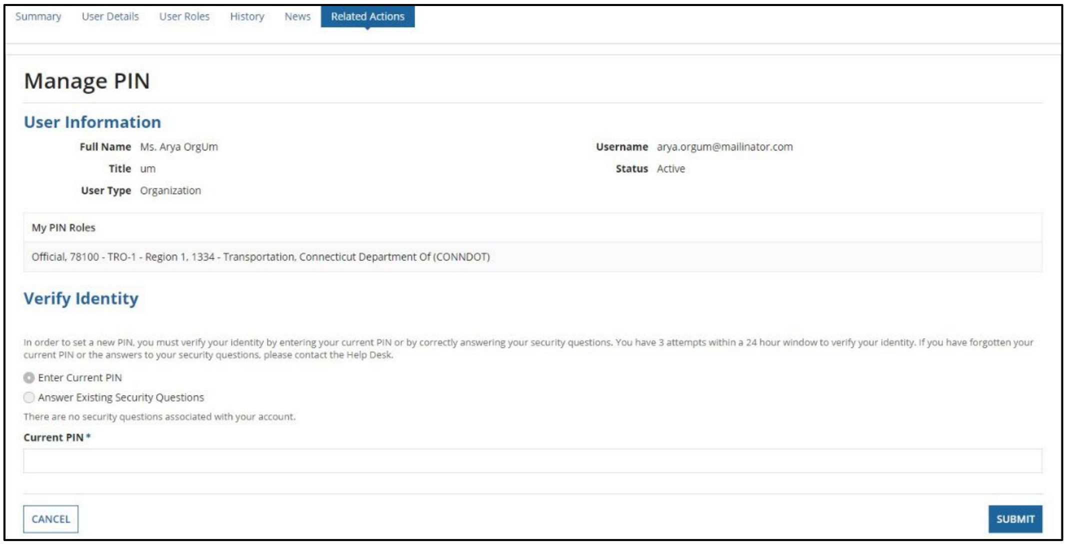


**Edit Profile**
Edit Profile

**Manage Security Questions**
Set or update account security questions

**Manage PIN**
Set or update security PIN

2) The **Manage PIN** page will display **User Information** as well as the roles to which the PIN has been applied.



Manage PIN

User Information

| | | | |
|---|---|---|---|
| **Full Name** | Ms. Arya OrgUm | **Username** | arya.orgum@mailinator.com |
| **Title** | um | **Status** | Active |
| **User Type** | Organization | | |

| My PIN Roles |
|---|
| Official, 78100 - TRO-1 - Region 1, 1334 - Transportation, Connecticut Department Of (CONNDOT) |

Verify Identity

In order to set a new PIN, you must verify your identity by entering your current PIN or by correctly answering your security questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten your current PIN or the answers to your security questions, please contact the Help Desk.

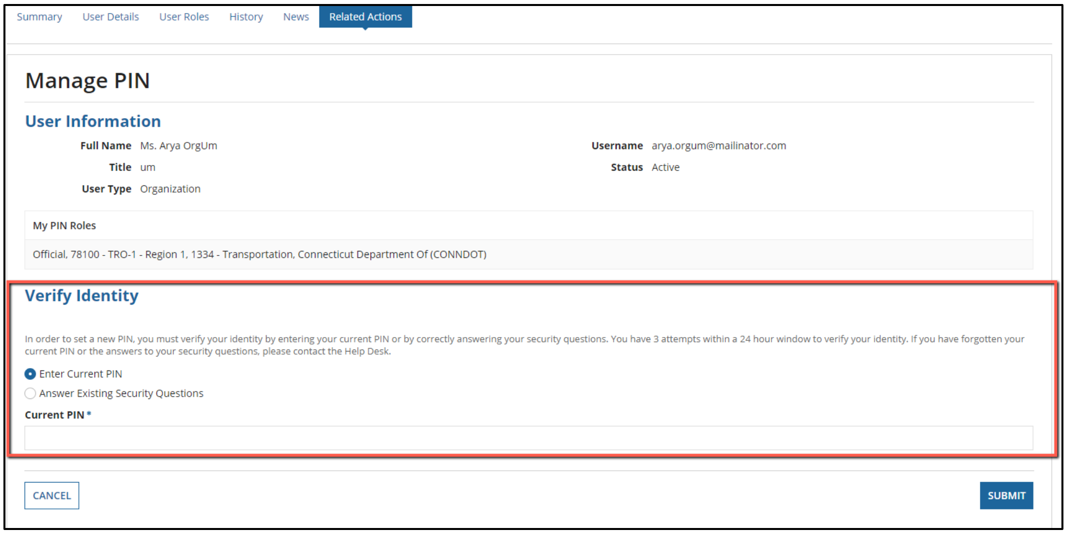
● Enter Current PIN

○ Answer Existing Security Questions

There are no security questions associated with your account.

**Current PIN** *

3) The user is provided with two separate mechanisms by which they can verify their identity. One includes simply entering the PIN (if known). The other allows the user to verify their identity by answering their security questions.



Manage PIN

User Information

| | | | |
|---|---|---|---|
| Full Name | Ms. Arya OrgUm | Username | arya.orgum@mailinator.com |
| Title | um | Status | Active |
| User Type | Organization | | |

My PIN Roles

Official, 78100 - TRO-1 - Region 1, 1334 - Transportation, Connecticut Department Of (CONNDOT)

Verify Identity

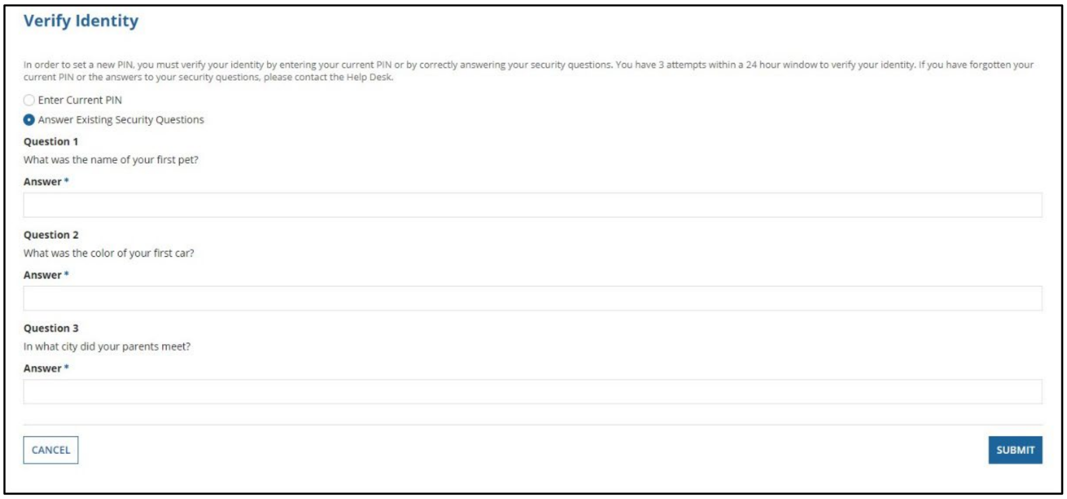
In order to set a new PIN, you must verify your identity by entering your current PIN or by correctly answering your security questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten your current PIN or the answers to your security questions, please contact the Help Desk.

● Enter Current PIN

○ Answer Existing Security Questions

Current PIN *

4) Select ***Answer Existing Security Questions*** by selecting the radio button next to that item. This will cause the three questions to be presented for the user to enter the verified information.



Verify Identity

In order to set a new PIN, you must verify your identity by entering your current PIN or by correctly answering your security questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten your current PIN or the answers to your security questions, please contact the Help Desk.

○ Enter Current PIN

● Answer Existing Security Questions

Question 1

What was the name of your first pet?

Answer *

Question 2

What was the color of your first car?

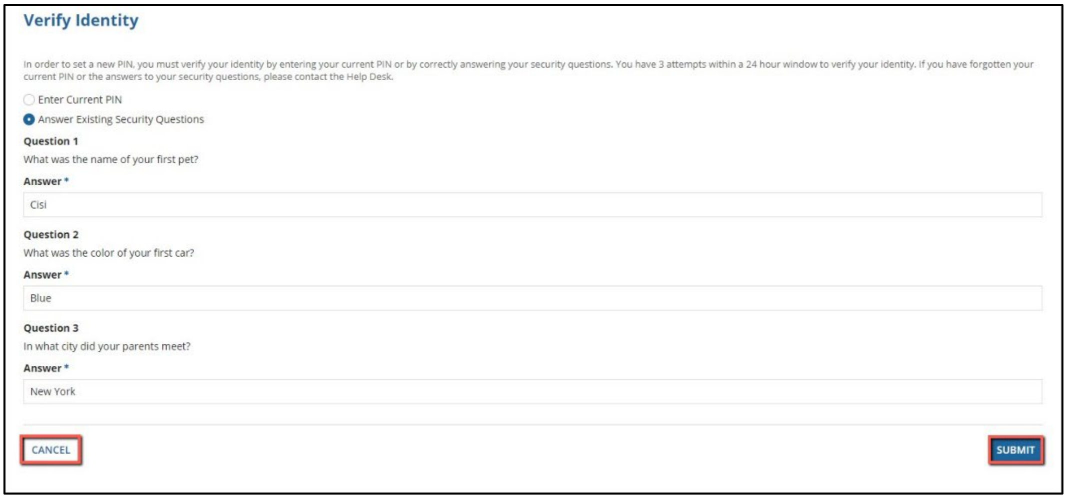
Answer *

Question 3

In what city did your parents meet?

Answer *

5) Click ***Cancel*** to abort the security questions page and return to the **Related Actions** page.



Verify Identity

In order to set a new PIN, you must verify your identity by entering your current PIN or by correctly answering your security questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten your current PIN or the answers to your security questions, please contact the Help Desk.

○ Enter Current PIN

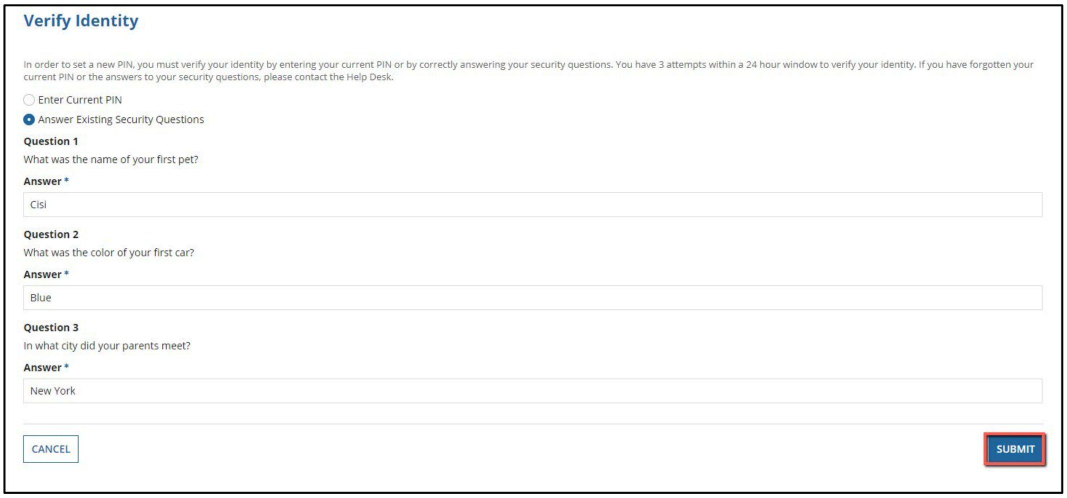
● Answer Existing Security Questions

**Question 1**
What was the name of your first pet?
**Answer ***
Cisi

**Question 2**
What was the color of your first car?
**Answer ***
Blue

**Question 3**
In what city did your parents meet?
**Answer ***
New York

6) Complete the information and click ***Submit***.



Verify Identity

In order to set a new PIN, you must verify your identity by entering your current PIN or by correctly answering your security questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten your current PIN or the answers to your security questions, please contact the Help Desk.

○ Enter Current PIN

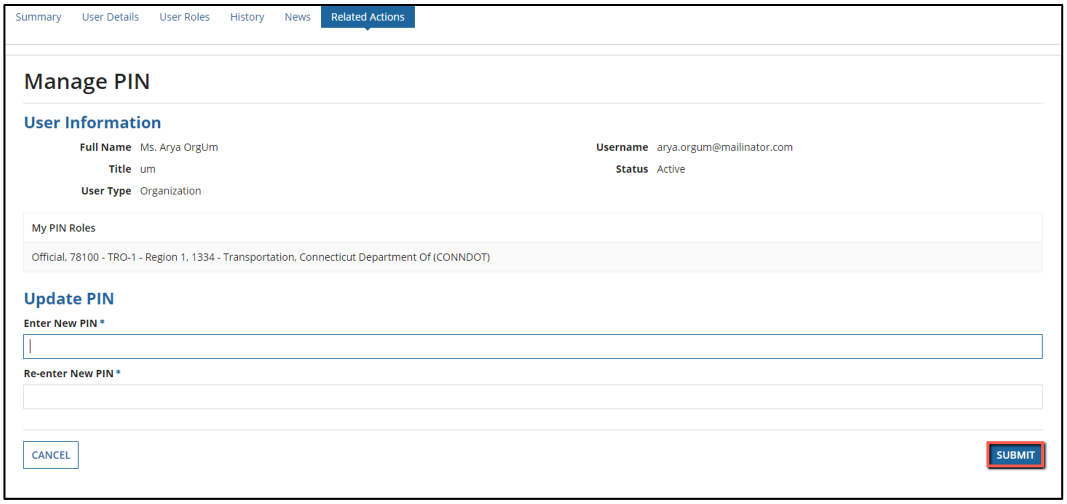
● Answer Existing Security Questions

**Question 1**
What was the name of your first pet?
**Answer ***
Cisi

**Question 2**
What was the color of your first car?
**Answer ***
Blue

**Question 3**
In what city did your parents meet?
**Answer ***
New York

7) After entering all the information for the security questions and clicking ***Submit***, the user is presented with the **Update PIN** page, allowing them to enter a new PIN to be associated with their role(s).



## Manage PIN

### User Information

Full Name Ms. Arya OrgUm
Title um
User Type Organization
Username arya.orgum@mailinator.com
Status Active

My PIN Roles

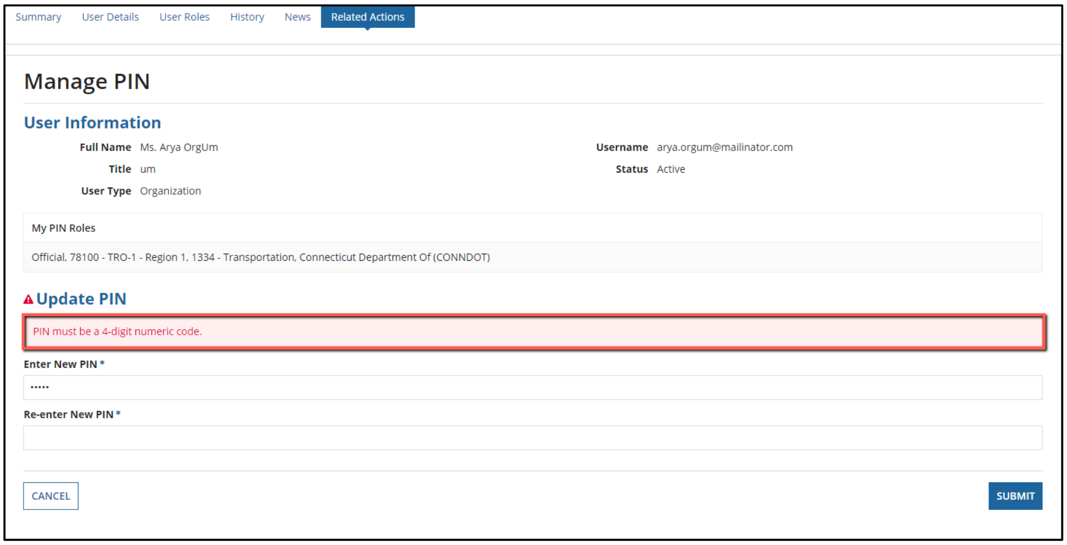
Official, 78100 - TRO-1 - Region 1, 1334 - Transportation, Connecticut Department Of (CONNDOT)

### Update PIN

Enter New PIN *

Re-enter New PIN *

8) The user enters a new PIN and re-enters the same PIN for confirmation. If, however, the PIN is not exactly four characters (not less, not more), an error message is raised that *PIN must be a four-digit numeric code*.



## Manage PIN

### User Information

Full Name Ms. Arya OrgUm
Title um
User Type Organization
Username arya.orgum@mailinator.com
Status Active

My PIN Roles

Official, 78100 - TRO-1 - Region 1, 1334 - Transportation, Connecticut Department Of (CONNDOT)

### Update PIN

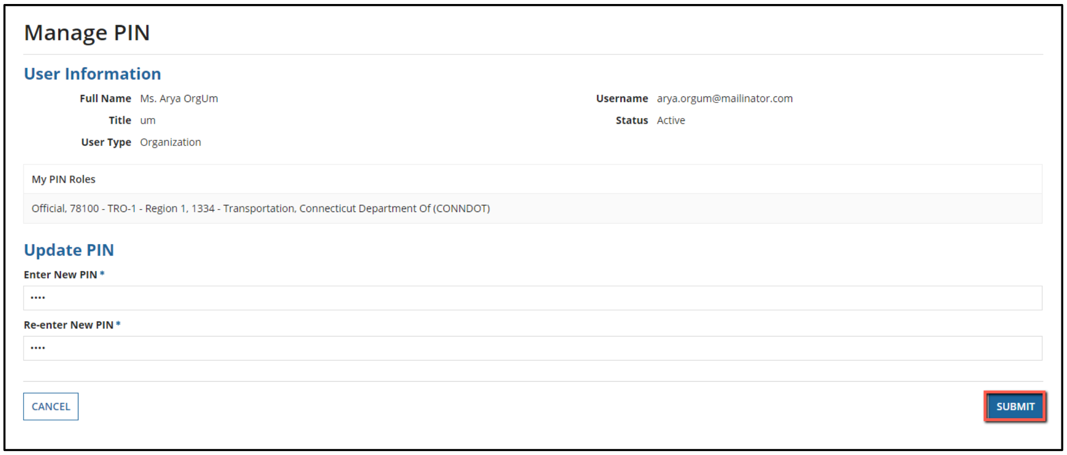
PIN must be a 4-digit numeric code.

Enter New PIN *

•••••

Re-enter New PIN *

9) Correct the PIN and click ***Submit***.



Manage PIN

User Information

Full Name Ms. Arya OrgUm

Title um

User Type Organization

Username arya.orgum@mailinator.com

Status Active

My PIN Roles

Official, 78100 - TRO-1 - Region 1, 1334 - Transportation, Connecticut Department Of (CONNDOT)

Update PIN

Enter New PIN * ····

Re-enter New PIN * ····

10) The **Related Actions** page displays.

| | |
|---|---|
| **Note:** | *If the user cannot remember either their existing PIN or security question answers, the user must contact the Help Desk for assistance.* |

### 5.1.7 A Locked Account

FTA complies with U.S. DOT Information Technology (IT) Security guidelines. FACES uses several security features to ensure that only valid and active users have access to the FTA platform. One of those features is the User Lockout function. An automatic account lockout occurs after 60 days of user inactivity (i.e., after 60 days of the user failing to log in to the FTA platform). The lockout also occurs when the user is required to comply with an annual user recertification. Annual user recertification verifies that each user has valid system access and the correct user roles. A user will be locked if the user is not recertified during the recertification window. These security features apply to all software systems that rely on FACES for access.

Users with locked accounts can still log onto the FTA platform but they will be unable to complete any actions on their account or specific to their roles. The standard tabs (***Manage Users***, ***Reports***, and ***Actions***) will contain a limited amount of data and security-related actions. For example, no tasks will be available.

Locked users can unlock their accounts using one of two methods: (1) correctly answering their existing security questions; or (2) submitting an unlock request. Both methods are available via a single action on the **Actions** tab. It is preferred that all users attempt to self-unlock their accounts by answering their previously setup security questions before submitting an unlock request; this is the quickest and most efficient route to unlock an account. However, if a user is locked due to recertification, the user will not be able to use self-unlock to unlock his or her account. Once an account is unlocked, the user's access privileges will be fully restored.

### 5.1.8 Answer Security Questions

If the account is locked and security questions were previously set up, the user can attempt to unlock the account by answering their security questions through the ***Unlock Account*** link on the **Actions** tab.

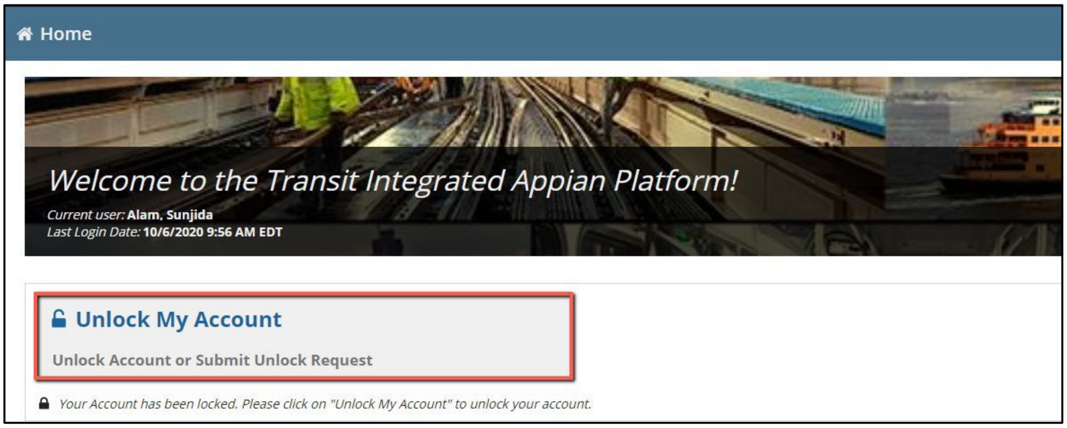
| | |
|---|---|
| **Note:** | *See* [Related Action: Set Security Questions/Answers](#) *or* [Related Action: Manage Security Questions/Answers](#) *for instructions on setting up Security Questions. User Security Questions cannot be modified while the account is locked.* |

The user is allowed three (3) attempts per calendar day to correctly answer the security questions. Users who have not set up security questions or who cannot remember the correct answers to their questions must instead submit an unlock request.

To unlock the account via security questions:

1) Login to your account.

2) Click ***Unlock my Account***.



Home

*Welcome to the Transit Integrated Appian Platform!*

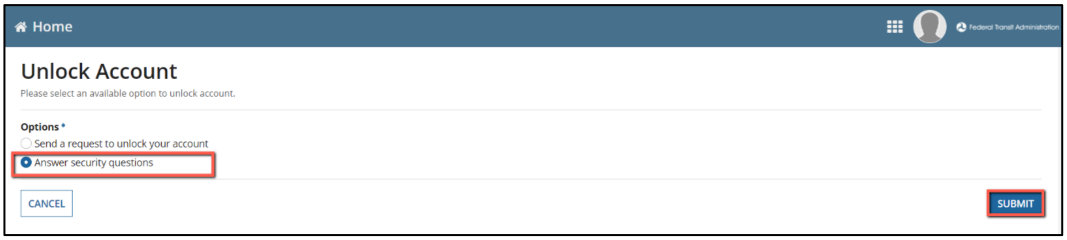
*Current user:* **Alam, Sunjida**
*Last Login Date:* **10/6/2020 9:56 AM EDT**

**Unlock My Account**

Unlock Account or Submit Unlock Request

*Your Account has been locked. Please click on "Unlock My Account" to unlock your account.*

3) If **Security Questions** have already been established, then click ***Answer Security Questions*** from the **Unlock Account** page and then click ***Submit***.



Home

Unlock Account

Please select an available option to unlock account.

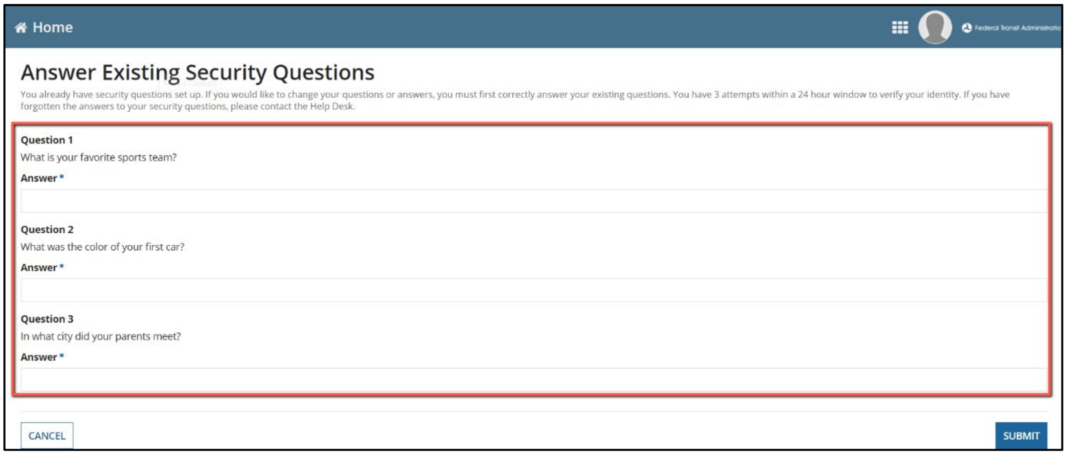
Options *
○ Send a request to unlock your account
● Answer security questions

CANCEL

SUBMIT

4) Provide the correct answers to the three previously established questions and click ***Submit***.

| | |
|---|---|
| **Note:** | *Answers are case insensitive.* |



Answer Existing Security Questions

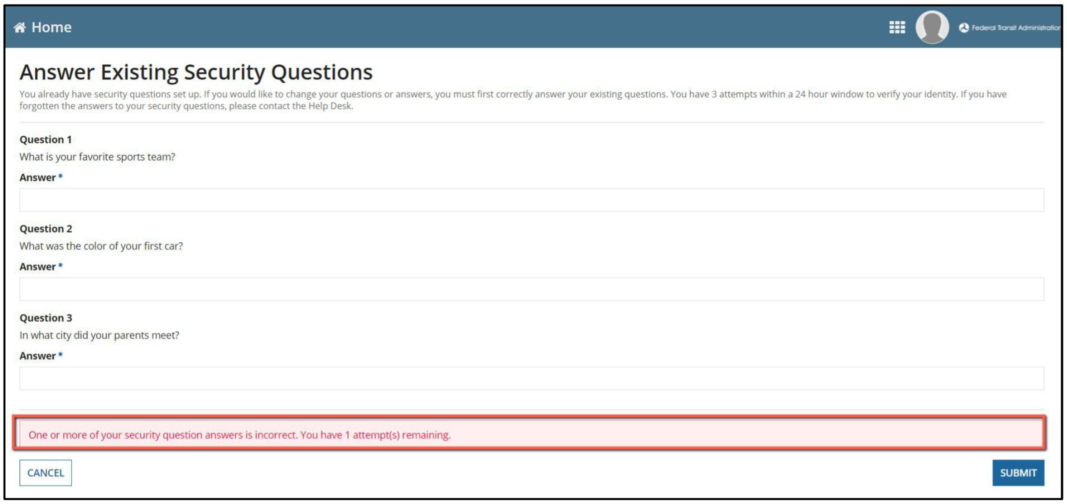
You already have security questions set up. If you would like to change your questions or answers, you must first correctly answer your existing questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten the answers to your security questions, please contact the Help Desk.

Question 1
What is your favorite sports team?
Answer *

Question 2
What was the color of your first car?
Answer *

Question 3
In what city did your parents meet?
Answer *

5) If incorrect information was entered, a validation error message will display that indicates the number of attempts remaining for the current calendar day. After three incorrect attempts, the user will need to submit an unlock request. See section **5.2.2** to learn how to submit an unlock request.



Answer Existing Security Questions

You already have security questions set up. If you would like to change your questions or answers, you must first correctly answer your existing questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten the answers to your security questions, please contact the Help Desk.

Question 1
What is your favorite sports team?
Answer *

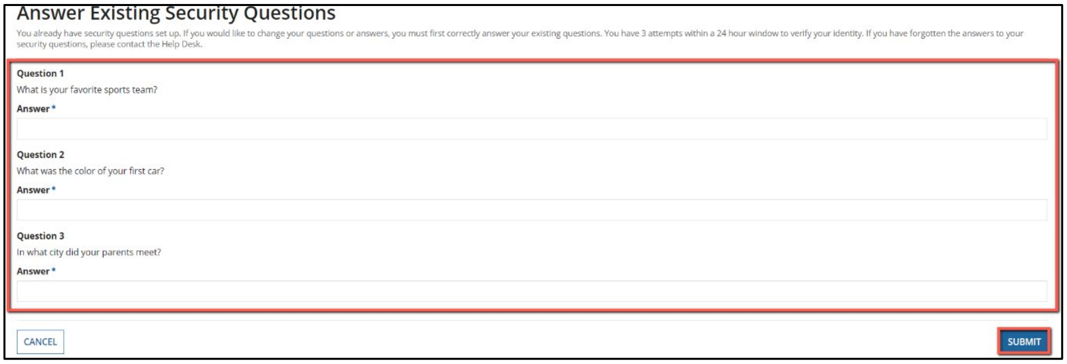
Question 2
What was the color of your first car?
Answer *

Question 3
In what city did your parents meet?
Answer *

One or more of your security question answers is incorrect. You have 1 attempt(s) remaining.

6) If incorrect information was entered, all three answers will be erased regardless of which one of the three answers was correct.

7) Enter the correct information and click ***Submit***.



Answer Existing Security Questions

You already have security questions set up. If you would like to change your questions or answers, you must first correctly answer your existing questions. You have 3 attempts within a 24 hour window to verify your identity. If you have forgotten the answers to your security questions, please contact the Help Desk.

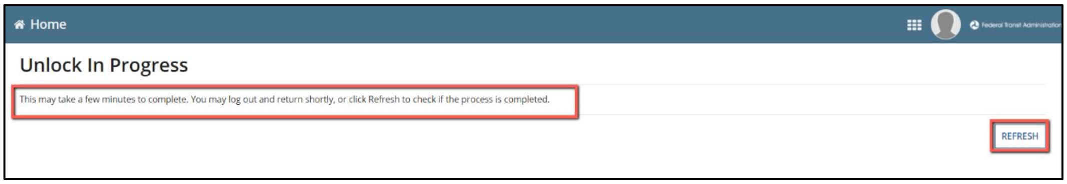
Question 1
What is your favorite sports team?
Answer *

Question 2
What was the color of your first car?
Answer *

Question 3
In what city did your parents meet?
Answer *

8) A message indicating **User Unlock Processing** will display.

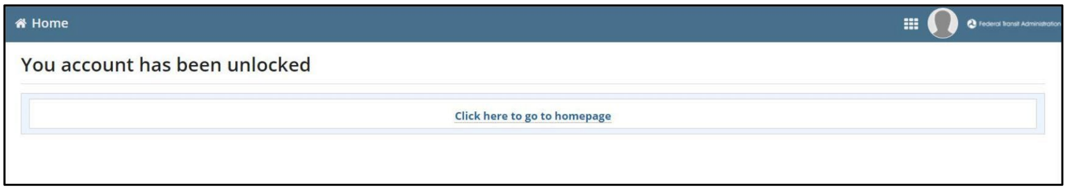
9) Click ***Refresh***.



Unlock In Progress

This may take a few minutes to complete. You may log out and return shortly, or click Refresh to check if the process is completed.

10) A message indicating **Your Account has been unlocked** will display.



You account has been unlocked

11) The user can Click the link to return to the Homepage.

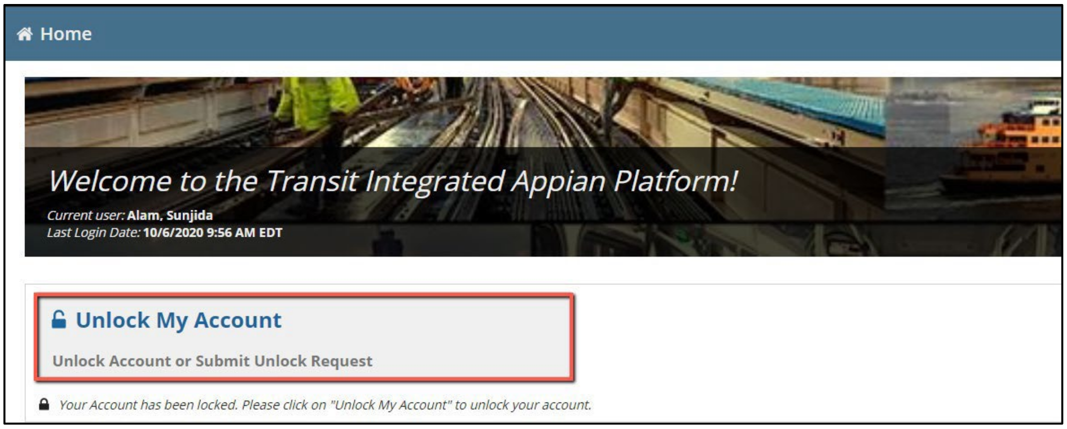
12) An email will be auto generated and sent to the user.

### 5.1.9 Submit Unlock Request

If a user has not set up security questions or cannot remember their answers, they can submit an unlock request by selecting ***Unlock Account*** on the **Actions** tab. The unlock request is automatically routed to the appropriate approvers (User Managers, Validation Analysts, LSMs, or GSMs). If an organization does not have a User Manager or the locked user is the User Manager, the request will go to the next level approver. If the user belongs to multiple organizations, the request will go to each of the organization's user management chain.

To submit an unlock request:

1) Log into FACES and Click ***Unlock My Account***.

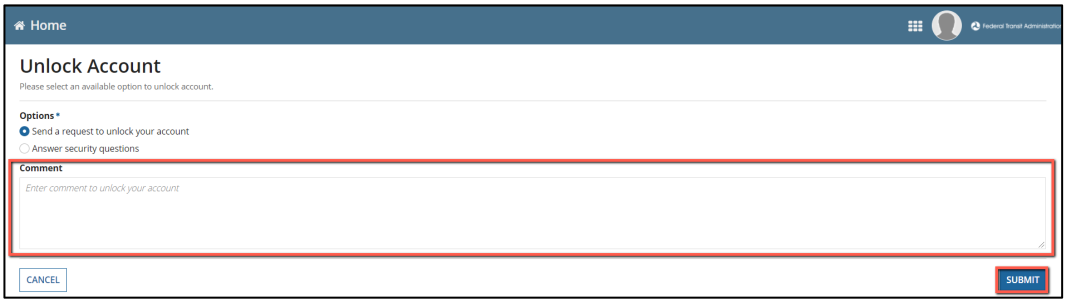


Welcome to the Transit Integrated Appian Platform!

Current user: **Alam, Sunjida**
Last Login Date: **10/6/2020 9:56 AM EDT**

*Your Account has been locked. Please click on "Unlock My Account" to unlock your account.*

2) Select the ***Send a Request to Unlock Your Account*** option, enter any comments pertinent to regaining access, and then click ***Submit*** to finalize the action.



Unlock Account

Please select an available option to unlock account.

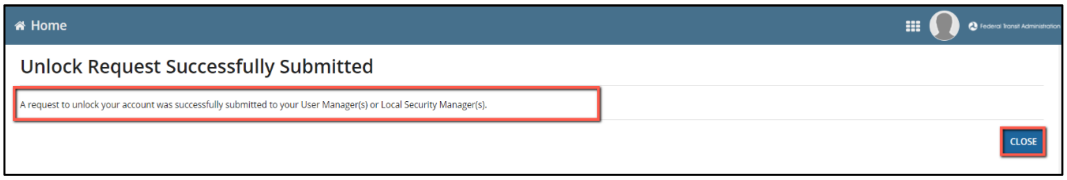
**Options** *
● Send a request to unlock your account
○ Answer security questions

**Comment**

*Enter comment to unlock your account*

3) A message indicating **Unlock Request Successfully Submitted** will display.

4) Click ***Close***.



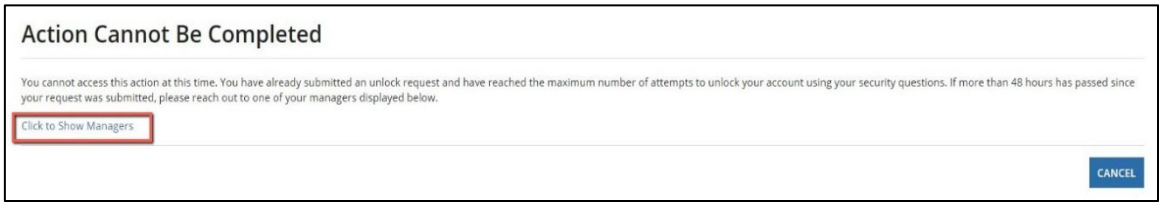
Unlock Request Successfully Submitted

A request to unlock your account was successfully submitted to your User Manager(s) or Local Security Manager(s).

5) The request for the unlock will automatically be routed to the appropriate approver(s).

Users are only allowed to submit one unlock request at a time. Once an unlock request has been submitted, the user cannot self-unlock their account via security questions or submit a new unlock request After submitting the unlock request, the **User Manager, LSM, Validation Analyst, User Manager Supervisor, FTA Signer, or GSM** (as appropriate) will receive an email notification to review the submitted request. They can either approve or deny the request. The user will be notified via email of either decision.

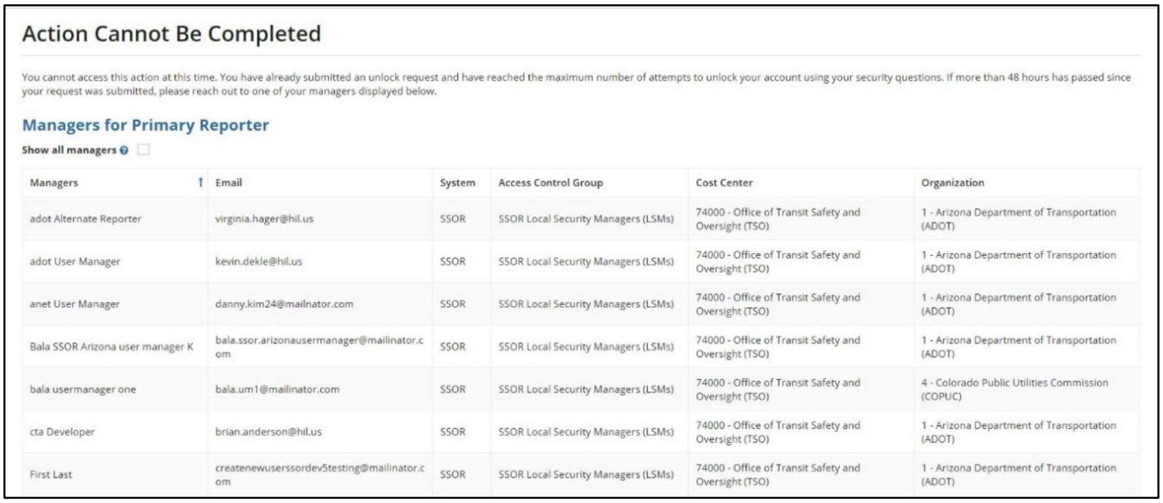
If the request is approved, the account will unlock, and all previous permissions will be restored. If the request is denied, the account will remain locked. The user will see the message below if they attempt to submit another unlock request. If the account remains locked after 48 hours since the request was submitted, the user should contact any of their assigned **User Manager, Validation Analyst, LSM, or GSM** by clicking on the link.



Action Cannot Be Completed

You cannot access this action at this time. You have already submitted an unlock request and have reached the maximum number of attempts to unlock your account using your security questions. If more than 48 hours has passed since your request was submitted, please reach out to one of your managers displayed below.

A list of the managers for the user will appear with information for all the user's managers.



Action Cannot Be Completed

You cannot access this action at this time. You have already submitted an unlock request and have reached the maximum number of attempts to unlock your account using your security questions. If more than 48 hours has passed since your request was submitted, please reach out to one of your managers displayed below.

Managers for Primary Reporter

Show all managers □

| Managers | Email | System | Access Control Group | Cost Center | Organization |
|---|---|---|---|---|---|
| adot Alternate Reporter | virginia.hager@hil.us | SSOR | SSOR Local Security Managers (LSMs) | 74000 - Office of Transit Safety and Oversight (TSO) | 1 - Arizona Department of Transportation (ADOT) |
| adot User Manager | kevin.dekle@hil.us | SSOR | SSOR Local Security Managers (LSMs) | 74000 - Office of Transit Safety and Oversight (TSO) | 1 - Arizona Department of Transportation (ADOT) |
| anet User Manager | danny.kim24@mailnator.com | SSOR | SSOR Local Security Managers (LSMs) | 74000 - Office of Transit Safety and Oversight (TSO) | 1 - Arizona Department of Transportation (ADOT) |
| Bala SSOR Arizona user manager K | bala.ssor.arizonausermanager@mailinator.com | SSOR | SSOR Local Security Managers (LSMs) | 74000 - Office of Transit Safety and Oversight (TSO) | 1 - Arizona Department of Transportation (ADOT) |
| bala usermanager one | bala.um1@mailinator.com | SSOR | SSOR Local Security Managers (LSMs) | 74000 - Office of Transit Safety and Oversight (TSO) | 4 - Colorado Public Utilities Commission (COPUC) |
| cta Developer | brian.anderson@hil.us | SSOR | SSOR Local Security Managers (LSMs) | 74000 - Office of Transit Safety and Oversight (TSO) | 1 - Arizona Department of Transportation (ADOT) |
| First Last | createnewuserssordev5testing@mailinator.com | SSOR | SSOR Local Security Managers (LSMs) | 74000 - Office of Transit Safety and Oversight (TSO) | 1 - Arizona Department of Transportation (ADOT) |

# 6. User Management

## 6.1. User Management Responsibilities

User management responsibilities include user creation, role assignments, deactivation, reactivation, and unlocking. Responsibilities vary somewhat by management level. At the lowest level, each organization will have one or more users assigned to the **User Manager** role. FTA approval is required to obtain or assign the **User Manager** role to any individual. The **User Manager** for an organization can perform the following actions for users within their organization:

- Create and Manage Users.
- Edit user profile information.
- Manage role documentation.
- Deactivate and Reactivate users.
- Unlock users.

- Recertify users.

FTA Global Security Managers (**GSMs**) can create and manage all other users within their system (e.g., TrAMS, NTD, SSOR, DGS and CRM).

FTA Local Security Managers (**LSMs**) can manage all FTA users within their cost center, organization users within any organization that belongs to their cost center, and external contractors. FTA LSMs can also approve role requests from User Managers.

FTA **Validation Analyst** can only manage with **FTA LSM** roles users within their cost center, organization users within any organization that belongs to their cost center, and external contractors. Validation Analyst with LSM role can also approve role request from User Managers.

User Managers **(UMs)** can create, manage, and recertify users within their system.

| **Privileges** | **User Manager** | **Validation Analyst with LSM** | **LSM** | **GSM** |
|---|---|---|---|---|
| Users authorized to manage | Users in same organization | Organization, FTA, and contractor users in same Cost Center | Organization, FTA, and contractor users in same Cost | All users in Platform System |
| **Responsibility** | **User Manager** | **Validation Analyst** | **LSM** | **GSM** |
| Create New Users | Yes | Yes | Yes | Yes |
| Assign and remove Bulk | No | Yes | Yes | Yes |
| Approve role requests* | No | Yes | Yes | Yes |
| Edit user profile | Yes | Yes | Yes | Yes |
| Manage role | Yes | Yes | Yes | Yes |
| Deactivate and Reactivate users | Yes | Yes | Yes | Yes |
| Unlock users | Yes | Yes | Yes | Yes |
| Recertify users | Yes | Yes | Yes | Yes |

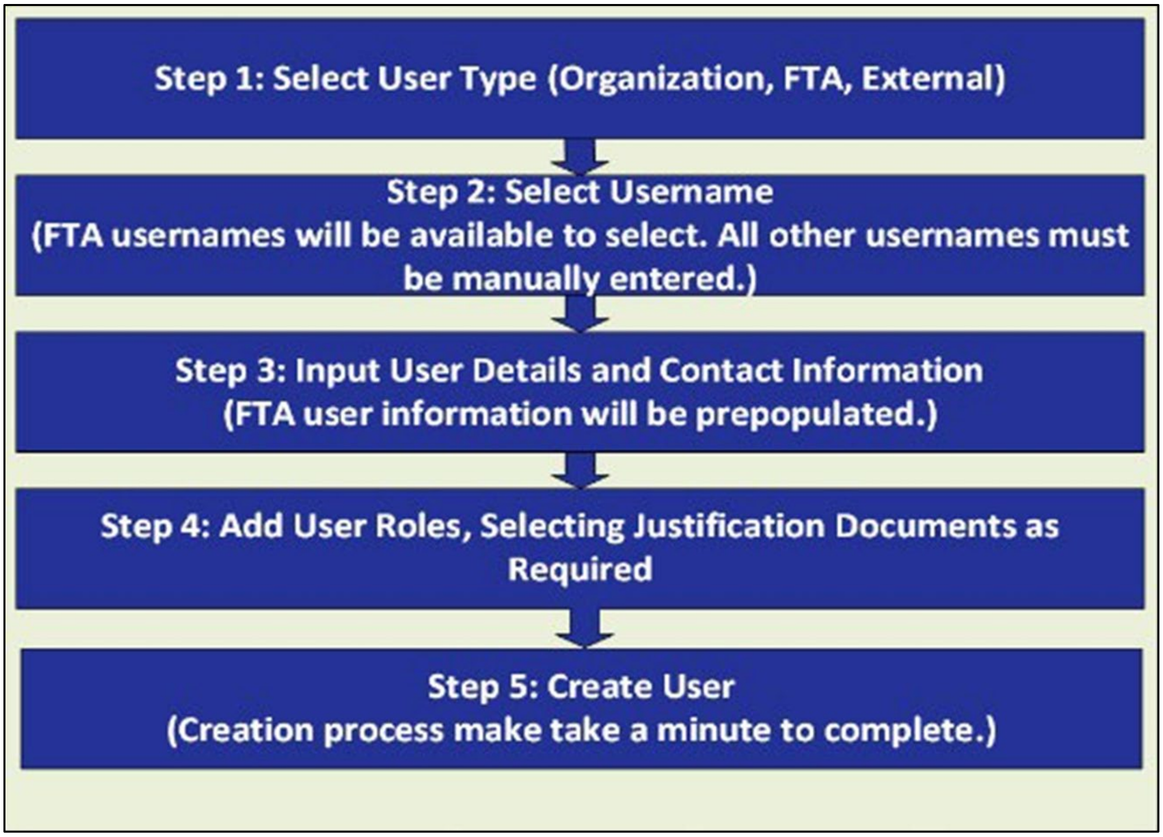
*User managers can assign roles, however certain roles (UM, Attorney, Submitter, Official) require approval from an LSM

The remainder of this section presents an overview of each of the user management activities and responsibilities.

**Note:** *The organization employs the principle of least privilege, allowing only authorized accesses for users (or processes acting on behalf of users) which are necessary to accomplish assigned tasks in accordance with organizational missions and business functions.*

## 6.2. User Creation

The following presents an overview of the six-step process required for creating a new user of any type:



Step 1: Select User Type (Organization, FTA, External)

Step 2: Select Username (FTA usernames will be available to select. All other usernames must be manually entered.)

Step 3: Input User Details and Contact Information (FTA user information will be prepopulated.)

Step 4: Add User Roles, Selecting Justification Documents as Required

Step 5: Create User (Creation process make take a minute to complete.)

There are explicit rules controlling user creation:

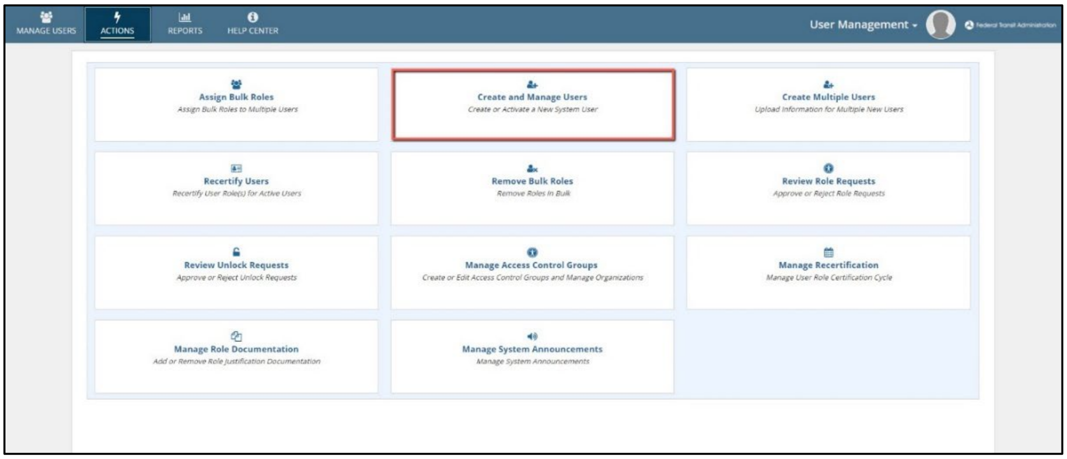
1) Only users with the roles **User Manager**, **Local Security Manager (LSM)**, and **Global Security Manager (GSM)** are approved to create users using the ***Create and Manage Users*** action.
2) Users can only create user and add roles for which they have privileges.
3) Organizational **User Managers** can create other organizational users.
4) External **User Managers** can create other external users (e.g., DOL).
5) **LSMs and GSMs** can create users of any type.
6) When a username is entered to create a new user, the system will flag any user that already exists and present the creator with the option of going to the ***Manage Roles*** action to add roles to that existing user.
7) A user's username must be a valid email address.
8) Name, contact, and business address information is required when creating a new user.
9) A user cannot be created unless at least one role is assigned to the user.
10) Some roles require approval by users with higher privileges.
11) Only roles matching the new user's type can be added to the user.

### 6.2.1 Action: Create and Manage Users

**User Managers, Supervisors, Validation Analyst, LSM, and GSMs** have access to the ***Create and Manage Users*** action. This action allows a new user of any type (Organization, FTA, and External) to be added to the system, however, individual ability to create users of different types is restricted. The process for creating organization and external users is slightly different from the process to create FTA users. The two main processes will be described in separate subsections so that appropriate screenshots can be shown. (Note: The Create and Manage Users action can also be used to reactivate deactivated users or manage a user's roles and information.)

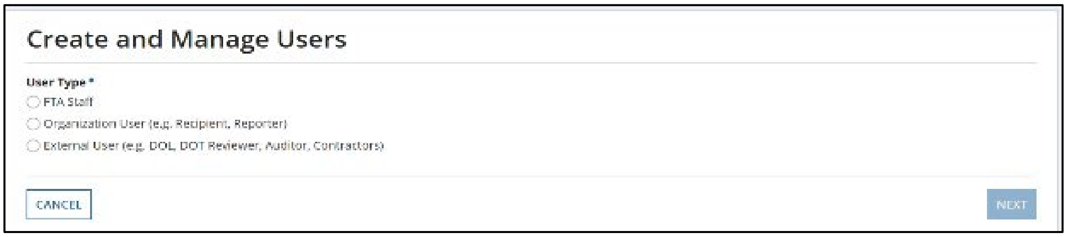
To add a new user:

1) Log in to the system as a user manager and click ***Create and Manage Users*** from the **Actions** tab.


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Federal Transit Administration
Assign Bulk Roles
Assign Bulk Roles to Multiple Users
Create and Manage Users
Create or Activate a New System User
Create Multiple Users
Upload Information for Multiple New Users
Recertify Users
Recertify User Role(s) for Active Users
Remove Bulk Roles
Remove Roles in Bulk
Review Role Requests
Approve or Reject Role Requests
Review Unlock Requests
Approve or Reject Unlock Requests
Manage Access Control Groups
Create or Edit Access Control Groups and Manage Organizations
Manage Recertification
Manage User Role Certification Cycle
Manage Role Documentation
Add or Remove Role Justification Documentation
Manage System Announcements
Manage System Announcements

2) The user manager is presented with a short list of user types from which to select. Each type has its own set of role limitations. Depending on the user manager's privileges, the user type may be preselected and locked. DOT Users as shown in the following screenshot.

3) Select the appropriate user type (as applicable) and then click ***Next***.



Create and Manage Users

User Type *

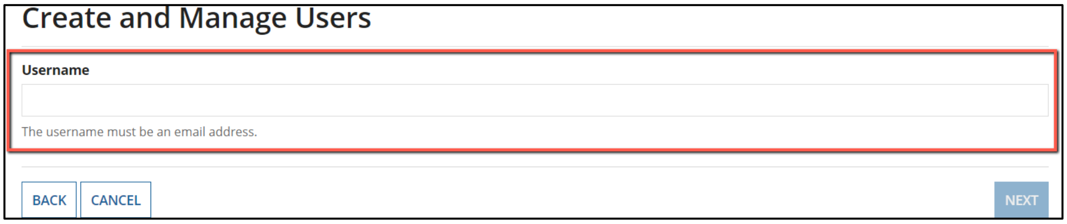
○ FTA Staff

○ Organization User (e.g. Recipient, Reporter)

○ External User (e.g. DOL, DOT Reviewer, Auditor, Contractors)

4) The first information about a user required is their username, based on <u>a valid email address</u>. **This is a required field** and will function as the user's login. Email addresses should be provided in lowercase. Each Username field must be unique and <u>cannot be changed after creation</u>.

Validation checks will confirm uniqueness before moving to the next step.



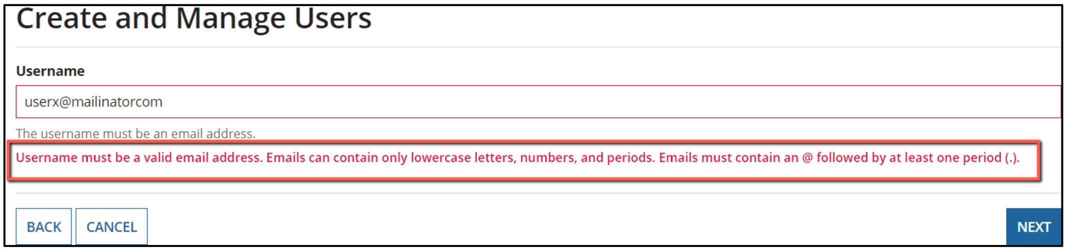
Create and Manage Users

Username

The username must be an email address.

5) Enter an email address and tab forward. (Note: If the user is currently deactivated, and needs to be activated, enter the same email address of the deactivated user.)

6) If the email is rejected as invalid, the page will display an error message.



Create and Manage Users

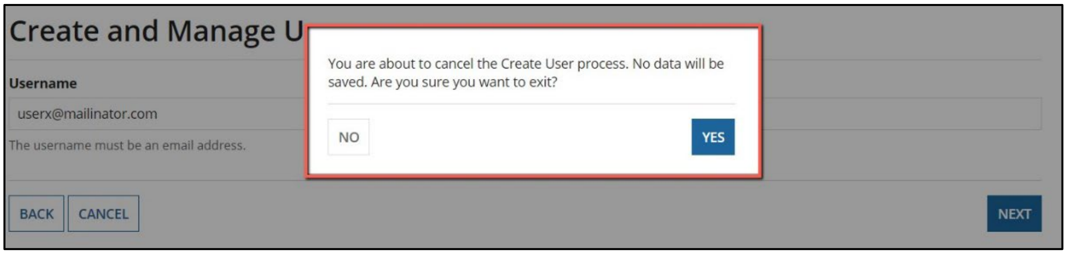
Username

userx@mailinatorcom

The username must be an email address.

Username must be a valid email address. Emails can contain only lowercase letters, numbers, and periods. Emails must contain an @ followed by at least one period (.).

7) At any point in the ***Create and Manage Users*** process, the user may click ***Cancel*** to end the process. On cancelling the Create and Manage Users process, no data entered for that user will be retained.



Create and Manage U

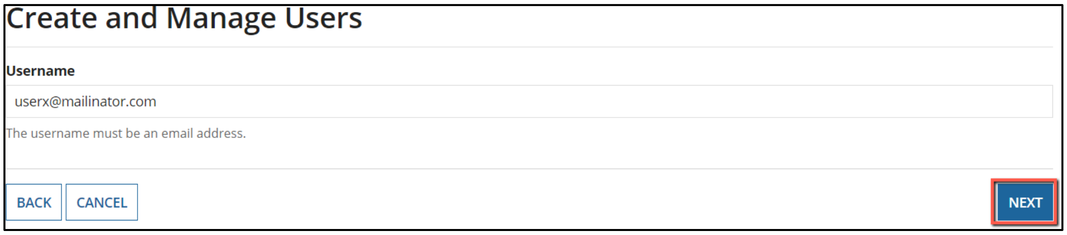
Username

userx@mailinator.com

The username must be an email address.

You are about to cancel the Create User process. No data will be saved. Are you sure you want to exit?

8) If the email is accepted as valid, the ***Next*** button will be activated, allowing selection.



Create and Manage Users

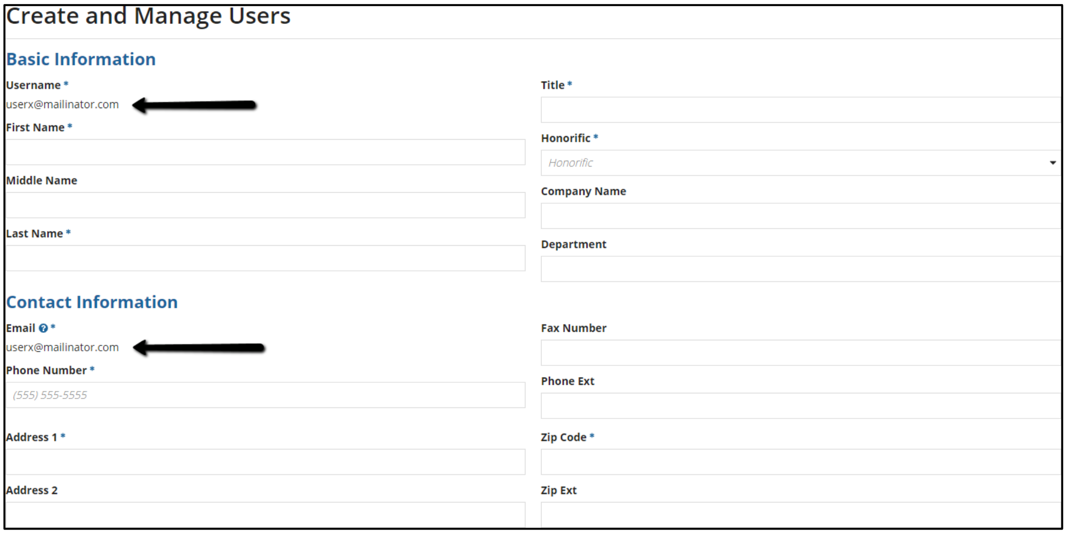
Username

userx@mailinator.com

The username must be an email address.

9) Click ***Next***, launching the ***Create User*** page. The Username and Email fields will be pre-populated. (Note: If the user is currently deactivated

and needs to be reactivated, skip the basic information and contact information steps.)



Create and Manage Users

Basic Information

Username *
userx@mailinator.com

First Name *

Middle Name

Last Name *

Title *

Honorific *
Honorific

Company Name

Department

Contact Information

Email *
userx@mailinator.com

Phone Number *
(555) 555-5555

Address 1 *

Address 2

Fax Number

Phone Ext

Zip Code *

Zip Ext

10) Enter the Basic Information for the following fields:

   a. The username just entered displays in the *Username* field but cannot be changed.

   b. Enter the user's first name in the *First Name* field (35-character limit). This is a required field.

   c. Enter the user's middle name in the *Middle Name* field (35-character limit).

   d. Enter the user's last name in the *Last Name* field (35-character limit). This is a required field.

   e. Enter the user's job title in the *Title* field. This is a required field.

   f. Enter an honorific for the user in the *Honorific* field. This is a required field (i.e., Mr., Ms.).

   g. Enter the user's company information in the *Company Name* field.

   h. Enter the user's department in the *Department* field.

   i. System information is entered only by the Global Security Manager.

11) The ***Create User*** page also provides data fields for Contact Information:

   a. The valid email address displays once more in the *Email* field. Again, the email address cannot be altered or edited once the email has been accepted.

b. Enter the user’s work business phone number in the *Work Phone* field. This is a required field (20- character limit).

c. Enter the user’s business phone number extension in the *Phone Number Extension* field (10- character limit).

d. Enter the user’s business fax number in the *Fax Number* field (20-character limit).

e. Enter the first line of the user’s business address in the *Address 1* field (60-character limit).

f. Enter the second line of the user’s business address in the *Address 2* field (60-character limit).

g. Enter the city for the user’s business address in the *City* field (60-character limit; no numeric).

h. Select the state for the user’s business address from the dropdown menu provided under the *State* field.

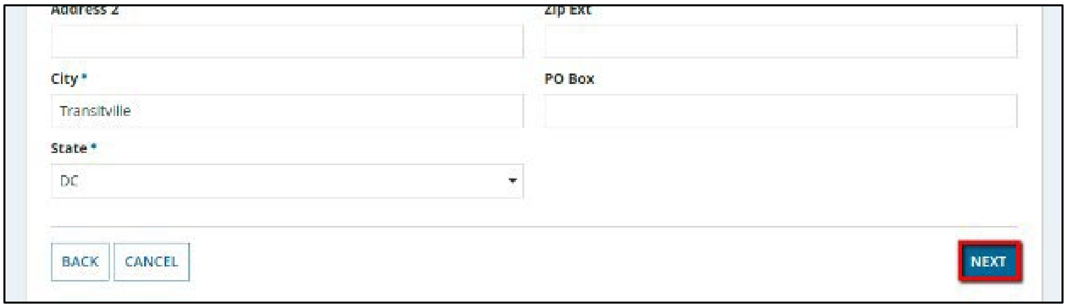
i. Enter the ZIP Code for the user’s business address in the *ZIP Code* field (5-character limit).

j. Enter the ZIP Code Extension for the user’s business address in the *ZIP Code Extension* field (4- character limit).

k. If necessary, enter the associated Post Office Box in the *PO Box* field (35-character limit).

| | |
|---|---|
| **Note:** | *PO Box is limited to numeric values and cannot contain alphabetical characters.* |

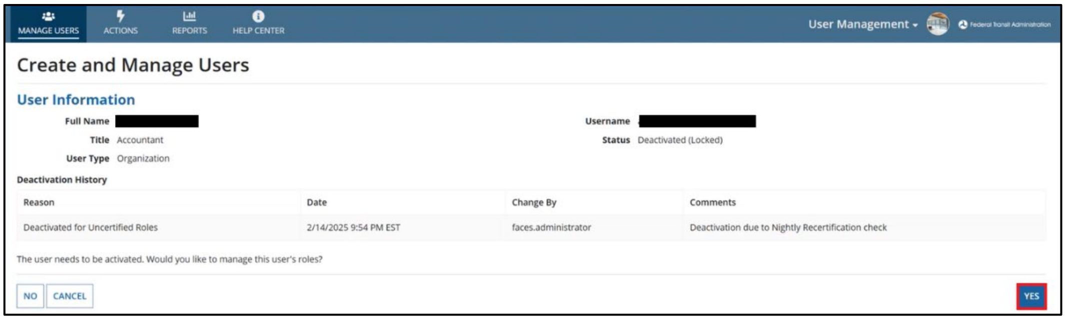
12) After all required details have been entered, click ***Next***.



City * Transitville

State * DC

13) If the user is deactivated and needs to be reactivated, click **Yes**.



Create and Manage Users

User Information

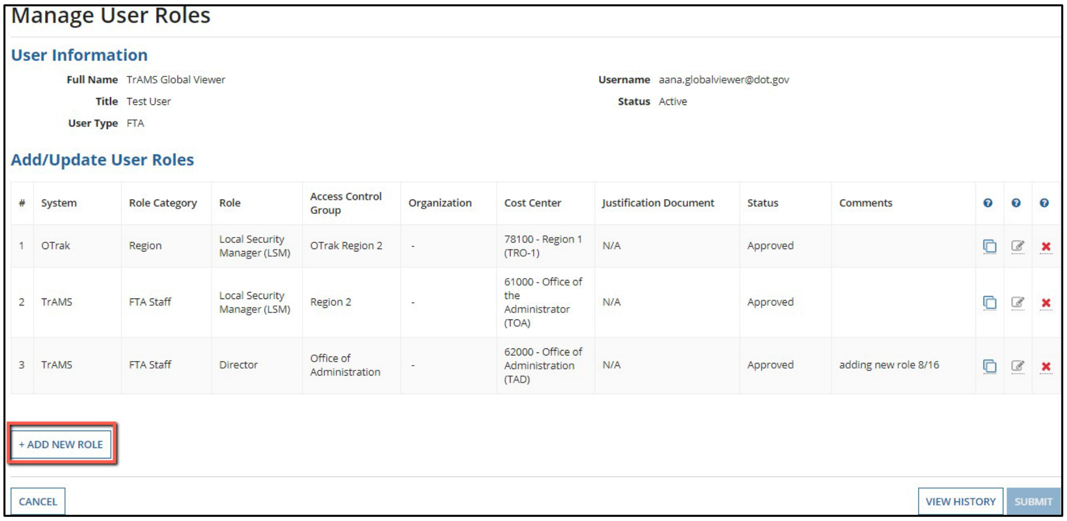
| | | | |
|---|---|---|---|
| Full Name | [redacted] | Username | [redacted] |
| Title | Accountant | Status | Deactivated (Locked) |
| User Type | Organization | | |

Deactivation History

| Reason | Date | Change By | Comments |
|---|---|---|---|
| Deactivated for Uncertified Roles | 2/14/2025 9:54 PM EST | faces.administrator | Deactivation due to Nightly Recertification check |

The user needs to be activated. Would you like to manage this user's roles?

14) The **Manage Roles** page displays. Click ***Add New Role***.



Manage User Roles

User Information

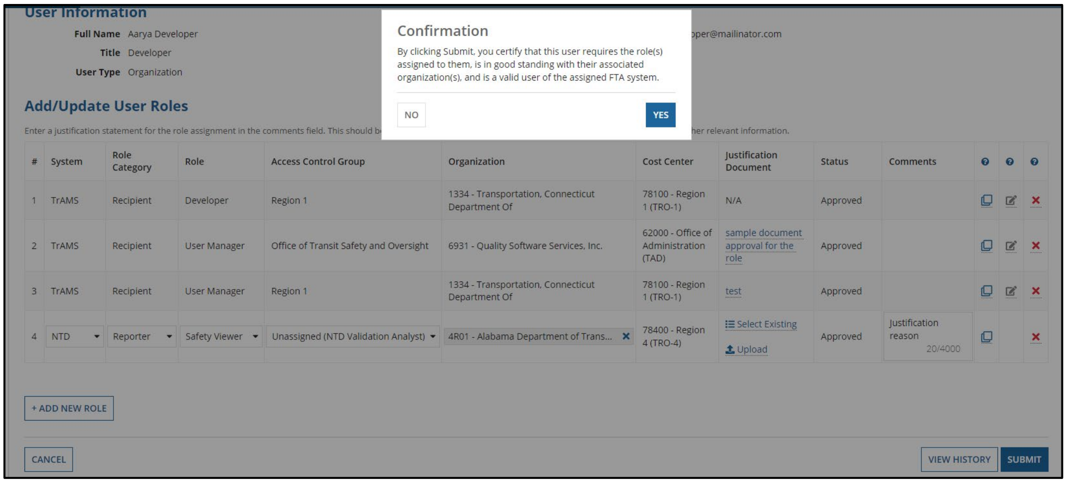
| | | | |
|---|---|---|---|
| Full Name | TrAMS Global Viewer | Username | aana.globalviewer@dot.gov |
| Title | Test User | Status | Active |
| User Type | FTA | | |

Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments |
|---|---|---|---|---|---|---|---|---|---|
| 1 | OTrak | Region | Local Security Manager (LSM) | OTrak Region 2 | - | 78100 - Region 1 (TRO-1) | N/A | Approved | |
| 2 | TrAMS | FTA Staff | Local Security Manager (LSM) | Region 2 | - | 61000 - Office of the Administrator (TOA) | N/A | Approved | |
| 3 | TrAMS | FTA Staff | Director | Office of Administration | - | 62000 - Office of Administration (TAD) | N/A | Approved | adding new role 8/16 |

15) The following fields are required and must be populated before the role(s) can be submitted: System, Role Category, Role, Access Control Group, Organization, Cost Center, Comments.

16) Click ***Submit*** and a confirmation screen will appear.



User Information

| | |
|---|---|
| Full Name | Aarya Developer |
| Title | Developer |
| User Type | Organization |

per@mailinator.com

Confirmation

By clicking Submit, you certify that this user requires the role(s) assigned to them, is in good standing with their associated organization(s), and is a valid user of the assigned FTA system.

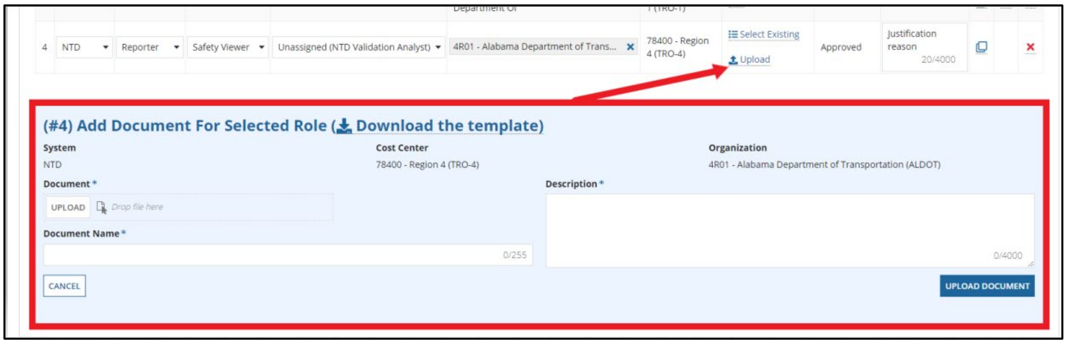
Add/Update User Roles

Enter a justification statement for the role assignment in the comments field. This should b her relevant information.

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments |
|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | Developer | Region 1 | 1334 - Transportation, Connecticut Department Of | 78100 - Region 1 (TRO-1) | N/A | Approved | |
| 2 | TrAMS | Recipient | User Manager | Office of Transit Safety and Oversight | 6931 - Quality Software Services, Inc. | 62000 - Office of Administration (TAD) | sample document approval for the role | Approved | |
| 3 | TrAMS | Recipient | User Manager | Region 1 | 1334 - Transportation, Connecticut Department Of | 78100 - Region 1 (TRO-1) | test | Approved | |
| 4 | NTD | Reporter | Safety Viewer | Unassigned (NTD Validation Analyst) | 4R01 - Alabama Department of Trans... | 78400 - Region 4 (TRO-4) | Select Existing<br>Upload | Approved | Justification reason<br>20/4000 |

17) Users can upload a justification or delegation of authority document for any role, the **Add Justification Document** section will display.

Users can download the Justification Document template using the link available in that section. Please follow the instructions within the document on how to complete the Justification Document.



| | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | NTD | Reporter | Safety Viewer | Unassigned (NTD Validation Analyst) | 4R01 - Alabama Department of Trans... ✕ | 78400 - Region 4 (TRO-4) | ☰ Select Existing<br>Upload | Approved | Justification reason 20/4000 | | | ✕ |

**(#4) Add Document For Selected Role (Download the template)**

**System**
NTD

**Cost Center**
78400 - Region 4 (TRO-4)

**Organization**
4R01 - Alabama Department of Transportation (ALDOT)

**Document** *
UPLOAD Drop file here

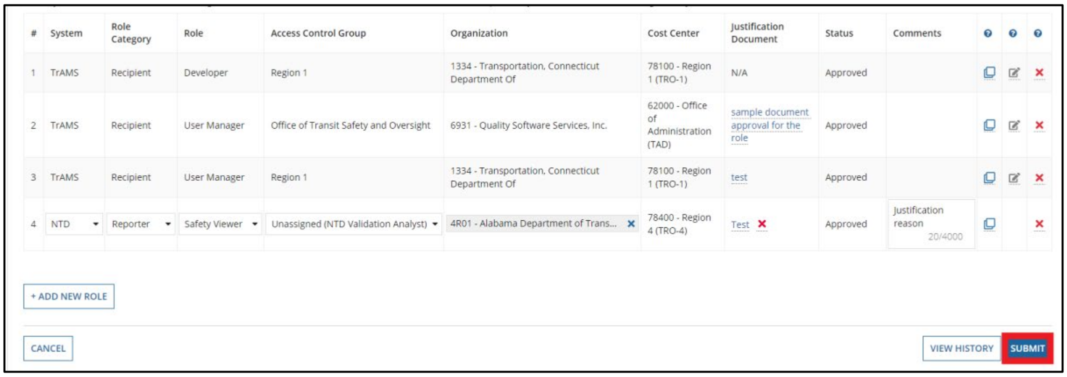
**Description** *
0/4000

**Document Name** *
0/255

CANCEL

UPLOAD DOCUMENT

18) When all roles have been added, click ***Submit*** to complete user setup.



| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | ❓ | ❓ | ❓ |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | Developer | Region 1 | 1334 - Transportation, Connecticut Department Of | 78100 - Region 1 (TRO-1) | N/A | Approved | | | | ✕ |
| 2 | TrAMS | Recipient | User Manager | Office of Transit Safety and Oversight | 6931 - Quality Software Services, Inc. | 62000 - Office of Administration (TAD) | sample document approval for the role | Approved | | | | ✕ |
| 3 | TrAMS | Recipient | User Manager | Region 1 | 1334 - Transportation, Connecticut Department Of | 78100 - Region 1 (TRO-1) | test | Approved | | | | ✕ |
| 4 | NTD | Reporter | Safety Viewer | Unassigned (NTD Validation Analyst) | 4R01 - Alabama Department of Trans... ✕ | 78400 - Region 4 (TRO-4) | Test ✕ | Approved | Justification reason 20/4000 | | | ✕ |

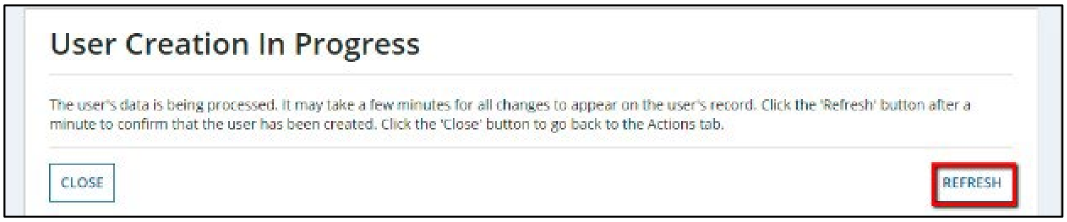
+ ADD NEW ROLE

CANCEL

VIEW HISTORY

SUBMIT

19) A **User Creation in Progress** page will display. You can click ***Close*** to leave the screen without impacting the user creation process. If you want to verify that the user record is created, wait about a minute, and then click ***Refresh.***



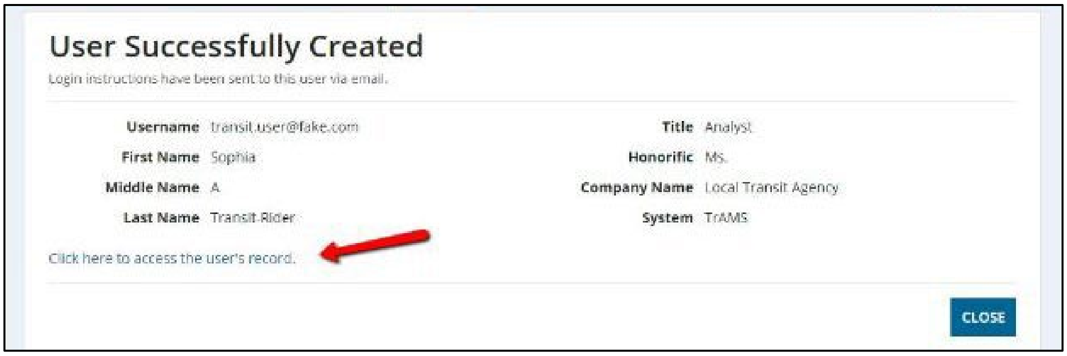
## User Creation In Progress

The user's data is being processed. It may take a few minutes for all changes to appear on the user's record. Click the 'Refresh' button after a minute to confirm that the user has been created. Click the 'Close' button to go back to the Actions tab.

CLOSE

REFRESH

20) The **User Successfully Created** page displays the user's summary information. You can click the link below the user's last name to go directly to the user's profile.



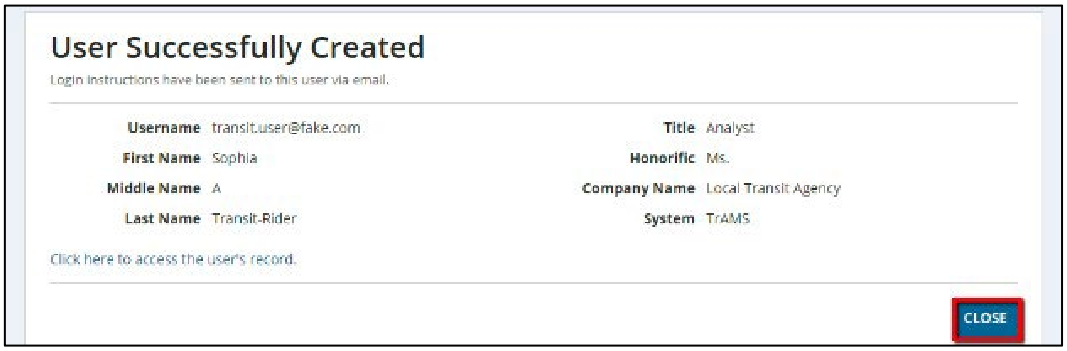
User Successfully Created

Login instructions have been sent to this user via email.

| | | | |
|---|---|---|---|
| Username | transit.user@fake.com | Title | Analyst |
| First Name | Sophia | Honorific | Ms. |
| Middle Name | A | Company Name | Local Transit Agency |
| Last Name | Transit-Rider | System | TrAMS |

Click here to access the user's record.

21) Click ***Close*** to return to the **Actions** page instead.



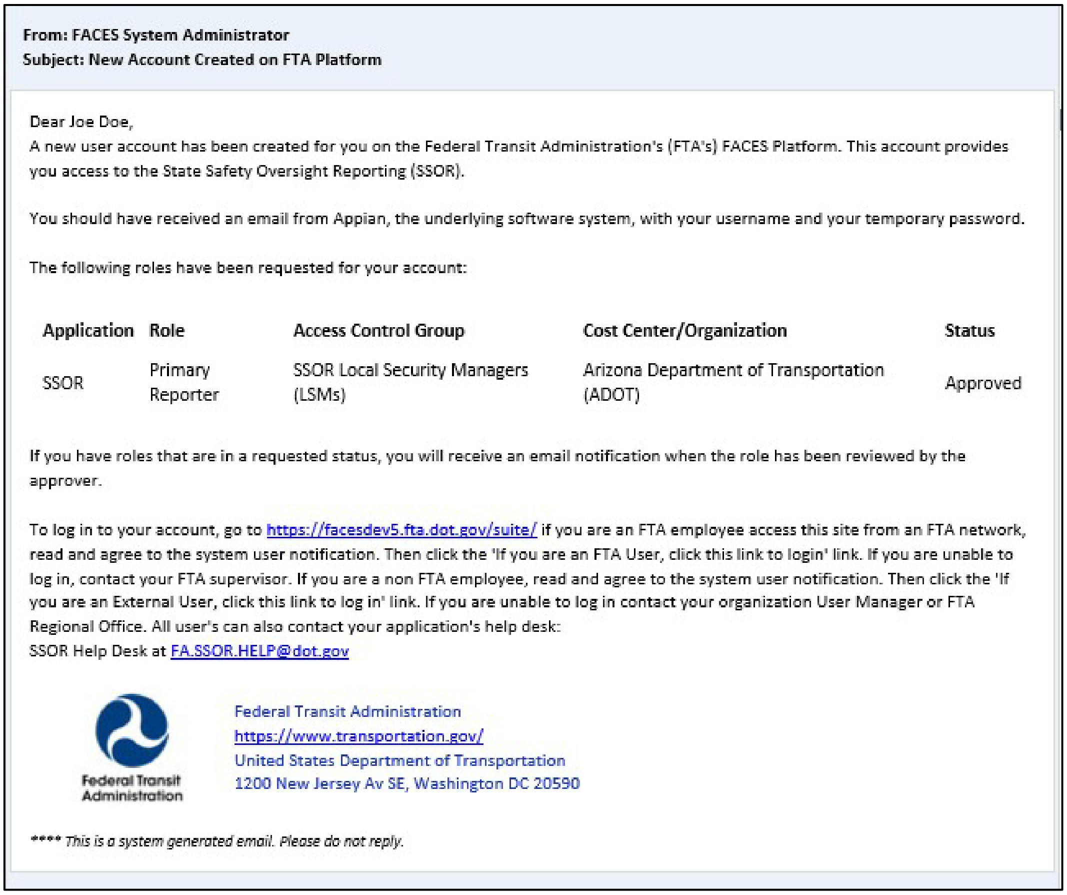
User Successfully Created

Login instructions have been sent to this user via email.

| | | | |
|---|---|---|---|
| Username | transit.user@fake.com | Title | Analyst |
| First Name | Sophia | Honorific | Ms. |
| Middle Name | A | Company Name | Local Transit Agency |
| Last Name | Transit-Rider | System | TrAMS |

Click here to access the user's record.

22) The user will receive an automatic email alerting them of the account setup, like the one below.



**From: FACES System Administrator**
**Subject: New Account Created on FTA Platform**

Dear Joe Doe,
A new user account has been created for you on the Federal Transit Administration's (FTA's) FACES Platform. This account provides you access to the State Safety Oversight Reporting (SSOR).

You should have received an email from Appian, the underlying software system, with your username and your temporary password.

The following roles have been requested for your account:

| Application | Role | Access Control Group | Cost Center/Organization | Status |
|---|---|---|---|---|
| SSOR | Primary Reporter | SSOR Local Security Managers (LSMs) | Arizona Department of Transportation (ADOT) | Approved |

If you have roles that are in a requested status, you will receive an email notification when the role has been reviewed by the approver.

To log in to your account, go to https://facesdev5.fta.dot.gov/suite/ if you are an FTA employee access this site from an FTA network, read and agree to the system user notification. Then click the 'If you are an FTA User, click this link to login' link. If you are unable to log in, contact your FTA supervisor. If you are a non FTA employee, read and agree to the system user notification. Then click the 'If you are an External User, click this link to log in' link. If you are unable to log in contact your organization User Manager or FTA Regional Office. All user's can also contact your application's help desk:
SSOR Help Desk at FA.SSOR.HELP@dot.gov

Federal Transit Administration
https://www.transportation.gov/
United States Department of Transportation
1200 New Jersey Av SE, Washington DC 20590

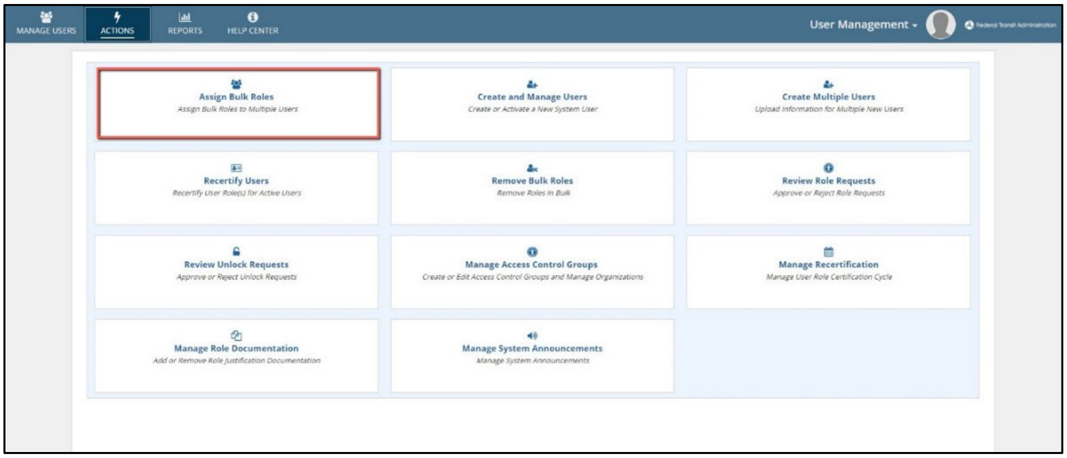
***** This is a system generated email. Please do not reply.*

### 6.2.2 Action: Assign Bulk Roles

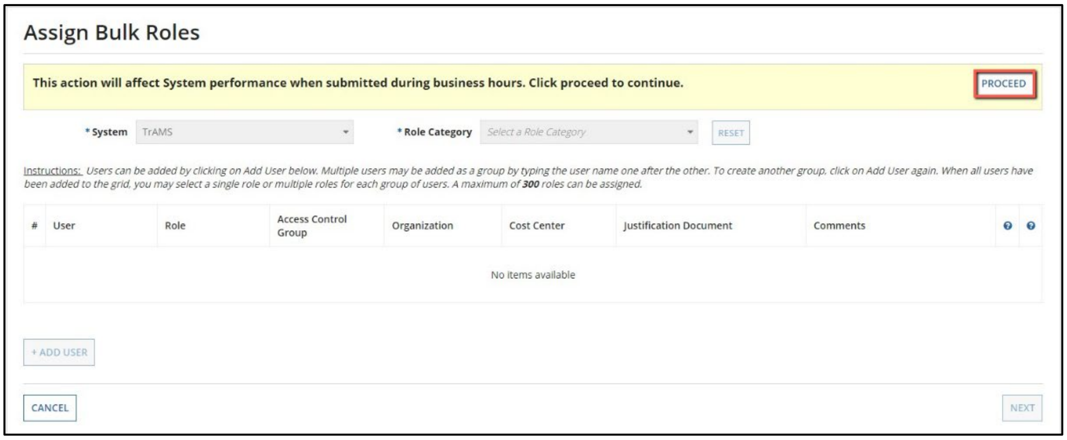
If more than one user or external user needs to be assigned to a new user role, the **User Manager**, **LSM**, or **GSM** may bulk assign user roles through this action. The assignment process will provide validations and will only allow users to be assigned roles that are valid for them. This action is useful when paired with the **Create Multiple Users** form or any other time where many users must be assigned to new roles.

To assign bulk roles at once:

1) Click the ***Assign Bulk Roles*** from the **Actions** tab.


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Federal Transit Administration
Assign Bulk Roles
Assign Bulk Roles to Multiple Users
Create and Manage Users
Create or Activate a New System User
Create Multiple Users
Upload Information for Multiple New Users
Recertify Users
Recertify User Role(s) for Active Users
Remove Bulk Roles
Remove Roles In Bulk
Review Role Requests
Approve or Reject Role Requests
Review Unlock Requests
Approve or Reject Unlock Requests
Manage Access Control Groups
Create or Edit Access Control Groups and Manage Organizations
Manage Recertification
Manage User Role Certification Cycle
Manage Role Documentation
Add or Remove Role Justification Documentation
Manage System Announcements
Manage System Announcements

2) The Assign Bulk Roles page displays a yellow banner that requires the user to click the ***PROCEED*** button.



Assign Bulk Roles

**This action will affect System performance when submitted during business hours. Click proceed to continue.**

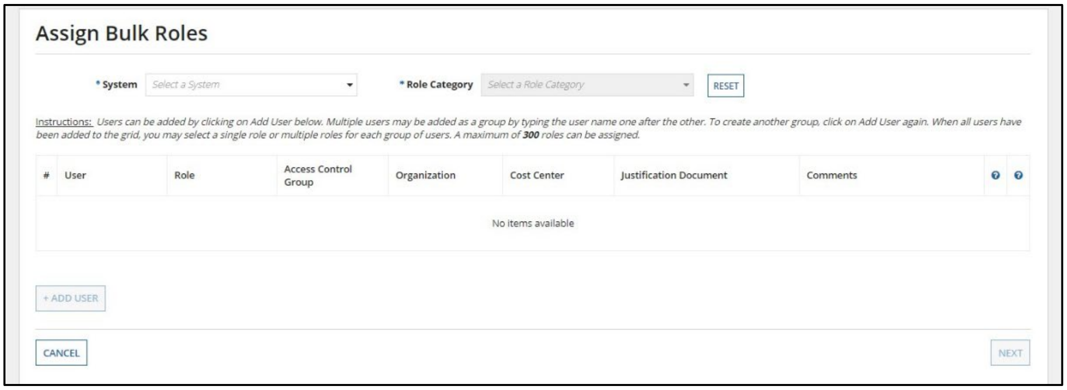
* System TrAMS

* Role Category Select a Role Category

Instructions: *Users can be added by clicking on Add User below. Multiple users may be added as a group by typing the user name one after the other. To create another group, click on Add User again. When all users have been added to the grid, you may select a single role or multiple roles for each group of users. A maximum of **300** roles can be assigned.*

| # | User | Role | Access Control Group | Organization | Cost Center | Justification Document | Comments |
|---|---|---|---|---|---|---|---|
| No items available | | | | | | | |

3) The **Assign Bulk Roles** page displays the available users to assign new roles based on the user assigning the roles, and the users to be assigned to a role.



Assign Bulk Roles

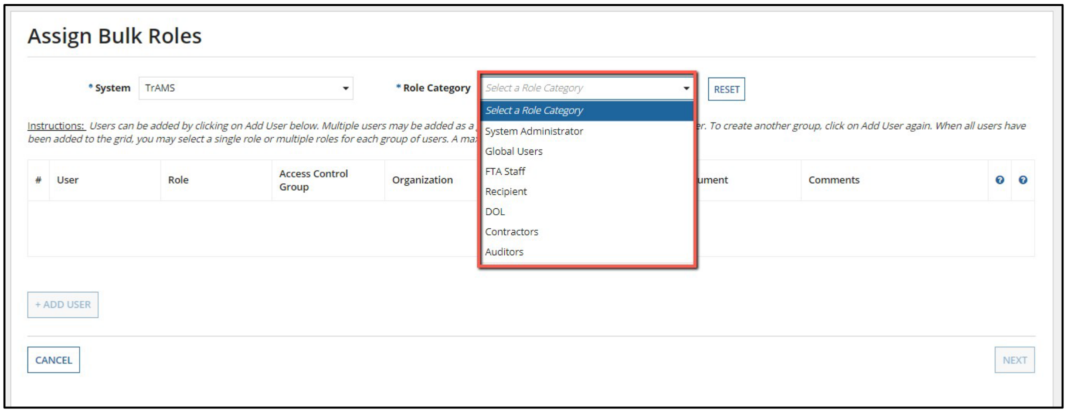
* System Select a System

* Role Category Select a Role Category

Instructions: *Users can be added by clicking on Add User below. Multiple users may be added as a group by typing the user name one after the other. To create another group, click on Add User again. When all users have been added to the grid, you may select a single role or multiple roles for each group of users. A maximum of **300** roles can be assigned.*

| # | User | Role | Access Control Group | Organization | Cost Center | Justification Document | Comments |
|---|---|---|---|---|---|---|---|
| No items available | | | | | | | |

4) The Assign Bulk Roles displays a short list of user roles from the Role Category. Select the relevant user role category to which the users will be assigned from.



## Assign Bulk Roles

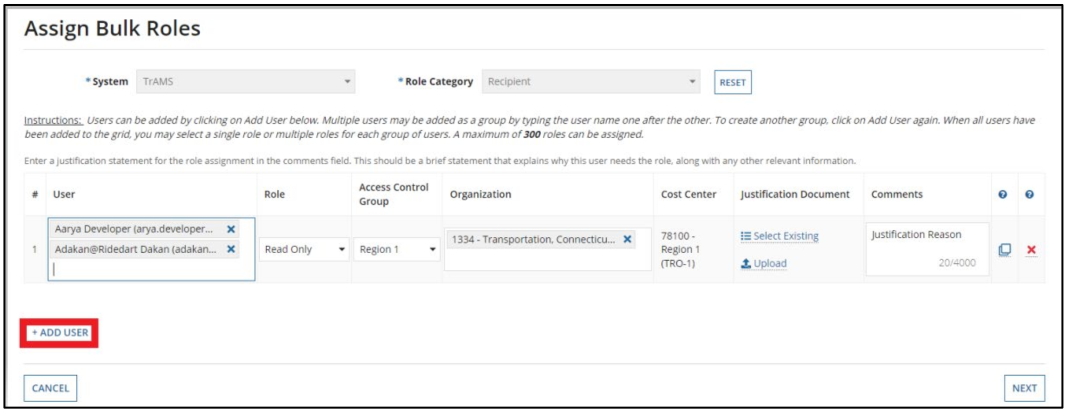
* System: TrAMS

* Role Category: Select a Role Category

Instructions: Users can be added by clicking on Add User below. Multiple users may be added as a … er. To create another group, click on Add User again. When all users have been added to the grid, you may select a single role or multiple roles for each group of users. A ma…

| # | User | Role | Access Control Group | Organization | …ument | Comments |
|---|---|---|---|---|---|---|

5) Once the role category is selected, the user manager can add users clicking on the link “**Add user**”. Multiple users may be added as a group by typing the username one after other. When all users have been added to the grid, you may select a single role or multiple roles for each group of users. To create another set of users, click on **Add User** again.



## Assign Bulk Roles

* System: TrAMS

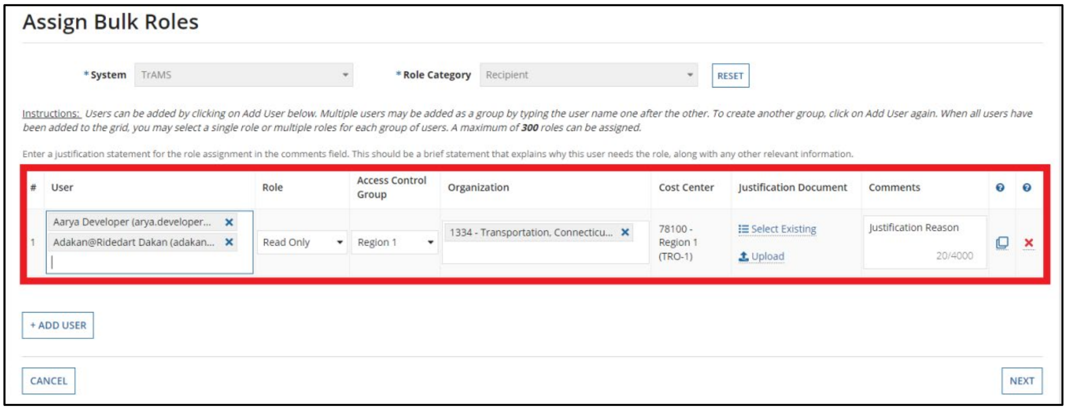
* Role Category: Recipient

Instructions: Users can be added by clicking on Add User below. Multiple users may be added as a group by typing the user name one after the other. To create another group, click on Add User again. When all users have been added to the grid, you may select a single role or multiple roles for each group of users. A maximum of **300** roles can be assigned.

Enter a justification statement for the role assignment in the comments field. This should be a brief statement that explains why this user needs the role, along with any other relevant information.

| # | User | Role | Access Control Group | Organization | Cost Center | Justification Document | Comments |
|---|---|---|---|---|---|---|---|
| 1 | Aarya Developer (arya.developer... ✕<br>Adakan@Ridedart Dakan (adakan... ✕ | Read Only | Region 1 | 1334 - Transportation, Connecticu... ✕ | 78100 - Region 1 (TRO-1) | Select Existing<br>Upload | Justification Reason<br>20/4000 |

6) The logged in user is given an option to copy the same set of role combination in a new row and can add more roles or organizations in addition to the copied set. After that he can select the users in user column like step 4.



## Assign Bulk Roles

* System: TrAMS

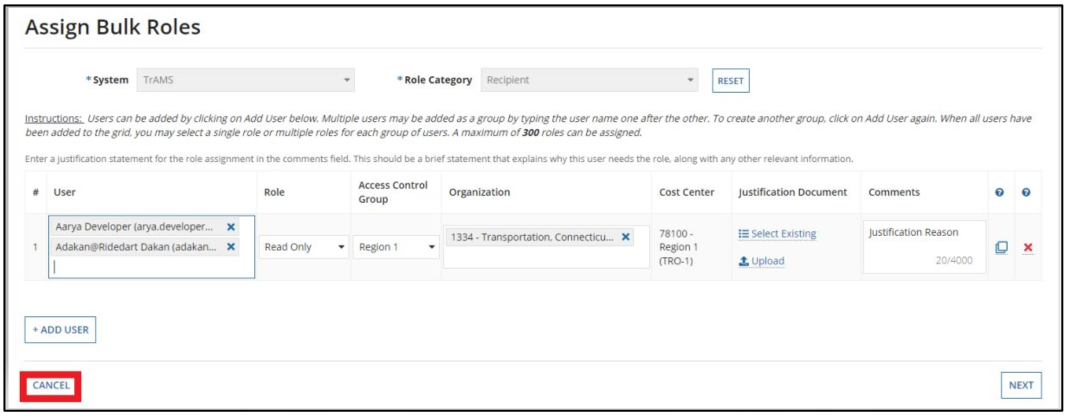
* Role Category: Recipient

Instructions: Users can be added by clicking on Add User below. Multiple users may be added as a group by typing the user name one after the other. To create another group, click on Add User again. When all users have been added to the grid, you may select a single role or multiple roles for each group of users. A maximum of **300** roles can be assigned.

Enter a justification statement for the role assignment in the comments field. This should be a brief statement that explains why this user needs the role, along with any other relevant information.

| # | User | Role | Access Control Group | Organization | Cost Center | Justification Document | Comments |
|---|---|---|---|---|---|---|---|
| 1 | Aarya Developer (arya.developer... ✕<br>Adakan@Ridedart Dakan (adakan... ✕ | Read Only | Region 1 | 1334 - Transportation, Connecticu... ✕ | 78100 - Region 1 (TRO-1) | Select Existing<br>Upload | Justification Reason<br>20/4000 |

7) The logged in user will have the option to cancel this process at any time by pressing the cancel button in the lower left-hand corner of the screen.



## Assign Bulk Roles

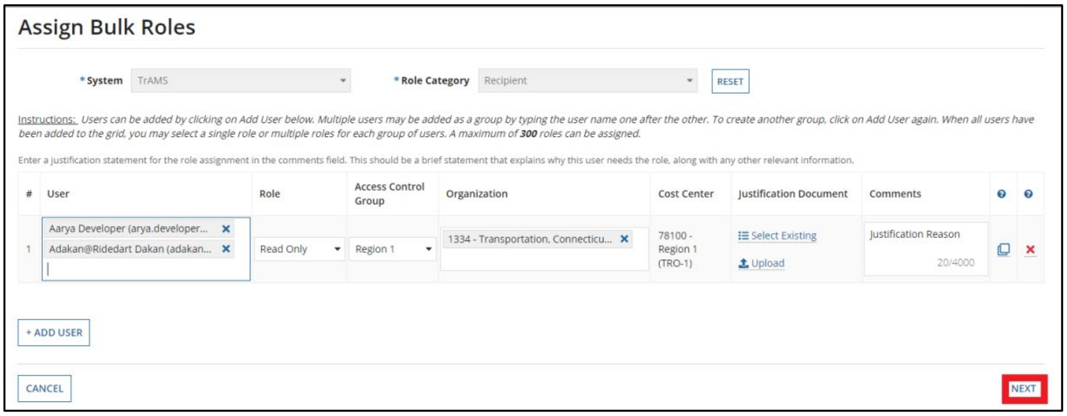
*System TrAMS  *Role Category Recipient  RESET

Instructions: *Users can be added by clicking on Add User below. Multiple users may be added as a group by typing the user name one after the other. To create another group, click on Add User again. When all users have been added to the grid, you may select a single role or multiple roles for each group of users. A maximum of* ***300*** *roles can be assigned.*

Enter a justification statement for the role assignment in the comments field. This should be a brief statement that explains why this user needs the role, along with any other relevant information.

| # | User | Role | Access Control Group | Organization | Cost Center | Justification Document | Comments |
|---|---|---|---|---|---|---|---|
| 1 | Aarya Developer (arya.developer... ×<br>Adakan@Ridedart Dakan (adakan... × | Read Only | Region 1 | 1334 - Transportation, Connecticu... × | 78100 - Region 1 (TRO-1) | Select Existing<br>Upload | Justification Reason<br>20/4000 |

8) Once the logged in user has added all users to be assigned new roles, click the **Next** button to navigate to the **Confirm Bulk Role Assignment** page.



## Assign Bulk Roles

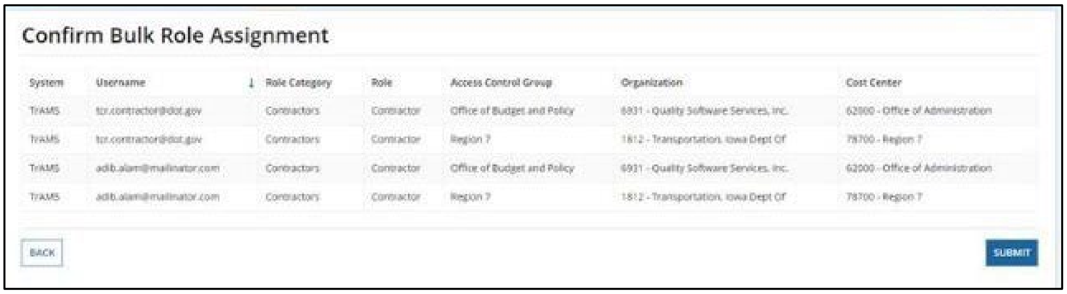
*System TrAMS  *Role Category Recipient  RESET

Instructions: *Users can be added by clicking on Add User below. Multiple users may be added as a group by typing the user name one after the other. To create another group, click on Add User again. When all users have been added to the grid, you may select a single role or multiple roles for each group of users. A maximum of* ***300*** *roles can be assigned.*

Enter a justification statement for the role assignment in the comments field. This should be a brief statement that explains why this user needs the role, along with any other relevant information.

| # | User | Role | Access Control Group | Organization | Cost Center | Justification Document | Comments |
|---|---|---|---|---|---|---|---|
| 1 | Aarya Developer (arya.developer... ×<br>Adakan@Ridedart Dakan (adakan... × | Read Only | Region 1 | 1334 - Transportation, Connecticu... × | 78100 - Region 1 (TRO-1) | Select Existing<br>Upload | Justification Reason<br>20/4000 |

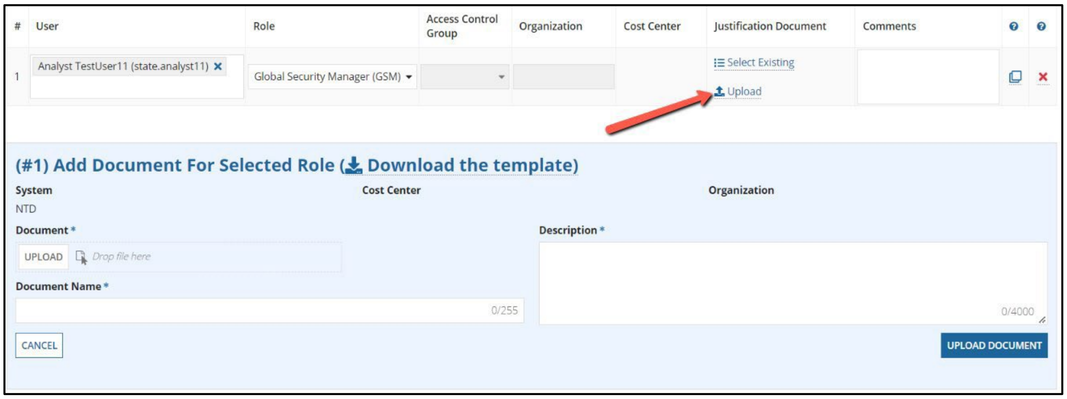
9) On the **Confirm Bulk Role Assignment** page, the logged in user will be able to confirm the bulk assignments. Should a user be assigned a role that they are not supposed to be assigned to, the user manager can go back to the **Assign Bulk Roles** page and remove any necessary users or roles by clicking the **Back** button.



## Confirm Bulk Role Assignment

| System | Username | Role Category | Role | Access Control Group | Organization | Cost Center |
|---|---|---|---|---|---|---|
| TrAMS | tcr.contractor@dot.gov | Contractors | Contractor | Office of Budget and Policy | 6931 - Quality Software Services, Inc. | 62000 - Office of Administration |
| TrAMS | tcr.contractor@dot.gov | Contractors | Contractor | Region 7 | 1812 - Transportation, Iowa Dept Of | 78700 - Region 7 |
| TrAMS | adib.alam@mailinator.com | Contractors | Contractor | Office of Budget and Policy | 6931 - Quality Software Services, Inc. | 62000 - Office of Administration |
| TrAMS | adib.alam@mailinator.com | Contractors | Contractor | Region 7 | 1812 - Transportation, Iowa Dept Of | 78700 - Region 7 |

10) If desired, the **Confirm Bulk Role Assignment** page will prompt the user manager to upload a justification document to be attached for confirming the roles. Click the **Upload** button to select a single justification document to upload for all roles.



| # | User | Role | Access Control Group | Organization | Cost Center | Justification Document | Comments |
|---|---|---|---|---|---|---|---|
| 1 | Analyst TestUser11 (state.analyst11) ✕ | Global Security Manager (GSM) ▾ | ▾ | | | Select Existing<br>Upload | |

(#1) Add Document For Selected Role (Download the template)

System
NTD

Cost Center

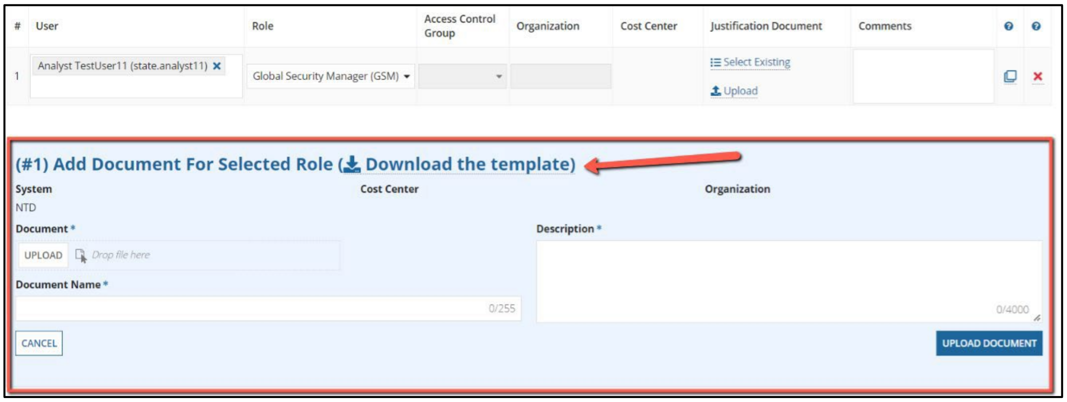
Organization

Document *
UPLOAD Drop file here

Document Name *
0/255

Description *
0/4000

11) If a User wants to upload a justification or delegation of authority document, they can use the **Add Document for Selected Role** section. Users can download the Justification Document template using the link available in that section. Please follow the instructions within the document on how to complete the Justification Document.



| # | User | Role | Access Control Group | Organization | Cost Center | Justification Document | Comments |
|---|---|---|---|---|---|---|---|
| 1 | Analyst TestUser11 (state.analyst11) ✕ | Global Security Manager (GSM) ▾ | ▾ | | | Select Existing<br>Upload | |

(#1) Add Document For Selected Role (Download the template)

System
NTD

Cost Center

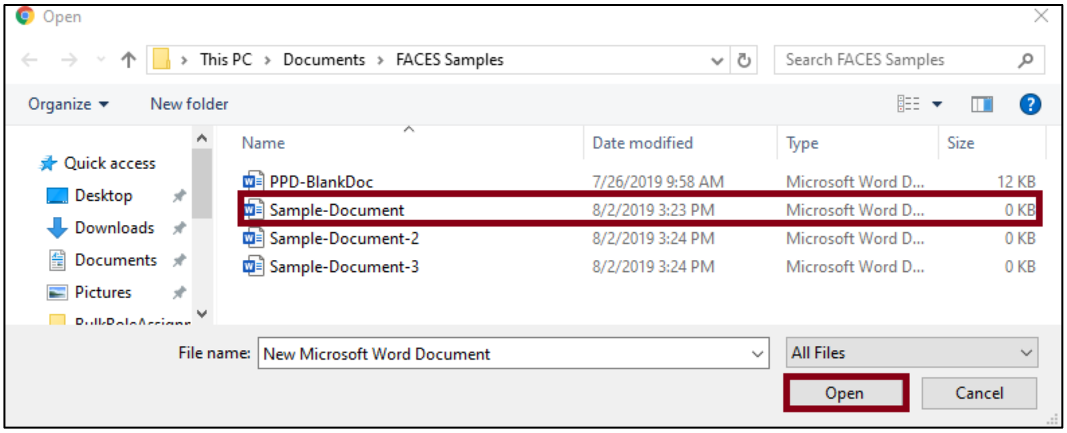
Organization

Document *
UPLOAD Drop file here

Document Name *
0/255

Description *
0/4000

12) Click the **Upload** button in that section, select the justification document that you wish to upload in the Windows file browser and click open.



Open

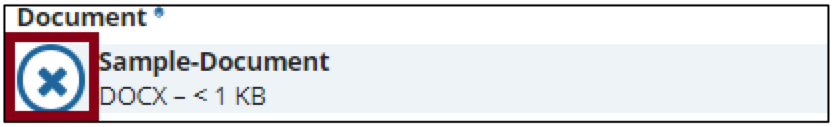
This PC > Documents > FACES Samples

| Name | Date modified | Type | Size |
|---|---|---|---|
| PPD-BlankDoc | 7/26/2019 9:58 AM | Microsoft Word D... | 12 KB |
| Sample-Document | 8/2/2019 3:23 PM | Microsoft Word D... | 0 KB |
| Sample-Document-2 | 8/2/2019 3:24 PM | Microsoft Word D... | 0 KB |
| Sample-Document-3 | 8/2/2019 3:24 PM | Microsoft Word D... | 0 KB |

File name: New Microsoft Word Document

All Files

13) After selecting the justification document to upload, the user manager may delete that document upload and select again by hovering over the document icon and pressing the below displayed icon.

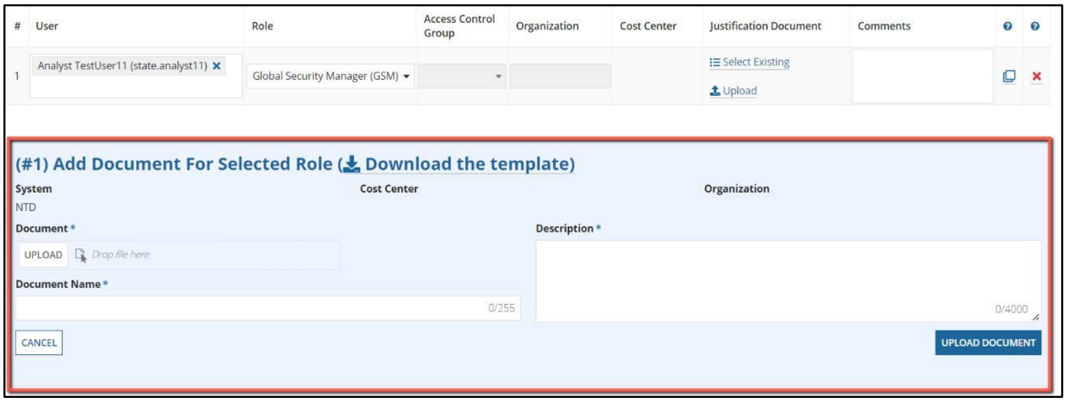


Document *

Sample-Document

DOCX – < 1 KB

14) After the upload is finished, the user manager will have to give a title and brief description of the justification document before clicking the **Upload Document** button to finish the bulk role assignment.



| # | User | Role | Access Control Group | Organization | Cost Center | Justification Document | Comments |
|---|---|---|---|---|---|---|---|
| 1 | Analyst TestUser11 (state.analyst11) ✕ | Global Security Manager (GSM) | | | | Select Existing<br>Upload | |

(#1) Add Document For Selected Role (Download the template)

System

NTD

Cost Center

Organization

Document *

Document Name * 0/255

Description * 0/4000

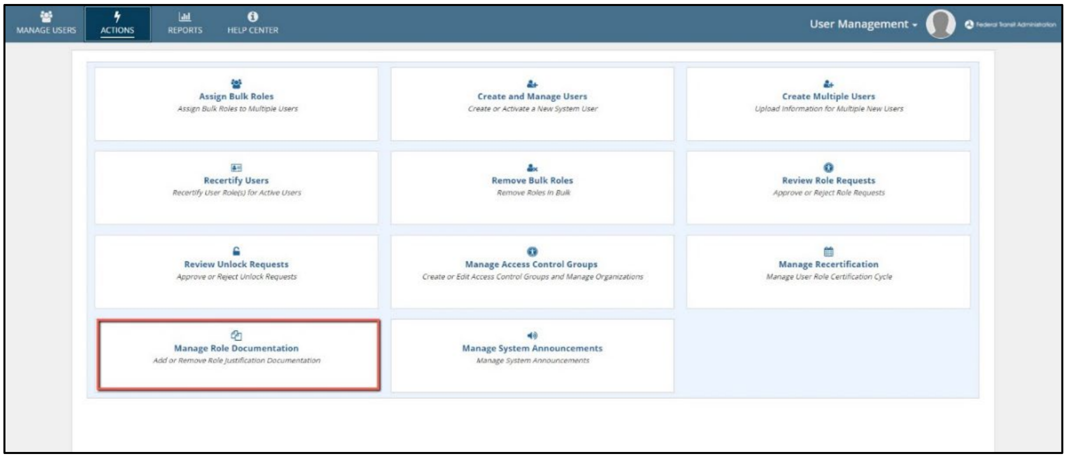
15) After clicking the **Upload Document** button, the request will be processed, and the user manager will be returned to the **Actions** page.

### 6.2.3 Action: Manage Role Documentation

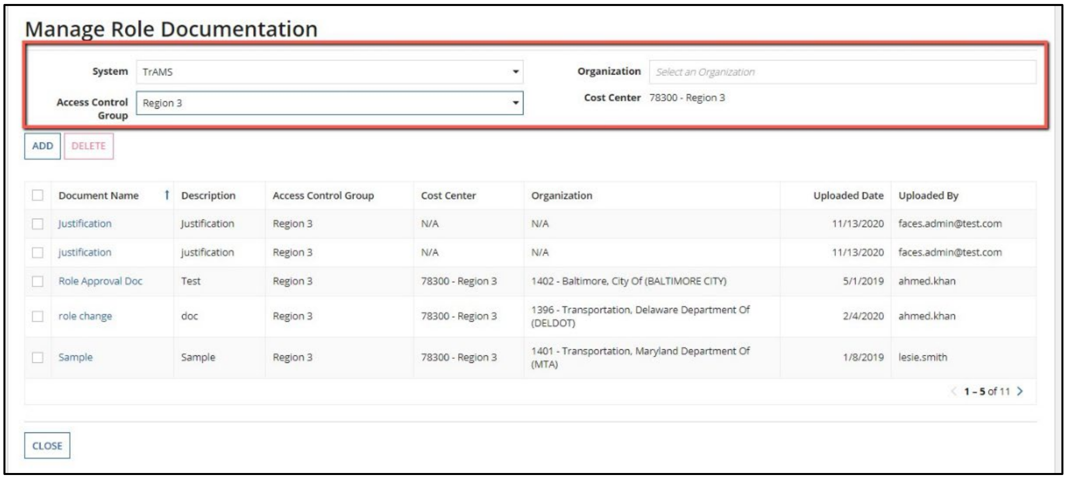
Roles can have an optional justification document for their assignment to a specific user. FACES has incorporated a Justification Document template that can be downloaded and completed. The Justification documentation can be uploaded in advance of role assignment via the ***Manage Role Documentation*** action or uploaded at the time the role is added on the ***Manage Roles*** form as shown in section 6.2.1. At the time of upload, documentation is tagged to the user's organization. During role assignment, the document is then tagged to the specific role and the specific user. A single document can be used for any combination of roles and users (presuming these roles and user are mentioned within the document).

To upload role documentation in advance of role assignment:

1) Select ***Manage Role Documentation*** from the **Actions** tab.


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Federal Transit Administration
Assign Bulk Roles
Assign Bulk Roles to Multiple Users
Create and Manage Users
Create or Activate a New System User
Create Multiple Users
Upload Information for Multiple New Users
Recertify Users
Recertify User Role(s) for Active Users
Remove Bulk Roles
Remove Roles In Bulk
Review Role Requests
Approve or Reject Role Requests
Review Unlock Requests
Approve or Reject Unlock Requests
Manage Access Control Groups
Create or Edit Access Control Groups and Manage Organizations
Manage Recertification
Manage User Role Certification Cycle
Manage Role Documentation
Add or Remove Role Justification Documentation
Manage System Announcements
Manage System Announcements

2) The **Manage Role Documentation** page displays available role documents. User Managers can view, add, or delete documents for their organization(s). Validation Analyst and LSMs can view, add, or delete documents for their Cost Center(s) and any organization(s) within their Cost Center(s).


Manage Role Documentation

System: TrAMS

Access Control Group: Region 3

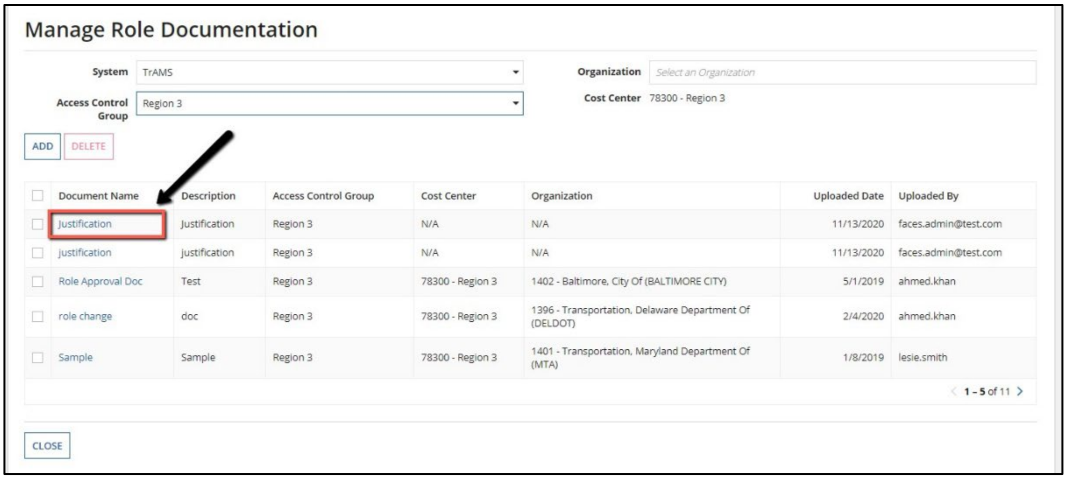
Organization: Select an Organization

Cost Center: 78300 - Region 3

| □ | Document Name ↑ | Description | Access Control Group | Cost Center | Organization | Uploaded Date | Uploaded By |
|---|---|---|---|---|---|---|---|
| □ | Justification | Justification | Region 3 | N/A | N/A | 11/13/2020 | faces.admin@test.com |
| □ | justification | justification | Region 3 | N/A | N/A | 11/13/2020 | faces.admin@test.com |
| □ | Role Approval Doc | Test | Region 3 | 78300 - Region 3 | 1402 - Baltimore, City Of (BALTIMORE CITY) | 5/1/2019 | ahmed.khan |
| □ | role change | doc | Region 3 | 78300 - Region 3 | 1396 - Transportation, Delaware Department Of (DELDOT) | 2/4/2020 | ahmed.khan |
| □ | Sample | Sample | Region 3 | 78300 - Region 3 | 1401 - Transportation, Maryland Department Of (MTA) | 1/8/2019 | lesie.smith |

1 - 5 of 11

3) To download a copy of a document, simply click the document name link.



## Manage Role Documentation

System: TrAMS

Access Control Group: Region 3

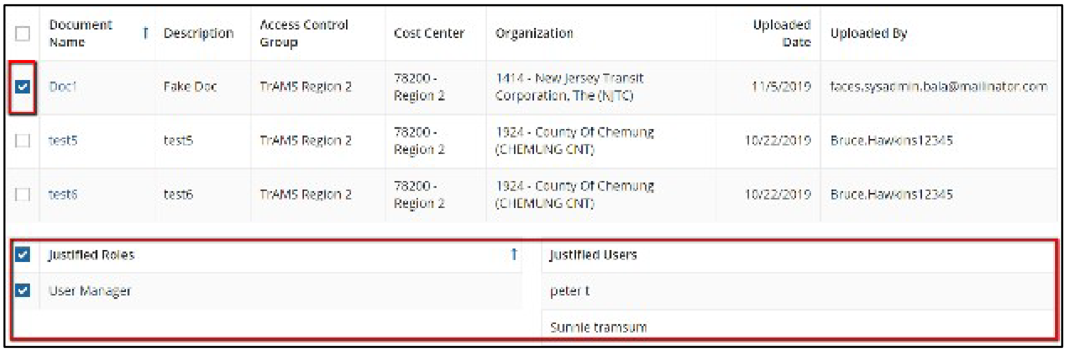
Organization: Select an Organization

Cost Center: 78300 - Region 3

| □ | Document Name | Description | Access Control Group | Cost Center | Organization | Uploaded Date | Uploaded By |
|---|---|---|---|---|---|---|---|
| □ | Justification | Justification | Region 3 | N/A | N/A | 11/13/2020 | faces.admin@test.com |
| □ | justification | justification | Region 3 | N/A | N/A | 11/13/2020 | faces.admin@test.com |
| □ | Role Approval Doc | Test | Region 3 | 78300 - Region 3 | 1402 - Baltimore, City Of (BALTIMORE CITY) | 5/1/2019 | ahmed.khan |
| □ | role change | doc | Region 3 | 78300 - Region 3 | 1396 - Transportation, Delaware Department Of (DELDOT) | 2/4/2020 | ahmed.khan |
| □ | Sample | Sample | Region 3 | 78300 - Region 3 | 1401 - Transportation, Maryland Department Of (MTA) | 1/8/2019 | lesie.smith |

1 - 5 of 11

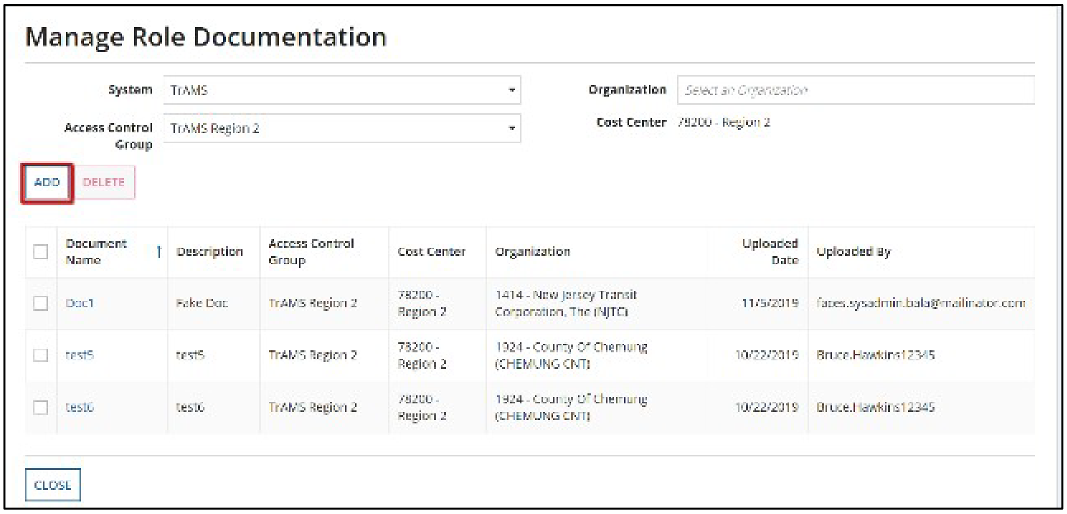
4) To view a list of user roles and user tied to an existing document, click the checkbox next to the document record. Beneath the document grid a list of justified roles will display. Click a specific role name to show all users with that role.



| □ | Document Name | Description | Access Control Group | Cost Center | Organization | Uploaded Date | Uploaded By |
|---|---|---|---|---|---|---|---|
| ☑ | Doc1 | Fake Doc | TrAMS Region 2 | 78200 - Region 2 | 1414 - New Jersey Transit Corporation, The (NJTC) | 11/5/2019 | faces.sysadmin.bala@mailinator.com |
| □ | test5 | test5 | TrAMS Region 2 | 78200 - Region 2 | 1924 - County Of Chemung (CHEMUNG CNT) | 10/22/2019 | Bruce.Hawkins12345 |
| □ | test6 | test6 | TrAMS Region 2 | 78200 - Region 2 | 1924 - County Of Chemung (CHEMUNG CNT) | 10/22/2019 | Bruce.Hawkins12345 |

| ☑ Justified Roles | Justified Users |
|---|---|
| ☑ User Manager | peter t |
| | Sunnie tramsum |

5) To upload a new document Click ***Add***.



## Manage Role Documentation

System: TrAMS

Access Control Group: TrAMS Region 2

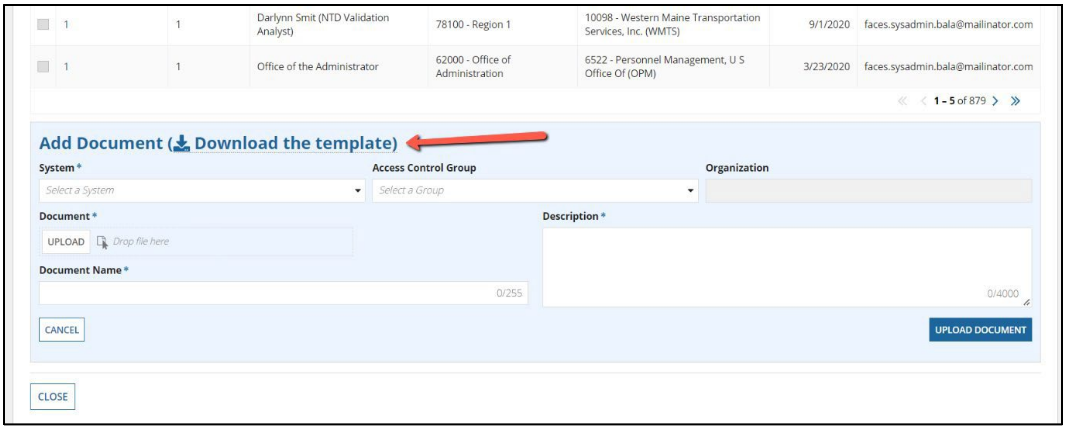
Organization: Select an Organization

Cost Center: 78200 - Region 2

| □ | Document Name | Description | Access Control Group | Cost Center | Organization | Uploaded Date | Uploaded By |
|---|---|---|---|---|---|---|---|
| □ | Doc1 | Fake Doc | TrAMS Region 2 | 78200 - Region 2 | 1414 - New Jersey Transit Corporation, The (NJTC) | 11/5/2019 | faces.sysadmin.bala@mailinator.com |
| □ | test5 | test5 | TrAMS Region 2 | 78200 - Region 2 | 1924 - County Of Chemung (CHEMUNG CNT) | 10/22/2019 | Bruce.Hawkins12345 |
| □ | test6 | test6 | TrAMS Region 2 | 78200 - Region 2 | 1924 - County Of Chemung (CHEMUNG CNT) | 10/22/2019 | Bruce.Hawkins12345 |

6) The ***Add Document*** section will display beneath the list of available documents. Users can download and use the Justification Document

template link available. Please follow the instructions within the document on how to complete the Justification Document.

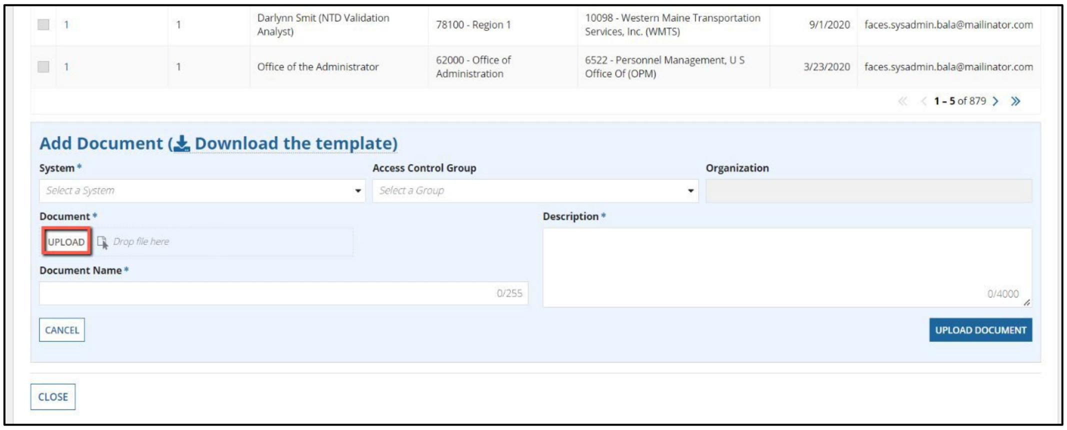


| | | | | | | | |
|---|---|---|---|---|---|---|---|
| □ | 1 | 1 | Darlynn Smit (NTD Validation Analyst) | 78100 - Region 1 | 10098 - Western Maine Transportation Services, Inc. (WMTS) | 9/1/2020 | faces.sysadmin.bala@mailinator.com |
| □ | 1 | 1 | Office of the Administrator | 62000 - Office of Administration | 6522 - Personnel Management, U S Office Of (OPM) | 3/23/2020 | faces.sysadmin.bala@mailinator.com |

« ‹ 1 - 5 of 879 › »

Add Document (Download the template)

7) Click ***Upload*** to browse for justification documents to add to the document repository.

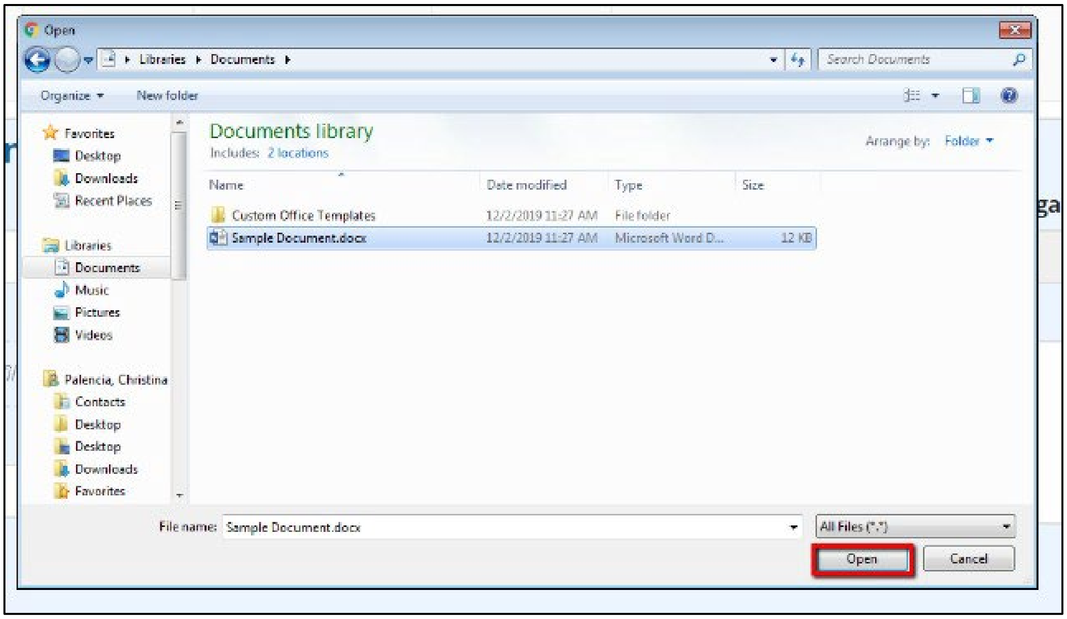


| | | | | | | | |
|---|---|---|---|---|---|---|---|
| □ | 1 | 1 | Darlynn Smit (NTD Validation Analyst) | 78100 - Region 1 | 10098 - Western Maine Transportation Services, Inc. (WMTS) | 9/1/2020 | faces.sysadmin.bala@mailinator.com |
| □ | 1 | 1 | Office of the Administrator | 62000 - Office of Administration | 6522 - Personnel Management, U S Office Of (OPM) | 3/23/2020 | faces.sysadmin.bala@mailinator.com |

« ‹ 1 - 5 of 879 › »

Add Document (Download the template)

8) Using the Windows browse function, find and click the document to upload. Then click ***Open.***



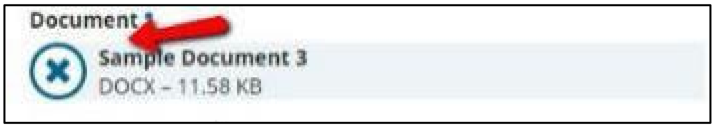
| Name | Date modified | Type | Size |
|---|---|---|---|
| Custom Office Templates | 12/2/2019 11:27 AM | File folder | |
| Sample Document.docx | 12/2/2019 11:27 AM | Microsoft Word D... | 12 KB |

File name: Sample Document.docx

All Files (*.*)

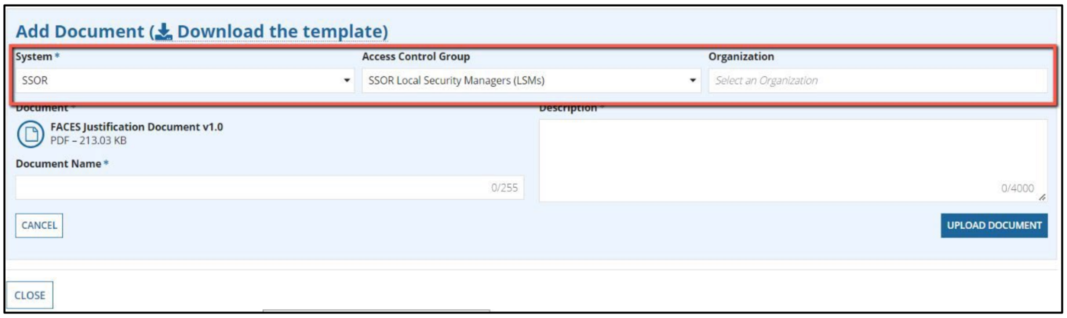
9) The selected document will be uploaded.

10) To select a different document, hover over the document file name and click the “X” that displays. You can then click ***Upload*** to choose a new document.


Document *

Sample Document 3
DOCX – 11.58 KB

11) If the user is a User Manager for a single organization, the **System**, **Access Control Group**, and **Organization** fields will be assigned by default to the user’s organization. Validation Analyst, LSMs and GSMs may need to populate some of these fields.


Add Document (Download the template)

System *
SSOR

Access Control Group
SSOR Local Security Managers (LSMs)

Organization
Select an Organization

Document *

FACES Justification Document v1.0
PDF – 213.03 KB

Document Name * 0/255

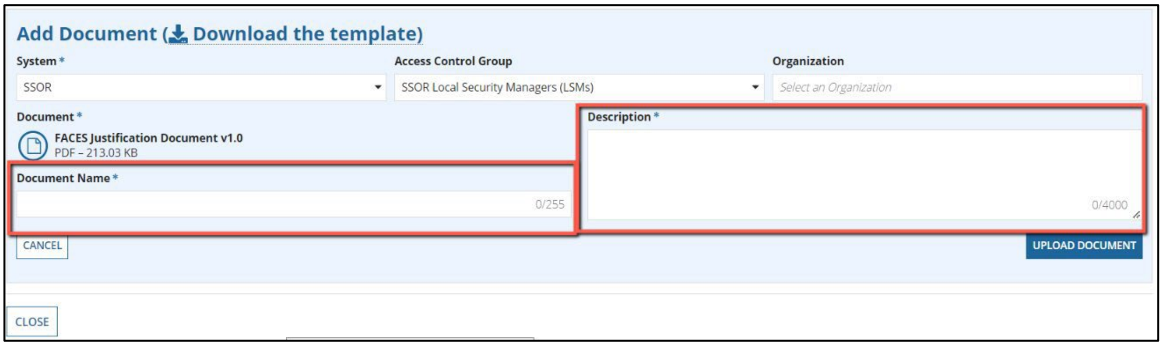
Description * 0/4000

12) This page requires descriptive information to be entered to make the document accessible to other users and to explain the document contents.

a. Document Name: A clear document name is essential for other users to know what the document’s purpose and coverage. Document names cannot exceed 255 characters.

b. A description that provides even more details about the document's intent, content, etc., is also advisable. Descriptions cannot exceed 4000 characters.

Once the information for the document is finalized, click ***Upload Document***.



Add Document (Download the template)

| System * | Access Control Group | Organization |
|---|---|---|
| SSOR | SSOR Local Security Managers (LSMs) | Select an Organization |

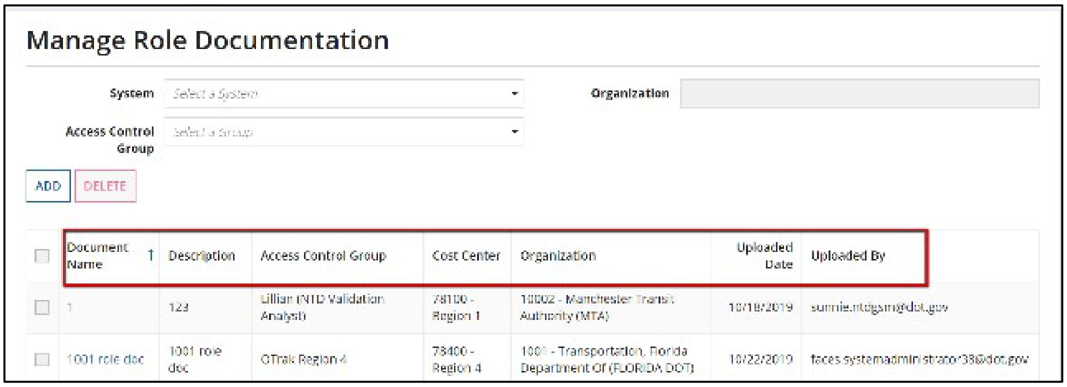
Document *

FACES Justification Document v1.0
PDF – 213.03 KB

Document Name * 0/255

Description * 0/4000

13) The document is added to the list of available documents with its Document Name, Description, Access Control Group, Cost Center, Organization, Upload Date, and the UserID of the person who uploaded it.



Manage Role Documentation

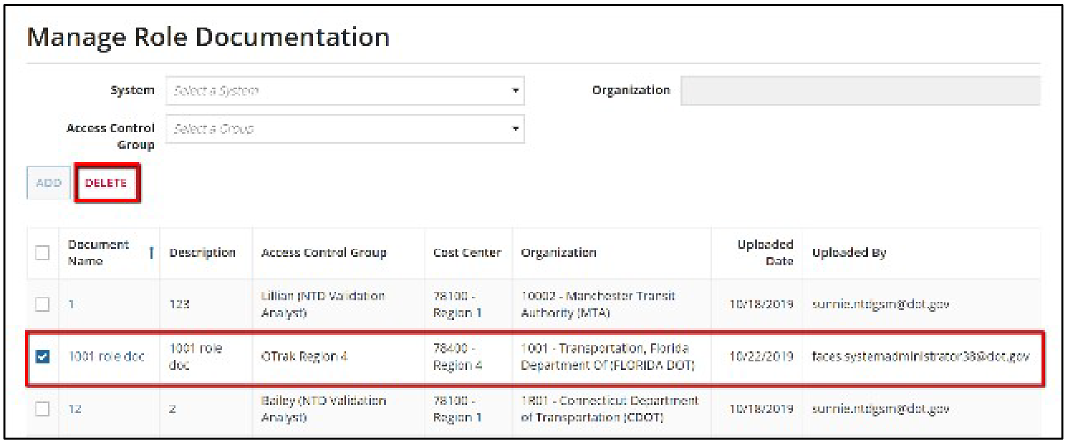
System Select a System

Organization

Access Control Group Select a Group

| □ | Document Name ↑ | Description | Access Control Group | Cost Center | Organization | Uploaded Date | Uploaded By |
|---|---|---|---|---|---|---|---|
| □ | 1 | 123 | Lillian (NTD Validation Analyst) | 78100 - Region 1 | 10002 - Manchester Transit Authority (MTA) | 10/18/2019 | sunnie.ntdgsm@dot.gov |
| □ | 1001 role doc | 1001 role doc | OTrak Region 4 | 78400 - Region 4 | 1001 - Transportation, Florida Department Of (FLORIDA DOT) | 10/22/2019 | faces.systemadministrator38@dot.gov |

14) To remove a document from the system, the user simply highlights the document to be removed by selecting the check box associated with it and clicking ***Delete***. Users can only delete documents that have not yet been selected to support user role assignment. Only one document can be deleted at a time.



Manage Role Documentation

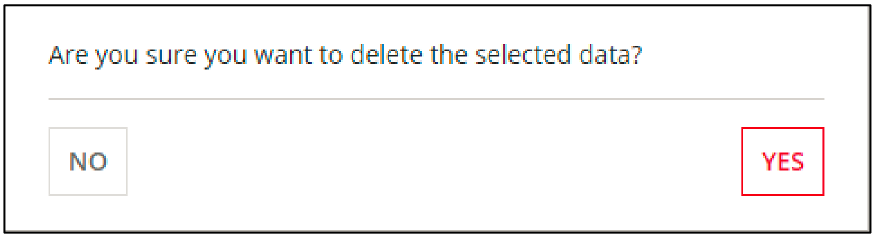
System: Select a System

Organization:

Access Control Group: Select a Group

| □ | Document Name | Description | Access Control Group | Cost Center | Organization | Uploaded Date | Uploaded By |
|---|---|---|---|---|---|---|---|
| □ | 1 | 123 | Lillian (NTD Validation Analyst) | 78100 - Region 1 | 10002 - Manchester Transit Authority (MTA) | 10/18/2019 | surnie.ntdgsm@dot.gov |
| ☑ | 1001 role doc | 1001 role doc | OTrak Region 4 | 78400 - Region 4 | 1001 - Transportation, Florida Department Of (FLORIDA DOT) | 10/22/2019 | faces.systemadministrator38@dot.gov |
| □ | 12 | 2 | Bailey (NTD Validation Analyst) | 78100 - Region 1 | 1801 - Connecticut Department of Transportation (CDOT) | 10/18/2019 | surnie.ntdgsm@dot.gov |

15) A dialog box displays that requires the user to confirm the deletion.

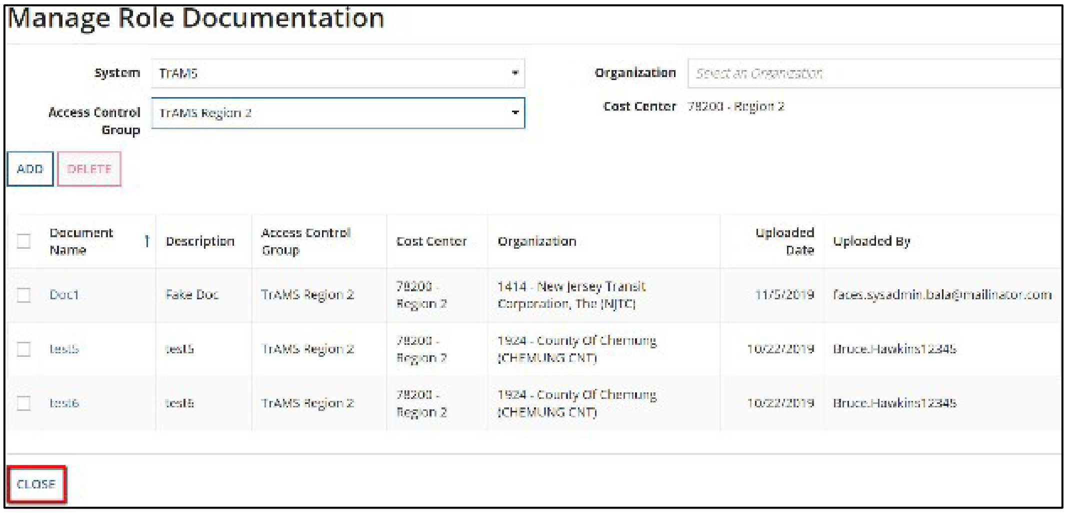


Are you sure you want to delete the selected data?

16) Click ***Yes*** to delete the document. Click ***No*** to cancel.

17) Once a document is deleted, the screen will refresh, and the remaining documentation displays on the **Manage Role Documentation** page.

18) If no further documentation needs to be uploaded or removed, click ***Close*** to return to the **Actions** tab.



Manage Role Documentation

System: TrAMS

Organization: Select an Organization

Access Control Group: TrAMS Region 2

Cost Center: 78200 - Region 2

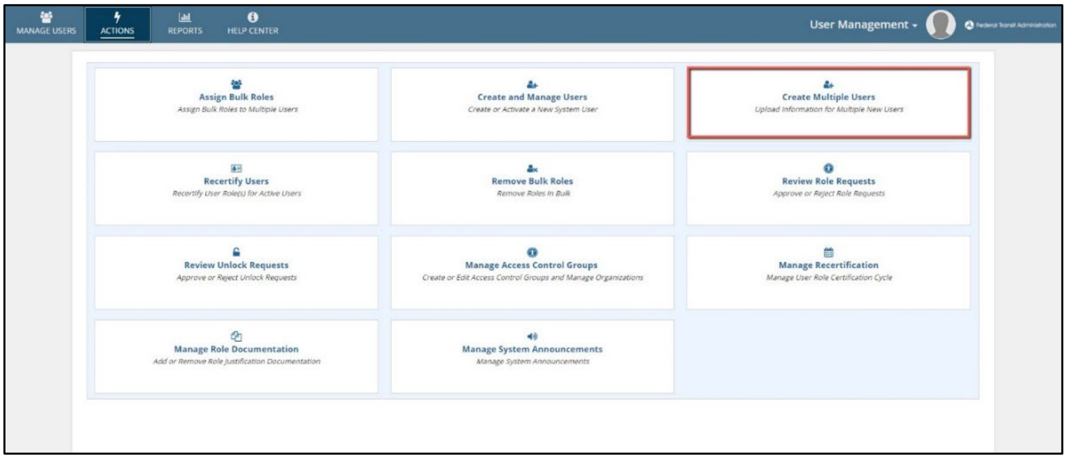
| □ | Document Name | Description | Access Control Group | Cost Center | Organization | Uploaded Date | Uploaded By |
|---|---|---|---|---|---|---|---|
| □ | Doc1 | Fake Doc | TrAMS Region 2 | 78200 - Region 2 | 1414 - New Jersey Transit Corporation, The (NJTC) | 11/5/2019 | faces.sysadmin.bala@mailinator.com |
| □ | test5 | test5 | TrAMS Region 2 | 78200 - Region 2 | 1924 - County Of Chemung (CHEMUNG CNT) | 10/22/2019 | Bruce.Hawkins12345 |
| □ | test6 | test6 | TrAMS Region 2 | 78200 - Region 2 | 1924 - County Of Chemung (CHEMUNG CNT) | 10/22/2019 | Bruce.Hawkins12345 |

### 6.2.4 Action: Manage Role Documentation

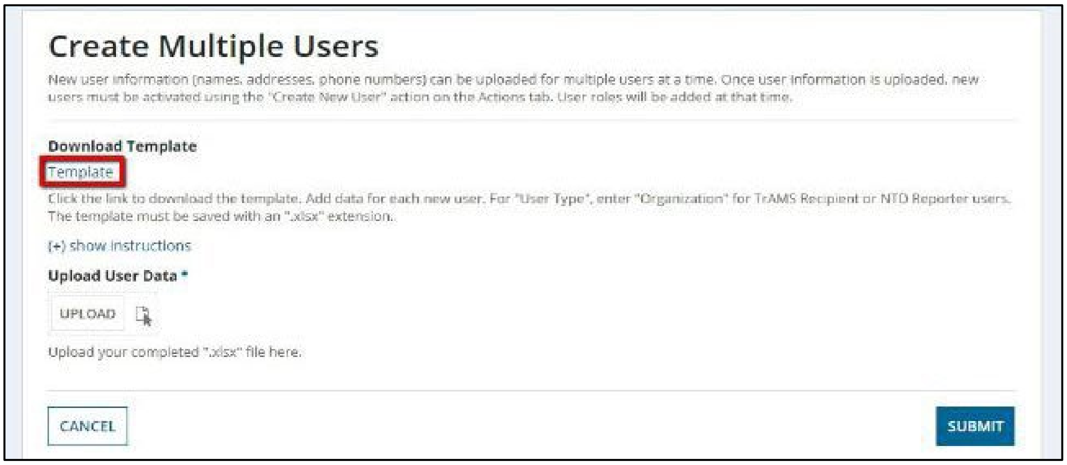
If more than one organization or external user needs to be created, the **User Manager**, **Validation Analyst, LSM,** or **GSM** may bulk load their profile information into the system using a Microsoft Excel file. A file template is provided by the system and must be used. FTA users cannot be uploaded through this action. The upload process will perform data validations and will only upload users that pass all validations. This action is useful when new organizations are added to your system and many users need to be imported at once. At this time, user roles must be added separately using the standard ***Manage Roles*** form.

To upload multiple user information at once:

1) Click the ***Create Multiple Users*** from the **Actions** tab.


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Federal Transit Administration
Assign Bulk Roles
Assign Bulk Roles to Multiple Users
Create and Manage Users
Create or Activate a New System User
Create Multiple Users
Upload Information for Multiple New Users
Recertify Users
Recertify User Role(s) for Active Users
Remove Bulk Roles
Remove Roles In Bulk
Review Role Requests
Approve or Reject Role Requests
Review Unlock Requests
Approve or Reject Unlock Requests
Manage Access Control Groups
Create or Edit Access Control Groups and Manage Organizations
Manage Recertification
Manage User Role Certification Cycle
Manage Role Documentation
Add or Remove Role Justification Documentation
Manage System Announcements
Manage System Announcements

2) Download the user information template by clicking the hyperlink that says ***Template***.


Create Multiple Users

New user information (names, addresses, phone numbers) can be uploaded for multiple users at a time. Once user information is uploaded, new users must be activated using the "Create New User" action on the Actions tab. User roles will be added at that time.

Download Template

Template

Click the link to download the template. Add data for each new user. For "User Type", enter "Organization" for TrAMS Recipient or NTD Reporter users. The template must be saved with an ".xlsx" extension.

(+) show instructions

Upload User Data *

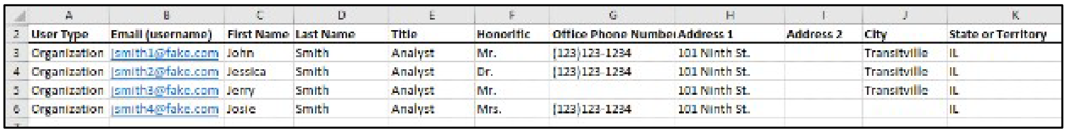
Upload your completed ".xlsx" file here.

3) The template will contain the following fields for user data. Almost all fields are required. In the template for each user provide the following details for each new user:

| Field | Required | Data Entry Rules |
|---|---|---|
| User Type | Yes | Must be Organization, DOL, Auditor, or Contractor. |

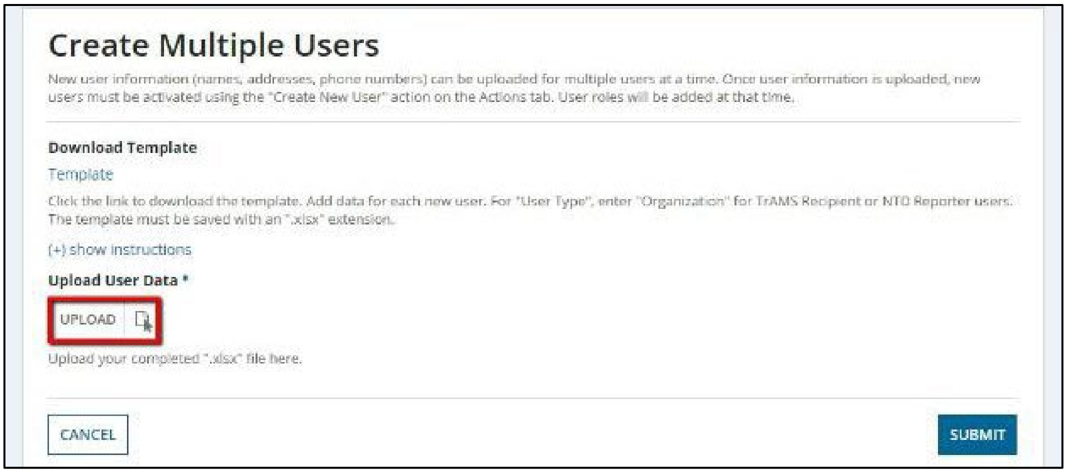
| | | |
|---|---|---|
| Email (username) | Yes | Entry must be a valid email entered in all lowercase characters. This |
| First Name | Yes | Cannot contain any special characters (e.g. $) or numbers. |
| Last Name | Yes | Cannot contain any special characters (e.g. $) or numbers. |
| Title | Yes | Must not exceed 255 characters. |
| Honorific | Yes | Must be Mr., Mrs., Ms., or Dr. (*periods required*). |
| Office Phone Number | Yes | Must be formatted like a phone number (e.g., (555) 555-5555). Cannot be just a 10-digit number (e.g. 5555555555). |
| Address 1 | Yes | Must begin with a street number (e.g., “1207 Maple St”) or a PO (e.g., “PO Box 412”). |
| Address 2 | No | |
| City | Yes | Cannot contain special characters (e.g. $) or numbers. |
| State or Territory | Yes | Must be a verified 2-character US state or US territory abbreviation. |
| Zip Code (5 digits) | Yes | Must be a 5-digit number. If the leading zeros are being stripped from '.xlsx' document, begin the zip code with an apostrophe (e.g. '01234). |
| Company | No | Must not exceed 255 characters. |
| Department | No | Must not exceed 255 characters. |

4) The file must be saved with an “.xlsx” file extension. (A sample file with four users is shown below.)



| | A | B | C | D | E | F | G | H | I | J | K |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | User Type | Email (username) | First Name | Last Name | Title | Honorific | Office Phone Numbe | Address 1 | Address 2 | City | State or Territory |
| 3 | Organization | jsmith1@fake.com | John | Smith | Analyst | Mr. | (123)123-1234 | 101 Ninth St. | | Transitville | IL |
| 4 | Organization | jsmith2@fake.com | Jessica | Smith | Analyst | Dr. | (123)123-1234 | 101 Ninth St. | | Transitville | IL |
| 5 | Organization | jsmith3@fake.com | Jerry | Smith | Analyst | Mr. | | 101 Ninth St. | | Transitville | IL |
| 6 | Organization | jsmith4@fake.com | Josie | Smith | Analyst | Mrs. | (123)123-1234 | 101 Ninth St. | | | IL |

5) When the file is ready to be uploaded, click ***Upload*** on the **Create Multiple Users** page to locate the Excel (.xlsx) file.



## Create Multiple Users

New user information (names, addresses, phone numbers) can be uploaded for multiple users at a time. Once user information is uploaded, new users must be activated using the "Create New User" action on the Actions tab. User roles will be added at that time.

**Download Template**

Template

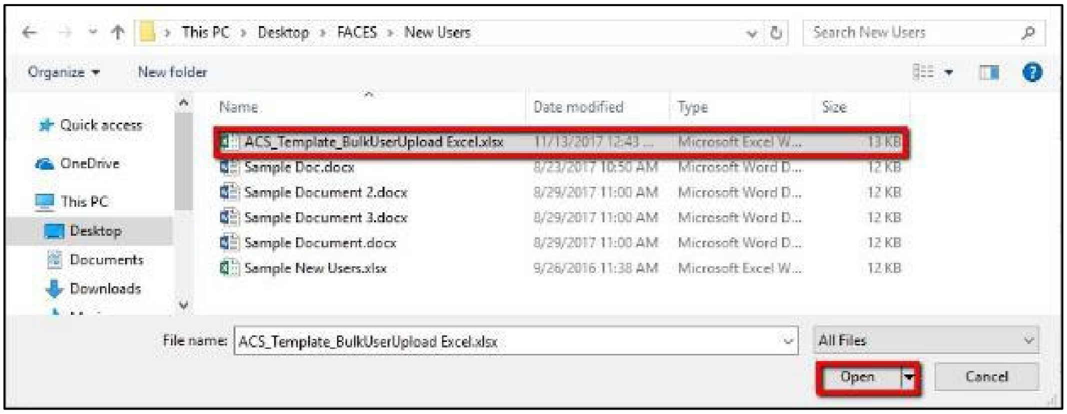
Click the link to download the template. Add data for each new user. For "User Type", enter "Organization" for TrAMS Recipient or NTD Reporter users. The template must be saved with an ".xlsx" extension.

(+) show instructions

**Upload User Data ***

Upload your completed ".xlsx" file here.

6) Use the Windows browser capabilities to locate the file to be uploaded. Click ***Open*** to add the file to the system.

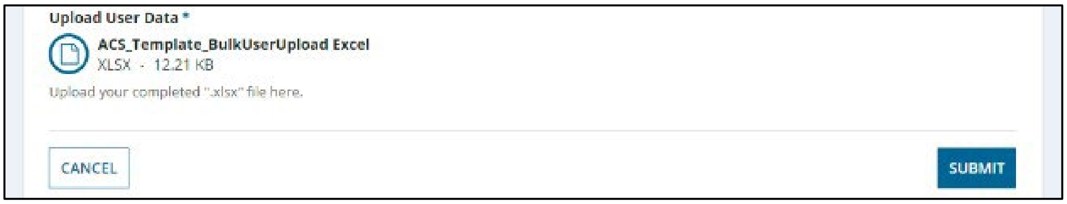


| Name | Date modified | Type | Size |
|---|---|---|---|
| ACS_Template_BulkUserUpload Excel.xlsx | 11/13/2017 12:43 ... | Microsoft Excel W... | 13 KB |
| Sample Doc.docx | 8/23/2017 10:50 AM | Microsoft Word D... | 12 KB |
| Sample Document 2.docx | 8/29/2017 11:00 AM | Microsoft Word D... | 12 KB |
| Sample Document 3.docx | 8/29/2017 11:00 AM | Microsoft Word D... | 12 KB |
| Sample Document.docx | 8/29/2017 11:00 AM | Microsoft Word D... | 12 KB |
| Sample New Users.xlsx | 9/26/2016 11:38 AM | Microsoft Excel W... | 12 KB |

File name: ACS_Template_BulkUserUpload Excel.xlsx

All Files

7) The file that was selected is listed on the upload page.

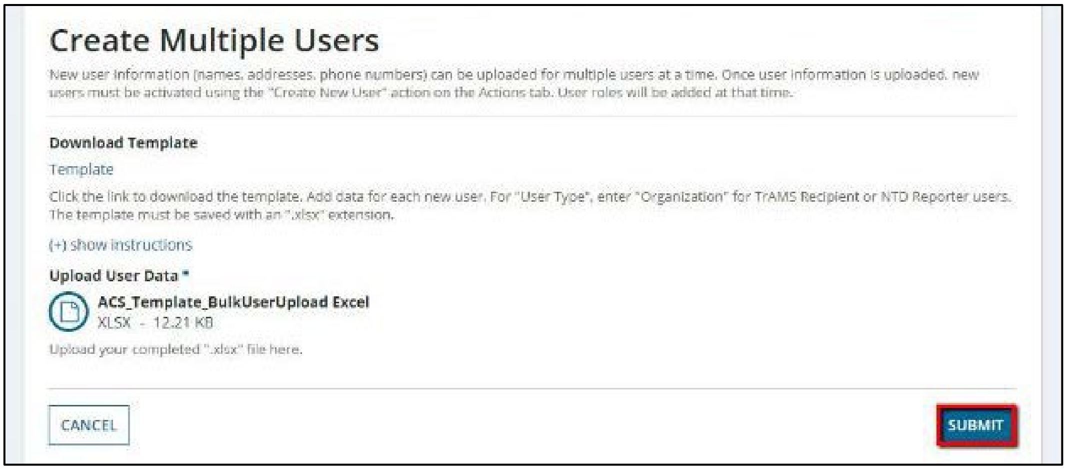


**Upload User Data ***

ACS_Template_BulkUserUpload Excel
XLSX - 12.21 KB

Upload your completed ".xlsx" file here.

8) Click ***Submit***. This will begin the data upload and validation.



## Create Multiple Users

New user information (names, addresses, phone numbers) can be uploaded for multiple users at a time. Once user information is uploaded, new users must be activated using the "Create New User" action on the Actions tab. User roles will be added at that time.

**Download Template**

Template

Click the link to download the template. Add data for each new user. For "User Type", enter "Organization" for TrAMS Recipient or NTD Reporter users. The template must be saved with an ".xlsx" extension.

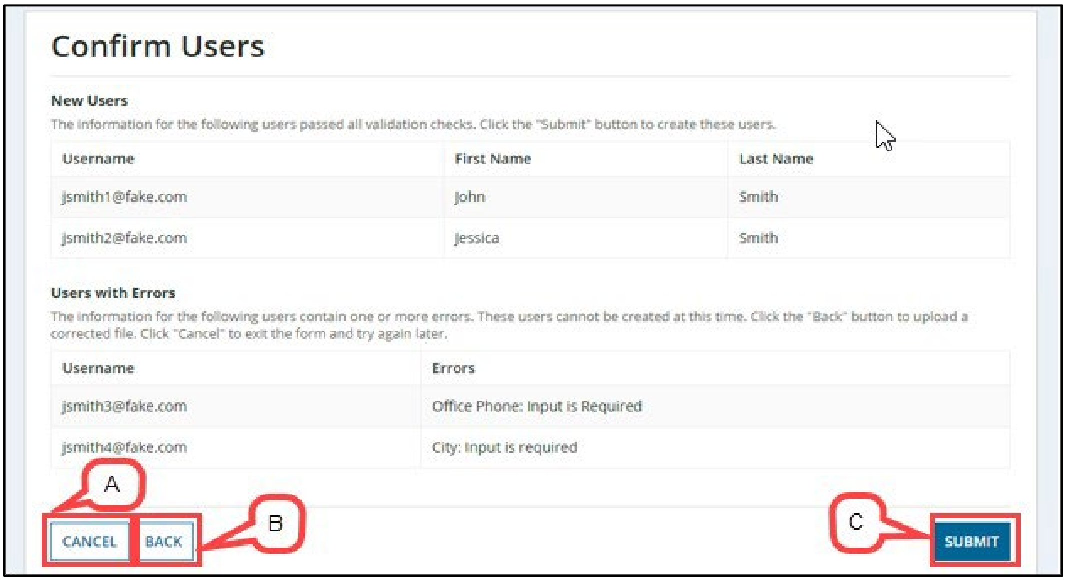
(+) show instructions

**Upload User Data ***

ACS_Template_BulkUserUpload Excel
XLSX - 12.21 KB

Upload your completed ".xlsx" file here.

9) The ***Confirm Users*** page will open. The system will display the users in the file that can be uploaded (***New Users***) and the users that have data issues (***Users with Errors)***. For each user with issues, specific error messages will be given to help correct the user data.



## Confirm Users

**New Users**

The information for the following users passed all validation checks. Click the "Submit" button to create these users.

| Username | First Name | Last Name |
|---|---|---|
| jsmith1@fake.com | John | Smith |
| jsmith2@fake.com | Jessica | Smith |

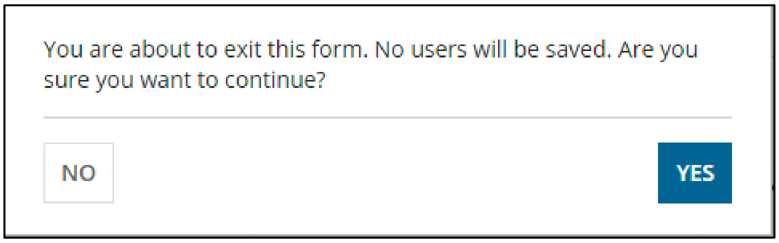
**Users with Errors**

The information for the following users contain one or more errors. These users cannot be created at this time. Click the "Back" button to upload a corrected file. Click "Cancel" to exit the form and try again later.

| Username | Errors |
|---|---|
| jsmith3@fake.com | Office Phone: Input is Required |
| jsmith4@fake.com | City: Input is required |

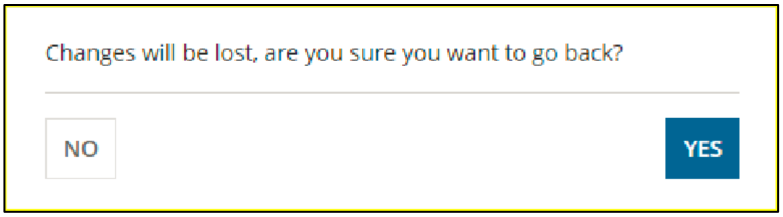
10) The user may:

a. Select ***Cancel*** to return to the **Actions** page. Click ***Yes***.



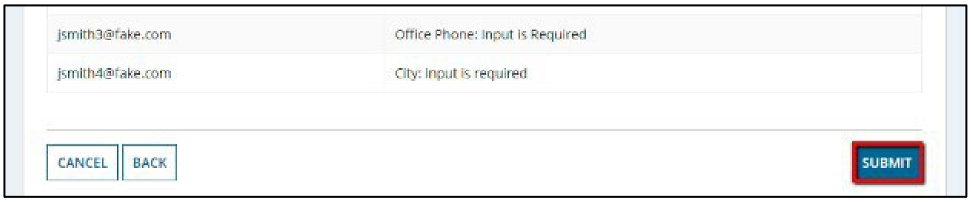
You are about to exit this form. No users will be saved. Are you sure you want to continue?

b. Select ***Back*** to return to return to the previous page and select a new file. Click ***Yes***.



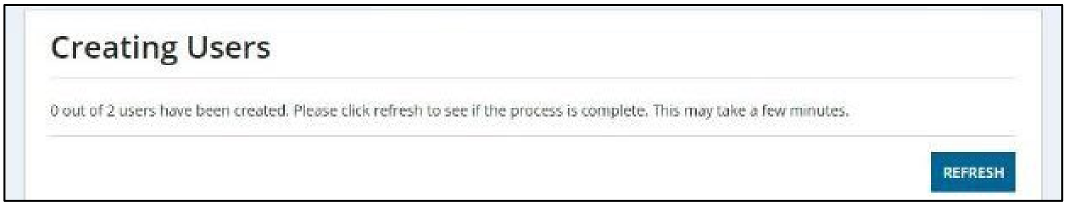
Changes will be lost, are you sure you want to go back?

c. Click ***Submit*** to confirm the users and complete the upload of all users that passed validation checks. Only users that passed validation will have user records created.



| | |
|---|---|
| jsmith3@fake.com | Office Phone: Input is Required |
| jsmith4@fake.com | City: Input is required |

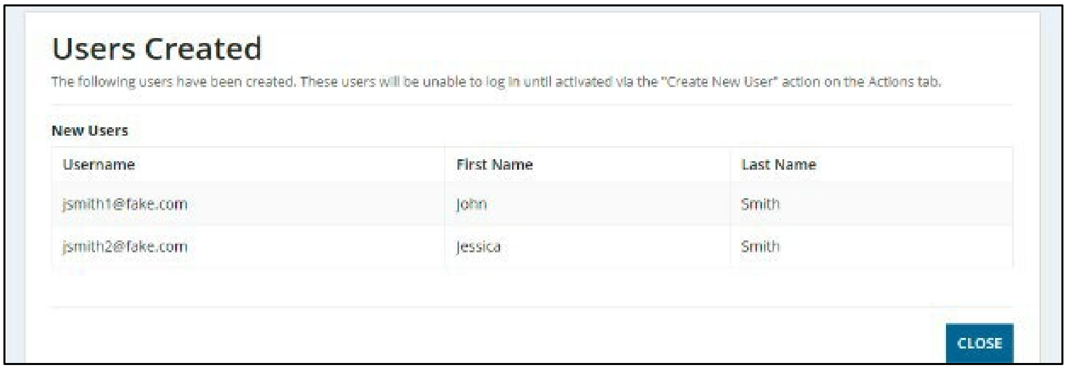
11) The **Creating Users** form will display. Click ***Refresh*** to see how many users have been created. The process may take several minutes.



Creating Users

0 out of 2 users have been created. Please click refresh to see if the process is complete. This may take a few minutes.

12) Once the users have been added to the system, clicking ***Refresh*** will display the **Users Created** screen. Click ***Close*** to return to the Actions tab.



Users Created

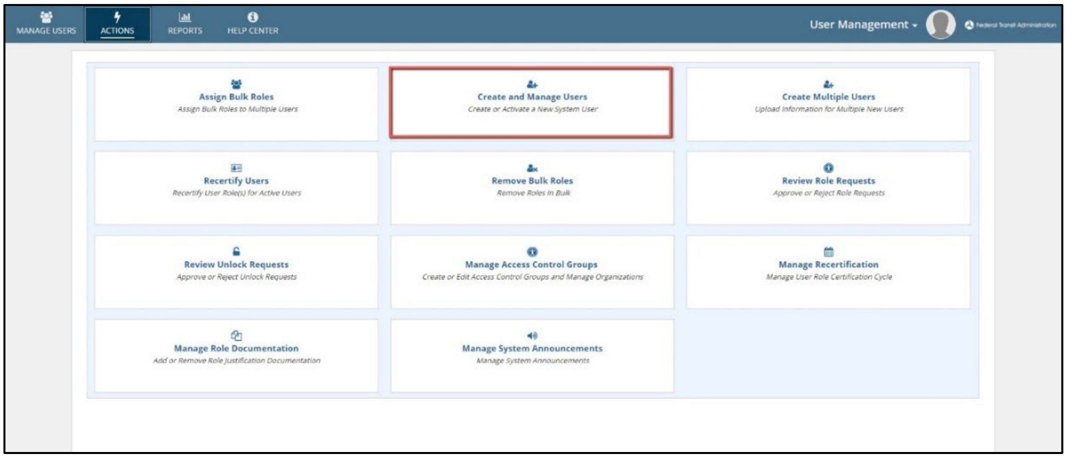
The following users have been created. These users will be unable to log in until activated via the "Create New User" action on the Actions tab.

New Users

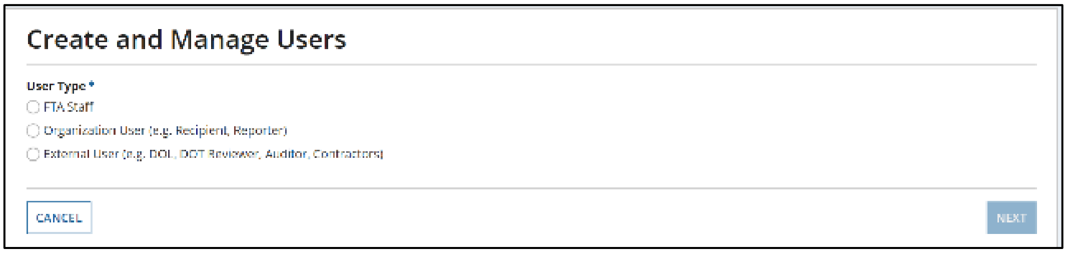
| Username | First Name | Last Name |
|---|---|---|
| jsmith1@fake.com | John | Smith |
| jsmith2@fake.com | Jessica | Smith |

13) To finalize user setup, the **User Manager** will need to locate each user to add user roles. Users will be unable to login until roles are added. The same individual that uploaded the user data does not need to be the person to activate the accounts. If multiple user managers exist for an organization, this responsibility can be shared.

14) To locate a new user to finalize, go to the ***Create and Manage Users*** action.


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Federal Transit Administration
Assign Bulk Roles
Assign Bulk Roles to Multiple Users
Create and Manage Users
Create or Activate a New System User
Create Multiple Users
Upload Information for Multiple New Users
Recertify Users
Recertify User Role(s) for Active Users
Remove Bulk Roles
Remove Roles In Bulk
Review Role Requests
Approve or Reject Role Requests
Review Unlock Requests
Approve or Reject Unlock Requests
Manage Access Control Groups
Create or Edit Access Control Groups and Manage Organizations
Manage Recertification
Manage User Role Certification Cycle
Manage Role Documentation
Add or Remove Role Justification Documentation
Manage System Announcements
Manage System Announcements

15) Select the appropriate user type, enter the user's username, and click ***Next***.



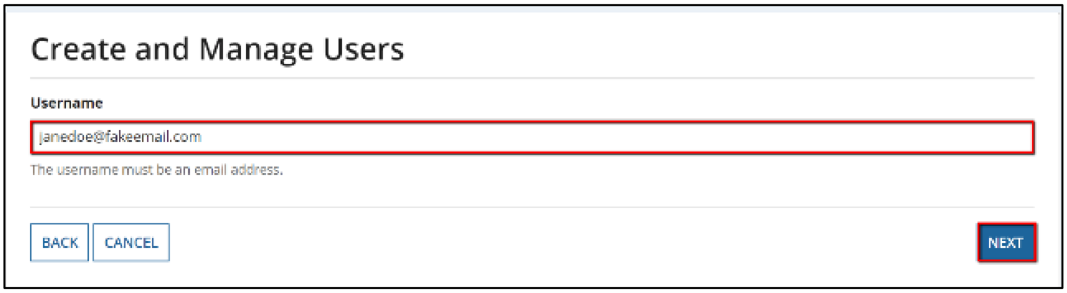
Create and Manage Users

User Type *

○ FTA Staff

○ Organization User (e.g. Recipient, Reporter)

○ External User (e.g. DOL, DOT Reviewer, Auditor, Contractors)



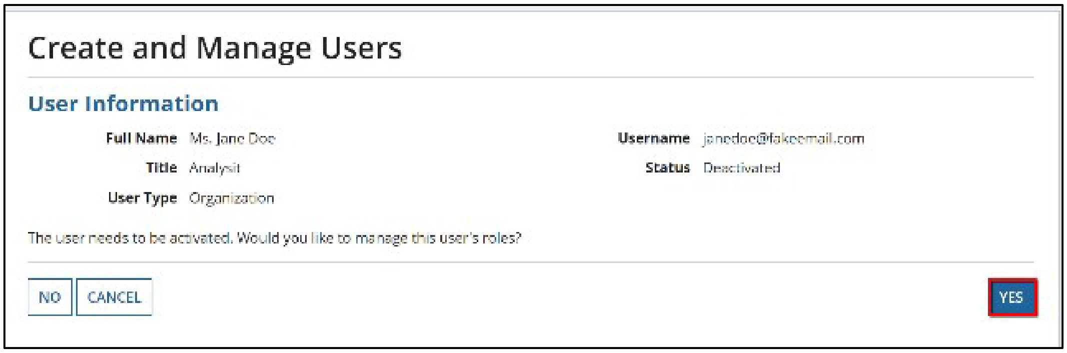
Create and Manage Users

Username

janedoe@fakeemail.com

The username must be an email address.

16) A page will display a message that the user needs to be activated. You will be given the option to navigate to ***Manage Roles*** for that user. Click ***Yes*** to proceed to ***Manage Roles.***



Create and Manage Users

User Information

| | | | |
|---|---|---|---|
| Full Name | Ms. Jane Doe | Username | janedoe@fakeemail.com |
| Title | Analysit | Status | Deactivated |
| User Type | Organization | | |

The user needs to be activated. Would you like to manage this user's roles?

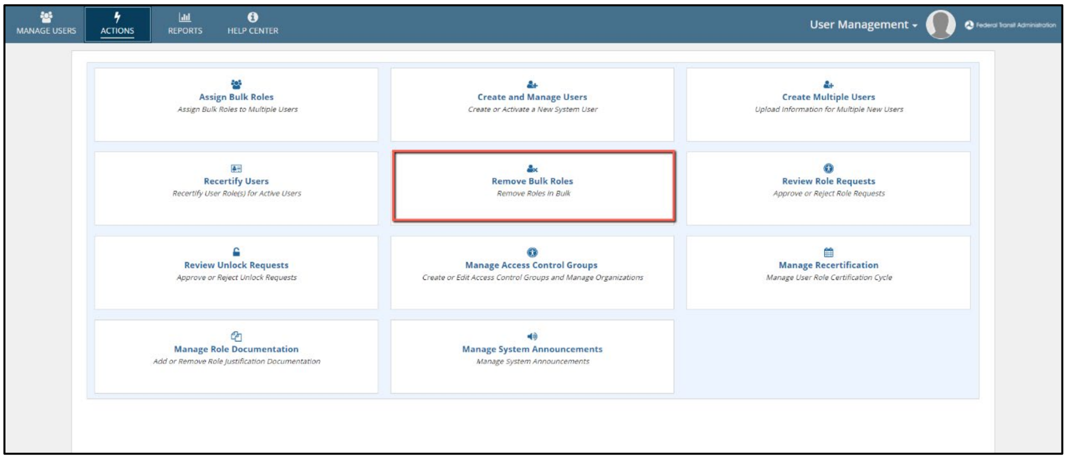
17) Follow the standard process for adding roles to the user and then click ***Activate.*** The user will be notified that their account has been established at this point.

### 6.2.5 Action: Remove Bulk Roles

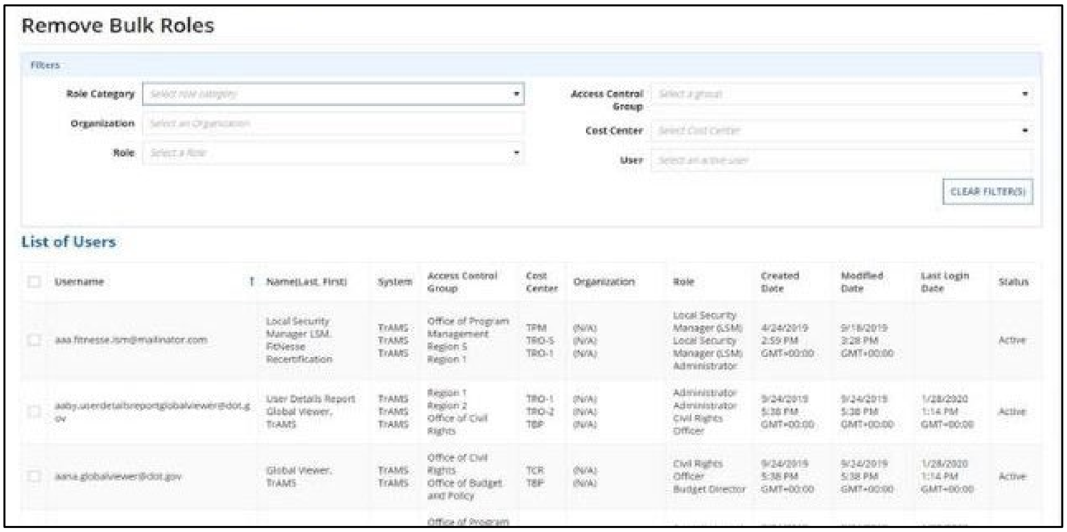
If more than one user or external user's user roles needs to be removed from the system, the **System Admin**, **Global Security Manager**, **Validation Analyst**, **LSM** may remove user roles through this action. The role removal process will provide validations and will only allow users to remove the user roles that are not valid for them anymore.

To remove bulk roles at once:

1) Click the ***Remove Bulk Roles*** from the **Actions** tab.


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Federal Transit Administration
Assign Bulk Roles
Assign Bulk Roles to Multiple Users
Create and Manage Users
Create or Activate a New System User
Create Multiple Users
Upload Information for Multiple New Users
Recertify Users
Recertify User Role(s) for Active Users
Remove Bulk Roles
Remove Roles in Bulk
Review Role Requests
Approve or Reject Role Requests
Review Unlock Requests
Approve or Reject Unlock Requests
Manage Access Control Groups
Create or Edit Access Control Groups and Manage Organizations
Manage Recertification
Manage User Role Certification Cycle
Manage Role Documentation
Add or Remove Role Justification Documentation
Manage System Announcements
Manage System Announcements

2) The **Remove Bulk Roles** page displays the available users with existing roles they are assigned with can be removed.


Remove Bulk Roles

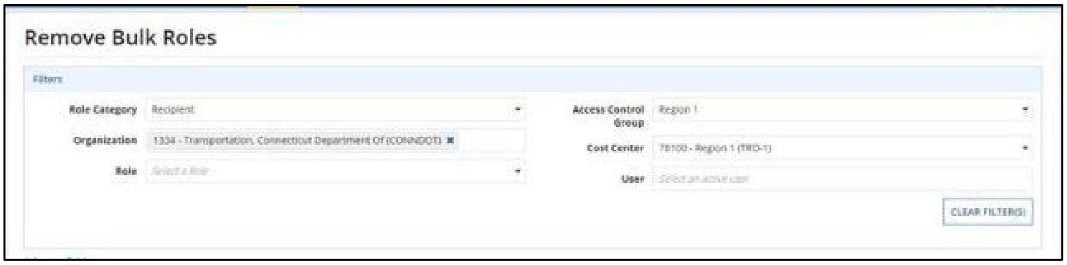
Filters

Role Category: Select role category
Organization: Select an Organization
Role: Select a Role
Access Control Group: Select a group
Cost Center: Select Cost Center
User: Select an active user

List of Users

| □ | Username | Name(Last, First) | System | Access Control Group | Cost Center | Organization | Role | Created Date | Modified Date | Last Login Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|
| □ | aaa.fitnesse.lsm@mailinator.com | Local Security Manager LSM, FitNesse Recertification | TrAMS<br>TrAMS<br>TrAMS | Office of Program Management<br>Region 5<br>Region 1 | TPM<br>TRO-5<br>TRO-1 | (N/A)<br>(N/A)<br>(N/A) | Local Security Manager (LSM)<br>Local Security Manager (LSM)<br>Administrator | 4/24/2019 2:59 PM GMT+00:00 | 9/18/2019 3:28 PM GMT+00:00 | | Active |
| □ | aaby.userdetailsreportglobalviewer@dot.gov | User Details Report Global Viewer, TrAMS | TrAMS<br>TrAMS<br>TrAMS | Region 1<br>Region 2<br>Office of Civil Rights | TRO-1<br>TRO-2<br>TBP | (N/A)<br>(N/A)<br>(N/A) | Administrator<br>Administrator<br>Civil Rights Officer | 9/24/2019 5:38 PM GMT+00:00 | 9/24/2019 5:38 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | aana.globalviewer@dot.gov | Global Viewer, TrAMS | TrAMS<br>TrAMS | Office of Civil Rights<br>Office of Budget and Policy | TCR<br>TBP | (N/A)<br>(N/A) | Civil Rights Officer<br>Budget Director | 9/24/2019 5:38 PM GMT+00:00 | 9/24/2019 5:38 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| | | | | Office of Program | | | | | | | |

3) The user is provided with filters to narrow down specific users.



Remove Bulk Roles

Filters

Role Category: Recipient

Organization: 1334 - Transportation, Connecticut Department Of (CONNDOT) ✖

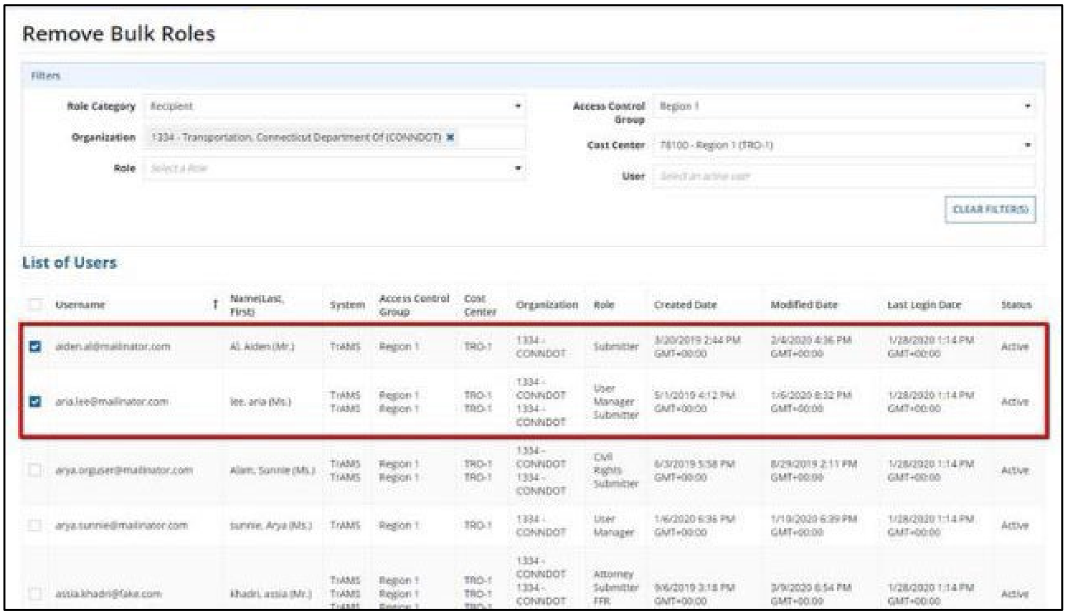
Role: Select a Role

Access Control Group: Region 1

Cost Center: 78100 - Region 1 (TRO-1)

User: Select an active user

4) Once filters have been applied, the user can select multiple users by clicking anywhere on user record row from the **List of Users** grid to see what roles they currently have; selected users are highlighted blue. Clicking on a selected user record again will deselect that user.



Remove Bulk Roles

Filters

Role Category: Recipient

Organization: 1334 - Transportation, Connecticut Department Of (CONNDOT) ✖

Role: Select a Role

Access Control Group: Region 1

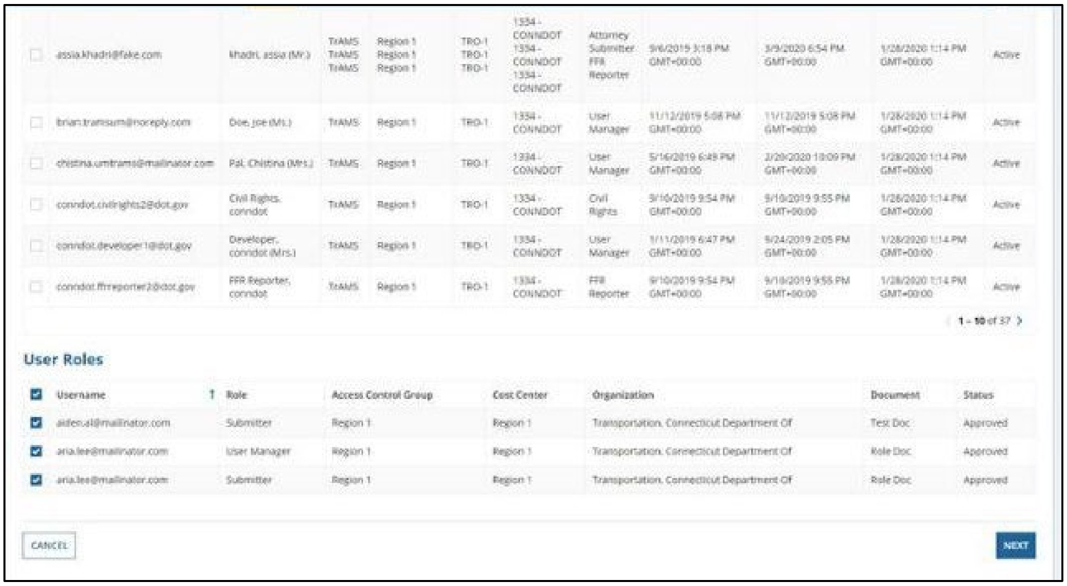
Cost Center: 78100 - Region 1 (TRO-1)

User: Select an active user

List of Users

| □ | Username ↑ | Name(Last, First) | System | Access Control Group | Cost Center | Organization | Role | Created Date | Modified Date | Last Login Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|
| ☑ | aiden.ali@mailinator.com | Al, Aiden (Mr.) | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | Submitter | 3/20/2019 2:44 PM GMT+00:00 | 2/4/2020 4:36 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| ☑ | aria.lee@mailinator.com | lee, aria (Ms.) | TrAMS<br>TrAMS | Region 1<br>Region 1 | TRO-1<br>TRO-1 | 1334 - CONNDOT<br>1334 - CONNDOT | User Manager<br>Submitter | 5/1/2019 4:12 PM GMT+00:00 | 1/6/2020 8:32 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | arya.orguser@mailinator.com | Alam, Sunnie (Ms.) | TrAMS<br>TrAMS | Region 1<br>Region 1 | TRO-1<br>TRO-1 | 1334 - CONNDOT<br>1334 - CONNDOT | Civil Rights<br>Submitter | 6/3/2019 5:58 PM GMT+00:00 | 8/29/2019 2:11 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | arya.sunnie@mailinator.com | sunnie, Arya (Ms.) | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | User Manager | 1/6/2020 6:36 PM GMT+00:00 | 1/10/2020 6:39 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | assia.khadri@fake.com | khadri, assia (Mr.) | TrAMS<br>TrAMS<br>TrAMS | Region 1<br>Region 1<br>Region 1 | TRO-1<br>TRO-1<br>TRO-1 | 1334 - CONNDOT<br>1334 - CONNDOT | Attorney<br>Submitter<br>FFR | 9/6/2019 3:18 PM GMT+00:00 | 3/9/2020 6:54 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |

5) The user will have the option to cancel this process at any time by pressing the **Cancel** button in the lower left-hand corner of the screen.

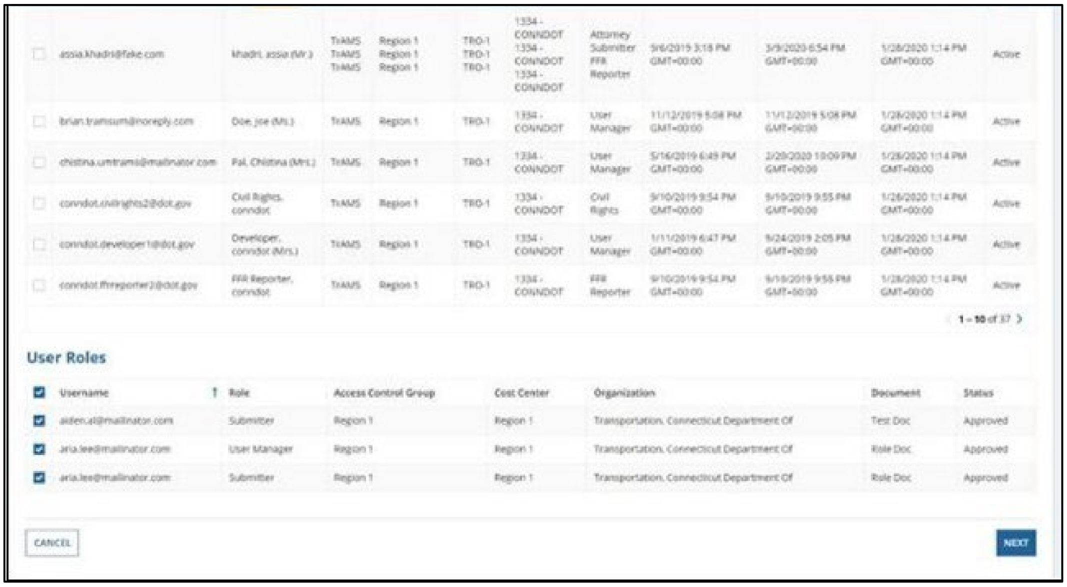


| | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| □ | assia.khadri@fake.com | Khadri, assia (Mr.) | TrAMS<br>TrAMS<br>TrAMS | Region 1<br>Region 1<br>Region 1 | TRO-1<br>TRO-1<br>TRO-1 | 1334 - CONNDOT<br>1334 - CONNDOT<br>1334 - CONNDOT | Attorney<br>Submitter<br>FFR Reporter | 9/6/2019 3:18 PM GMT+00:00 | 3/9/2020 6:54 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | brian.tramsum@noreply.com | Doe, joe (Ms.) | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | User Manager | 11/12/2019 5:08 PM GMT+00:00 | 11/12/2019 5:08 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | chistina.umtrams@mailinator.com | Pal, Chistina (Mrs.) | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | User Manager | 5/16/2019 6:49 PM GMT+00:00 | 2/20/2020 10:09 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | conndot.civilrights2@dot.gov | Civil Rights, conndot | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | Civil Rights | 9/10/2019 9:54 PM GMT+00:00 | 9/10/2019 9:55 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | conndot.developer1@dot.gov | Developer, conndot (Mrs.) | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | User Manager | 1/11/2019 6:47 PM GMT+00:00 | 9/24/2019 2:05 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | conndot.ffrreporter2@dot.gov | FFR Reporter, conndot | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | FFR Reporter | 9/10/2019 9:54 PM GMT+00:00 | 9/10/2019 9:55 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |

User Roles

| ☑ | Username ↑ | Role | Access Control Group | Cost Center | Organization | Document | Status |
|---|---|---|---|---|---|---|---|
| ☑ | aiden.al@mailinator.com | Submitter | Region 1 | Region 1 | Transportation, Connecticut Department Of | Test Doc | Approved |
| ☑ | aria.lee@mailinator.com | User Manager | Region 1 | Region 1 | Transportation, Connecticut Department Of | Role Doc | Approved |
| ☑ | aria.lee@mailinator.com | Submitter | Region 1 | Region 1 | Transportation, Connecticut Department Of | Role Doc | Approved |

6) The user can select multiple roles for multiple users by clicking anywhere on the rows from **User Roles** grid to remove the roles from the system. Clicking on a selected user role again will deselect that user role. Once the user has selected the users and user roles, click **Next** to navigate to the **Confirm Role Removal** page**.**

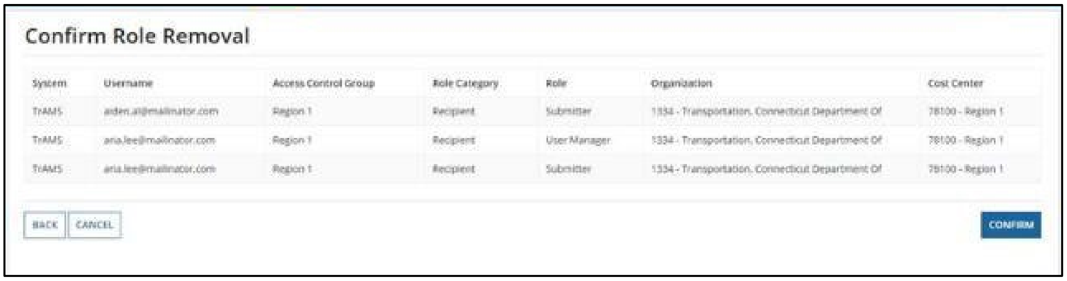


| | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| □ | assia.khadri@fake.com | Khadri, assia (Mr.) | TrAMS<br>TrAMS<br>TrAMS | Region 1<br>Region 1<br>Region 1 | TRO-1<br>TRO-1<br>TRO-1 | 1334 - CONNDOT<br>1334 - CONNDOT<br>1334 - CONNDOT | Attorney<br>Submitter<br>FFR Reporter | 9/6/2019 3:18 PM GMT+00:00 | 3/9/2020 6:54 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | brian.tramsum@noreply.com | Doe, joe (Ms.) | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | User Manager | 11/12/2019 5:08 PM GMT+00:00 | 11/12/2019 5:08 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | chistina.umtrams@mailinator.com | Pal, Chistina (Mrs.) | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | User Manager | 5/16/2019 6:49 PM GMT+00:00 | 2/20/2020 10:09 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | conndot.civilrights2@dot.gov | Civil Rights, conndot | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | Civil Rights | 9/10/2019 9:54 PM GMT+00:00 | 9/10/2019 9:55 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | conndot.developer1@dot.gov | Developer, conndot (Mrs.) | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | User Manager | 1/11/2019 6:47 PM GMT+00:00 | 9/24/2019 2:05 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |
| □ | conndot.ffrreporter2@dot.gov | FFR Reporter, conndot | TrAMS | Region 1 | TRO-1 | 1334 - CONNDOT | FFR Reporter | 9/10/2019 9:54 PM GMT+00:00 | 9/10/2019 9:55 PM GMT+00:00 | 1/28/2020 1:14 PM GMT+00:00 | Active |

User Roles

| ☑ | Username ↑ | Role | Access Control Group | Cost Center | Organization | Document | Status |
|---|---|---|---|---|---|---|---|
| ☑ | aiden.al@mailinator.com | Submitter | Region 1 | Region 1 | Transportation, Connecticut Department Of | Test Doc | Approved |
| ☑ | aria.lee@mailinator.com | User Manager | Region 1 | Region 1 | Transportation, Connecticut Department Of | Role Doc | Approved |
| ☑ | aria.lee@mailinator.com | Submitter | Region 1 | Region 1 | Transportation, Connecticut Department Of | Role Doc | Approved |

7) On the **Confirm Role Removal** page, the user will be able to confirm the bulk role removal by clicking **Confirm**. The logged in user can navigate back to **Remove Bulk Roles** page by clicking the **Back** button if the roles are not supposed to be removed or to remove some more roles. Clicking **Cancel** will not save any changes and take you back to the Actions home page.



Confirm Role Removal

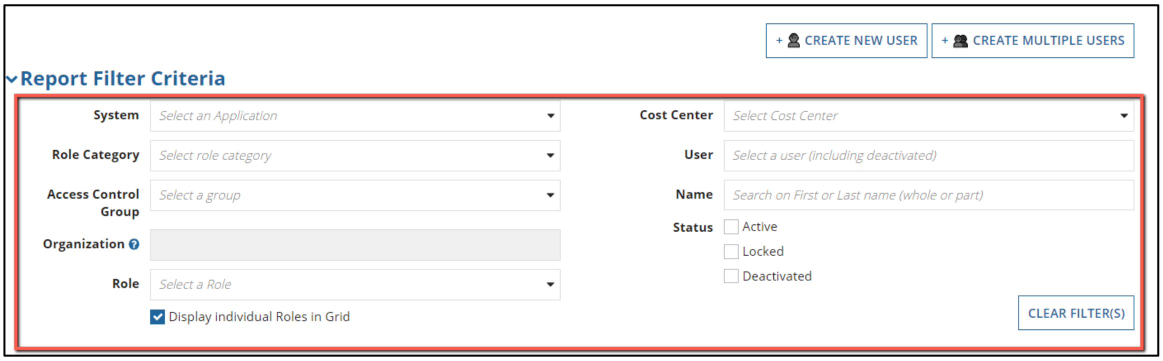
| System | Username | Access Control Group | Role Category | Role | Organization | Cost Center |
|---|---|---|---|---|---|---|
| TrAMS | aiden.al@mailinator.com | Region 1 | Recipient | Submitter | 1334 - Transportation, Connecticut Department Of | 78100 - Region 1 |
| TrAMS | aria.lee@mailinator.com | Region 1 | Recipient | User Manager | 1334 - Transportation, Connecticut Department Of | 78100 - Region 1 |
| TrAMS | aria.lee@mailinator.com | Region 1 | Recipient | Submitter | 1334 - Transportation, Connecticut Department Of | 78100 - Region 1 |

8) Click on the **Confirm** button to confirm the changes and finish the Role removal process. The logged in user will now navigate back to the **Actions** page.

### 6.3. Managing User Records

Once a user has been created, the **User Manager** can manage details for existing users in their organization including managing the users' profiles, updating their roles/privileges, deactivating, and reactivating users, and unlocking user accounts.

1) Click on the **Manage Users** tab.
2) On the **Manage Users** page, enter the search criteria to locate the user that requires any number of changes and click the hyperlink for that user from the list presented. Partial text searches are allowed.

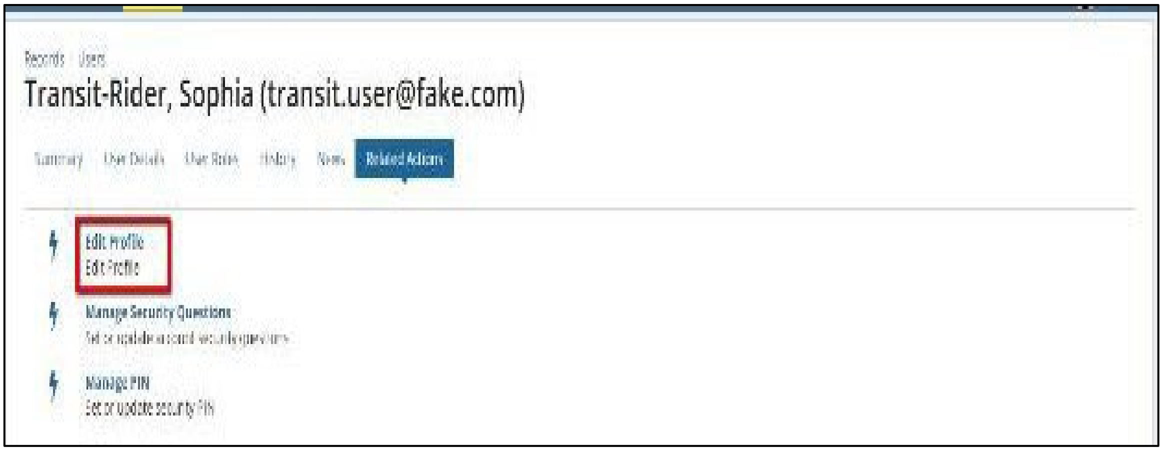


Report Filter Criteria

System: Select an Application
Role Category: Select role category
Access Control Group: Select a group
Organization
Role: Select a Role
☑ Display individual Roles in Grid

Cost Center: Select Cost Center
User: Select a user (including deactivated)
Name: Search on First or Last name (whole or part)
Status: □ Active □ Locked □ Deactivated

3) The user record will open to the **User Summary** screen. Click ***Related Actions***.



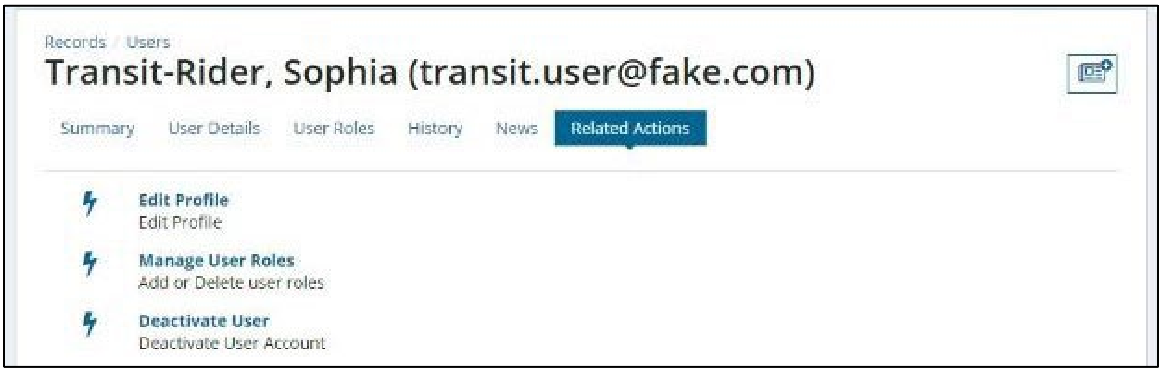
Transit-Rider, Sophia (transit.user@fake.com)

Edit Profile
Edit Profile

Manage Security Questions
Set or update account security questions

Manage PIN
Set or update security PIN

4) From this page, the **User Manager** may ***Edit Profile***, ***Manage User Roles***, or ***Deactivate User***. The ***Unlock User*** related action will show if the user is locked and has submitted an unlock request.



Transit-Rider, Sophia (transit.user@fake.com)

Edit Profile
Edit Profile

Manage User Roles
Add or Delete user roles

Deactivate User
Deactivate User Account

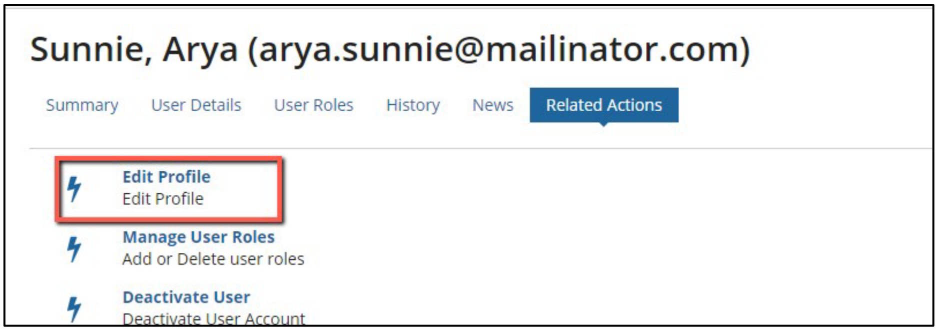
### 6.3.1 Related Action: Edit User Profile

Organization and external user profiles can be edited by the users' management chains (User Manager, LSM, or GSM). All profile fields, except for username, email address and system, can be edited by a user manager.

| | |
|---|---|
| **Note:** | *Organization and external users cannot edit email addresses.* If a user needs to update their email address, they need to contact FACEShelp@dot.gov. |

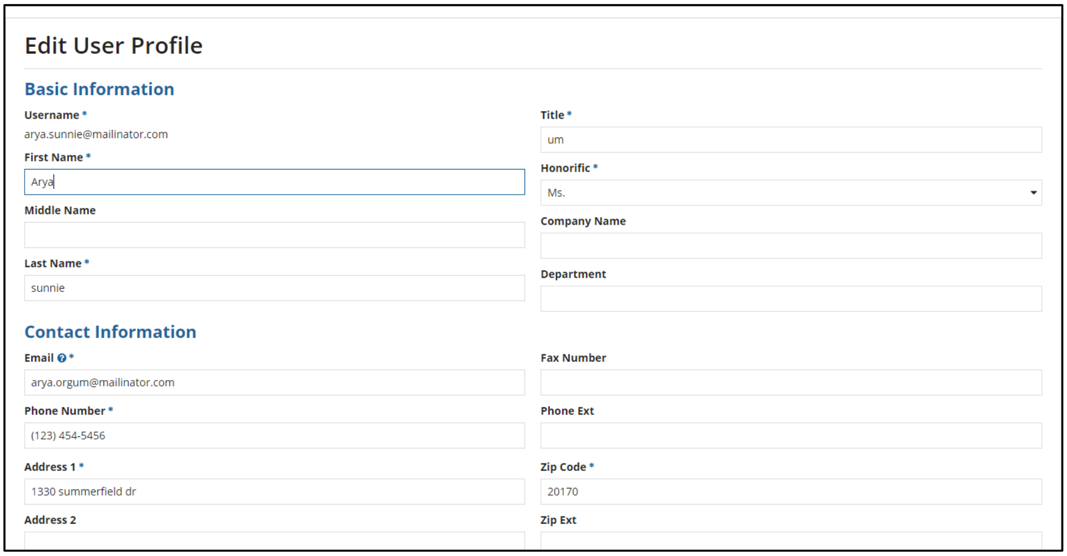
To edit a user's profile:

1) Go to the user's record and select ***Related Actions***.
2) Click ***Edit Profile***.



Sunnie, Arya (arya.sunnie@mailinator.com)

The **Edit User Profile** page will display all previously saved user information details in editable fields.



Edit User Profile

Basic Information

Username *: arya.sunnie@mailinator.com

First Name *: Arya

Middle Name:

Last Name *: sunnie

Title *: um

Honorific *: Ms.

Company Name:

Department:

Contact Information

Email *: arya.orgum@mailinator.com

Phone Number *: (123) 454-5456

Address 1 *: 1330 summerfield dr

Address 2:

Fax Number:

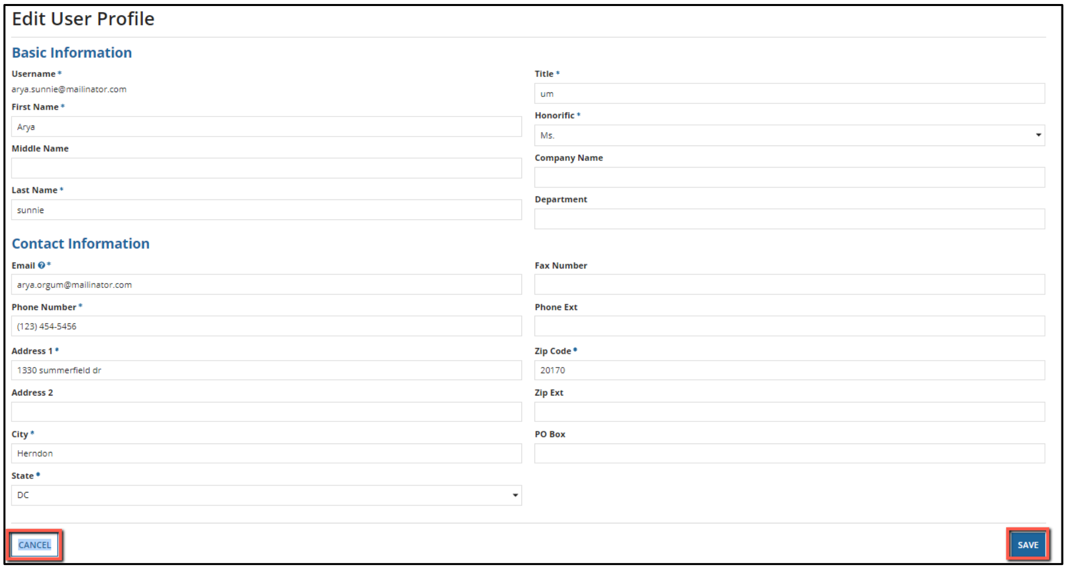
Phone Ext:

Zip Code *: 20170

Zip Ext:

3) Make any necessary changes. The same field validations that applied at the time of user creation will still apply (e.g., checks for phone number format).

4) Click ***Save*** to update the user’s profile with the new and/or changed information. It may take a few minutes for all the information to save.



Edit User Profile

Basic Information

| | |
|---|---|
| Username * | Title * |
| arya.sunnie@mailinator.com | um |
| First Name * | Honorific * |
| Arya | Ms. |
| Middle Name | Company Name |
| | |
| Last Name * | Department |
| sunnie | |

Contact Information

| | |
|---|---|
| Email * | Fax Number |
| arya.orgum@mailinator.com | |
| Phone Number * | Phone Ext |
| (123) 454-5456 | |
| Address 1 * | Zip Code * |
| 1330 summerfield dr | 20170 |
| Address 2 | Zip Ext |
| | |
| City * | PO Box |
| Herndon | |
| State * | |
| DC | |

5) Select ***Cancel*** to return to the **Related Actions** page without saving any changes.

6) All changes should be visible on the ***User Details*** page. Additionally, an audit trail of all changes will be added to the user's ***History*** page.

### 6.3.2 Related Action: Manage User Roles

Once the user has been created, the **User Manager, LSM, Validation Analyst or GSM** can add or remove roles to adjust a user's access and permissions. Security rules govern which types of roles can be added or removed from a user. **User Managers** can only add or remove roles for their own organization(s). **LMSs and Validation Analyst** can only add roles within their Cost Centers. **GSMs** can add or remove any role within their associated system. To assign roles to a user in multiple organizations or across multiple systems, the **User Managers** from each organization will need to add the corresponding roles. The appropriate **GSMs or LSMs** can be contacted to facilitate role assignment or User Manager coordination. User roles can be added and deleted at the same time.

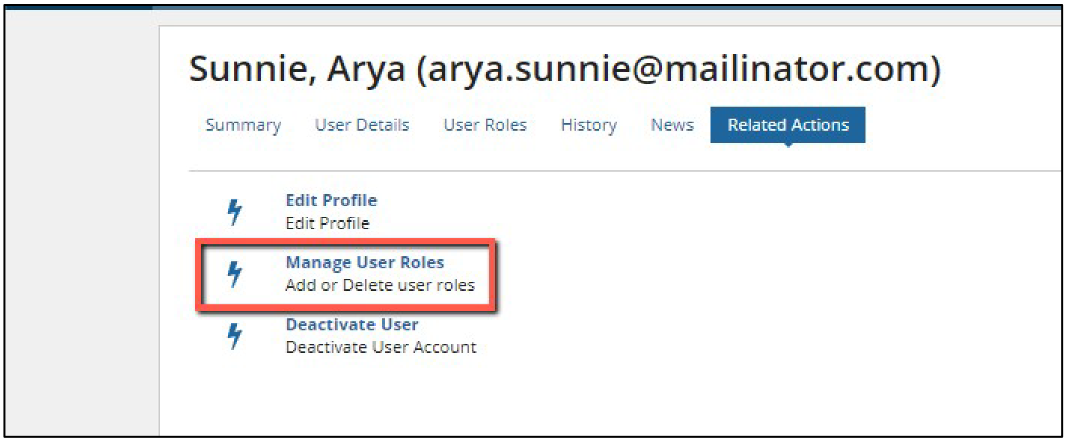
When adding/removing roles, note that users cannot have both Read Only and active roles in the same organization (or Cost Center for FTA users).

For ease in explaining, additions and deletions are presented separately within this document.

To add roles to a user:

a. Go to the user's record and click ***Related Actions***.

b. Click ***Manage User Roles***.



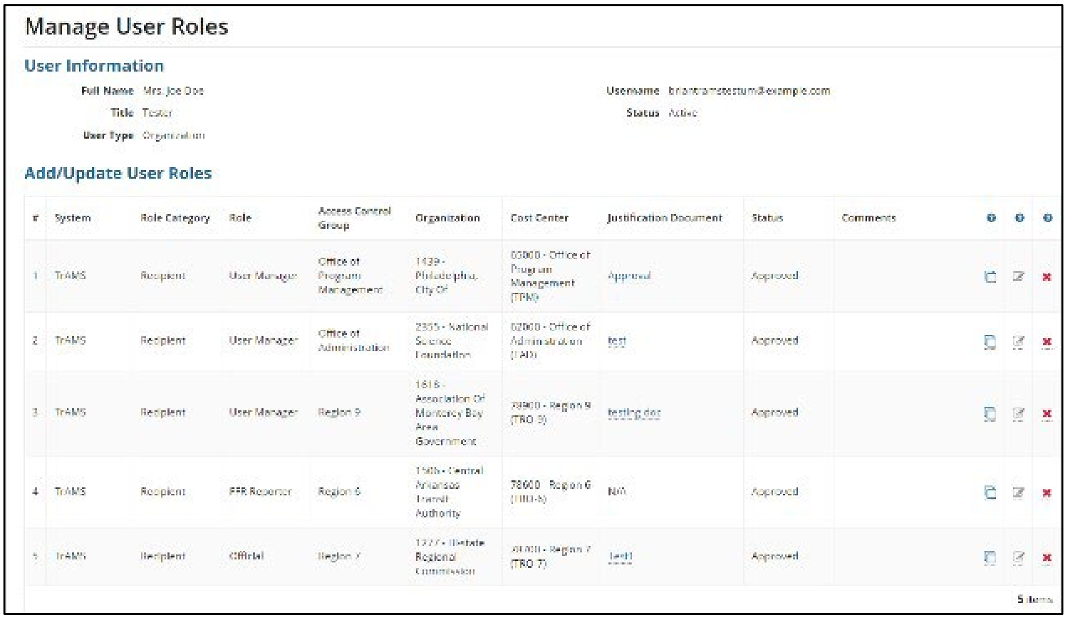
Sunnie, Arya (arya.sunnie@mailinator.com)

Edit Profile
Edit Profile

Manage User Roles
Add or Delete user roles

Deactivate User
Deactivate User Account

c. The ***Manage Roles*** page displays. Only roles that the user can manage are visible in the ***User Roles*** table.



Manage User Roles

User Information

Full Name Mrs. Joe Doe
Title Tester
User Type Organization
Username briantramstestum@example.com
Status Active

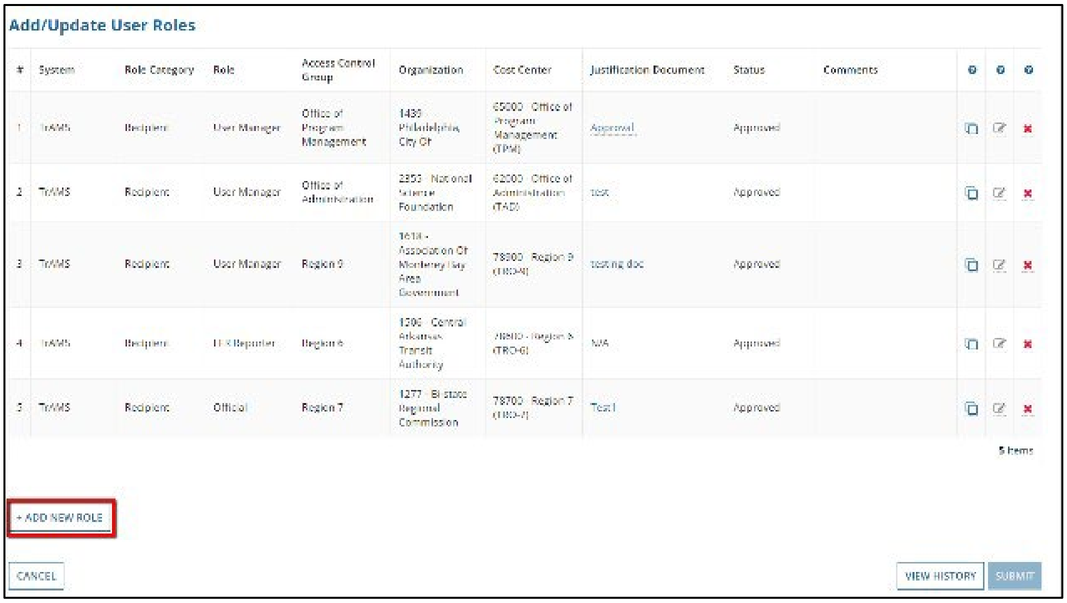
Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments |  |  |  |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1439 - Philadelphia, City Of | 03000 - Office of Program Management (TPM) | Approval | Approved |  | □ | ✎ | ✖ |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2355 - National Science Foundation | 02000 - Office of Administration (TAD) | test | Approved |  | □ | ✎ | ✖ |
| 3 | TrAMS | Recipient | User Manager | Region 9 | 1618 - Association Of Monterey Bay Area Government | 78900 - Region 9 (TRO 9) | testing.doc | Approved |  | □ | ✎ | ✖ |
| 4 | TrAMS | Recipient | FFR Reporter | Region 6 | 1505 - Central Arkansas Transit Authority | 78600 - Region 6 (TRO-6) | N/A | Approved |  | □ | ✎ | ✖ |
| 5 | TrAMS | Recipient | Official | Region 7 | 1227 - Bistate Regional Commission | 78700 - Region 7 (TRO 7) | test1 | Approved |  | □ | ✎ | ✖ |

5 items

d. Select ***Cancel*** at any point in this process to return to the previous page without saving any changes.

e. Click ***Add*** to add a new role to the user.

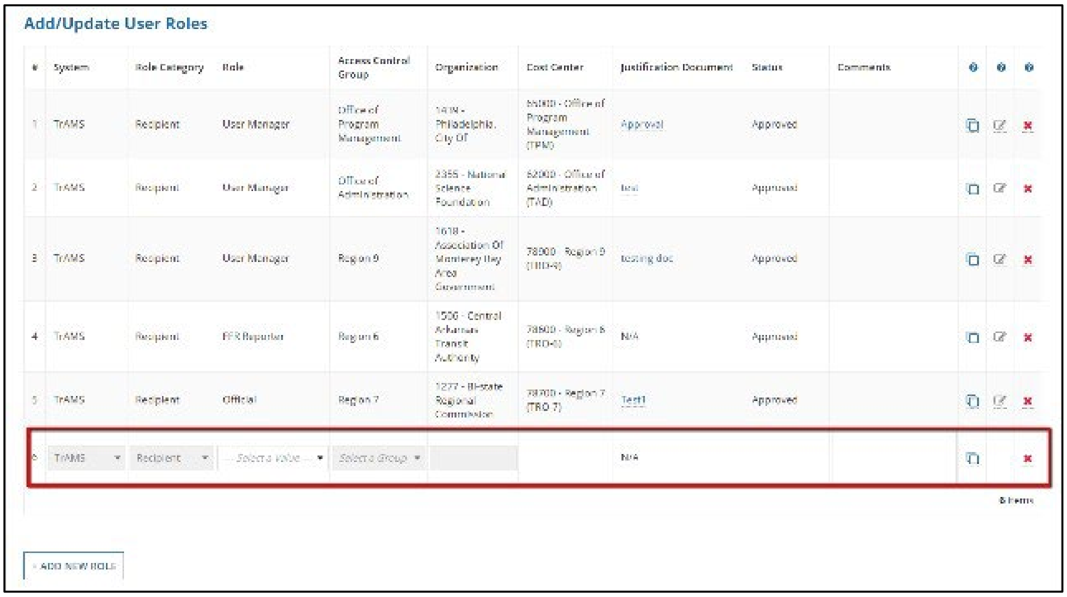


Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | ❓ | ❓ | ❓ |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1430 Philadelphia, City Of | 65000 - Office of Program Management (TPM) | Approval | Approved |  | ⧉ | ✎ | ✖ |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2355 - National Science Foundation | 62000 - Office of Administration (TAD) | test | Approved |  | ⧉ | ✎ | ✖ |
| 3 | TrAMS | Recipient | User Manager | Region 9 | 1618 - Association Of Monterey Bay Area Government | 78900 - Region 9 (TRO-9) | testing doc | Approved |  | ⧉ | ✎ | ✖ |
| 4 | TrAMS | Recipient | FFR Reporter | Region 6 | 1306 - Central Arkansas Transit Authority | 78600 - Region 6 (TRO-6) | N/A | Approved |  | ⧉ | ✎ | ✖ |
| 5 | TrAMS | Recipient | Official | Region 7 | 1277 - Bi-state Regional Commission | 78700 - Region 7 (TRO-7) | Test1 | Approved |  | ⧉ | ✎ | ✖ |

5 items

f. The role filters (System, Role Category, Access Control Group, Cost Center, Organization) must be populated for the available roles to display. For most User Managers, these filters will automatically populate, and the fields will be locked on the screen. LSMs, Validation Analyst and GSMs may need to select a Cost Center and Organization for the 'Available Roles' to display.

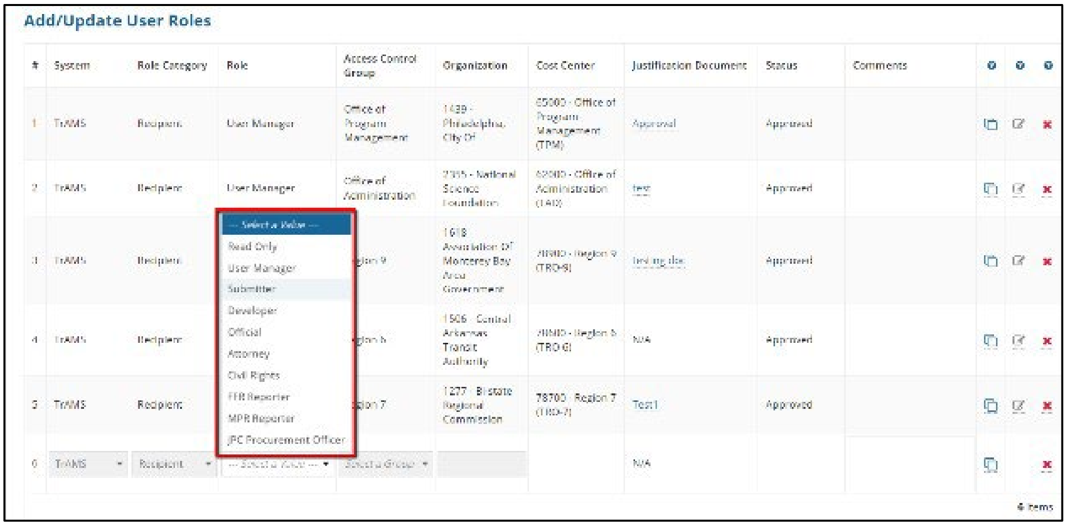


Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | ❓ | ❓ | ❓ |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1430 - Philadelphia, City Of | 65000 - Office of Program Management (TPM) | Approval | Approved |  | ⧉ | ✎ | ✖ |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2355 - National Science Foundation | 62000 - Office of Administration (TAD) | test | Approved |  | ⧉ | ✎ | ✖ |
| 3 | TrAMS | Recipient | User Manager | Region 9 | 1618 - Association Of Monterey Bay Area Government | 78900 - Region 9 (TRO-9) | testing doc | Approved |  | ⧉ | ✎ | ✖ |
| 4 | TrAMS | Recipient | FFR Reporter | Region 6 | 1506 - Central Arkansas Transit Authority | 78600 - Region 6 (TRO-6) | N/A | Approved |  | ⧉ | ✎ | ✖ |
| 5 | TrAMS | Recipient | Official | Region 7 | 1277 - Bi-state Regional Commission | 78700 - Region 7 (TRO 7) | Test1 | Approved |  | ⧉ | ✎ | ✖ |
| 6 | TrAMS ▾ | Recipient ▾ | -- Select a Value -- ▾ | Select a Group ▾ |  |  | N/A |  |  | ⧉ |  | ✖ |

6 items

g. Potential roles for the user are listed along with default information about the user's system, role, cost center, etc. In the screenshot below, only roles available to TrAMS Recipients are listed. These roles will be granted only for the Organization that is listed.



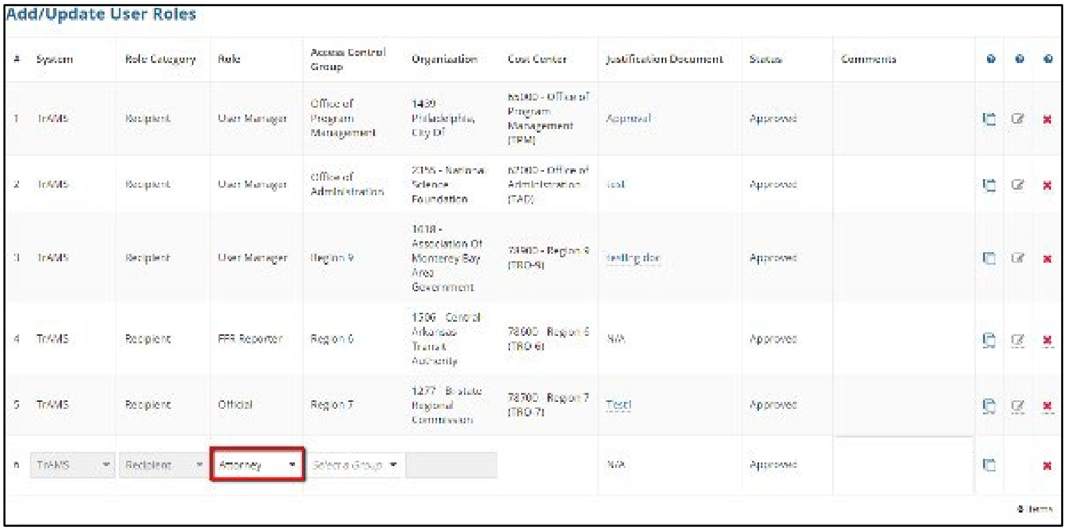
Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments |
|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1439 - Philadelphia, City Of | 65000 - Office of Program Management (TPM) | Approval | Approved | |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2355 - National Science Foundation | 62000 - Office of Administration (TAD) | test | Approved | |
| 3 | TrAMS | Recipient | | gion 9 | 1618 - Association Of Monterey Bay Area Government | 74900 - Region 9 (TRO-9) | testing doc | Approved | |
| 4 | TrAMS | Recipient | | gion 6 | 1506 - Central Arkansas Transit Authority | 74600 - Region 6 (TRO-6) | N/A | Approved | |
| 5 | TrAMS | Recipient | | gion 7 | 1277 - Bi-state Regional Commission | 78700 - Region 7 (TRO-7) | Test1 | Approved | |
| 6 | TrAMS | Recipient | --- Select a Value --- | Select a Group | | | N/A | | |

h. Roles are further distinguished in terms of whether they require **Approval** and/or a **PIN** for completing select actions within their system(s). Roles that require **Approval** must be approved at a level above the User Manager.

| **Note**: | *Users cannot have a Read Only role and an active role in the same organization. If your user has a Read Only role and needs an active role, you will need to* ***first*** *delete the Read Only role.* |
|---|---|

i. Select **one** of the roles presented. Only one (1) role can be added at a time. System specific rules will be enforced. See Appendix B for a list of system specific rules. Click ***Add*** to complete the assignment of a role to the individual user.

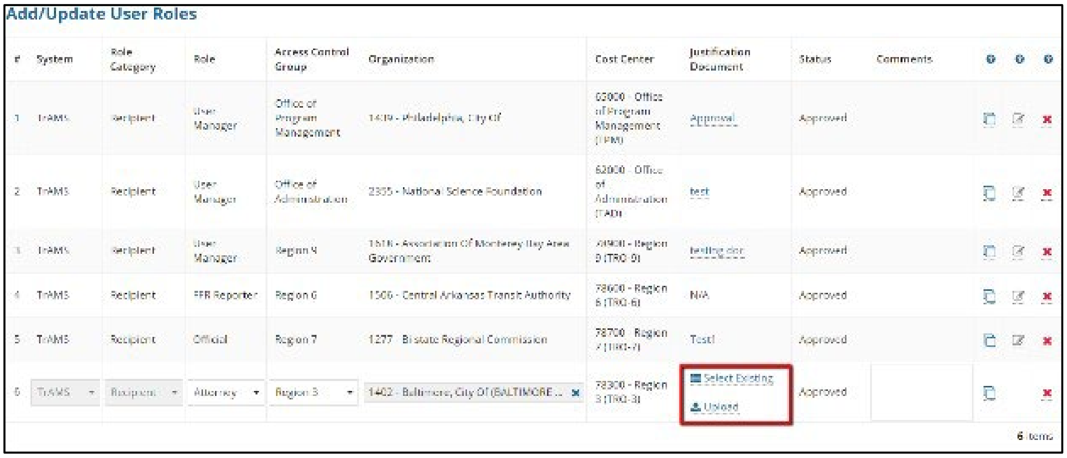


Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments |
|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1439 - Philadelphia, City Of | 65000 - Office of Program Management (TPM) | Approval | Approved | |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2155 - National Science Foundation | 62000 - Office of Administration (TAD) | test | Approved | |
| 3 | TrAMS | Recipient | User Manager | Region 9 | 1618 - Association Of Monterey Bay Area Government | 74900 - Region 9 (TRO-9) | testing doc | Approved | |
| 4 | TrAMS | Recipient | FFR Reporter | Region 6 | 1506 - Central Arkansas Transit Authority | 78600 - Region 6 (TRO-6) | N/A | Approved | |
| 5 | TrAMS | Recipient | Official | Region 7 | 1277 - Bi-state Regional Commission | 78700 - Region 7 (TRO-7) | Test1 | Approved | |
| 6 | TrAMS | Recipient | Attorney | Select a Group | | | N/A | Approved | |

j. The user and the updated roles will display. Justification Documentation is optional to upload before a role assignment can be submitted. In those cases, the Add Justification Document section will be displayed. A

Delegation of Authority letter template is available on the FTA public website.

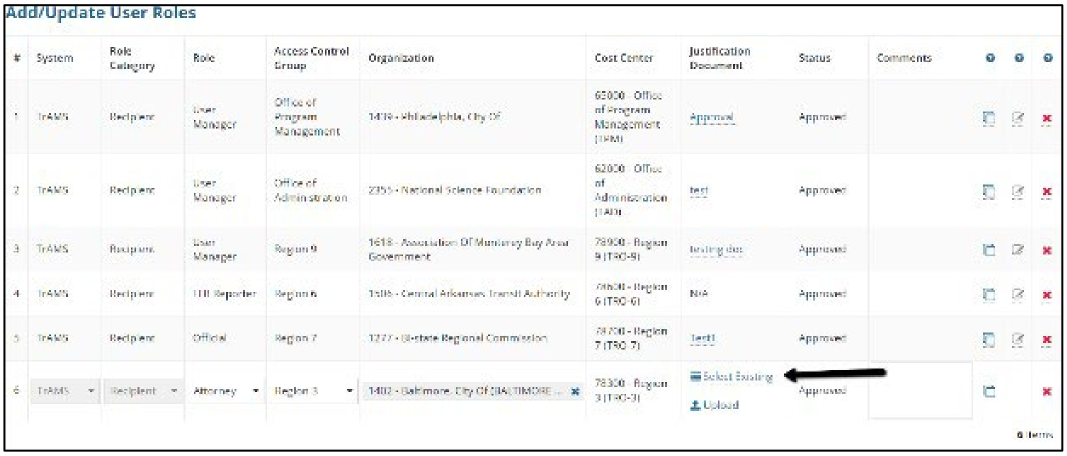


Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1419 - Philadelphia, City Of | 63000 - Office of Program Management (TPM) | Approval | Approved | | | | |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2355 - National Science Foundation | 62000 - Office of Administration (TAD) | test | Approved | | | | |
| 3 | TrAMS | Recipient | User Manager | Region 9 | 1618 - Association Of Monterey Bay Area Government | 78900 - Region 9 (TRO-9) | testing doc | Approved | | | | |
| 4 | TrAMS | Recipient | FFR Reporter | Region 6 | 1506 - Central Arkansas Transit Authority | 78600 - Region 6 (TRO-6) | N/A | Approved | | | | |
| 5 | TrAMS | Recipient | Official | Region 7 | 1277 - Bi-state Regional Commission | 78700 - Region 7 (TRO-7) | Test! | Approved | | | | |
| 6 | TrAMS | Recipient | Attorney | Region 3 | 1402 - Baltimore, City Of (BALTIMORE ... | 78300 - Region 3 (TRO-3) | Select Existing<br>Upload | Approved | | | | |

6 items

k. To associate a document with the added role, select from the list of available documents by clicking on ***Select Existing*** button.

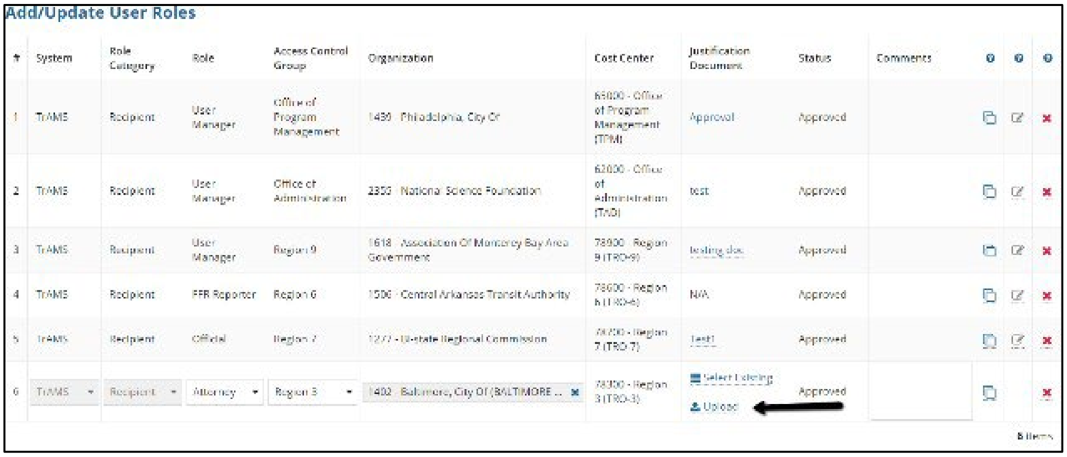


Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1419 - Philadelphia, City Of | 63000 - Office of Program Management (TPM) | Approval | Approved | | | | |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2355 - National Science Foundation | 62000 - Office of Administration (TAD) | test | Approved | | | | |
| 3 | TrAMS | Recipient | User Manager | Region 9 | 1618 - Association Of Monterey Bay Area Government | 78900 - Region 9 (TRO-9) | testing doc | Approved | | | | |
| 4 | TrAMS | Recipient | FFR Reporter | Region 6 | 1506 - Central Arkansas Transit Authority | 78600 - Region 6 (TRO-6) | N/A | Approved | | | | |
| 5 | TrAMS | Recipient | Official | Region 7 | 1277 - Bi-state Regional Commission | 78700 - Region 7 (TRO-7) | Test! | Approved | | | | |
| 6 | TrAMS | Recipient | Attorney | Region 3 | 1402 - Baltimore, City Of (BALTIMORE ... | 78300 - Region 3 (TRO-3) | Select Existing<br>Upload | Approved | | | | |

6 items

l. If the proper document isn't available, click the ***Upload*** button.

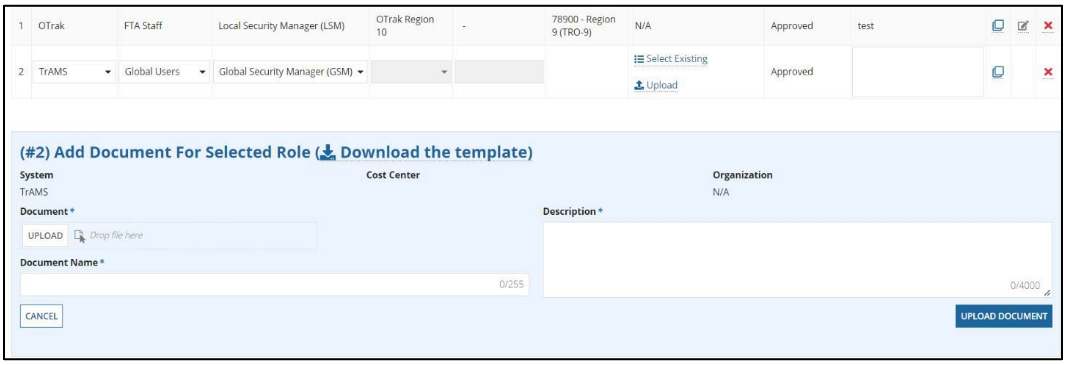


Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1419 - Philadelphia, City Of | 63000 - Office of Program Management (TPM) | Approval | Approved | | | | |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2355 - National Science Foundation | 62000 - Office of Administration (TAD) | test | Approved | | | | |
| 3 | TrAMS | Recipient | User Manager | Region 9 | 1618 - Association Of Monterey Bay Area Government | 78900 - Region 9 (TRO-9) | testing doc | Approved | | | | |
| 4 | TrAMS | Recipient | FFR Reporter | Region 6 | 1506 - Central Arkansas Transit Authority | 78600 - Region 6 (TRO-6) | N/A | Approved | | | | |
| 5 | TrAMS | Recipient | Official | Region 7 | 1277 - Bi-state Regional Commission | 78700 - Region 7 (TRO-7) | Test! | Approved | | | | |
| 6 | TrAMS | Recipient | Attorney | Region 3 | 1402 - Baltimore, City Of (BALTIMORE ... | 78300 - Region 3 (TRO-3) | Select Existing<br>Upload | Approved | | | | |

6 items

m. Click ***Upload*** to browse for the document to add. Using the Windows browse function, find and select the document to upload. Once the document has been identified, click ***Open***.



| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| 1 | OTrak | FTA Staff | Local Security Manager (LSM) | OTrak Region 10 | - | 78900 - Region 9 (TRO-9) | N/A | Approved | test | |
| 2 | TrAMS | Global Users | Global Security Manager (GSM) | | | | Select Existing<br>Upload | Approved | | |

(#2) Add Document For Selected Role (Download the template)

System
TrAMS

Cost Center

Organization
N/A

Document *

UPLOAD Drop file here

Document Name *

0/255

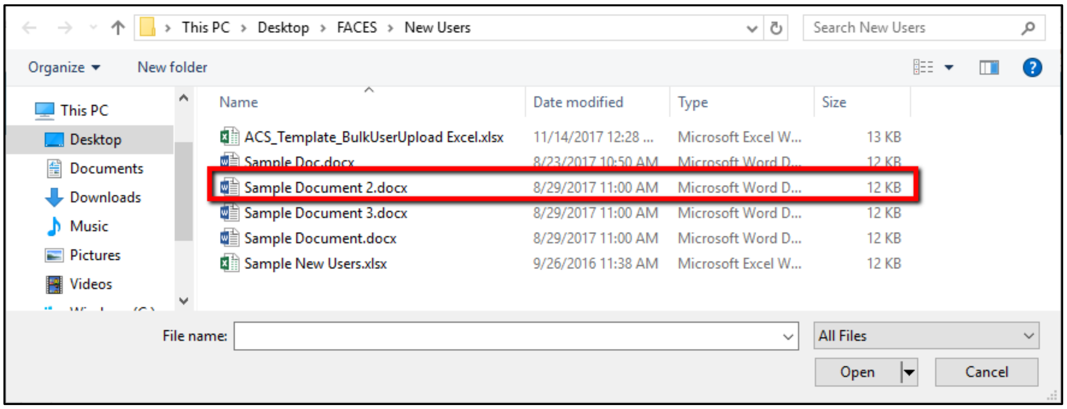
Description *

0/4000

CANCEL

UPLOAD DOCUMENT

n. Click ***Upload*** to browse for the document to add. Using the Windows browse function, find and select the document to upload. Once the document has been identified, click ***Open***.



| Name | Date modified | Type | Size |
|---|---|---|---|
| ACS_Template_BulkUserUpload Excel.xlsx | 11/14/2017 12:28 ... | Microsoft Excel W... | 13 KB |
| Sample Doc.docx | 8/23/2017 10:50 AM | Microsoft Word D... | 12 KB |
| Sample Document 2.docx | 8/29/2017 11:00 AM | Microsoft Word D... | 12 KB |
| Sample Document 3.docx | 8/29/2017 11:00 AM | Microsoft Word D... | 12 KB |
| Sample Document.docx | 8/29/2017 11:00 AM | Microsoft Word D... | 12 KB |
| Sample New Users.xlsx | 9/26/2016 11:38 AM | Microsoft Excel W... | 12 KB |

File name:

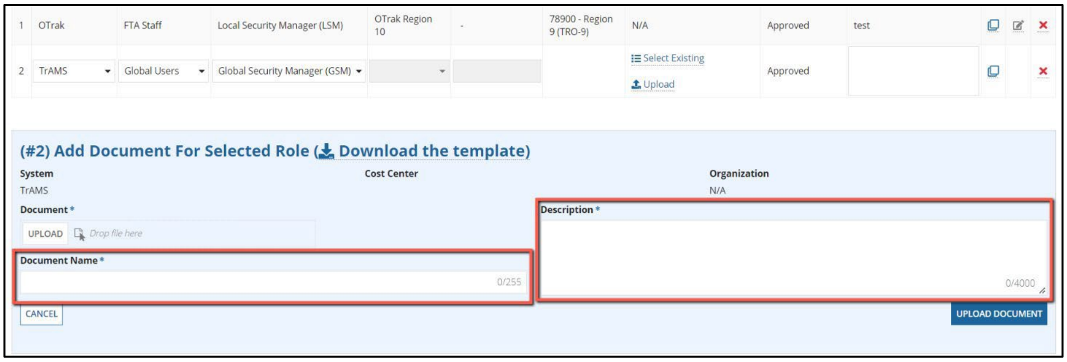
All Files

Open

Cancel

o. The appropriate document will be uploaded.

p. Descriptive information must be entered to make the justification document accessible to other users and to explain what the document contains. A clear document name is essential for other users to know the document's purpose and coverage. A description that provides even more details about the document's intent, content, etc., is also advisable. The maximum characters remaining will show beneath the document name and description fields.



| | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | OTrak | FTA Staff | Local Security Manager (LSM) | OTrak Region 10 | - | 78900 - Region 9 (TRO-9) | N/A | Approved | test | | | ✖ |
| 2 | TrAMS | Global Users | Global Security Manager (GSM) | | | | Select Existing<br>Upload | Approved | | | | ✖ |

(#2) Add Document For Selected Role ( Download the template)

System
TrAMS

Cost Center

Organization
N/A

Document *

Document Name *

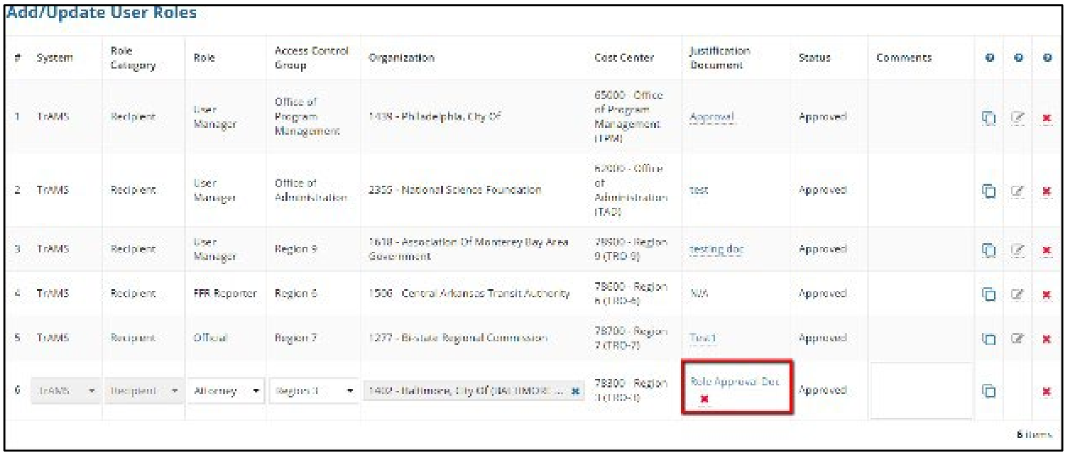
0/255

Description *

0/4000

q. Once the information for the document is finalized, click ***Upload Document***.

r. The document is added to the list of available documents and is pre-selected as the appropriate document to tag to the new user role.

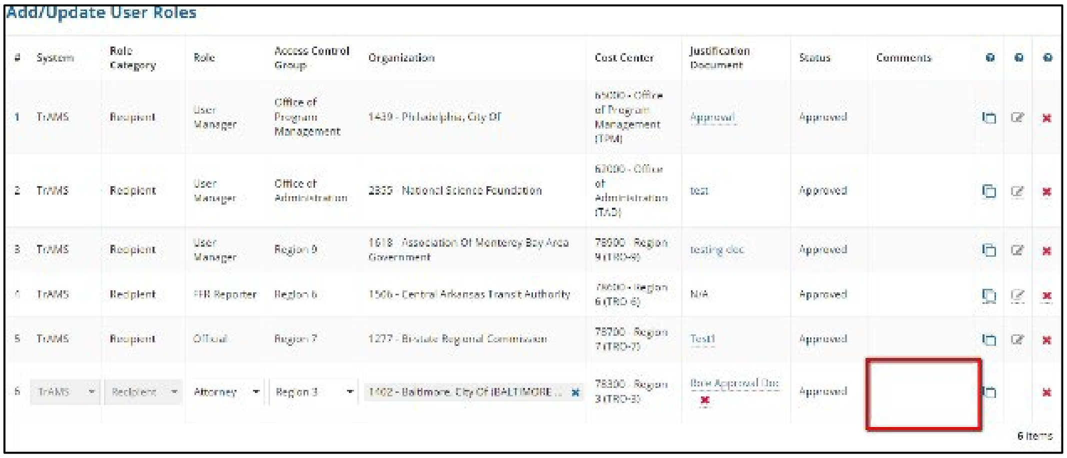


Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1439 - Philadelphia, City Of | 65000 - Office of Program Management (TPM) | Approval | Approved | | | | ✖ |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2355 - National Science Foundation | 62000 - Office of Administration (TAD) | test | Approved | | | | ✖ |
| 3 | TrAMS | Recipient | User Manager | Region 9 | 1618 - Association Of Monterey Bay Area Government | 78900 - Region 9 (TRO-9) | testing doc | Approved | | | | ✖ |
| 4 | TrAMS | Recipient | FFR Reporter | Region 6 | 1506 - Central Arkansas Transit Authority | 78600 - Region 6 (TRO-6) | N/A | Approved | | | | ✖ |
| 5 | TrAMS | Recipient | Official | Region 7 | 1277 - Bi-state Regional Commission | 78700 - Region 7 (TRO-7) | Test1 | Approved | | | | ✖ |
| 6 | TrAMS | Recipient | Attorney | Region 3 | 1402 - Baltimore, City Of (BALTIMORE ... ✖ | 78300 - Region 3 (TRO-3) | Role Approval Doc ✖ | Approved | | | | ✖ |

6 items

s. At this point, comments are required to be added into the **Comments** data entry box to complete the use of the document for that role, especially if the document is not obviously associated with the role. Then click ***Save***.

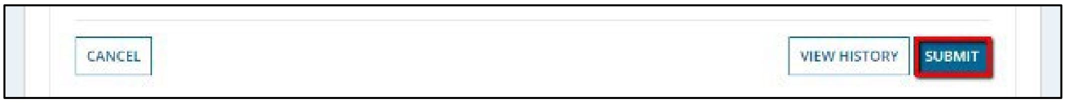


Add/Update User Roles

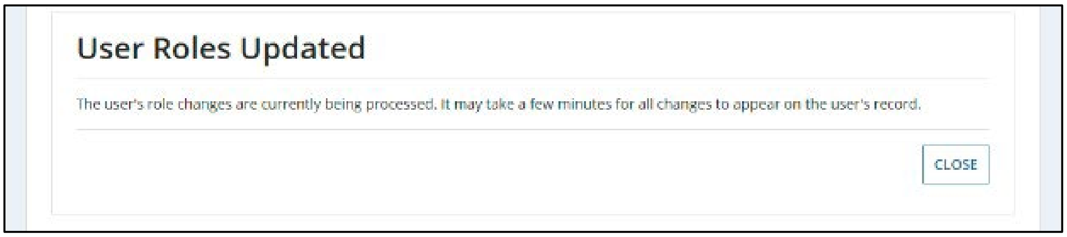
| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1439 - Philadelphia, City Of | 65000 - Office of Program Management (TPM) | Approval | Approved | | | | ✖ |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2835 - National Science Foundation | 62000 - Office of Administration (TAD) | test | Approved | | | | ✖ |
| 3 | TrAMS | Recipient | User Manager | Region 9 | 1618 - Association Of Monterey Bay Area Government | 78900 - Region 9 (TRO-9) | testing doc | Approved | | | | ✖ |
| 4 | TrAMS | Recipient | FFR Reporter | Region 6 | 1506 - Central Arkansas Transit Authority | 78600 - Region 6 (TRO-6) | N/A | Approved | | | | ✖ |
| 5 | TrAMS | Recipient | Official | Region 7 | 1277 - Bi-state Regional Commission | 78700 - Region 7 (TRO-7) | Test1 | Approved | | | | ✖ |
| 6 | TrAMS | Recipient | Attorney | Region 3 | 1402 - Baltimore, City Of (BALTIMORE ... ✖ | 78300 - Region 3 (TRO-3) | Role Approval Doc ✖ | Approved | | | | ✖ |

6 items

t. Click ***Submit*** to finalize the assignment of the role(s).



u. The **User Roles Updated** page displays a message that the roles are being processed within the system.


User Roles Updated

The user's role changes are currently being processed. It may take a few minutes for all changes to appear on the user's record.

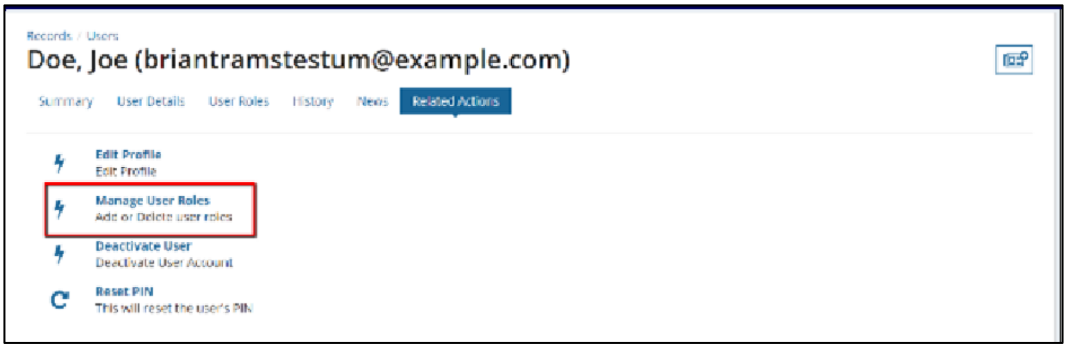
v. Click ***Close***. The **Related Actions** page displays.

### 6.3.3 Delete A Role

To remove a role from a user:

1) Go to the user's record and click ***Related Actions***.

2) Click ***Manage User Roles***.


Records / Users

Doe, Joe (briantramstestum@example.com)

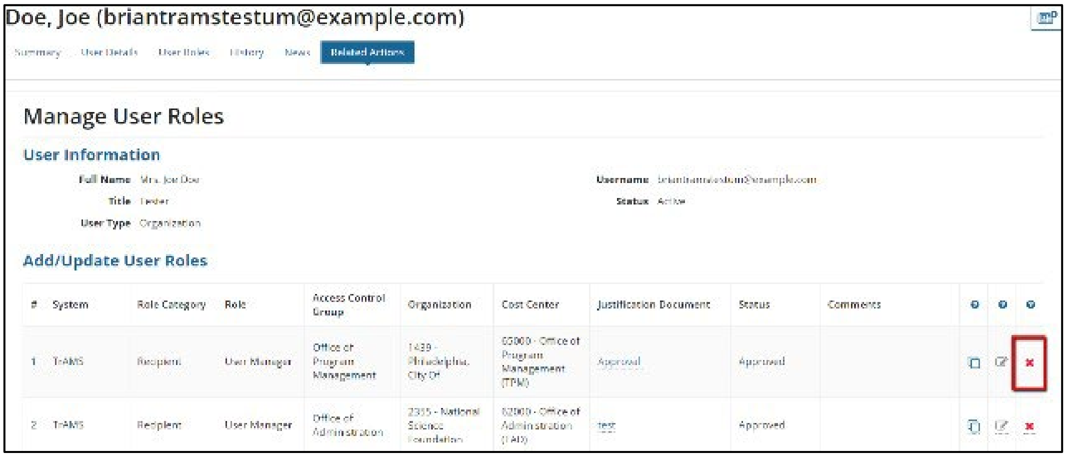
Edit Profile
Edit Profile

Manage User Roles
Add or Delete user roles

Deactivate User
Deactivate User Account

Reset PIN
This will reset the user's PIN

3) Click on the red "X" at the end of the row for roles you want to delete**.**


Doe, Joe (briantramstestum@example.com)

Manage User Roles

User Information

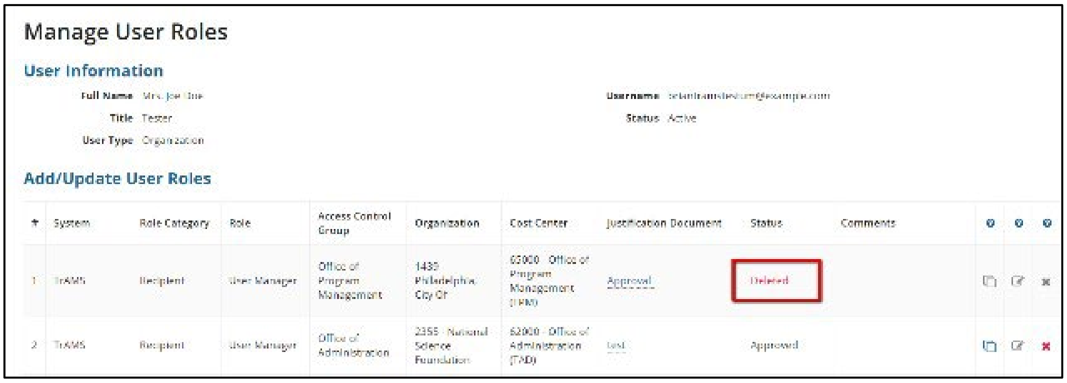
Full Name Mrs. Joe Doe
Title Tester
User Type Organization

Username briantramstestum@example.com
Status Active

Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1439 - Philadelphia, City Of | 03000 - Office of Program Management (TPM) | Approval | Approved | | | | ✖ |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2315 - National Science Foundation | 02000 - Office of Administration (TAD) | test | Approved | | | | ✖ |

4) The *Status* column will change from *Approved* to *Deleted* for each role that is deleted.



## Manage User Roles

### User Information

**Full Name** Mrs. Joe Doe

**Title** Tester

**User Type** Organization

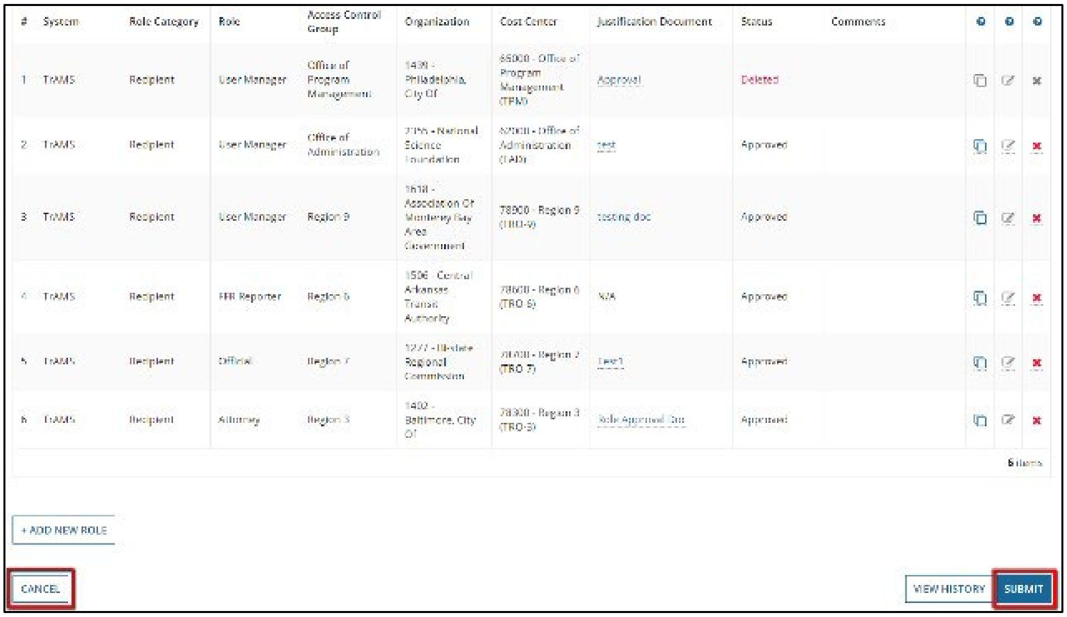
**Username** [illegible]@example.com

**Status** Active

### Add/Update User Roles

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments |
|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1439 Philadelphia, City Of | 65000 Office of Program Management (TPM) | Approval | Deleted | |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2355 National Science Foundation | 62000 Office of Administration (TAD) | test | Approved | |

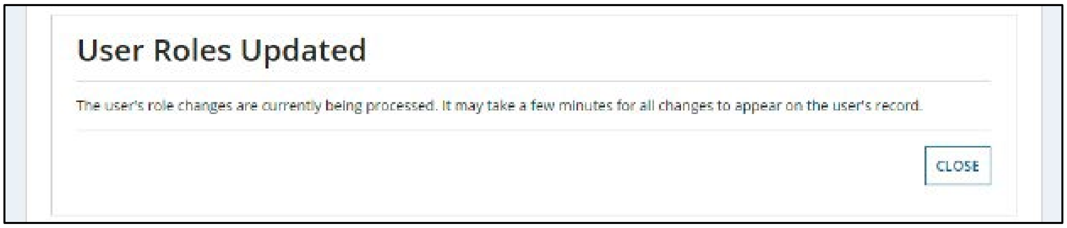
5) Once all desired roles have been removed from the user's role list, click ***Submit*** to save the deletions. Click ***Cancel*** to undo any deletions and leave the form.



| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments |
|---|---|---|---|---|---|---|---|---|---|
| 1 | TrAMS | Recipient | User Manager | Office of Program Management | 1439 - Philadelphia, City Of | 65000 - Office of Program Management (TPM) | Approval | Deleted | |
| 2 | TrAMS | Recipient | User Manager | Office of Administration | 2355 - National Science Foundation | 62000 - Office of Administration (TAD) | test | Approved | |
| 3 | TrAMS | Recipient | User Manager | Region 9 | 1618 - Association Of Monterey Bay Area Government | 78900 - Region 9 (TRO-9) | testing doc | Approved | |
| 4 | TrAMS | Recipient | FFR Reporter | Region 6 | 1506 - Central Arkansas Transit Authority | 78600 - Region 6 (TRO 6) | N/A | Approved | |
| 5 | TrAMS | Recipient | Official | Region 7 | 1277 - Bi-state Regional Commission | 78700 - Region 7 (TRO 7) | test1 | Approved | |
| 6 | TrAMS | Recipient | Attorney | Region 3 | 1402 - Baltimore, City Of | 78300 - Region 3 (TRO-3) | Role Approval Doc | Approved | |

6 items

6) The **User Roles Updated** page will display. Click ***Close*** to return to the **Related Actions** page.



## User Roles Updated

The user's role changes are currently being processed. It may take a few minutes for all changes to appear on the user's record.

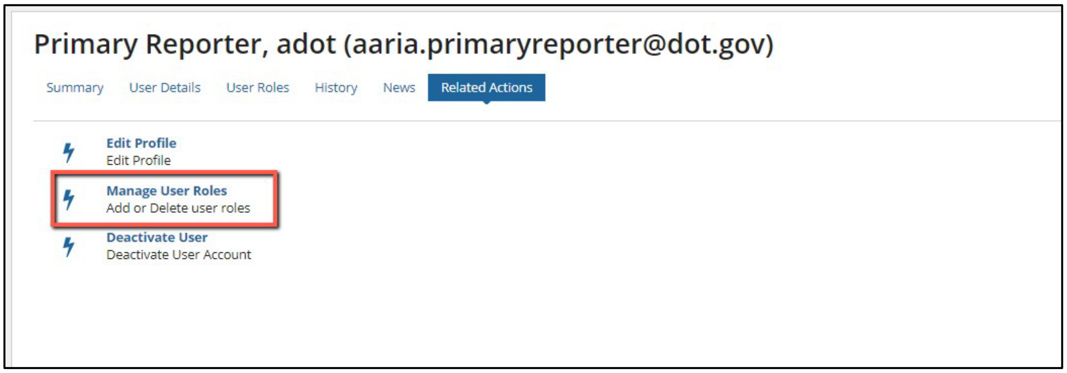
### 6.3.4 Update Role Documentation

The **User Manager** may further need to manage role documentation or add a role comment for a user. Role documentation can only be updated for roles in “Requested” status. These updates may be necessary if the wrong document was uploaded or additional documentation was requested by the LSM, Validation Analyst or GSM reviewing the role request.

To manage role documentation for a user:

a. Go to the user’s record and click ***Related Actions***.

b. Click ***Manage User Roles***.



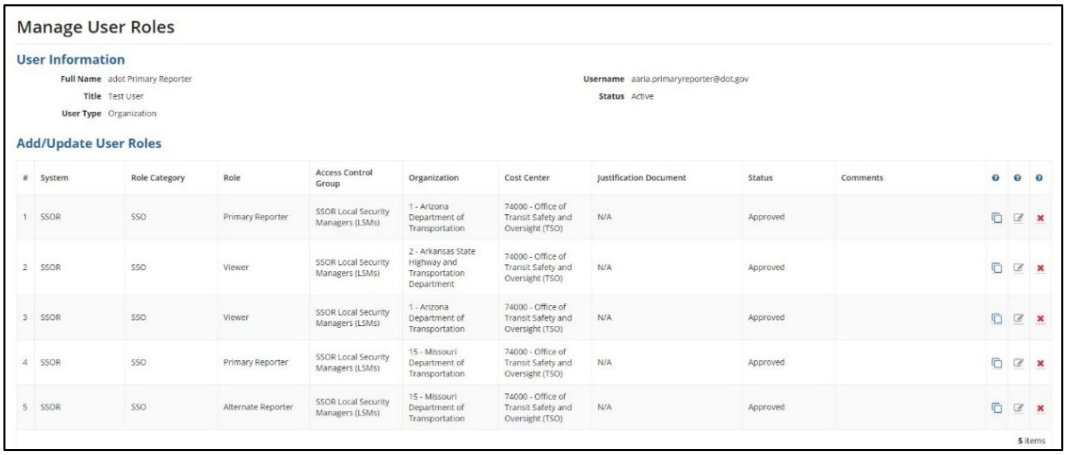
Primary Reporter, adot (aaria.primaryreporter@dot.gov)

**Edit Profile**
Edit Profile

**Manage User Roles**
Add or Delete user roles

**Deactivate User**
Deactivate User Account

c. The **Manage Roles** page is displayed, allowing the **User Manager** to manage documentation.



Manage User Roles

**User Information**

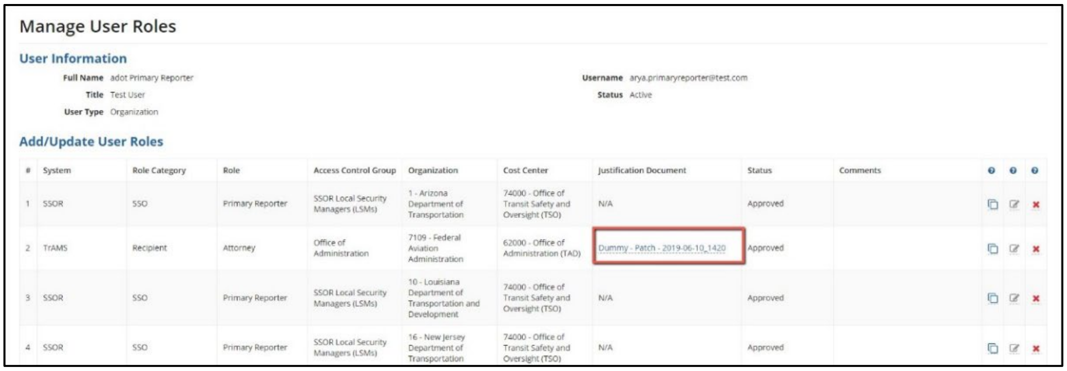
**Full Name** adot Primary Reporter
**Title** Test User
**User Type** Organization
**Username** aaria.primaryreporter@dot.gov
**Status** Active

**Add/Update User Roles**

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | SSOR | SSO | Primary Reporter | SSOR Local Security Managers (LSMs) | 1 - Arizona Department of Transportation | 74000 - Office of Transit Safety and Oversight (TSO) | N/A | Approved | | ⧉ | ✎ | ✖ |
| 2 | SSOR | SSO | Viewer | SSOR Local Security Managers (LSMs) | 2 - Arkansas State Highway and Transportation Department | 74000 - Office of Transit Safety and Oversight (TSO) | N/A | Approved | | ⧉ | ✎ | ✖ |
| 3 | SSOR | SSO | Viewer | SSOR Local Security Managers (LSMs) | 1 - Arizona Department of Transportation | 74000 - Office of Transit Safety and Oversight (TSO) | N/A | Approved | | ⧉ | ✎ | ✖ |
| 4 | SSOR | SSO | Primary Reporter | SSOR Local Security Managers (LSMs) | 15 - Missouri Department of Transportation | 74000 - Office of Transit Safety and Oversight (TSO) | N/A | Approved | | ⧉ | ✎ | ✖ |
| 5 | SSOR | SSO | Alternate Reporter | SSOR Local Security Managers (LSMs) | 15 - Missouri Department of Transportation | 74000 - Office of Transit Safety and Oversight (TSO) | N/A | Approved | | ⧉ | ✎ | ✖ |

5 items

d. The **User Manager** may select the hyperlink for any document to view the contents. The associated document will open within the appropriate application for viewing. Selecting the hyperlink for the document will download the document for review.



## Manage User Roles

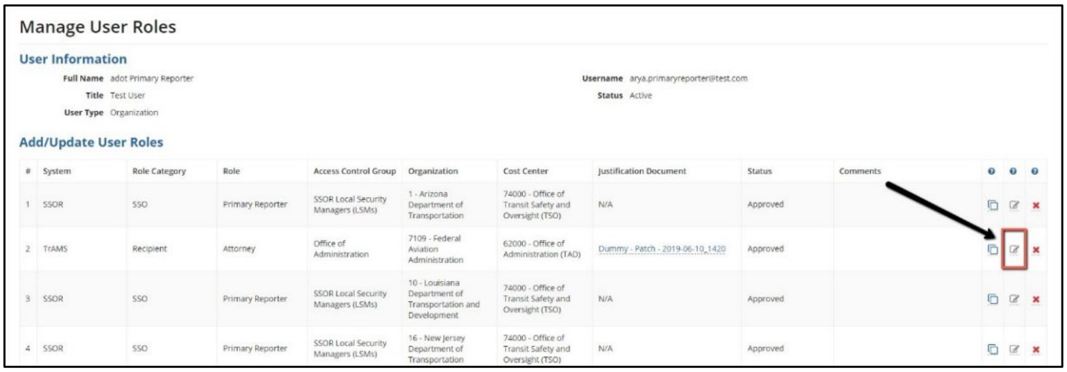
**User Information**

**Full Name** adot Primary Reporter
**Title** Test User
**User Type** Organization
**Username** arya.primaryreporter@test.com
**Status** Active

**Add/Update User Roles**

| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | ? | ? | ? |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | SSOR | SSO | Primary Reporter | SSOR Local Security Managers (LSMs) | 1 - Arizona Department of Transportation | 74000 - Office of Transit Safety and Oversight (TSO) | N/A | Approved | | ⧉ | ✎ | ✖ |
| 2 | TrAMS | Recipient | Attorney | Office of Administration | 7109 - Federal Aviation Administration | 62000 - Office of Administration (TAD) | Dummy - Patch - 2019-06-10_1420 | Approved | | ⧉ | ✎ | ✖ |
| 3 | SSOR | SSO | Primary Reporter | SSOR Local Security Managers (LSMs) | 10 - Louisiana Department of Transportation and Development | 74000 - Office of Transit Safety and Oversight (TSO) | N/A | Approved | | ⧉ | ✎ | ✖ |
| 4 | SSOR | SSO | Primary Reporter | SSOR Local Security Managers (LSMs) | 16 - New Jersey Department of Transportation | 74000 - Office of Transit Safety and Oversight (TSO) | N/A | Approved | | ⧉ | ✎ | ✖ |

e. To switch a justification document for a specific role, click on the **Edit** button next to the appropriate role and then click on the red “X” for the document (s) you wish to delete.



## Manage User Roles

**User Information**

**Full Name** adot Primary Reporter
**Title** Test User
**User Type** Organization
**Username** arya.primaryreporter@test.com
**Status** Active

**Add/Update User Roles**

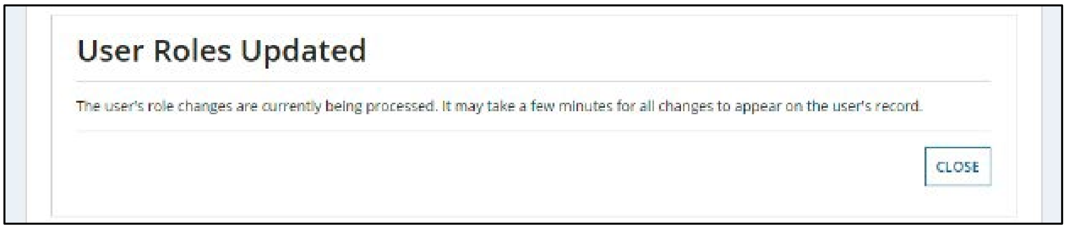
| # | System | Role Category | Role | Access Control Group | Organization | Cost Center | Justification Document | Status | Comments | ? | ? | ? |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | SSOR | SSO | Primary Reporter | SSOR Local Security Managers (LSMs) | 1 - Arizona Department of Transportation | 74000 - Office of Transit Safety and Oversight (TSO) | N/A | Approved | | ⧉ | ✎ | ✖ |
| 2 | TrAMS | Recipient | Attorney | Office of Administration | 7109 - Federal Aviation Administration | 62000 - Office of Administration (TAD) | Dummy - Patch - 2019-06-10_1420 | Approved | | ⧉ | ✎ | ✖ |
| 3 | SSOR | SSO | Primary Reporter | SSOR Local Security Managers (LSMs) | 10 - Louisiana Department of Transportation and Development | 74000 - Office of Transit Safety and Oversight (TSO) | N/A | Approved | | ⧉ | ✎ | ✖ |
| 4 | SSOR | SSO | Primary Reporter | SSOR Local Security Managers (LSMs) | 16 - New Jersey Department of Transportation | 74000 - Office of Transit Safety and Oversight (TSO) | N/A | Approved | | ⧉ | ✎ | ✖ |

f. At this point, either select an existing document to assign to the role by clicking the required document or click the ***Upload*** button to upload a new document. A Justification Document Template. For more details on how to upload a new document, see either ***Manage Role Documentation*** action or the Add Role section.

g. ***Role Comments*** can be directly added or edited. *Changes will overwrite the existing comment.*

h. Once all changes have been made, click ***Submit***.

i. The **User Roles Updated** page will display. Click ***Close*** to return to the **Related Actions** page.



## User Roles Updated

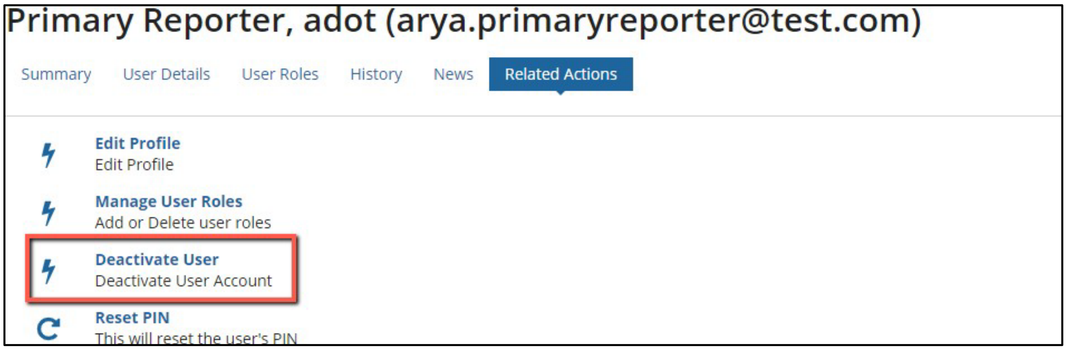
The user's role changes are currently being processed. It may take a few minutes for all changes to appear on the user's record.

### 6.3.5 Related Action: Deactivate User

Deactivating a user will deactivate the user across the entire FTA platform – the user will be unable to log in and will have access to all systems (e.g., TrAMS, NTD and DGS) terminated. As part of deactivation, user roles are removed. Users can only be deactivated by individuals who have permission to delete all the assigned roles. For example, if a user is associated with multiple organizations, the **User Manager** for any single organization will not be able to deactivate the user. Instead, the **User Manager** can remove user roles to remove the user's access to their organization, or, in an extreme situation, the **User Manager** can contact their **LSM or Validation Analyst** for further support. *Only users with account status Active or Active (Locked) can be deactivated. A user's status can be found on their User Details page.*

To deactivate a user:

1) Go to the user's record and Click ***Related Actions*** and then click ***Deactivate User***.



Primary Reporter, adot (arya.primaryreporter@test.com)

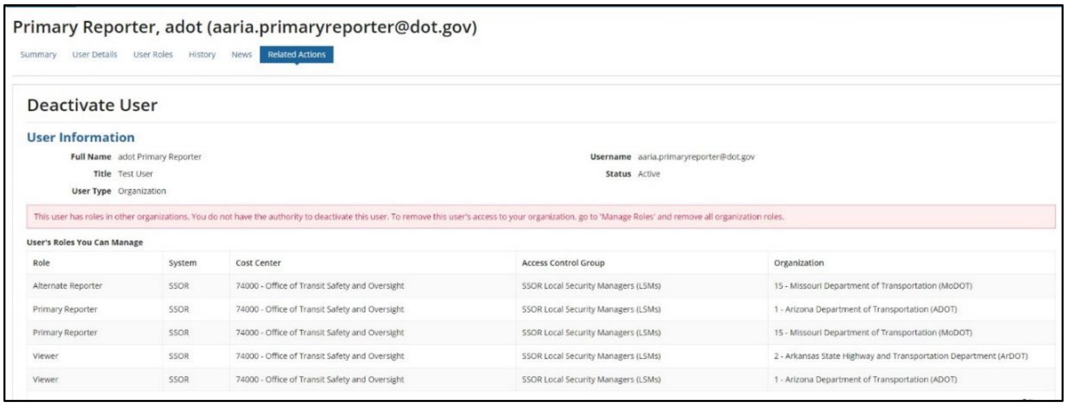
Edit Profile
Edit Profile

Manage User Roles
Add or Delete user roles

Deactivate User
Deactivate User Account

Reset PIN
This will reset the user's PIN

2) If the User Manager, LSM, Validation Analyst or GSM does not have approval to deactivate the user, the **Deactivate User** page will display a ribbon message. In this case, you can remove the user's access to your organization by going to ***Manage Roles*** and removing all roles for your organization(s).



Primary Reporter, adot (aaria.primaryreporter@dot.gov)

Deactivate User

User Information

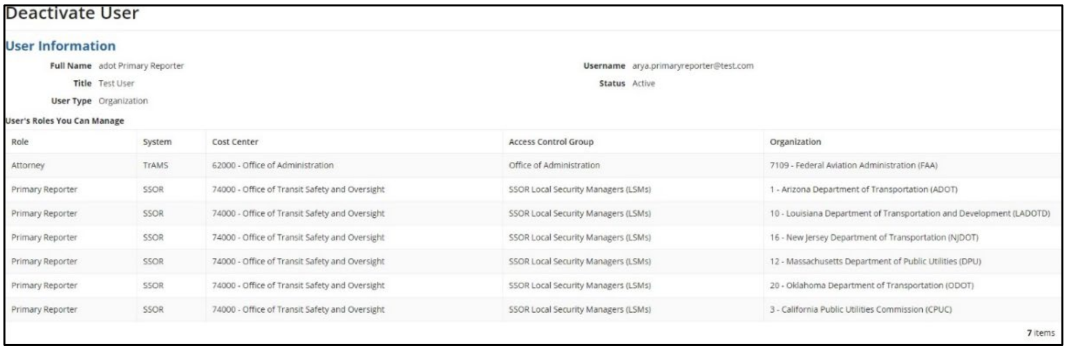
Full Name adot Primary Reporter
Title Test User
User Type Organization
Username aaria.primaryreporter@dot.gov
Status Active

This user has roles in other organizations. You do not have the authority to deactivate this user. To remove this user's access to your organization, go to 'Manage Roles' and remove all organization roles.

User's Roles You Can Manage

| Role | System | Cost Center | Access Control Group | Organization |
|---|---|---|---|---|
| Alternate Reporter | SSOR | 74000 - Office of Transit Safety and Oversight | SSOR Local Security Managers (LSMs) | 15 - Missouri Department of Transportation (MoDOT) |
| Primary Reporter | SSOR | 74000 - Office of Transit Safety and Oversight | SSOR Local Security Managers (LSMs) | 1 - Arizona Department of Transportation (ADOT) |
| Primary Reporter | SSOR | 74000 - Office of Transit Safety and Oversight | SSOR Local Security Managers (LSMs) | 15 - Missouri Department of Transportation (MoDOT) |
| Viewer | SSOR | 74000 - Office of Transit Safety and Oversight | SSOR Local Security Managers (LSMs) | 2 - Arkansas State Highway and Transportation Department (ArDOT) |
| Viewer | SSOR | 74000 - Office of Transit Safety and Oversight | SSOR Local Security Managers (LSMs) | 1 - Arizona Department of Transportation (ADOT) |

3) Otherwise, the **Deactivate User** page will display with a presentation of basic **User Information**, the **User's Roles You Can Manage**, and the **Tasks Assigned Directly** to the user.



Deactivate User

User Information

Full Name adot Primary Reporter

Title Test User

User Type Organization

Username arya.primaryreporter@test.com

Status Active

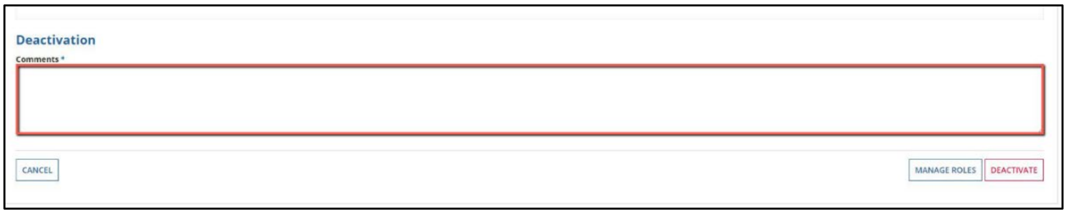
User's Roles You Can Manage

| Role | System | Cost Center | Access Control Group | Organization |
|---|---|---|---|---|
| Attorney | TrAMS | 62000 - Office of Administration | Office of Administration | 7109 - Federal Aviation Administration (FAA) |
| Primary Reporter | SSOR | 74000 - Office of Transit Safety and Oversight | SSOR Local Security Managers (LSMs) | 1 - Arizona Department of Transportation (ADOT) |
| Primary Reporter | SSOR | 74000 - Office of Transit Safety and Oversight | SSOR Local Security Managers (LSMs) | 10 - Louisiana Department of Transportation and Development (LADOTD) |
| Primary Reporter | SSOR | 74000 - Office of Transit Safety and Oversight | SSOR Local Security Managers (LSMs) | 16 - New Jersey Department of Transportation (NJDOT) |
| Primary Reporter | SSOR | 74000 - Office of Transit Safety and Oversight | SSOR Local Security Managers (LSMs) | 12 - Massachusetts Department of Public Utilities (DPU) |
| Primary Reporter | SSOR | 74000 - Office of Transit Safety and Oversight | SSOR Local Security Managers (LSMs) | 20 - Oklahoma Department of Transportation (ODOT) |
| Primary Reporter | SSOR | 74000 - Office of Transit Safety and Oversight | SSOR Local Security Managers (LSMs) | 3 - California Public Utilities Commission (CPUC) |

7 items

4) Click ***Cancel*** at the bottom of the page to return to the **Related Actions** page without saving any changes.

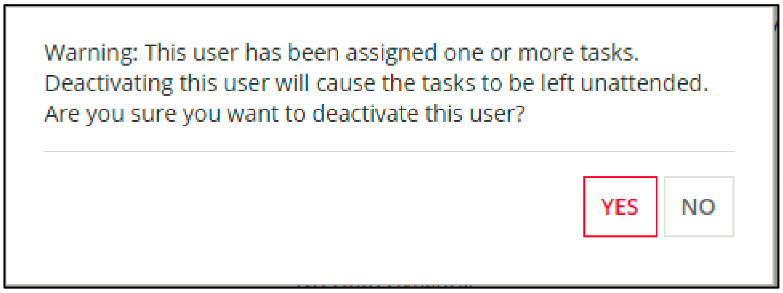
5) Enter any comments/justification for the deactivation and click ***Deactivate*** to proceed with the user deactivation. Comments are **required**.



Deactivation

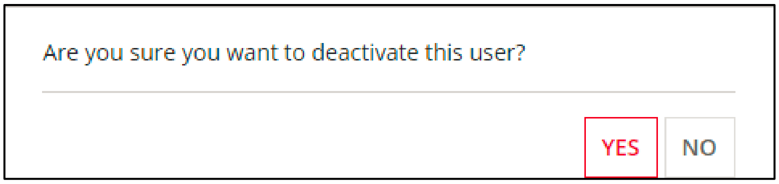
Comments *

6) If any open tasks are directly assigned to the user (not to the user's role groups), the following prompt will appear: "Warning: This user has been assigned one or more tasks. Deactivating this user will cause the tasks to be left unattended. Are you sure you want to deactivate this user?" Select ***Yes*** to proceed with user deactivation. Select ***No*** to cancel the deactivation.



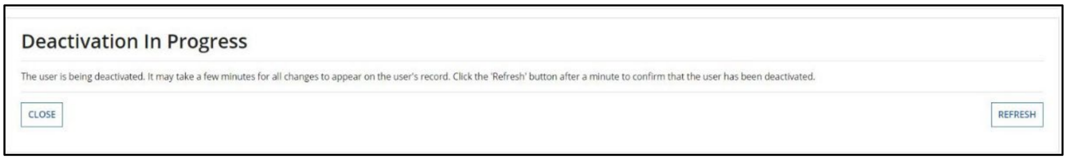
Warning: This user has been assigned one or more tasks. Deactivating this user will cause the tasks to be left unattended. Are you sure you want to deactivate this user?

7) The user also needs to confirm the deactivation in the case where there are no unattended tasks. Select ***Yes*** when prompted with the question "Are you sure you want to deactivate this user?" to proceed with the user deactivation. Select ***No*** to cancel the deactivation:



Are you sure you want to deactivate this user?

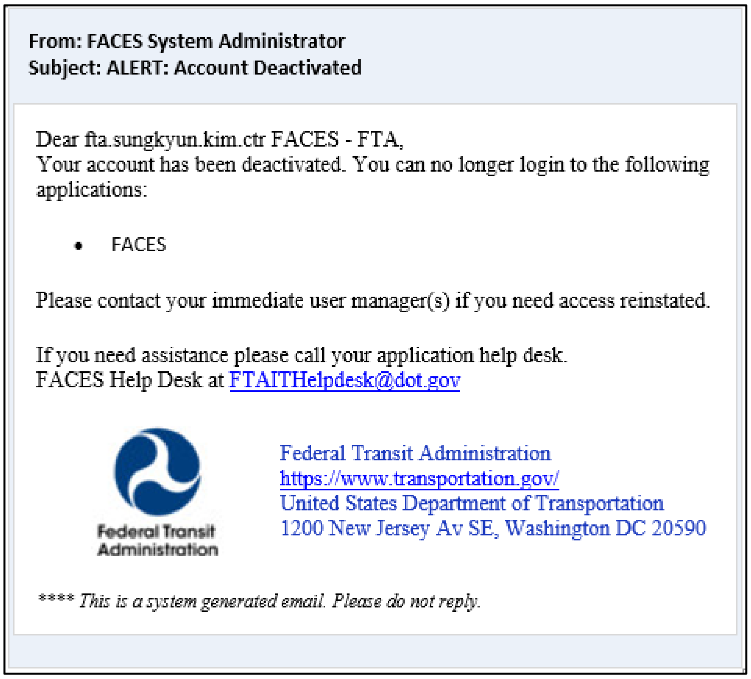
8) On selecting ***Yes***, the system will proceed with deactivation. The **Deactivation in Progress** page will display. Click ***CLOSE*** to go back to the ***Related Actions*** or ***REFRESH*** to refresh the page.



Deactivation In Progress

The user is being deactivated. It may take a few minutes for all changes to appear on the user's record. Click the 'Refresh' button after a minute to confirm that the user has been deactivated.

9) The user and all the user's assigned managers within the system will receive an automatic email that will alert them that the account has been deactivated.



**From: FACES System Administrator**
**Subject: ALERT: Account Deactivated**

Dear fta.sungkyun.kim.ctr FACES - FTA,
Your account has been deactivated. You can no longer login to the following applications:

- FACES

Please contact your immediate user manager(s) if you need access reinstated.

If you need assistance please call your application help desk.
FACES Help Desk at FTAITHelpdesk@dot.gov

Federal Transit Administration
https://www.transportation.gov/
United States Department of Transportation
1200 New Jersey Av SE, Washington DC 20590

**** *This is a system generated email. Please do not reply.*

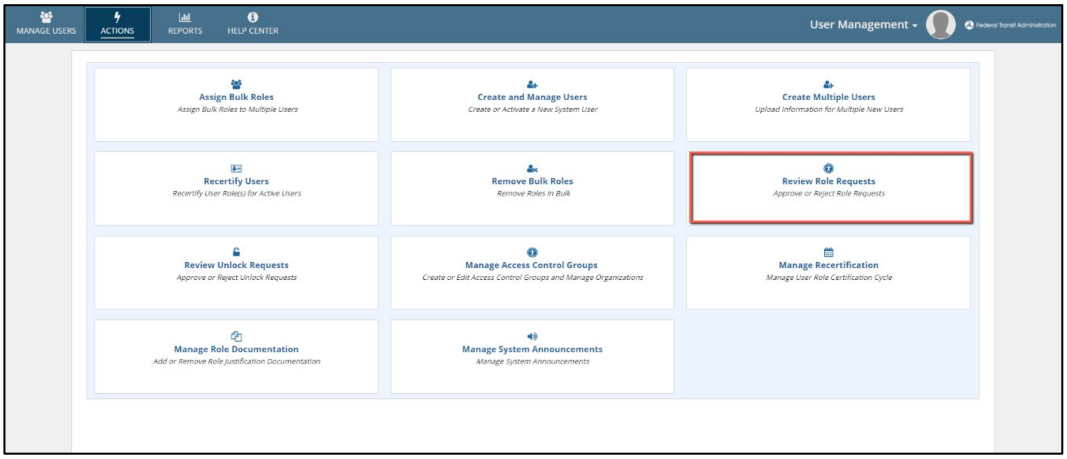
### 6.3.6 Action: Review Role Requests

Some roles added by **User Managers** require elevated approvals. This includes the TrAMS Recipient roles (Submitter, Official, and Attorney). *No NTD or DGS roles require elevated approvals currently.* When these roles are added on the ***Manage Roles*** page, a role request is generated. The appropriate **LSMs or Validation Analyst** will receive an email notification with a link to the ***Review Role Requests*** action. Role requests can be reviewed by any **LSM or Validation Analyst** within the appropriate Cost Center. In extreme cases,

**GSMs** can also complete the role request review. **GSMs** will see all active role requests for their system.

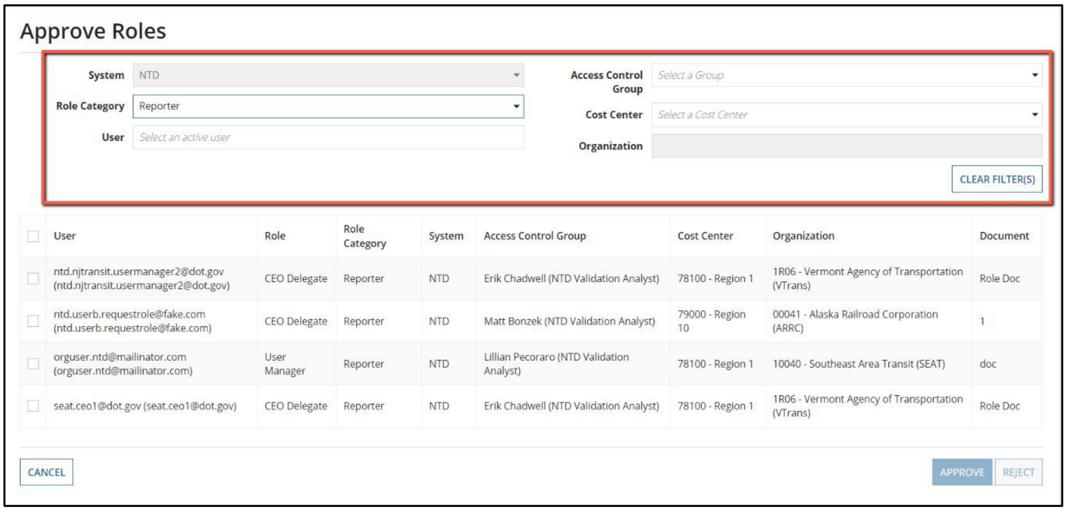
To review a role request:

1) Go to the Actions tab and click ***Review Role Requests.***


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Federal Transit Administration
Assign Bulk Roles
Assign Bulk Roles to Multiple Users
Create and Manage Users
Create or Activate a New System User
Create Multiple Users
Upload Information for Multiple New Users
Recertify Users
Recertify User Role(s) for Active Users
Remove Bulk Roles
Remove Roles in Bulk
Review Role Requests
Approve or Reject Role Requests
Review Unlock Requests
Approve or Reject Unlock Requests
Manage Access Control Groups
Create or Edit Access Control Groups and Manage Organizations
Manage Recertification
Manage User Role Certification Cycle
Manage Role Documentation
Add or Remove Role Justification Documentation
Manage System Announcements
Manage System Announcements

2) The ***Approve Roles*** form will open.

3) Use the filters to narrow down role requests.



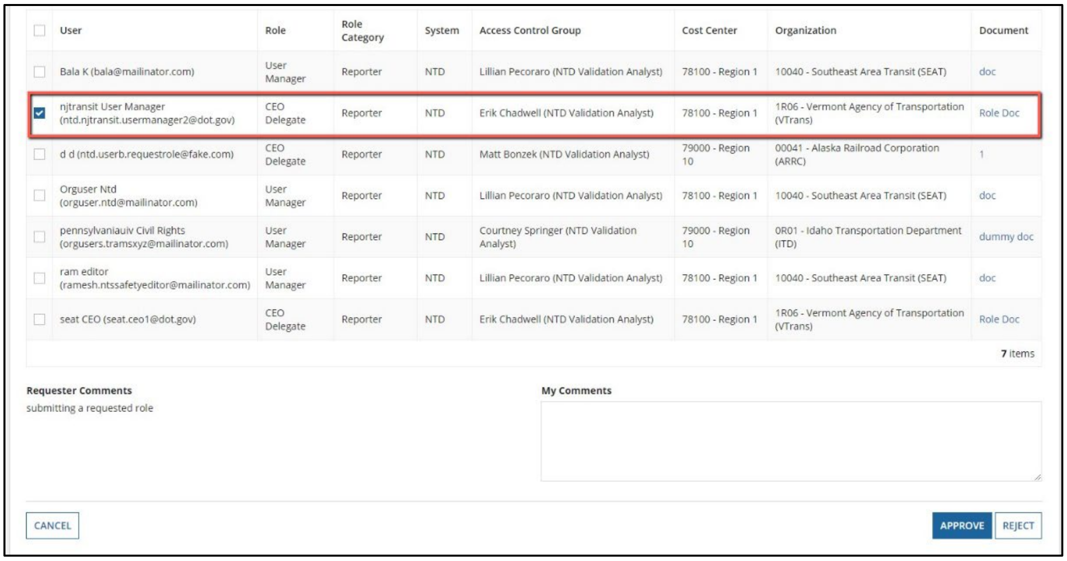
Approve Roles

| | | | |
|---|---|---|---|
| System | NTD | Access Control Group | Select a Group |
| Role Category | Reporter | Cost Center | Select a Cost Center |
| User | Select an active user | Organization | |

| □ | User | Role | Role Category | System | Access Control Group | Cost Center | Organization | Document |
|---|---|---|---|---|---|---|---|---|
| □ | ntd.njtransit.usermanager2@dot.gov (ntd.njtransit.usermanager2@dot.gov) | CEO Delegate | Reporter | NTD | Erik Chadwell (NTD Validation Analyst) | 78100 - Region 1 | 1R06 - Vermont Agency of Transportation (VTrans) | Role Doc |
| □ | ntd.userb.requestrole@fake.com (ntd.userb.requestrole@fake.com) | CEO Delegate | Reporter | NTD | Matt Bonzek (NTD Validation Analyst) | 79000 - Region 10 | 00041 - Alaska Railroad Corporation (ARRC) | 1 |
| □ | orguser.ntd@mailinator.com (orguser.ntd@mailinator.com) | User Manager | Reporter | NTD | Lillian Pecoraro (NTD Validation Analyst) | 78100 - Region 1 | 10040 - Southeast Area Transit (SEAT) | doc |
| □ | seat.ceo1@dot.gov (seat.ceo1@dot.gov) | CEO Delegate | Reporter | NTD | Erik Chadwell (NTD Validation Analyst) | 78100 - Region 1 | 1R06 - Vermont Agency of Transportation (VTrans) | Role Doc |

4) The pending role requests that the viewer has permissions to approve will be visible. For each request, the user's name, username, role, a link to the justification document, and other key details will be included.

5) To review a role request, click the checkbox next to the user's name.



| ☐ | User | Role | Role Category | System | Access Control Group | Cost Center | Organization | Document |
|---|---|---|---|---|---|---|---|---|
| ☐ | Bala K (bala@mailinator.com) | User Manager | Reporter | NTD | Lillian Pecoraro (NTD Validation Analyst) | 78100 - Region 1 | 10040 - Southeast Area Transit (SEAT) | doc |
| ☑ | njtransit User Manager (ntd.njtransit.usermanager2@dot.gov) | CEO Delegate | Reporter | NTD | Erik Chadwell (NTD Validation Analyst) | 78100 - Region 1 | 1R06 - Vermont Agency of Transportation (VTrans) | Role Doc |
| ☐ | d d (ntd.userb.requestrole@fake.com) | CEO Delegate | Reporter | NTD | Matt Bonzek (NTD Validation Analyst) | 79000 - Region 10 | 00041 - Alaska Railroad Corporation (ARRC) | 1 |
| ☐ | Orguser Ntd (orguser.ntd@mailinator.com) | User Manager | Reporter | NTD | Lillian Pecoraro (NTD Validation Analyst) | 78100 - Region 1 | 10040 - Southeast Area Transit (SEAT) | doc |
| ☐ | pennsylvaniauiv Civil Rights (orgusers.tramsxyz@mailinator.com) | User Manager | Reporter | NTD | Courtney Springer (NTD Validation Analyst) | 79000 - Region 10 | 0R01 - Idaho Transportation Department (ITD) | dummy doc |
| ☐ | ram editor (ramesh.ntssafetyeditor@mailinator.com) | User Manager | Reporter | NTD | Lillian Pecoraro (NTD Validation Analyst) | 78100 - Region 1 | 10040 - Southeast Area Transit (SEAT) | doc |
| ☐ | seat CEO (seat.ceo1@dot.gov) | CEO Delegate | Reporter | NTD | Erik Chadwell (NTD Validation Analyst) | 78100 - Region 1 | 1R06 - Vermont Agency of Transportation (VTrans) | Role Doc |

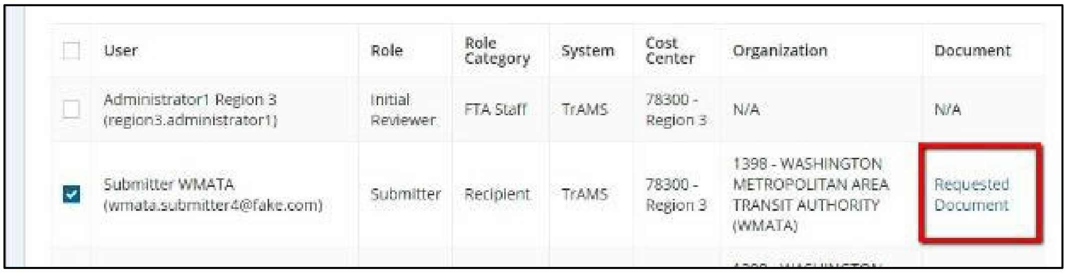
**7** items

Requester Comments
submitting a requested role

My Comments

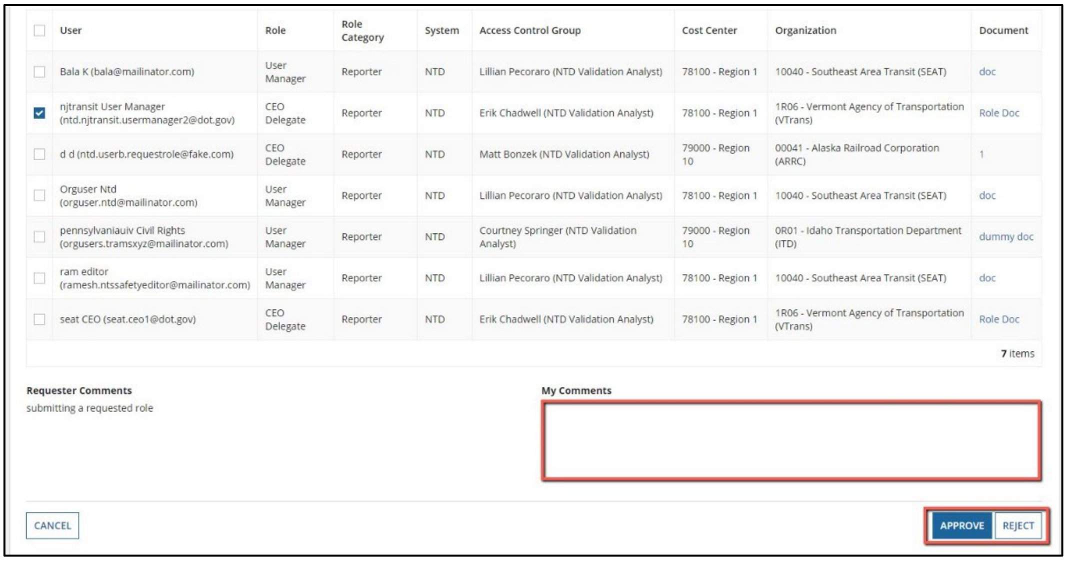
6) Additional details about the request will be displayed beneath the table of requests. The reviewer can see any comments made by the requestor.

7) To review the associated justification document, click the document hyperlink in the table. The document will be downloaded.



| ☐ | User | Role | Role Category | System | Cost Center | Organization | Document |
|---|---|---|---|---|---|---|---|
| ☐ | Administrator1 Region 3 (region3.administrator1) | Initial Reviewer | FTA Staff | TrAMS | 78300 - Region 3 | N/A | N/A |
| ☑ | Submitter WMATA (wmata.submitter4@fake.com) | Submitter | Recipient | TrAMS | 78300 - Region 3 | 1398 - WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (WMATA) | Requested Document |

8) When the reviewer has reached a decision, enter any comments in the *My Comments* box and then click either ***Approve*** or ***Reject***. Comments must be 4000 characters or less. Comment are required to be added.



| □ | User | Role | Role Category | System | Access Control Group | Cost Center | Organization | Document |
|---|---|---|---|---|---|---|---|---|
| □ | Bala K (bala@mailinator.com) | User Manager | Reporter | NTD | Lillian Pecoraro (NTD Validation Analyst) | 78100 - Region 1 | 10040 - Southeast Area Transit (SEAT) | doc |
| ☑ | njtransit User Manager (ntd.njtransit.usermanager2@dot.gov) | CEO Delegate | Reporter | NTD | Erik Chadwell (NTD Validation Analyst) | 78100 - Region 1 | 1R06 - Vermont Agency of Transportation (VTrans) | Role Doc |
| □ | d d (ntd.userb.requestrole@fake.com) | CEO Delegate | Reporter | NTD | Matt Bonzek (NTD Validation Analyst) | 79000 - Region 10 | 00041 - Alaska Railroad Corporation (ARRC) | 1 |
| □ | Orguser Ntd (orguser.ntd@mailinator.com) | User Manager | Reporter | NTD | Lillian Pecoraro (NTD Validation Analyst) | 78100 - Region 1 | 10040 - Southeast Area Transit (SEAT) | doc |
| □ | pennsylvaniauiv Civil Rights (orgusers.tramsxyz@mailinator.com) | User Manager | Reporter | NTD | Courtney Springer (NTD Validation Analyst) | 79000 - Region 10 | 0R01 - Idaho Transportation Department (ITD) | dummy doc |
| □ | ram editor (ramesh.ntssafetyeditor@mailinator.com) | User Manager | Reporter | NTD | Lillian Pecoraro (NTD Validation Analyst) | 78100 - Region 1 | 10040 - Southeast Area Transit (SEAT) | doc |
| □ | seat CEO (seat.ceo1@dot.gov) | CEO Delegate | Reporter | NTD | Erik Chadwell (NTD Validation Analyst) | 78100 - Region 1 | 1R06 - Vermont Agency of Transportation (VTrans) | Role Doc |

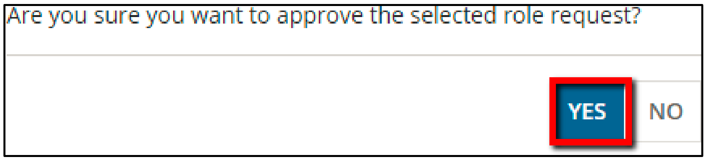
**7** items

**Requester Comments**

submitting a requested role

**My Comments**

9) You will be prompted to confirm your decision "Are you sure you want to approve the selected role request?" Click ***Yes*** to approve. Select ***No*** to cancel and return to the form. (If you clicked ***Reject***, a similar prompt will be given "Are you sure you want to reject the selected role request?")



Are you sure you want to approve the selected role request?

10) Once a decision is submitted, the role request will disappear from the table. The User Manager and impacted user will be notified of the decision via email. If the role was approved, the role will be added to the user's account.

### 6.3.7 Action: Review Unlock Requests

FTA is required to comply with U.S. DOT Information Technology (IT) Security guidelines. One key feature of this compliance includes automatic account locks after 60 days of user inactivity. Since the FTA systems all reside on the same software platform and use the common FACES access mechanism, this security feature applies to all software systems on the FTA platform.

FACES automatically locks user accounts if the user has not signed into their account within 60 days. The account lock prevents users from accessing any of the software systems on the FTA platform. Automated warning emails are issued to inactive users 15, 10, and 5 days prior to lockout.

Users are notified that their accounts have been locked via automated emails. Users who are locked out will still be able to log into their FACES account, but their access will be severely restricted. The standard Appian tabs (***News***, ***Tasks***, ***Records***, ***Reports***, and ***Actions***) will contain a limited amount of data and security-related actions. For example, no tasks will be available.

Locked users can unlock their accounts via one of two methods: 1) correctly answer previously set up security questions; or 2) submit an unlock request. Both methods are available from the **Actions** tab. It is preferred that all users attempt to self-unlock their accounts by answering their previously setup security questions before submitting an unlock request; this is the quickest and most efficient route to unlock an account. Once an account is unlocked, the user's access will be fully restored.

If Security Questions were not previously set up or the answers could not be remembered, user will submit an **Unlock Request** by selecting ***Unlock Account*** from their **Actions** tab. An email for the **Unlock Request** is automatically routed to the appropriate **User Manager**.

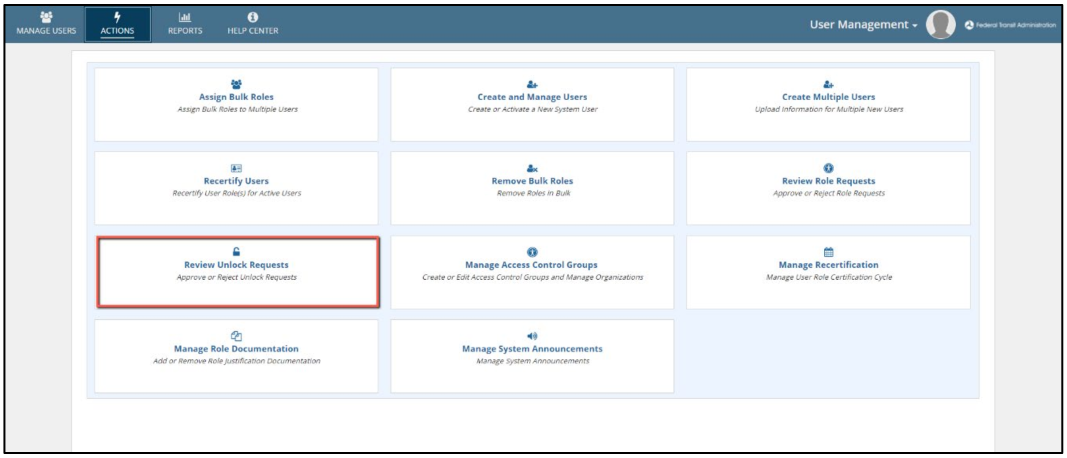
After submitting the **Unlock Request**, the **User Manager (UM), Local Security Manager (LSM) or Validation Analyst** will receive an email notification of the unlock request with a hyperlink to review the request. Upon receiving the **Unlock Request**, the **UM, LSM or Validation Analyst** can either approve or deny the request. The user will receive an email notification confirming either decision.

If the request is approved, the account will unlock, and all previous permissions will be restored. If the request is denied, the account will remain locked. If the account remains locked, the user should call their User Manager directly to resolve the issue. If the appropriate User Manager is not known, the user can call the Help Desk.

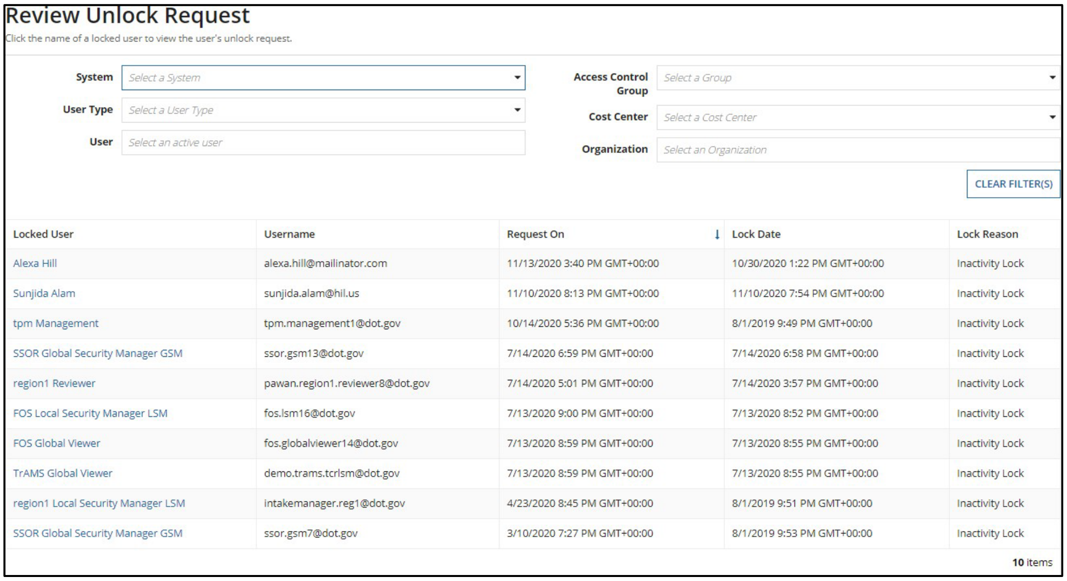
| **Note:** | *If the organization does not have a **User Manager** or the user is a User Manager, the **Unlock Request** will go to the appropriate **Local Security Manager (LSM)** for resolution. If the user belongs to multiple organizations, the request will go to the appropriate **User Manager** of each organization.* |
|---|---|

To reply to an **Unlock Request**:

1) Navigate to the **Actions** tab and click ***Review Unlock Requests***.


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Federal Transit Administration
Assign Bulk Roles
Assign Bulk Roles to Multiple Users
Create and Manage Users
Create or Activate a New System User
Create Multiple Users
Upload information for Multiple New Users
Recertify Users
Recertify User Role(s) for Active Users
Remove Bulk Roles
Remove Roles in Bulk
Review Role Requests
Approve or Reject Role Requests
Review Unlock Requests
Approve or Reject Unlock Requests
Manage Access Control Groups
Create or Edit Access Control Groups and Manage Organizations
Manage Recertification
Manage User Role Certification Cycle
Manage Role Documentation
Add or Remove Role Justification Documentation
Manage System Announcements
Manage System Announcements

2) System Displays **Review Unlock Request** Page with locked user's information.



Review Unlock Request

Click the name of a locked user to view the user's unlock request.

System Select a System

User Type Select a User Type

User Select an active user

Access Control Group Select a Group

Cost Center Select a Cost Center

Organization Select an Organization

CLEAR FILTER(S)

| Locked User | Username | Request On ↓ | Lock Date | Lock Reason |
|---|---|---|---|---|
| Alexa Hill | alexa.hill@mailinator.com | 11/13/2020 3:40 PM GMT+00:00 | 10/30/2020 1:22 PM GMT+00:00 | Inactivity Lock |
| Sunjida Alam | sunjida.alam@hil.us | 11/10/2020 8:13 PM GMT+00:00 | 11/10/2020 7:54 PM GMT+00:00 | Inactivity Lock |
| tpm Management | tpm.management1@dot.gov | 10/14/2020 5:36 PM GMT+00:00 | 8/1/2019 9:49 PM GMT+00:00 | Inactivity Lock |
| SSOR Global Security Manager GSM | ssor.gsm13@dot.gov | 7/14/2020 6:59 PM GMT+00:00 | 7/14/2020 6:58 PM GMT+00:00 | Inactivity Lock |
| region1 Reviewer | pawan.region1.reviewer8@dot.gov | 7/14/2020 5:01 PM GMT+00:00 | 7/14/2020 3:57 PM GMT+00:00 | Inactivity Lock |
| FOS Local Security Manager LSM | fos.lsm16@dot.gov | 7/13/2020 9:00 PM GMT+00:00 | 7/13/2020 8:52 PM GMT+00:00 | Inactivity Lock |
| FOS Global Viewer | fos.globalviewer14@dot.gov | 7/13/2020 8:59 PM GMT+00:00 | 7/13/2020 8:55 PM GMT+00:00 | Inactivity Lock |
| TrAMS Global Viewer | demo.trams.tcrlsm@dot.gov | 7/13/2020 8:59 PM GMT+00:00 | 7/13/2020 8:55 PM GMT+00:00 | Inactivity Lock |
| region1 Local Security Manager LSM | intakemanager.reg1@dot.gov | 4/23/2020 8:45 PM GMT+00:00 | 8/1/2019 9:51 PM GMT+00:00 | Inactivity Lock |
| SSOR Global Security Manager GSM | ssor.gsm7@dot.gov | 3/10/2020 7:27 PM GMT+00:00 | 8/1/2019 9:53 PM GMT+00:00 | Inactivity Lock |

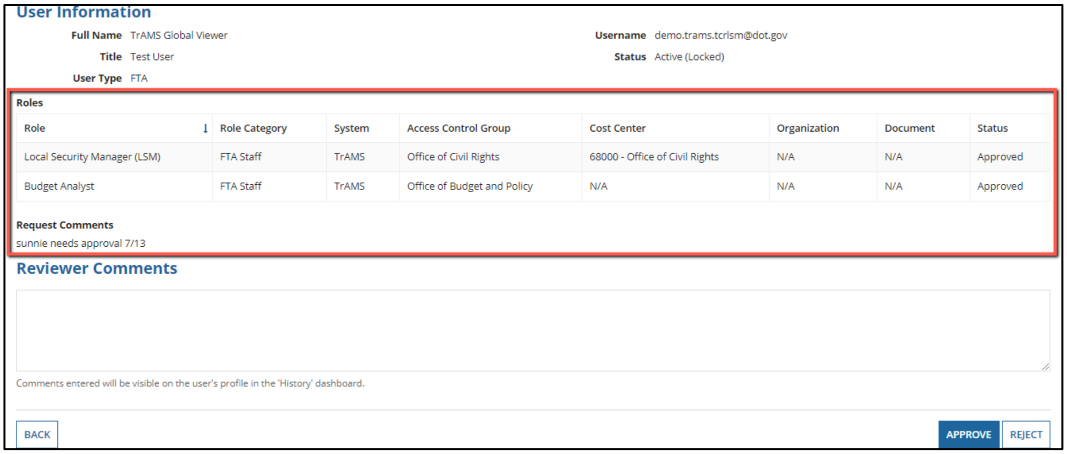
**10** items

3) Click ***Close*** if no action is necessary to return to the **Actions** page.

4) If not, select the link representing the name of the user that needs to be unlocked.

5) The **Review Unlock Request** page will display the user's detailed information.

6) Validate the **User Information** and review the **Request Comments** section.



User Information

Full Name TrAMS Global Viewer

Username demo.trams.tcrlsm@dot.gov

Title Test User

Status Active (Locked)

User Type FTA

Roles

| Role | Role Category | System | Access Control Group | Cost Center | Organization | Document | Status |
|---|---|---|---|---|---|---|---|
| Local Security Manager (LSM) | FTA Staff | TrAMS | Office of Civil Rights | 68000 - Office of Civil Rights | N/A | N/A | Approved |
| Budget Analyst | FTA Staff | TrAMS | Office of Budget and Policy | N/A | N/A | N/A | Approved |

Request Comments

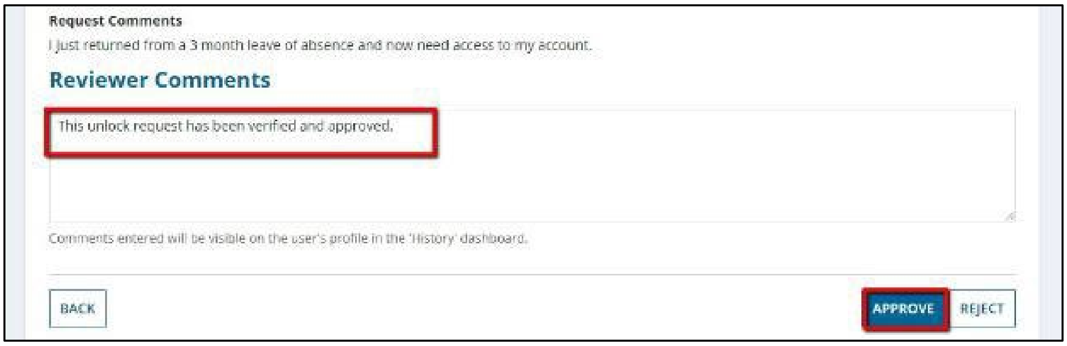
sunnie needs approval 7/13

Reviewer Comments

Comments entered will be visible on the user's profile in the 'History' dashboard.

7) If no action is necessary or more information/justification is needed, select ***Back*** to return to the **Review Unlock Request** page without acting on the **Unlock Request**.

8) Otherwise, enter any text pertinent to the unlock of this user in the **Reviewer Comments** window. Click ***Approve*** to approve the request and click ***Reject*** to reject the unlock request.



Request Comments

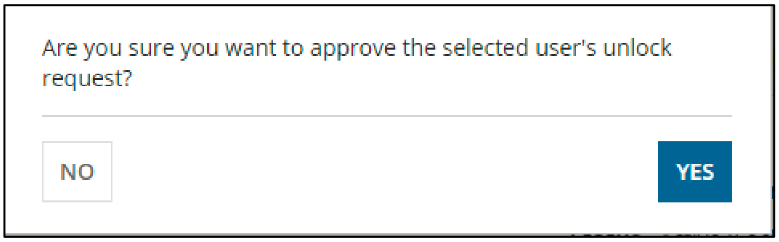
I just returned from a 3 month leave of absence and now need access to my account.

Reviewer Comments

This unlock request has been verified and approved.

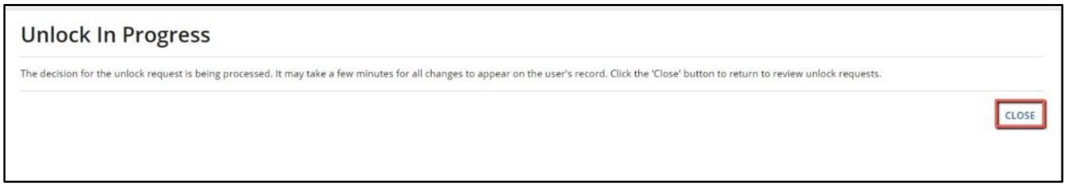
Comments entered will be visible on the user's profile in the 'History' dashboard.

9) A message will display asking the user to confirm his or her decision. Select ***Yes*** to proceed or select ***No*** to remain on the review unlock request page.



Are you sure you want to approve the selected user's unlock request?

10) A message will display that indicates the decision for the Unlock Request is being processed. Click ***Close.***

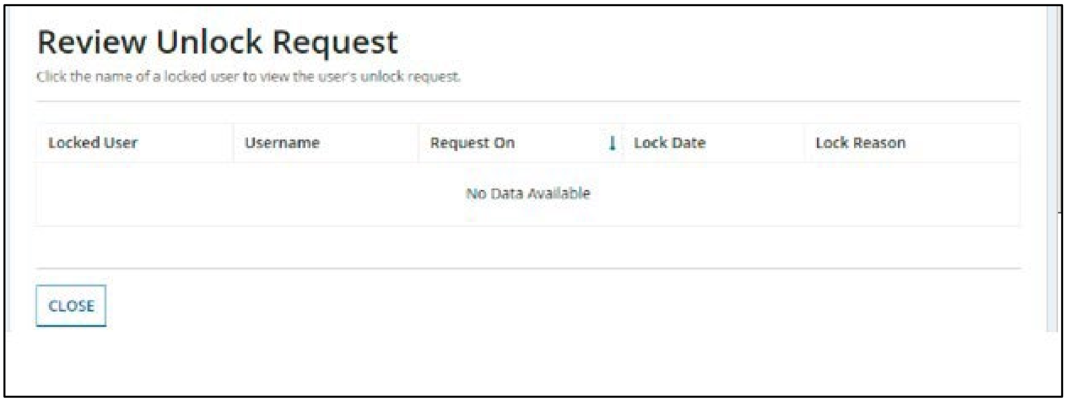


Unlock In Progress

The decision for the unlock request is being processed. It may take a few minutes for all changes to appear on the user's record. Click the 'Close' button to return to review unlock requests.

11) The **Review Unlock Request** page displays. The **Unlock Request** is no longer listed.

| **Note:** | *There may be other Unlock Requests in the queue. Select **Close** to return to the **Actions** tab.* |
|---|---|

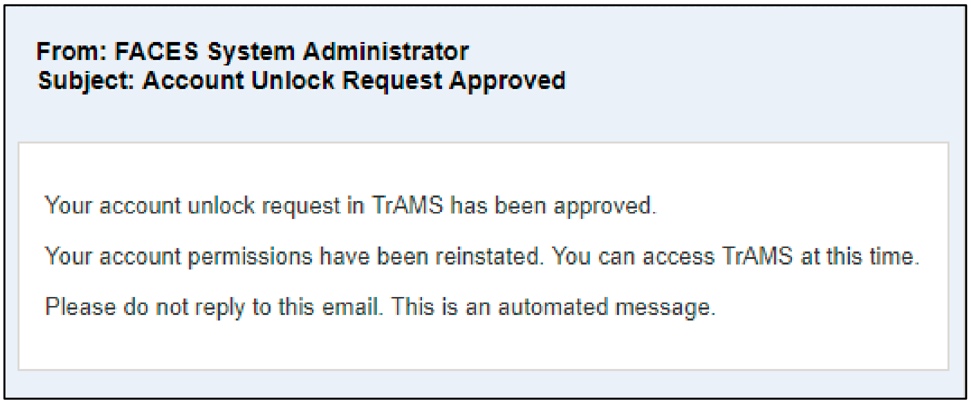


Review Unlock Request

Click the name of a locked user to view the user's unlock request.

| Locked User | Username | Request On | Lock Date | Lock Reason |
|---|---|---|---|---|
| | | No Data Available | | |

12) The user will receive a confirmation email regarding the approval or rejection of their request.



**From: FACES System Administrator**
**Subject: Account Unlock Request Approved**

Your account unlock request in TrAMS has been approved.

Your account permissions have been reinstated. You can access TrAMS at this time.

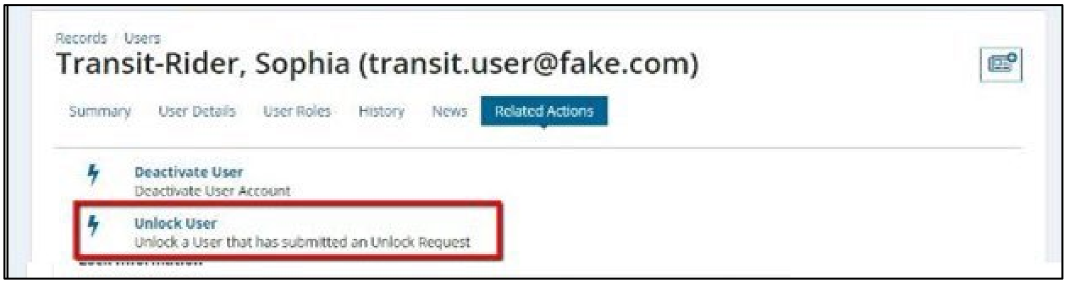
Please do not reply to this email. This is an automated message.

### 6.3.8 Related Action: Unlock User

If any user is locked in the system, an additional related action will become available on the user's record, ***Unlock Account.*** This related action allows a **User Manager, LSM, Validation Analyst** or **GSM** (as appropriate) to unlock a user directly from the user's profile. This related action will remain visible if the user's record is locked. It is intended as a backup method of unlocking an account.

To unlock a user's account from the profile related action:

1) Navigate to the user’s record and click the “Unlock User” related action.

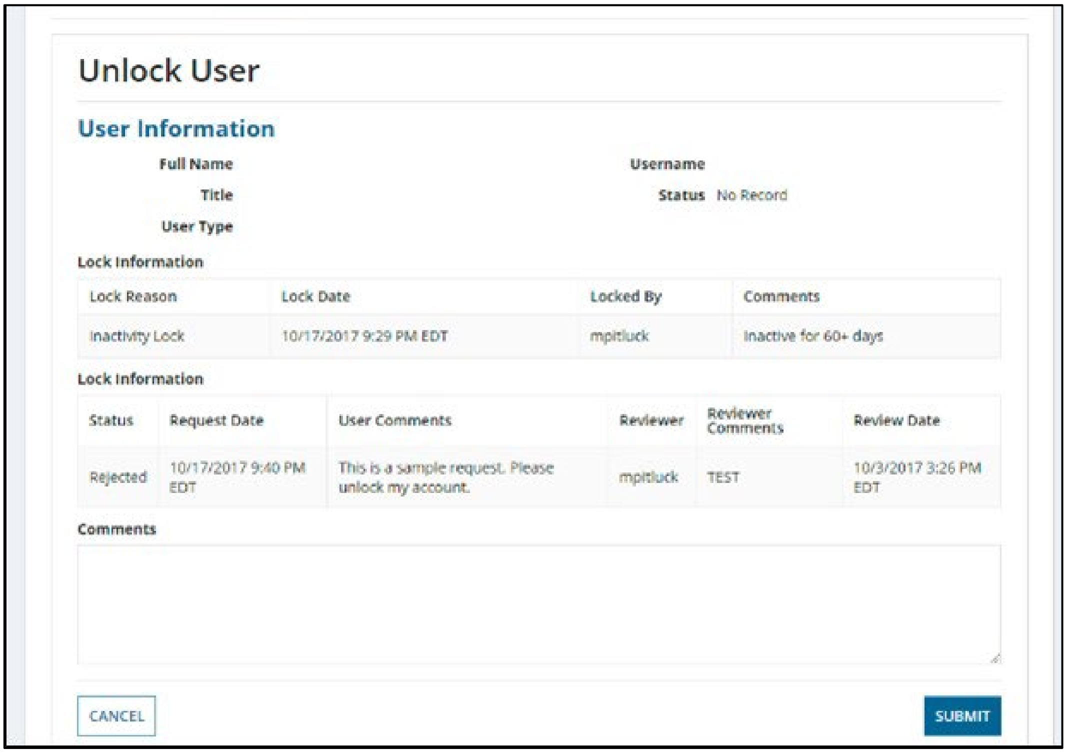


Transit-Rider, Sophia (transit.user@fake.com)

Deactivate User
Deactivate User Account

Unlock User
Unlock a User that has submitted an Unlock Request

2) A page will display information about the user’s account, the reason for the account lock, and the user’s unlock request.



Unlock User

User Information

Full Name

Title

User Type

Username

Status No Record

Lock Information

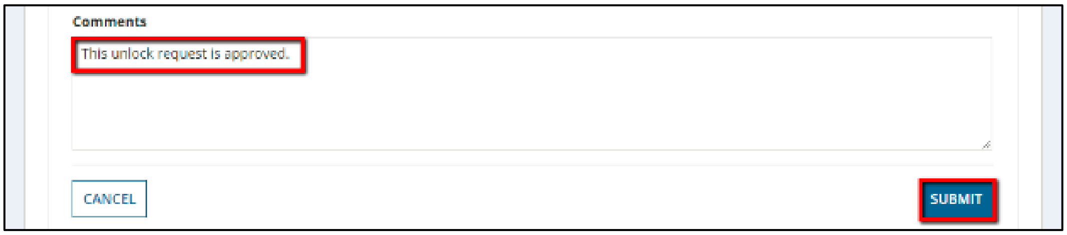
| Lock Reason | Lock Date | Locked By | Comments |
|---|---|---|---|
| Inactivity Lock | 10/17/2017 9:29 PM EDT | mpitluck | Inactive for 60+ days |

Lock Information

| Status | Request Date | User Comments | Reviewer | Reviewer Comments | Review Date |
|---|---|---|---|---|---|
| Rejected | 10/17/2017 9:40 PM EDT | This is a sample request. Please unlock my account. | mpitluck | TEST | 10/3/2017 3:26 PM EDT |

Comments

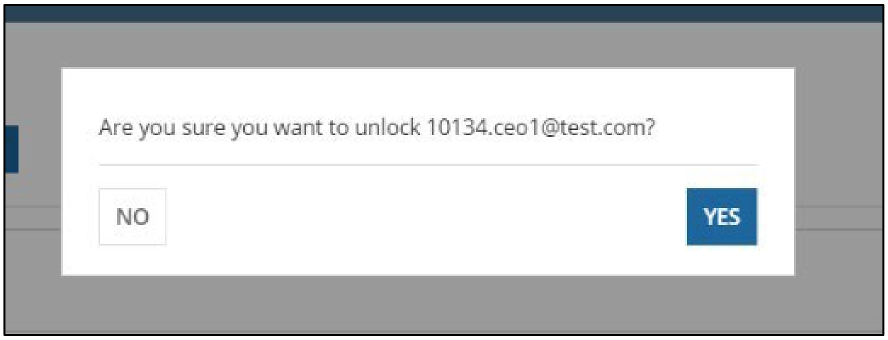
3) Enter a comment justifying the unlock action, as needed, and then click ***Submit***.



Comments

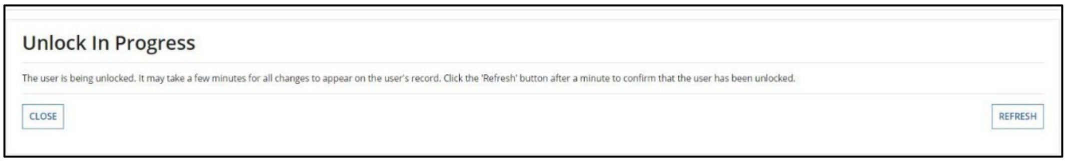
This unlock request is approved.

4) In the confirmation screen confirm you want to unlock user.



Are you sure you want to unlock 10134.ceo1@test.com?

5) On selecting ***Yes***, the system will proceed with deactivation. The **Unlock in Progress** page will display. Click ***CLOSE*** to go back to the ***Related Actions*** or ***REFRESH*** to refresh the page.



Unlock In Progress

The user is being unlocked. It may take a few minutes for all changes to appear on the user's record. Click the 'Refresh' button after a minute to confirm that the user has been unlocked.

| | |
|---|---|
| **Note:** | Whenever any user is unlocked after being locked due to re-certification then all that user's active roles will be automatically re-certified. |

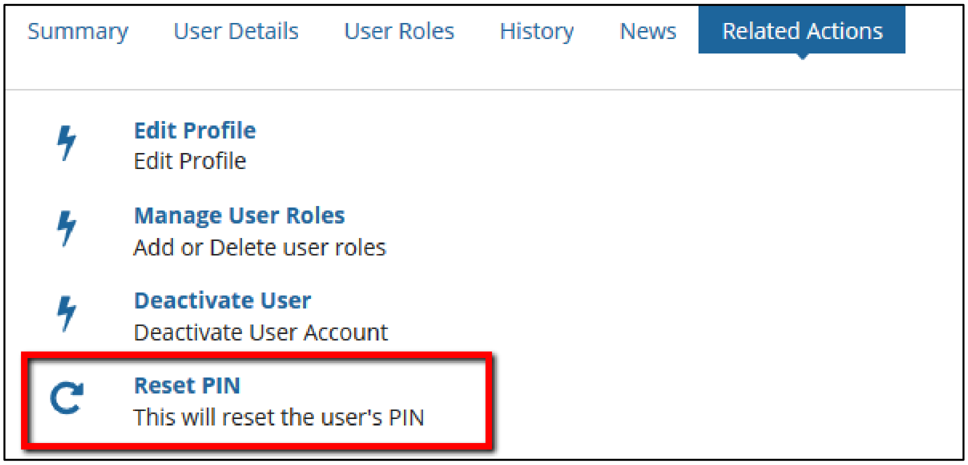
### 6.3.9 Related Action: Reset PIN

If a user cannot remember either their existing PIN or security question answers, the user can contact someone in their users' management chains (User Manager, LSM, or GSM) to reset their PIN.

| | |
|---|---|
| **Note:** | The Reset PIN action only appears for User Managers, LSMs or GSMs. |

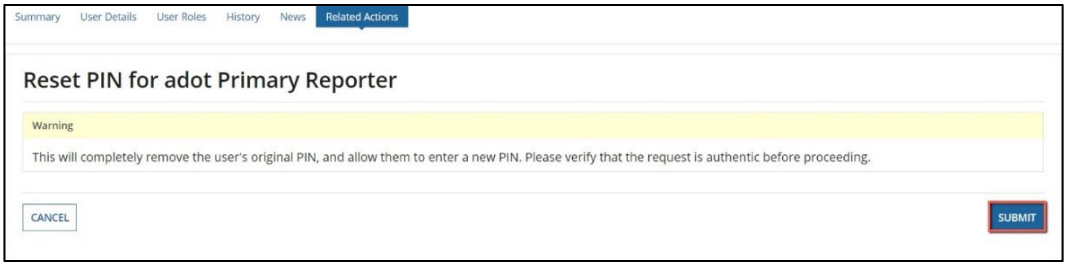
How to reset a user's PIN:

1) Navigate to the user's record and select **Related Actions**.
2) Click ***Reset PIN.***



3) The Reset PIN page displays a warning message and notifies the user management chain that they are about to reset a user's PIN and please verify that request to reset the user's pin came from the intended user.

| | |
|---|---|
| **Note:** | There is no verification in the system for PIN Reset requests. Once the PIN is reset, the previous user PIN is no longer valid. |



Reset PIN for adot Primary Reporter

Warning

This will completely remove the user's original PIN, and allow them to enter a new PIN. Please verify that the request is authentic before proceeding.

4) Select ***Cancel*** to return to the previous page without saving any changes.

5) Select ***Submit*** to finalize resetting the user's PIN.

6) The ***Related Actions*** page displays.

### 6.4. Reviewing Monthly User Comparison Report

The User Comparison Report script generates a report that displays all users that hold both an account in the same system with supervisory roles and an account with non-supervisory roles.

It collates user data across several tables - including contact and address information, then compares users with supervisory roles against those with non-supervisory roles. The resulting report shows a row for each pair of roles across two different accounts held by the same person:

- Supervisory, and
- Non-supervisory.

The recipients of the report are the Global Security Managers (GSMs).

Once the report is received, the expectation is to investigate any items in question within the report.

## 7. Recertification

Recertification is a process that requires the user's manager to review and recertify (or reject) a user's system roles to satisfy DOT security requirements. The recertification process happens annually, and the user's managers must review and re-certify all users that report to them.

## 7.1. Recertification Synopsis

The recertification process trigger systems on the TrIAD platform to send email notifications to role management users (Certifiers) alerting them when they are required to recertify users. After receiving the email notification, each Certifier has a certain number of days to recertify the user group specified in the email. The email will provide this timeline. Users who are not recertified will have their roles removed; users with no roles will be automatically locked out of the system. Users who have multiple roles will have to have each role recertified by their Certifier; the Certifier may elect to only recertify some of a user's roles. In this situation, the user will lose only those roles and will not be locked out of the system. Users who have lost roles or have been locked out of the system will have to contact their Certifier to reinstate their roles. The Certifiers (GSMs, LSMs, User Managers) are required to recertify users with a specific period, depending on the system. This period is called the recertification window.

| | |
|---|---|
| **Note:** | If a user becomes locked, they can self-unlock themselves or submit unlock requests as detailed in Section 7.2. |

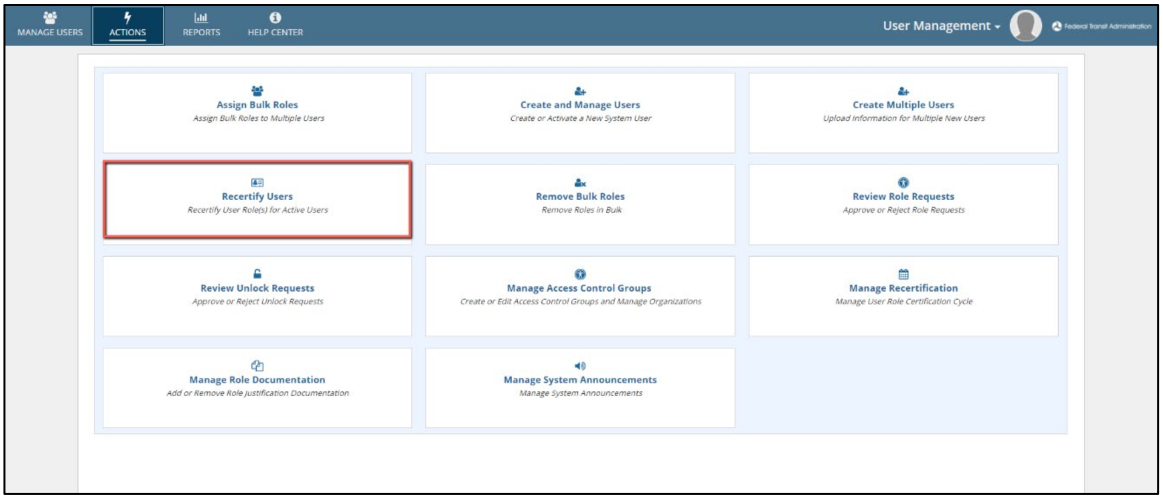
## 7.2. Recertification Windows

See Recertification Windows Appendix

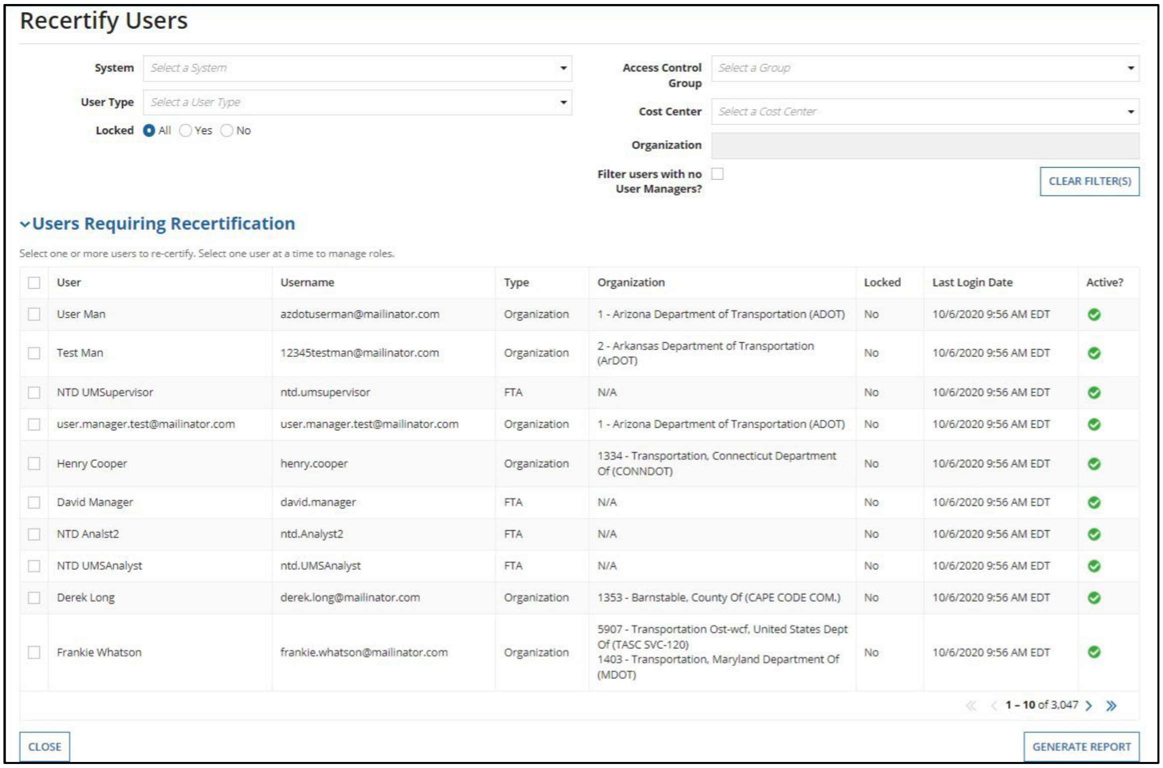
## 7.3. How to Re-Certify Users

How to recertify a user role:

1) **Certifier** logs into System and clicks Actions.
2) Click ***Recertify Users.***


MANAGE USERS
ACTIONS
REPORTS
HELP CENTER
User Management
Federal Transit Administration
Assign Bulk Roles
Assign Bulk Roles to Multiple Users
Create and Manage Users
Create or Activate a New System User
Create Multiple Users
Upload Information for Multiple New Users
Recertify Users
Recertify User Role(s) for Active Users
Remove Bulk Roles
Remove Roles in Bulk
Review Role Requests
Approve or Reject Role Requests
Review Unlock Requests
Approve or Reject Unlock Requests
Manage Access Control Groups
Create or Edit Access Control Groups and Manage Organizations
Manage Recertification
Manage User Role Certification Cycle
Manage Role Documentation
Add or Remove Role Justification Documentation
Manage System Announcements
Manage System Announcements

3) The **Recertify Users** page is displayed, allowing the **Certifier** to filter users to recertify.



Recertify Users

System: Select a System

User Type: Select a User Type

Locked: ● All ○ Yes ○ No

Access Control Group: Select a Group

Cost Center: Select a Cost Center

Organization:

Filter users with no User Managers? □

CLEAR FILTER(S)

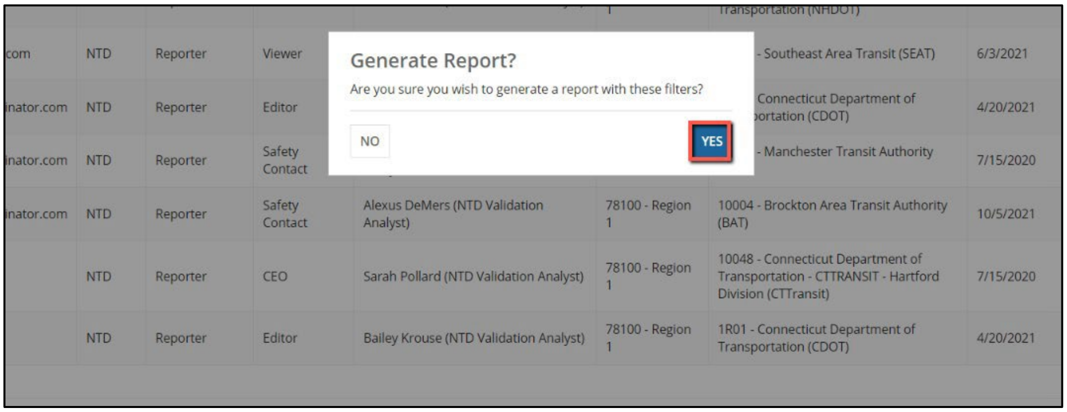
Users Requiring Recertification

Select one or more users to re-certify. Select one user at a time to manage roles.

| □ | User | Username | Type | Organization | Locked | Last Login Date | Active? |
|---|---|---|---|---|---|---|---|
| □ | User Man | azdotuserman@mailinator.com | Organization | 1 - Arizona Department of Transportation (ADOT) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | Test Man | 12345testman@mailinator.com | Organization | 2 - Arkansas Department of Transportation (ArDOT) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | NTD UMSupervisor | ntd.umsupervisor | FTA | N/A | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | user.manager.test@mailinator.com | user.manager.test@mailinator.com | Organization | 1 - Arizona Department of Transportation (ADOT) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | Henry Cooper | henry.cooper | Organization | 1334 - Transportation, Connecticut Department Of (CONNDOT) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | David Manager | david.manager | FTA | N/A | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | NTD Analst2 | ntd.Analyst2 | FTA | N/A | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | NTD UMSAnalyst | ntd.UMSAnalyst | FTA | N/A | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | Derek Long | derek.long@mailinator.com | Organization | 1353 - Barnstable, County Of (CAPE CODE COM.) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | Frankie Whatson | frankie.whatson@mailinator.com | Organization | 5907 - Transportation Ost-wcf, United States Dept Of (TASC SVC-120)<br>1403 - Transportation, Maryland Department Of (MDOT) | No | 10/6/2020 9:56 AM EDT | ✓ |

4) A **Certifier** can download a report for users that require recertification, based on the filters applied, by clicking on **Generate Report.**

   a. The system displays a confirmation message.

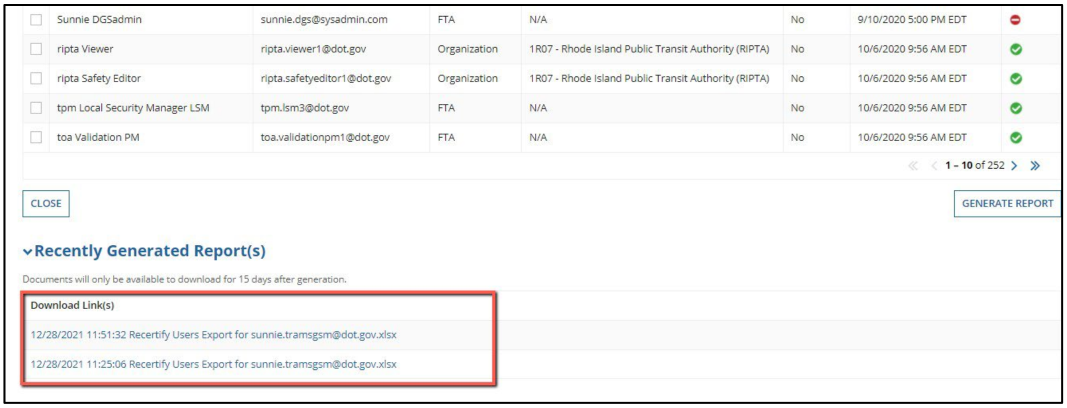


Generate Report?

Are you sure you wish to generate a report with these filters?

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | | 1 | Transportation (NHDOT) | |
| com | NTD | Reporter | Viewer | | | - Southeast Area Transit (SEAT) | 6/3/2021 |
| inator.com | NTD | Reporter | Editor | | | Connecticut Department of<br>ortation (CDOT) | 4/20/2021 |
| inator.com | NTD | Reporter | Safety Contact | | | - Manchester Transit Authority | 7/15/2020 |
| inator.com | NTD | Reporter | Safety Contact | Alexus DeMers (NTD Validation Analyst) | 78100 - Region 1 | 10004 - Brockton Area Transit Authority (BAT) | 10/5/2021 |
| | NTD | Reporter | CEO | Sarah Pollard (NTD Validation Analyst) | 78100 - Region 1 | 10048 - Connecticut Department of Transportation - CTTRANSIT - Hartford Division (CTTransit) | 7/15/2020 |
| | NTD | Reporter | Editor | Bailey Krouse (NTD Validation Analyst) | 78100 - Region 1 | 1R01 - Connecticut Department of Transportation (CDOT) | 4/20/2021 |

   b. A link to the report will be available to download shortly after as well as emailed to the **Certifier**.



| | | | | | | | |
|---|---|---|---|---|---|---|---|
| □ | Sunnie DGSadmin | sunnie.dgs@sysadmin.com | FTA | N/A | No | 9/10/2020 5:00 PM EDT | ⊖ |
| □ | ripta Viewer | ripta.viewer1@dot.gov | Organization | 1R07 - Rhode Island Public Transit Authority (RIPTA) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | ripta Safety Editor | ripta.safetyeditor1@dot.gov | Organization | 1R07 - Rhode Island Public Transit Authority (RIPTA) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | tpm Local Security Manager LSM | tpm.lsm3@dot.gov | FTA | N/A | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | toa Validation PM | toa.validationpm1@dot.gov | FTA | N/A | No | 10/6/2020 9:56 AM EDT | ✓ |

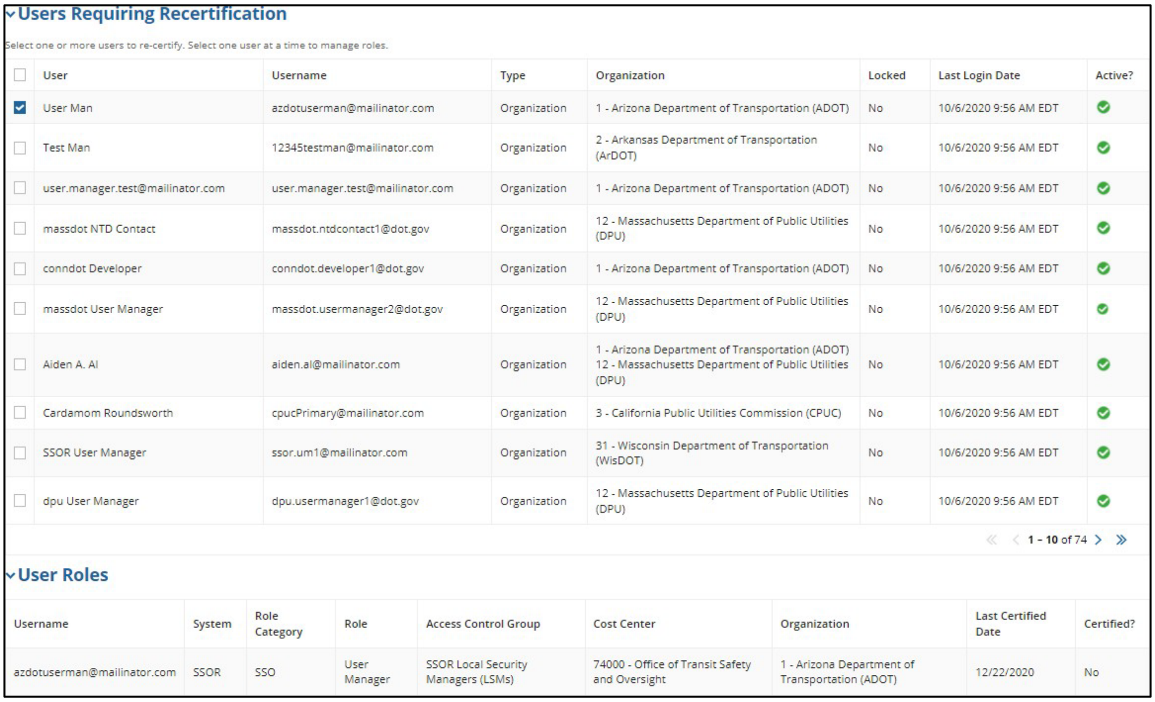
« ‹ **1 - 10** of 252 › »

**Recently Generated Report(s)**

Documents will only be available to download for 15 days after generation.

| Download Link(s) |
|---|
| 12/28/2021 11:51:32 Recertify Users Export for sunnie.tramsgsm@dot.gov.xlsx |
| 12/28/2021 11:25:06 Recertify Users Export for sunnie.tramsgsm@dot.gov.xlsx |

5) The **Certifier** can select a user or users to recertify roles.



**Users Requiring Recertification**

Select one or more users to re-certify. Select one user at a time to manage roles.

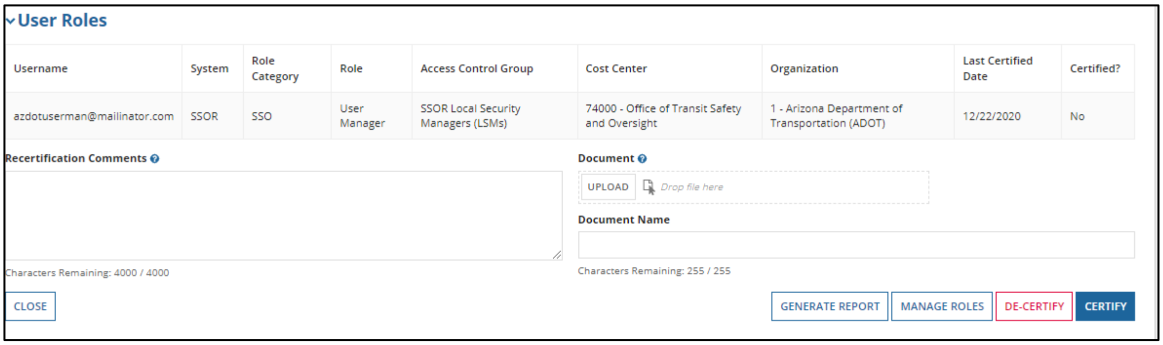
| □ | User | Username | Type | Organization | Locked | Last Login Date | Active? |
|---|---|---|---|---|---|---|---|
| ☑ | User Man | azdotuserman@mailinator.com | Organization | 1 - Arizona Department of Transportation (ADOT) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | Test Man | 12345testman@mailinator.com | Organization | 2 - Arkansas Department of Transportation (ArDOT) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | user.manager.test@mailinator.com | user.manager.test@mailinator.com | Organization | 1 - Arizona Department of Transportation (ADOT) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | massdot NTD Contact | massdot.ntdcontact1@dot.gov | Organization | 12 - Massachusetts Department of Public Utilities (DPU) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | conndot Developer | conndot.developer1@dot.gov | Organization | 1 - Arizona Department of Transportation (ADOT) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | massdot User Manager | massdot.usermanager2@dot.gov | Organization | 12 - Massachusetts Department of Public Utilities (DPU) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | Aiden A. Al | aiden.al@mailinator.com | Organization | 1 - Arizona Department of Transportation (ADOT)<br>12 - Massachusetts Department of Public Utilities (DPU) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | Cardamom Roundsworth | cpucPrimary@mailinator.com | Organization | 3 - California Public Utilities Commission (CPUC) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | SSOR User Manager | ssor.um1@mailinator.com | Organization | 31 - Wisconsin Department of Transportation (WisDOT) | No | 10/6/2020 9:56 AM EDT | ✓ |
| □ | dpu User Manager | dpu.usermanager1@dot.gov | Organization | 12 - Massachusetts Department of Public Utilities (DPU) | No | 10/6/2020 9:56 AM EDT | ✓ |

« ‹ **1 - 10** of 74 › »

**User Roles**

| Username | System | Role Category | Role | Access Control Group | Cost Center | Organization | Last Certified Date | Certified? |
|---|---|---|---|---|---|---|---|---|
| azdotuserman@mailinator.com | SSOR | SSO | User Manager | SSOR Local Security Managers (LSMs) | 74000 - Office of Transit Safety and Oversight | 1 - Arizona Department of Transportation (ADOT) | 12/22/2020 | No |

6) The **Certifier** reviews user(s) details and roles in the User Roles section of the page.



**User Roles**

| Username | System | Role Category | Role | Access Control Group | Cost Center | Organization | Last Certified Date | Certified? |
|---|---|---|---|---|---|---|---|---|
| azdotuserman@mailinator.com | SSOR | SSO | User Manager | SSOR Local Security Managers (LSMs) | 74000 - Office of Transit Safety and Oversight | 1 - Arizona Department of Transportation (ADOT) | 12/22/2020 | No |

Recertification Comments

Characters Remaining: 4000 / 4000

Document

Document Name

Characters Remaining: 255 / 255

a. Username with user details is displayed on the table.

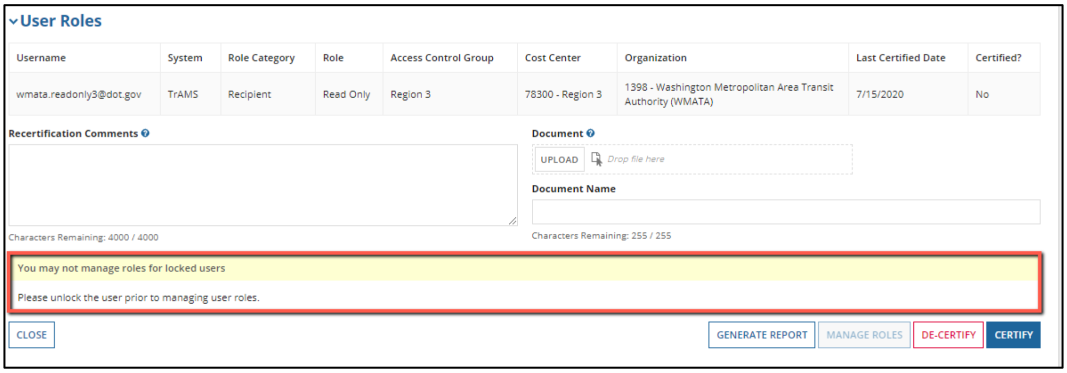
b. **Certifier** then enters Recertification Comments. Recertification Comments are required.

c. Can upload any supporting documentation.

d. Enter Document Name.

e. If a user is active and needs recertification of role(s) and mange role(s) at the same time, the **Certifier** can use the **Manage Roles** button.

f. If a User is locked, the **Certifier** can click on the **Close** button and return to the **Action** Page or navigate to the **Manage Roles** Related Actions if needed to recertify and manage roles:



User Roles

| Username | System | Role Category | Role | Access Control Group | Cost Center | Organization | Last Certified Date | Certified? |
|---|---|---|---|---|---|---|---|---|
| wmata.readonly3@dot.gov | TrAMS | Recipient | Read Only | Region 3 | 78300 - Region 3 | 1398 - Washington Metropolitan Area Transit Authority (WMATA) | 7/15/2020 | No |

Recertification Comments

Characters Remaining: 4000 / 4000

Document

Document Name

Characters Remaining: 255 / 255

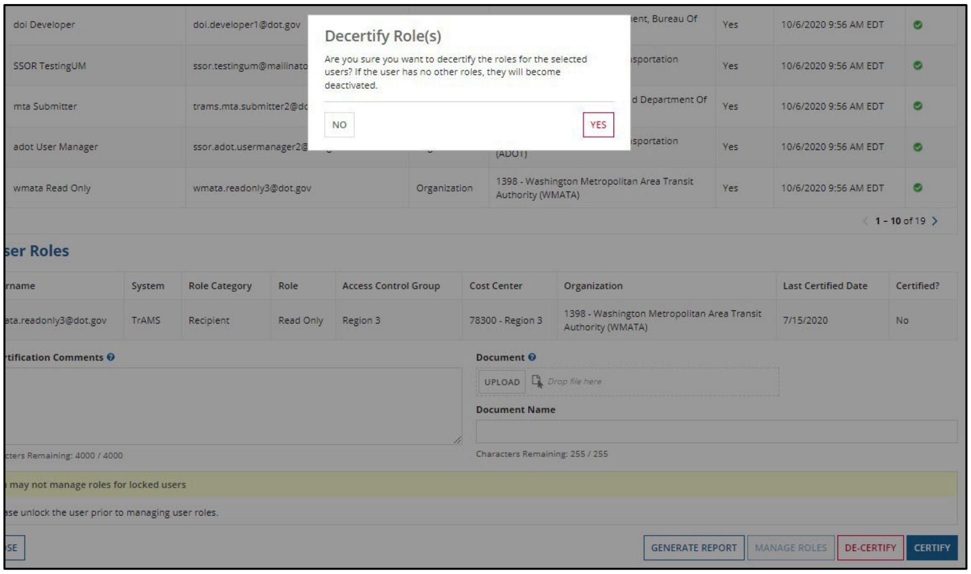
You may not manage roles for locked users

Please unlock the user prior to managing user roles.

See Section [Manage User Role](#) for how to manage user's roles.

g. Click on the **De-Certify** button:

  i. The system displays a confirmation message.



Decertify Role(s)

Are you sure you want to decertify the roles for the selected users? If the user has no other roles, they will become deactivated.

| | | | | | | |
|---|---|---|---|---|---|---|
| doi Developer | doi.developer1@dot.gov | | ent, Bureau Of | Yes | 10/6/2020 9:56 AM EDT | ✓ |
| SSOR TestingUM | ssor.testingum@mailinato | | sportation | Yes | 10/6/2020 9:56 AM EDT | ✓ |
| mta Submitter | trams.mta.submitter2@dc | | d Department Of | Yes | 10/6/2020 9:56 AM EDT | ✓ |
| adot User Manager | ssor.adot.usermanager2@ | | sportation (ADOT) | Yes | 10/6/2020 9:56 AM EDT | ✓ |
| wmata Read Only | wmata.readonly3@dot.gov | Organization | 1398 - Washington Metropolitan Area Transit Authority (WMATA) | Yes | 10/6/2020 9:56 AM EDT | ✓ |

1 - 10 of 19

ser Roles

| rname | System | Role Category | Role | Access Control Group | Cost Center | Organization | Last Certified Date | Certified? |
|---|---|---|---|---|---|---|---|---|
| ata.readonly3@dot.gov | TrAMS | Recipient | Read Only | Region 3 | 78300 - Region 3 | 1398 - Washington Metropolitan Area Transit Authority (WMATA) | 7/15/2020 | No |

tification Comments

cters Remaining: 4000 / 4000

Document

Document Name

Characters Remaining: 255 / 255

may not manage roles for locked users

ise unlock the user prior to managing user roles.

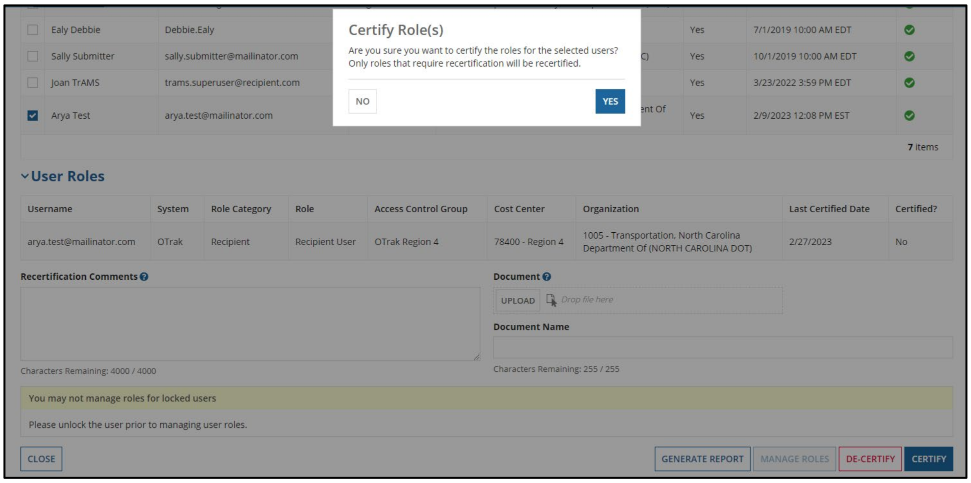
  ii. The **Certifier** will click the ***Yes*** button.

  iii. The user's role is de-certified.

- If a user has any existing roles, then roles that are de-certified will be deleted.
- If a user has no other existing certified roles the decertify action will deactivate the user.

h. Can click on the **Certify** button:

i. The system displays a confirmation message.



|  |  |  |  |  |  |  |
|---|---|---|---|---|---|---|
| □ | Ealy Debbie | Debbie.Ealy |  | Yes | 7/1/2019 10:00 AM EDT | ✓ |
| □ | Sally Submitter | sally.submitter@mailinator.com | C) | Yes | 10/1/2019 10:00 AM EDT | ✓ |
| □ | Joan TrAMS | trams.superuser@recipient.com |  | Yes | 3/23/2022 3:59 PM EDT | ✓ |
| ☑ | Arya Test | arya.test@mailinator.com | ent Of | Yes | 2/9/2023 12:08 PM EST | ✓ |

**7** items

Certify Role(s)

Are you sure you want to certify the roles for the selected users? Only roles that require recertification will be recertified.

User Roles

| Username | System | Role Category | Role | Access Control Group | Cost Center | Organization | Last Certified Date | Certified? |
|---|---|---|---|---|---|---|---|---|
| arya.test@mailinator.com | OTrak | Recipient | Recipient User | OTrak Region 4 | 78400 - Region 4 | 1005 - Transportation, North Carolina Department Of (NORTH CAROLINA DOT) | 2/27/2023 | No |

Recertification Comments

Characters Remaining: 4000 / 4000

Document

Drop file here

Document Name

Characters Remaining: 255 / 255

You may not manage roles for locked users

Please unlock the user prior to managing user roles.

ii. The **Certifier** will click the ***Yes*** button.

iii. User’s role is certified until next year.

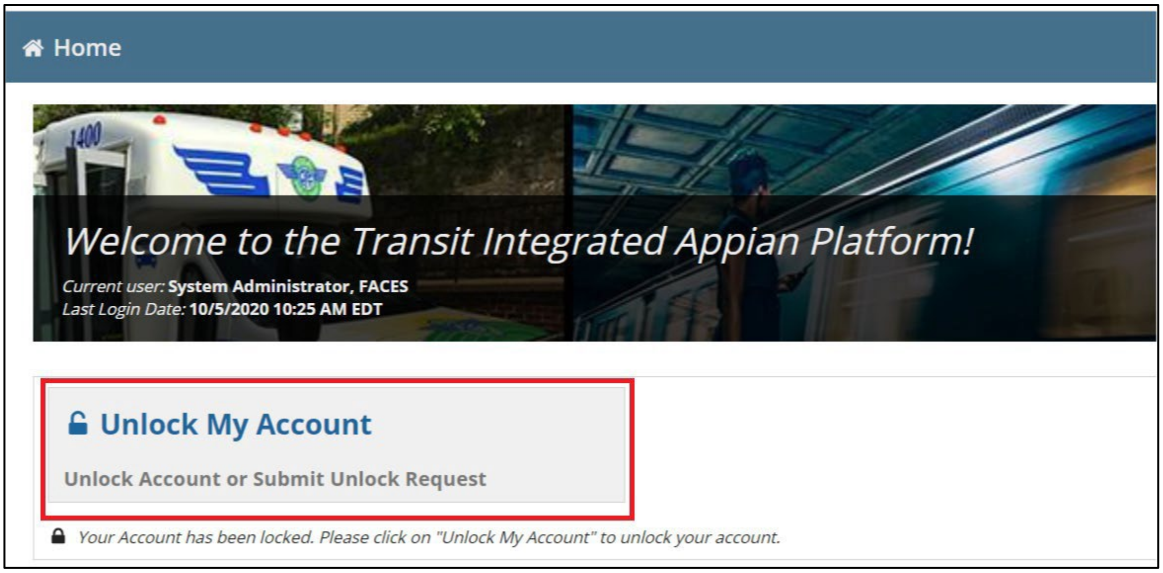
| **Note:** | *If the certifier does not recertify their assigned users before the end of the recertification window, all the uncertified users will be locked. Users locked because of recertification activities will receive an email to inform them, they no longer have access to the system. If they are not unlocked within two weeks, users locked because of recertification activities will be deactivated.* |
|---|---|

## 7.4. User Lock/Unlock Request Process

A user account can be locked if a Certifier does not recertify the user’s role during the recertification period. The user will be required to submit an Unlock My Account request from his or her system. A locked user cannot perform any action on the system until his or her account is unlocked.

How a user can request to have his or her account unlocked:

1) **User** logs into System.
2) **User** clicks ***Unlock My Account***.



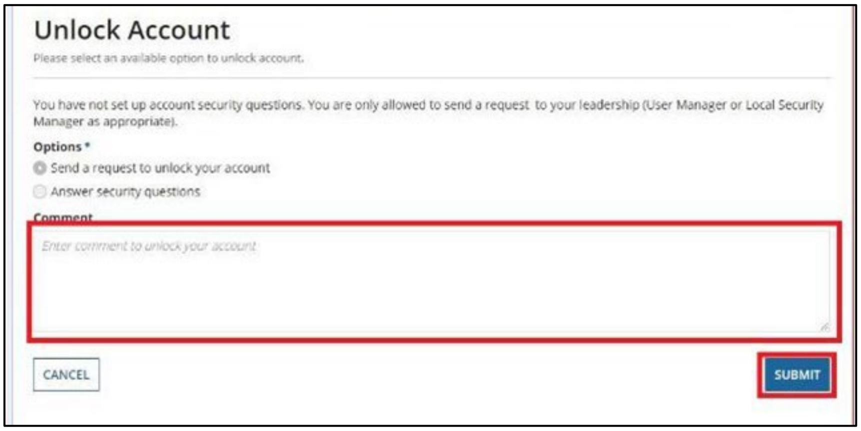
Welcome to the Transit Integrated Appian Platform!

*Current user:* **System Administrator, FACES**
*Last Login Date:* **10/5/2020 10:25 AM EDT**

*Your Account has been locked. Please click on "Unlock My Account" to unlock your account.*

3) The **System** displays the **Unlock Account** page.

4) **User** enters comment and clicks ***Submit*** button.



Unlock Account

Please select an available option to unlock account.

You have not set up account security questions. You are only allowed to send a request to your leadership (User Manager or Local Security Manager as appropriate).

Options *

● Send a request to unlock your account

○ Answer security questions

Comment

*Enter comment to unlock your account*

| **Note:** | *The user will not be able to select the Answer Security Questions option.* |
|---|---|

### 7.5. Certifier Unlocking User's Locked Account

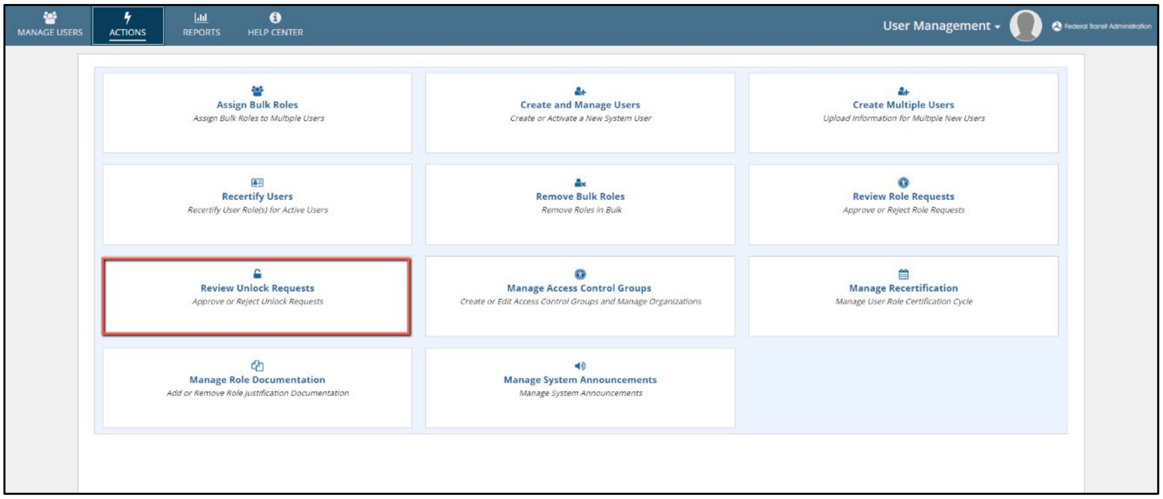
If a user submits an unlock request during recertification, their Certifier will receive an email notification to unlock the account. A user account locked during recertification will be deactivated two weeks after the end of the recertification window if the Certifier does not unlock the account.

*Hint: Alternatively, a certifier can use Unlock related action to unlock locked users. There is no mandate for users to submit unlock request in this case.*

How a **Certifier** can unlock a user's account:

1) **Certifier** logs into System and clicks Actions.

2) **Certifier** clicks ***Review Unlock Request.***



**Assign Bulk Roles**
Assign Bulk Roles to Multiple Users

**Create and Manage Users**
Create or Activate a New System User

**Create Multiple Users**
Upload Information for Multiple New Users

**Recertify Users**
Recertify User Role(s) for Active Users

**Remove Bulk Roles**
Remove Roles in Bulk

**Review Role Requests**
Approve or Reject Role Requests

**Review Unlock Requests**
Approve or Reject Unlock Requests

**Manage Access Control Groups**
Create or Edit Access Control Groups and Manage Organizations

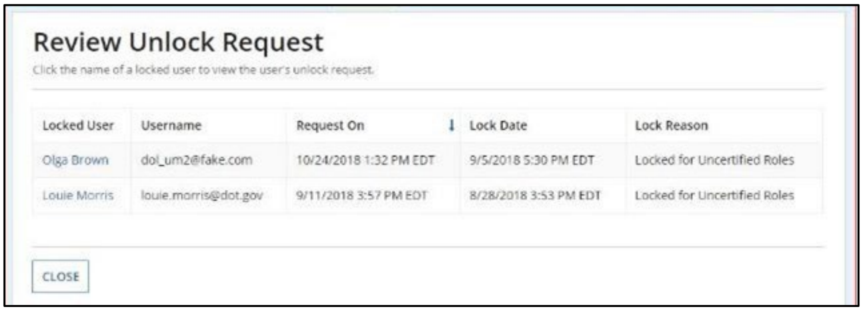
**Manage Recertification**
Manage User Role Certification Cycle

**Manage Role Documentation**
Add or Remove Role Justification Documentation

**Manage System Announcements**
Manage System Announcements

3) The **System** displays Review Unlock Request page.

4) **Certifier** clicks on locked username.



## Review Unlock Request

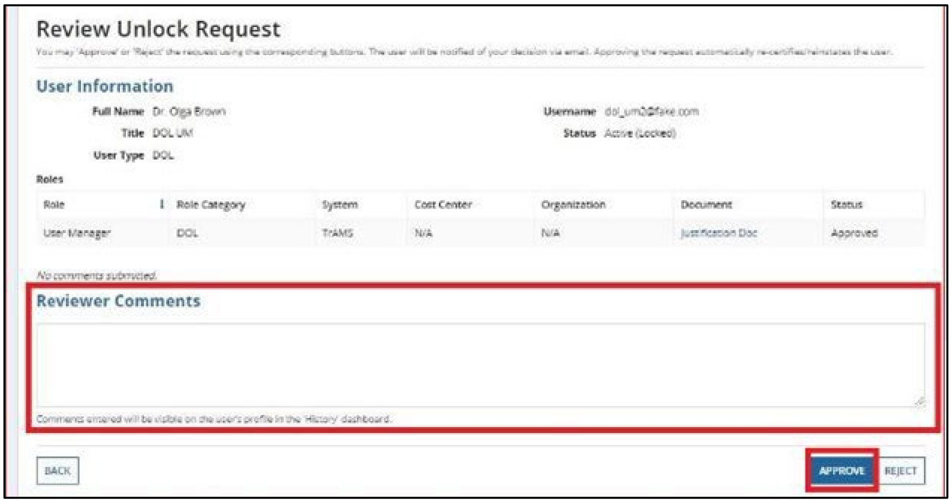
Click the name of a locked user to view the user's unlock request.

| Locked User | Username | Request On | Lock Date | Lock Reason |
|---|---|---|---|---|
| Olga Brown | dol_um2@fake.com | 10/24/2018 1:32 PM EDT | 9/5/2018 5:30 PM EDT | Locked for Uncertified Roles |
| Louie Morris | louie.morris@dot.gov | 9/11/2018 3:57 PM EDT | 8/28/2018 3:53 PM EDT | Locked for Uncertified Roles |

5) The **System** displays User information page.

6) **Certifier** may enter text to explain the unlock action in the Reviewer Comments section.

7) **Certifier** clicks on Approved button.



## Review Unlock Request

You may 'Approve' or 'Reject' the request using the corresponding buttons. The user will be notified of your decision via email. Approving the request automatically re-certifies/reinstates the user.

### User Information

**Full Name** Dr. Olga Brown
**Title** DOL UM
**User Type** DOL
**Username** dol_um2@fake.com
**Status** Active (Locked)

**Roles**

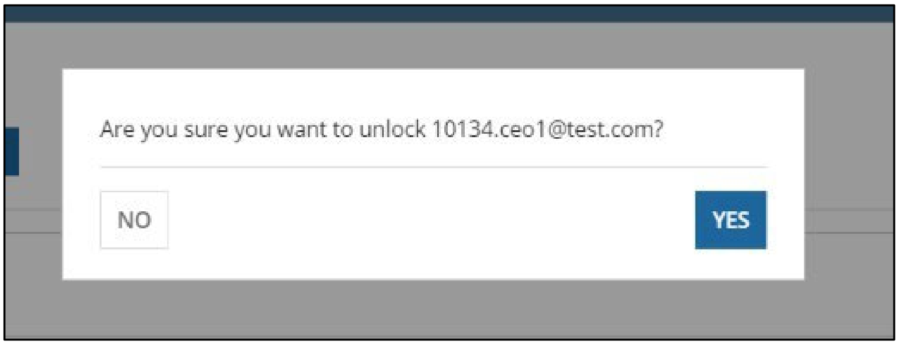
| Role | Role Category | System | Cost Center | Organization | Document | Status |
|---|---|---|---|---|---|---|
| User Manager | DOL | TrAMS | N/A | N/A | Justification Doc | Approved |

*No comments submitted.*

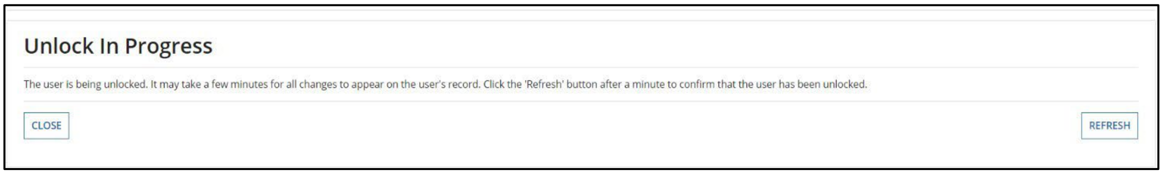
### Reviewer Comments

Comments entered will be visible on the user's profile in the 'History' dashboard.

8) In the confirmation screen confirm you want to unlock user.


Are you sure you want to unlock 10134.ceo1@test.com?

9) On selecting ***Yes***, the system will proceed with deactivation. The **Unlock in Progress** page will display. Click ***CLOSE*** to go back to the ***Related Actions*** or ***REFRESH*** to refresh the page.


Unlock In Progress

The user is being unlocked. It may take a few minutes for all changes to appear on the user's record. Click the 'Refresh' button after a minute to confirm that the user has been unlocked.

| | |
|---|---|
| **Note:** | *Approving the request automatically re-certifies/reinstates the user's role. Certifier can reject the unlock request and the user account will continue to remain locked.* |

## Appendix A: Acronyms and Definitions

The following table provides definitions for abbreviations and acronyms used in this document.

| Acronym | Definition |
|---|---|
| DGS | Discretionary Grant System |
| DOL | Department of Labor |
| DOT | Department of Transportation |
| ECHO-Web | Electronic Clearing House Operation Web |
| FACES | FTA Access Control and Entry System |
| FTA | Federal Transit Administration |
| GSM | Global Security Manager |
| LSM | Local Security Manager |
| NTD | National Transit Database |
| SSOR | State Safety Oversight Reporting |
| TrAMS | Transit Award Management System |
| UM | User Manager |
| URL | Universal Resource Locator (i.e., web address) |

# Appendix B: User Role Rules & Actor Role Matrices

This appendix contains user role assignment rules and the actor role matrix by system (e.g., TrAMS, NTD or DGS). For information about the privileges a role confers, see the appropriate user guide for the system in question.

## 1. FTA Platform Rules

1) FTA user type is platform wide.
2) FTA users can only be assigned roles that match their platform user type.
3) FTA Users can only be assigned FTA user roles.
4) Organization users can only be assigned organization user roles.
5) External users can only be assigned roles that match their external user subtype.
    a. Auditors can only be assigned auditor roles.
    b. Contractors can only be assigned contractor roles.
    c. DOL users can only be assigned DOL roles.
    d. DOT users can only be assigned DOT roles.
    e. Non-DOT users can only be assigned Non-DOT roles.

## 1. NTD Rules

General Rule: Each reporter user can have up to two roles per Reporter organization (if a user has two (2) roles, one role must be User Manager.)

| | | Rule Type | | | |
|---|---|---|---|---|---|
| | | | Association Property | | |
| Role Category | Roles | Incompatibility | Max Per Organization | Max Per User | Rule |
| Global Users | Global Viewer | x | | | Unable to be held in combination with any other NTD role |
| Reporter | CEO | | x | | There can only be 1 "CEO" role within an organization |
| | | | | x | A user can only have 1 "CEO" role within their profile. |
| | CEO Delegate | | | x | A user can only have 1 of the "CEO Delegate" within their profile |
| | Editor | x | | | Unable to have the role of a "Safety Contact", "Safety Editor", "Safety Viewer", and/or a "Viewer" role |
| | | | | x | A user can only have 1 "Editor" role within their profile |
| | NTD Contact | x | | | Unable to have the role of an "Editor", "Safety Contact", "Safety Editor", "Safety Viewer", and/or a "Viewer" role |
| | | | x | | There can only be 1 "NTD Contact" role within an organization |
| | | | | x | A user can only have 1 "NTD Contact" role within their profile |
| | Safety Contact | x | | | Unable to have the role of an "Editor", "NTD Contact", "Safety Editor", and/or "Safety Viewer" role |
| | | | x | | There can only be 1 "Safety Contact" role within an organization |
| | | | | x | A user can only have 1 "Safety Contact" role within their profile |
| | Safety Editor | x | | | Unable to have the role of an "Editor", "NTD Contact", "Safety Contact", "Safety Viewer", and/or a "Viewer" role |
| | | | | x | A user can only have 1 "Safety Editor" role within their profile |
| | Safety Viewer | x | | | Unable to have the role of an "Editor", "NTD Contact", "Safety Contact", "Safety Editor", and/or a "Viewer" role |
| | | | | x | A user can only have 1 "Safety Viewer" role within their profile |
| | User Manager | | | x | A user can only have 1 "User manager" role within their profile |
| | Viewer | x | | | Unable to have the role of an "Editor", "NTD Contact", "Safety Editor", and/or a "Safety Viewer" role |
| | | | | x | A user can only have 1 "Viewer" role within their profile |

## 2. TrAMS Rules & Cost Center FTA Roles

### TrAMS Rules

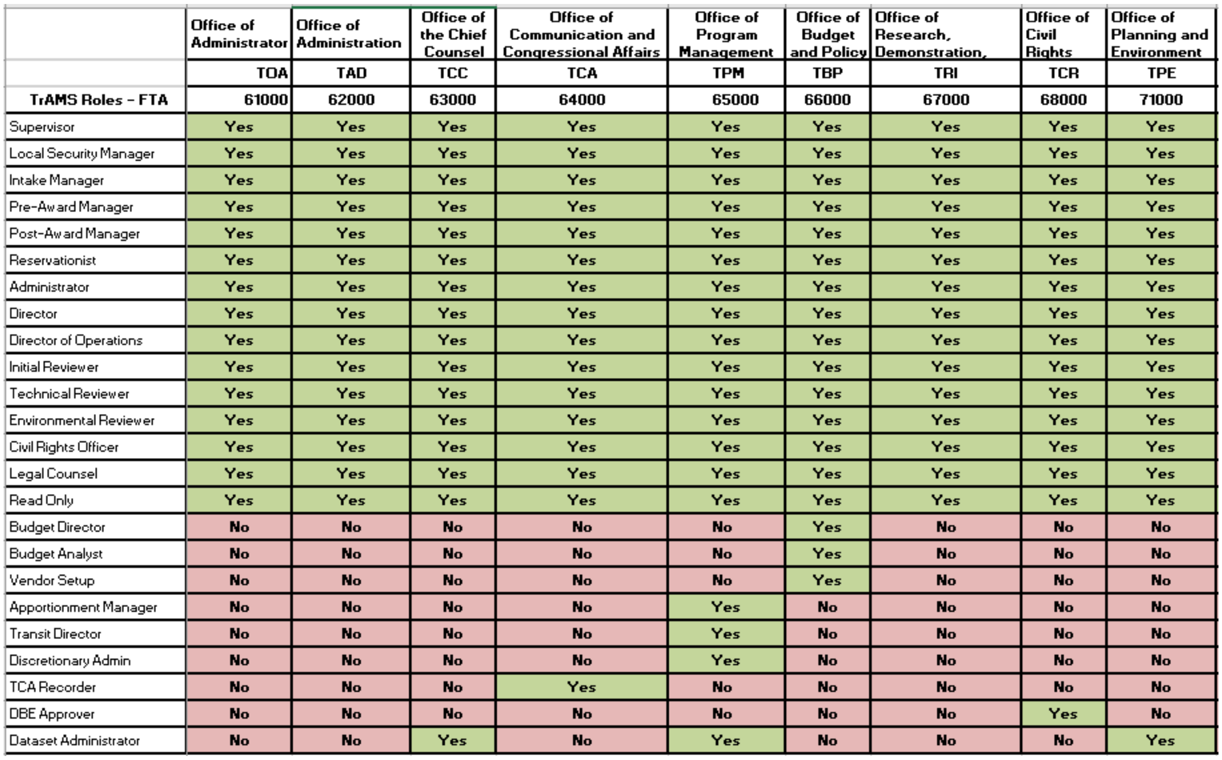
| TrAMS Recipient Roles | Rules |
|---|---|
| Read Only | • The Read Only role cannot be assigned at the same time as any other recipient roles within a single recipient organization. |
| User Manager | • The User Manager assignment must be approved by an LSM or GSM. |
| Submitter | • The Submitter assignment must be approved by an LSM or GSM.<br>• Role assignment requires attachment of Delegation of Authority letter. |
| Developer | • No rules apply to this assignment |
| Official | • The Official assignment must be approved by an LSM or GSM.<br>• Role assignment requires attachment of Delegation of Authority letter. |
| Attorney | • The Attorney assignment must be approved by an LSM or GSM.<br>• Role assignment requires attachment of Delegation of Authority letter. |
| Civil Rights | • No rules apply to this assignment |
| FFR Reporter | • No rules apply to this assignment |
| MPR Reporter | • No rules apply to this assignment |
| JPC Procurement Officer | • No rules apply to this assignment |

## TrAMS Cost Center FTA Roles

### TrAMS FTA Roles

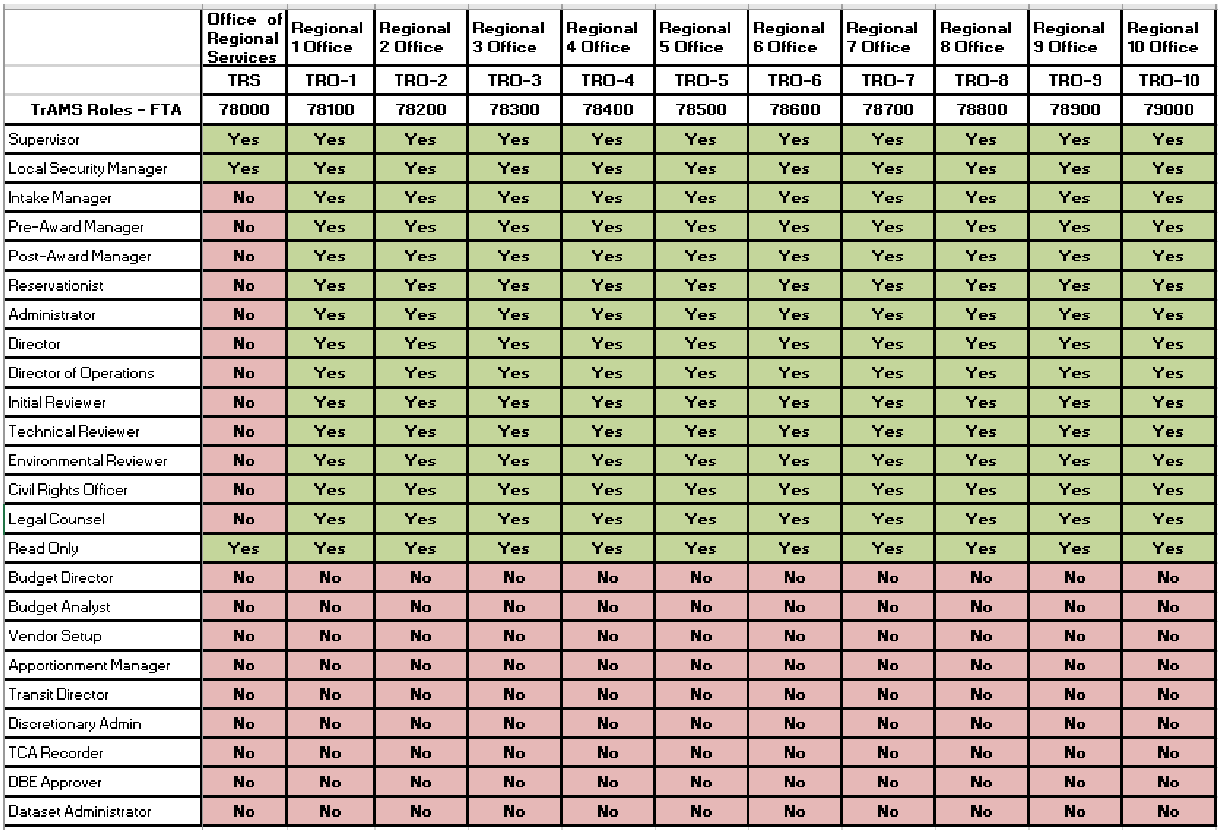
The table below shows which roles are applicable to each Cost Center:

Part 1 of 2



| | Office of Administrator | Office of Administration | Office of the Chief Counsel | Office of Communication and Congressional Affairs | Office of Program Management | Office of Budget and Policy | Office of Research, Demonstration, | Office of Civil Rights | Office of Planning and Environment |
|---|---|---|---|---|---|---|---|---|---|
| | TOA | TAD | TCC | TCA | TPM | TBP | TRI | TCR | TPE |
| **TrAMS Roles - FTA** | 61000 | 62000 | 63000 | 64000 | 65000 | 66000 | 67000 | 68000 | 71000 |
| Supervisor | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Local Security Manager | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Intake Manager | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Pre-Award Manager | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Post-Award Manager | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Reservationist | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Administrator | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Director | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Director of Operations | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Initial Reviewer | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Technical Reviewer | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Environmental Reviewer | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Civil Rights Officer | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Legal Counsel | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Read Only | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Budget Director | No | No | No | No | No | Yes | No | No | No |
| Budget Analyst | No | No | No | No | No | Yes | No | No | No |
| Vendor Setup | No | No | No | No | No | Yes | No | No | No |
| Apportionment Manager | No | No | No | No | Yes | No | No | No | No |
| Transit Director | No | No | No | No | Yes | No | No | No | No |
| Discretionary Admin | No | No | No | No | Yes | No | No | No | No |
| TCA Recorder | No | No | No | Yes | No | No | No | No | No |
| DBE Approver | No | No | No | No | No | No | No | Yes | No |
| Dataset Administrator | No | No | Yes | No | Yes | No | No | No | Yes |

Part 2 of 2



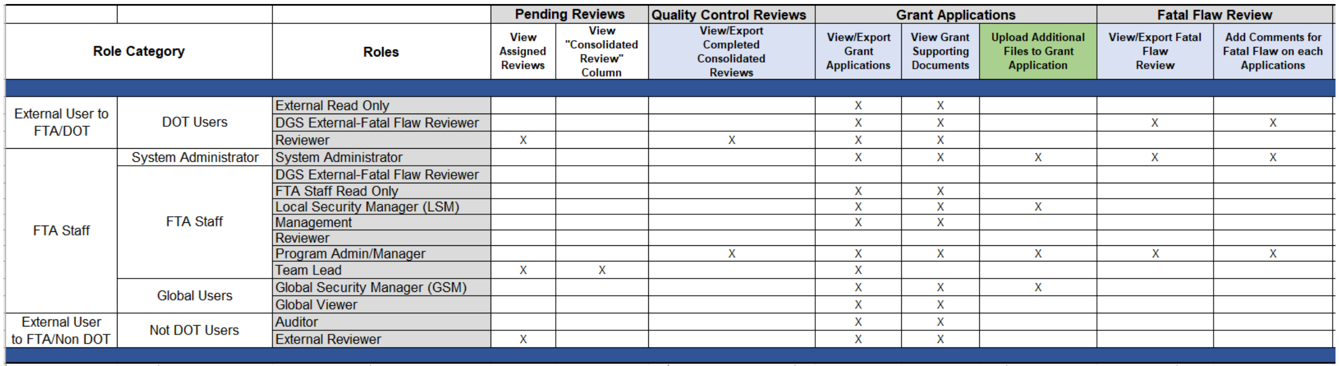
| | Office of Regional Services | Regional 1 Office | Regional 2 Office | Regional 3 Office | Regional 4 Office | Regional 5 Office | Regional 6 Office | Regional 7 Office | Regional 8 Office | Regional 9 Office | Regional 10 Office |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | TRS | TRO-1 | TRO-2 | TRO-3 | TRO-4 | TRO-5 | TRO-6 | TRO-7 | TRO-8 | TRO-9 | TRO-10 |
| **TrAMS Roles - FTA** | 78000 | 78100 | 78200 | 78300 | 78400 | 78500 | 78600 | 78700 | 78800 | 78900 | 79000 |
| Supervisor | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Local Security Manager | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Intake Manager | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Pre-Award Manager | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Post-Award Manager | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Reservationist | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Administrator | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Director | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Director of Operations | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Initial Reviewer | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Technical Reviewer | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Environmental Reviewer | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Civil Rights Officer | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Legal Counsel | No | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Read Only | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |
| Budget Director | No | No | No | No | No | No | No | No | No | No | No |
| Budget Analyst | No | No | No | No | No | No | No | No | No | No | No |
| Vendor Setup | No | No | No | No | No | No | No | No | No | No | No |
| Apportionment Manager | No | No | No | No | No | No | No | No | No | No | No |
| Transit Director | No | No | No | No | No | No | No | No | No | No | No |
| Discretionary Admin | No | No | No | No | No | No | No | No | No | No | No |
| TCA Recorder | No | No | No | No | No | No | No | No | No | No | No |
| DBE Approver | No | No | No | No | No | No | No | No | No | No | No |
| Dataset Administrator | No | No | No | No | No | No | No | No | No | No | No |

## 3. DGS Rules & Actor Role Matrix

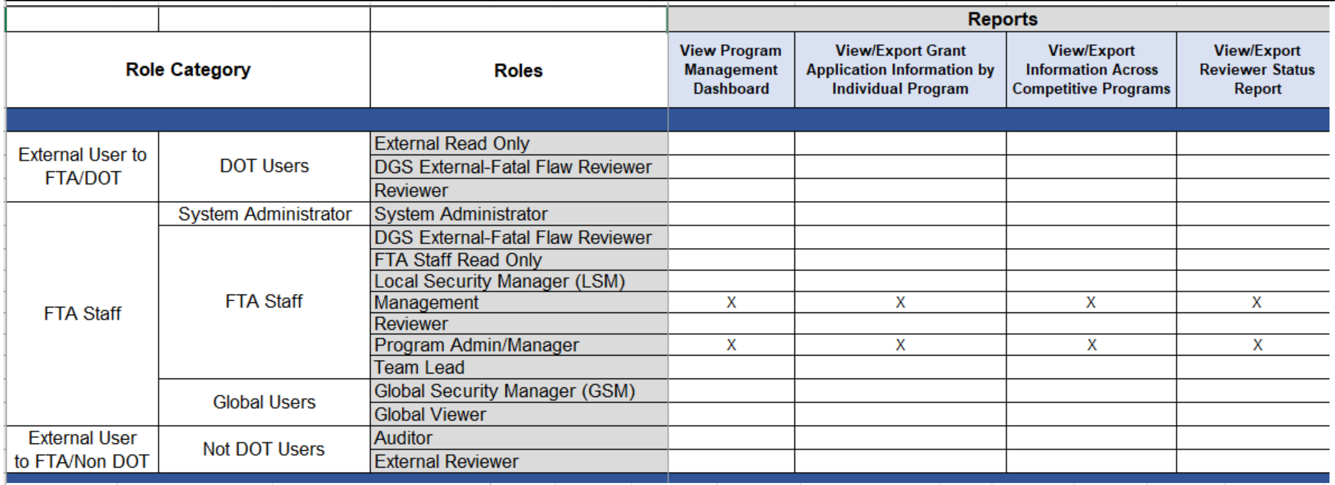
### DGS Rules

| | | Rule Type | | |
|---|---|---|---|---|
| Role Category | Roles | Incompatibility | Association Property | Rule |
| FTA Staff | FTA Staff Read-Only | x | | Unable to be held in combination with any other DGS role |
| | Global Viewer | x | | Unable to be held in combination with any other DGS role |
| DOT | External Reviewer | x | | Unable to be held in combination with any other DGS role |

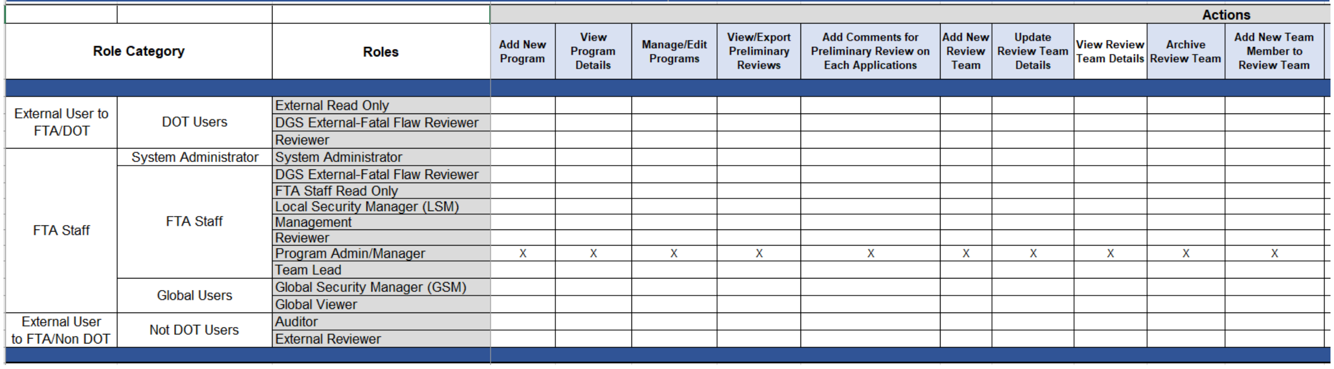
## DGS Actor Role Matrix



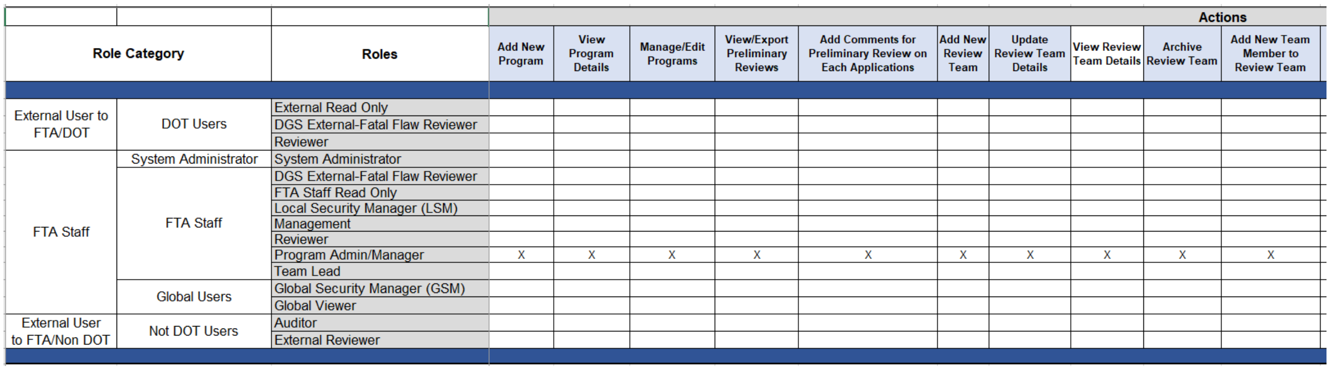
| | | | Pending Reviews | | Quality Control Reviews | Grant Applications | | | Fatal Flaw Review | |
|---|---|---|---|---|---|---|---|---|---|---|
| Role Category | | Roles | View Assigned Reviews | View "Consolidated Review" Column | View/Export Completed Consolidated Reviews | View/Export Grant Applications | View Grant Supporting Documents | Upload Additional Files to Grant Application | View/Export Fatal Flaw Review | Add Comments for Fatal Flaw on each Applications |
| External User to FTA/DOT | DOT Users | External Read Only | | | | X | X | | | |
| | | DGS External-Fatal Flaw Reviewer | | | | X | X | | X | X |
| | | Reviewer | X | | X | X | X | | | |
| FTA Staff | System Administrator | System Administrator | | | | X | X | X | X | X |
| | FTA Staff | DGS External-Fatal Flaw Reviewer | | | | | | | | |
| | | FTA Staff Read Only | | | | X | X | | | |
| | | Local Security Manager (LSM) | | | | X | X | X | | |
| | | Management | | | | X | X | | | |
| | | Reviewer | | | | | | | | |
| | | Program Admin/Manager | | | X | X | X | X | X | X |
| | | Team Lead | X | X | | X | | | | |
| | Global Users | Global Security Manager (GSM) | | | | X | X | X | | |
| | | Global Viewer | | | | X | X | | | |
| External User to FTA/Non DOT | Not DOT Users | Auditor | | | | X | X | | | |
| | | External Reviewer | X | | | X | X | | | |



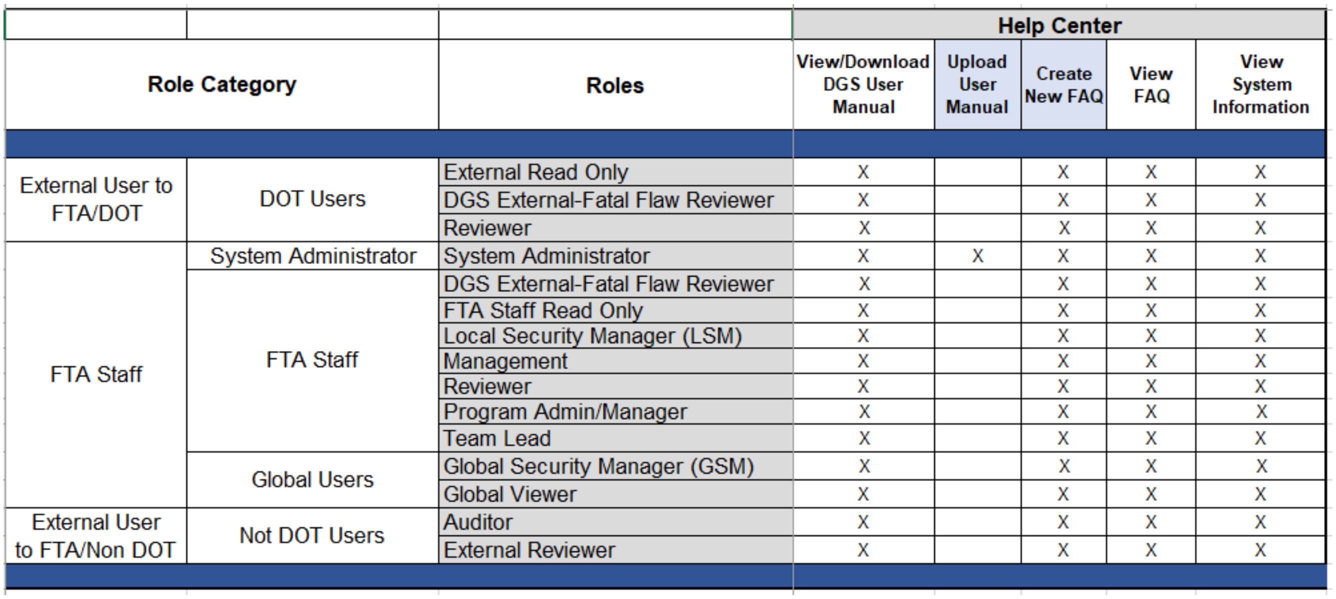
| | | | Reports | | | |
|---|---|---|---|---|---|---|
| Role Category | | Roles | View Program Management Dashboard | View/Export Grant Application Information by Individual Program | View/Export Information Across Competitive Programs | View/Export Reviewer Status Report |
| External User to FTA/DOT | DOT Users | External Read Only | | | | |
| | | DGS External-Fatal Flaw Reviewer | | | | |
| | | Reviewer | | | | |
| FTA Staff | System Administrator | System Administrator | | | | |
| | FTA Staff | DGS External-Fatal Flaw Reviewer | | | | |
| | | FTA Staff Read Only | | | | |
| | | Local Security Manager (LSM) | | | | |
| | | Management | X | X | X | X |
| | | Reviewer | | | | |
| | | Program Admin/Manager | X | X | X | X |
| | | Team Lead | | | | |
| | Global Users | Global Security Manager (GSM) | | | | |
| | | Global Viewer | | | | |
| External User to FTA/Non DOT | Not DOT Users | Auditor | | | | |
| | | External Reviewer | | | | |



| | | | Actions | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Role Category | | Roles | Add New Program | View Program Details | Manage/Edit Programs | View/Export Preliminary Reviews | Add Comments for Preliminary Review on Each Applications | Add New Review Team | Update Review Team Details | View Review Team Details | Archive Review Team | Add New Team Member to Review Team |
| External User to FTA/DOT | DOT Users | External Read Only | | | | | | | | | | |
| | | DGS External-Fatal Flaw Reviewer | | | | | | | | | | |
| | | Reviewer | | | | | | | | | | |
| FTA Staff | System Administrator | System Administrator | | | | | | | | | | |
| | FTA Staff | DGS External-Fatal Flaw Reviewer | | | | | | | | | | |
| | | FTA Staff Read Only | | | | | | | | | | |
| | | Local Security Manager (LSM) | | | | | | | | | | |
| | | Management | | | | | | | | | | |
| | | Reviewer | | | | | | | | | | |
| | | Program Admin/Manager | X | X | X | X | X | X | X | X | X | X |
| | | Team Lead | | | | | | | | | | |
| | Global Users | Global Security Manager (GSM) | | | | | | | | | | |
| | | Global Viewer | | | | | | | | | | |
| External User to FTA/Non DOT | Not DOT Users | Auditor | | | | | | | | | | |
| | | External Reviewer | | | | | | | | | | |



| | | | Actions | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Role Category | | Roles | Add New Program | View Program Details | Manage/Edit Programs | View/Export Preliminary Reviews | Add Comments for Preliminary Review on Each Applications | Add New Review Team | Update Review Team Details | View Review Team Details | Archive Review Team | Add New Team Member to Review Team |
| External User to FTA/DOT | DOT Users | External Read Only | | | | | | | | | | |
| | | DGS External-Fatal Flaw Reviewer | | | | | | | | | | |
| | | Reviewer | | | | | | | | | | |
| FTA Staff | System Administrator | System Administrator | | | | | | | | | | |
| | FTA Staff | DGS External-Fatal Flaw Reviewer | | | | | | | | | | |
| | | FTA Staff Read Only | | | | | | | | | | |
| | | Local Security Manager (LSM) | | | | | | | | | | |
| | | Management | | | | | | | | | | |
| | | Reviewer | | | | | | | | | | |
| | | Program Admin/Manager | X | X | X | X | X | X | X | X | X | X |
| | | Team Lead | | | | | | | | | | |
| | Global Users | Global Security Manager (GSM) | | | | | | | | | | |
| | | Global Viewer | | | | | | | | | | |
| External User to FTA/Non DOT | Not DOT Users | Auditor | | | | | | | | | | |
| | | External Reviewer | | | | | | | | | | |



| | | | Help Center | | | | |
|---|---|---|---|---|---|---|---|
| Role Category | | Roles | View/Download DGS User Manual | Upload User Manual | Create New FAQ | View FAQ | View System Information |
| External User to FTA/DOT | DOT Users | External Read Only | X | | X | X | X |
| | | DGS External-Fatal Flaw Reviewer | X | | X | X | X |
| | | Reviewer | X | | X | X | X |
| FTA Staff | System Administrator | System Administrator | X | X | X | X | X |
| | FTA Staff | DGS External-Fatal Flaw Reviewer | X | | X | X | X |
| | | FTA Staff Read Only | X | | X | X | X |
| | | Local Security Manager (LSM) | X | | X | X | X |
| | | Management | X | | X | X | X |
| | | Reviewer | X | | X | X | X |
| | | Program Admin/Manager | X | | X | X | X |
| | | Team Lead | X | | X | X | X |
| | Global Users | Global Security Manager (GSM) | X | | X | X | X |
| | | Global Viewer | X | | X | X | X |
| External User to FTA/Non DOT | Not DOT Users | Auditor | X | | X | X | X |
| | | External Reviewer | X | | X | X | X |

## 4. SSOR Rules & Actor Role Matrix

SSOR Rules

| | | Rule Type | | |
|---|---|---|---|---|
| Role Category | Roles | Incompatibility | Association Property | Rule |
| FTA Staff | Global Viewer | x | | Unable to be held in combination with any other SSOR role |

SSOR Actor Role Matrix

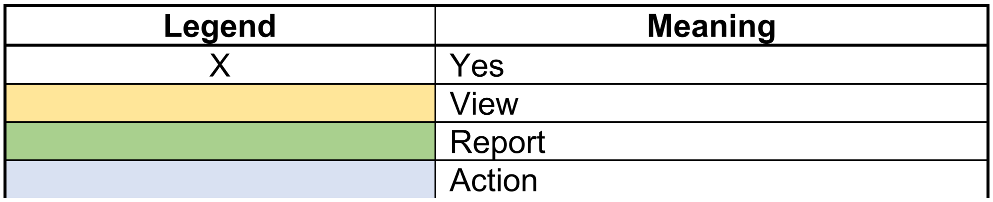
Notes

1. FTA Users: This user type includes FTA employees and federal contractors who directly support FTA. All FTA users have FTA email accounts ending in @dot.gov. These users generally have higher level access and management capabilities across all systems.

2. Organization Users: This user type includes individuals who are employed by or support an organization that uses an FTA platform software system. The users are grouped by their organization(s).

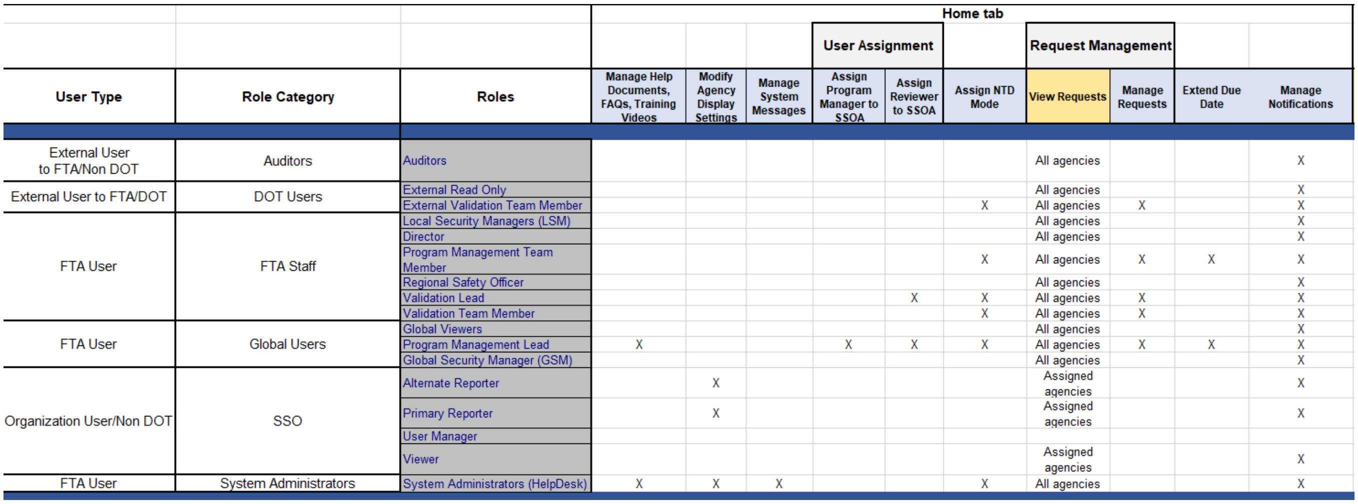
3. External Users: This user type includes individuals external to FTA but provide support or oversight to one of the FTA platform software systems. External users have can five sub-types in FACES: Auditors, Contractors, Department of Transportation (DOT, though separate from the FTA), Non-DOT, and Department of Labor (DOL) users.  The SSOR system utilizes the Auditor/Non-DOT and Department of Transportation (DOT) External type users.

Legend



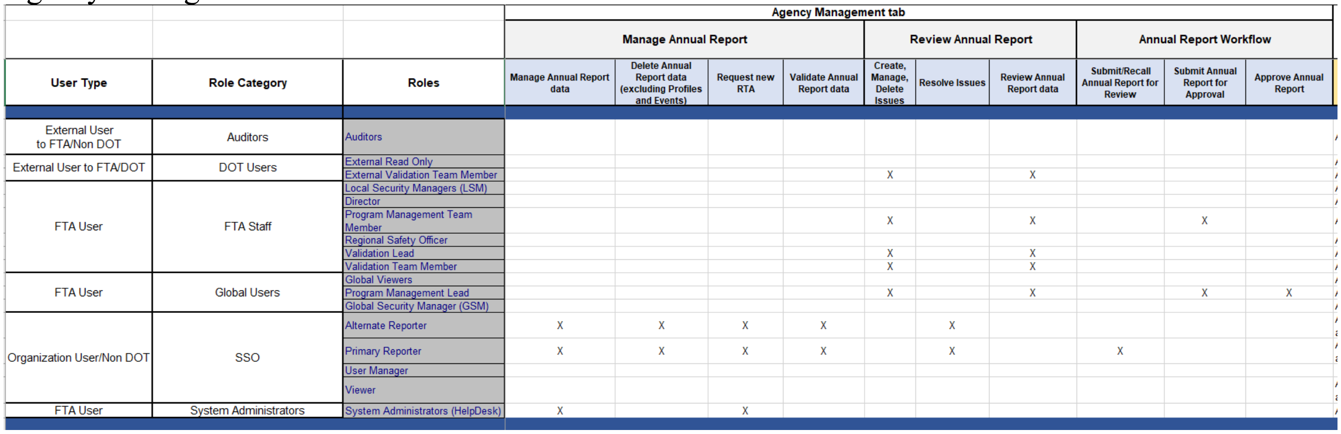
| Legend | Meaning |
|---|---|
| X | Yes |
| 🟨 | View |
| 🟩 | Report |
| 🟦 | Action |

Home Tab:



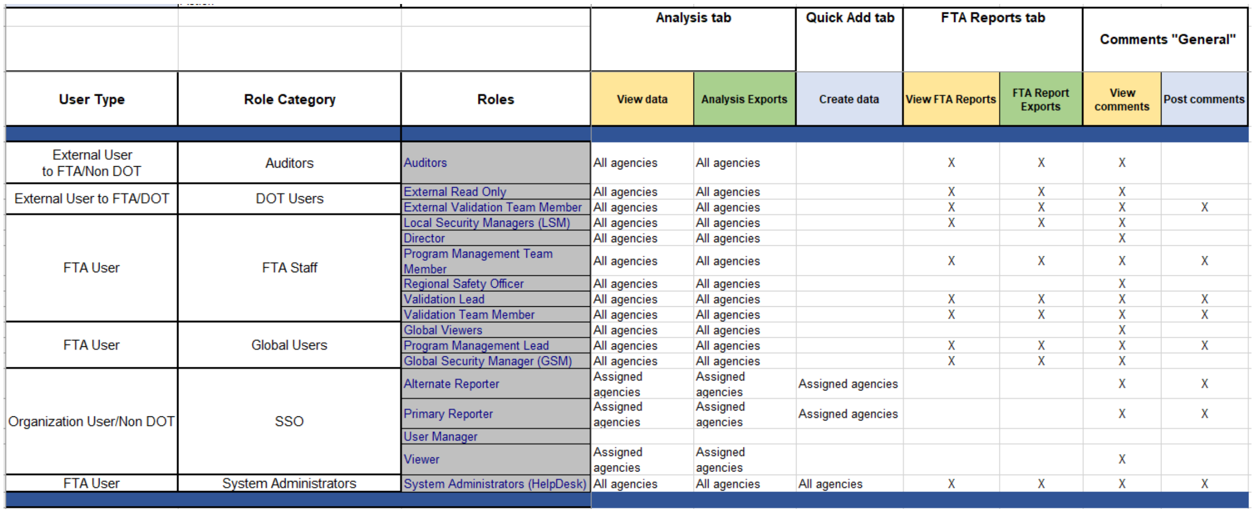
| | | | Home tab | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | User Assignment | | | Request Management | | | |
| **User Type** | **Role Category** | **Roles** | Manage Help Documents, FAQs, Training Videos | Modify Agency Display Settings | Manage System Messages | Assign Program Manager to SSOA | Assign Reviewer to SSOA | Assign NTD Mode | View Requests | Manage Requests | Extend Due Date | Manage Notifications |
| External User to FTA/Non DOT | Auditors | Auditors | | | | | | | All agencies | | | X |
| External User to FTA/DOT | DOT Users | External Read Only | | | | | | | All agencies | | | X |
| | | External Validation Team Member | | | | | | X | All agencies | X | | X |
| FTA User | FTA Staff | Local Security Managers (LSM) | | | | | | | All agencies | | | X |
| | | Director | | | | | | | All agencies | | | X |
| | | Program Management Team Member | | | | | | X | All agencies | X | X | X |
| | | Regional Safety Officer | | | | | | | All agencies | | | X |
| | | Validation Lead | | | | | X | X | All agencies | X | | X |
| | | Validation Team Member | | | | | | X | All agencies | X | | X |
| FTA User | Global Users | Global Viewers | | | | | | | All agencies | | | X |
| | | Program Management Lead | X | | | X | X | X | All agencies | X | X | X |
| | | Global Security Manager (GSM) | | | | | | | All agencies | | | X |
| Organization User/Non DOT | SSO | Alternate Reporter | | X | | | | | Assigned agencies | | | X |
| | | Primary Reporter | | X | | | | | Assigned agencies | | | X |
| | | User Manager | | | | | | | | | | |
| | | Viewer | | | | | | | Assigned agencies | | | X |
| FTA User | System Administrators | System Administrators (HelpDesk) | X | X | X | | | X | All agencies | | | X |

## Agency Management Tab:



| | | | Agency Management tab | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Manage Annual Report | | | | Review Annual Report | | | Annual Report Workflow | | |
| **User Type** | **Role Category** | **Roles** | Manage Annual Report data | Delete Annual Report data (excluding Profiles and Events) | Request new RTA | Validate Annual Report data | Create, Manage, Delete Issues | Resolve Issues | Review Annual Report data | Submit/Recall Annual Report for Review | Submit Annual Report for Approval | Approve Annual Report |
| External User to FTA/Non DOT | Auditors | Auditors | | | | | | | | | | |
| External User to FTA/DOT | DOT Users | External Read Only | | | | | | | | | | |
| | | External Validation Team Member | | | | | X | | X | | | |
| FTA User | FTA Staff | Local Security Managers (LSM) | | | | | | | | | | |
| | | Director | | | | | | | | | | |
| | | Program Management Team Member | | | | | X | | X | | X | |
| | | Regional Safety Officer | | | | | | | | | | |
| | | Validation Lead | | | | | X | | X | | | |
| | | Validation Team Member | | | | | X | | X | | | |
| FTA User | Global Users | Global Viewers | | | | | | | | | | |
| | | Program Management Lead | | | | | X | | X | | X | X |
| | | Global Security Manager (GSM) | | | | | | | | | | |
| Organization User/Non DOT | SSO | Alternate Reporter | X | X | X | X | | X | | | | |
| | | Primary Reporter | X | X | X | X | | X | | X | | |
| | | User Manager | | | | | | | | | | |
| | | Viewer | | | | | | | | | | |
| FTA User | System Administrators | System Administrators (HelpDesk) | X | | X | | | | | | | |

## Other Tabs or sections:



| | | | Analysis tab | | Quick Add tab | FTA Reports tab | | Comments "General" | |
|---|---|---|---|---|---|---|---|---|---|
| **User Type** | **Role Category** | **Roles** | View data | Analysis Exports | Create data | View FTA Reports | FTA Report Exports | View comments | Post comments |
| External User to FTA/Non DOT | Auditors | Auditors | All agencies | All agencies | | X | X | X | |
| External User to FTA/DOT | DOT Users | External Read Only | All agencies | All agencies | | X | X | X | |
| | | External Validation Team Member | All agencies | All agencies | | X | X | X | X |
| FTA User | FTA Staff | Local Security Managers (LSM) | All agencies | All agencies | | X | X | X | |
| | | Director | All agencies | All agencies | | | | X | |
| | | Program Management Team Member | All agencies | All agencies | | X | X | X | X |
| | | Regional Safety Officer | All agencies | All agencies | | | | X | |
| | | Validation Lead | All agencies | All agencies | | X | X | X | X |
| | | Validation Team Member | All agencies | All agencies | | X | X | X | X |
| FTA User | Global Users | Global Viewers | All agencies | All agencies | | | | X | |
| | | Program Management Lead | All agencies | All agencies | | X | X | X | X |
| | | Global Security Manager (GSM) | All agencies | All agencies | | X | X | X | |
| Organization User/Non DOT | SSO | Alternate Reporter | Assigned agencies | Assigned agencies | Assigned agencies | | | X | X |
| | | Primary Reporter | Assigned agencies | Assigned agencies | Assigned agencies | | | X | X |
| | | User Manager | | | | | | | |
| | | Viewer | Assigned agencies | Assigned agencies | | | | X | |
| FTA User | System Administrators | System Administrators (HelpDesk) | All agencies | All agencies | All agencies | X | X | X | X |

## 5. CRM Rules

Currently, there are no association property rules or incompatibility rules for any CRM roles within the same organization.

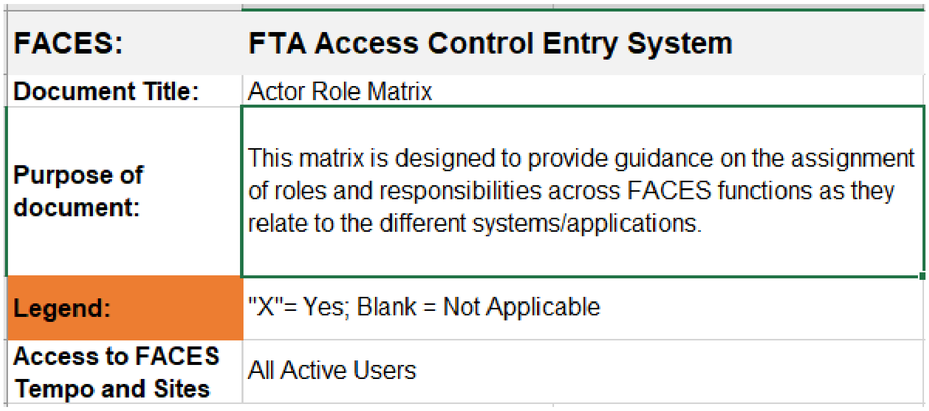
## 6. FACES Rules & Actor Role Matrix

FACES Rules

Currently, there are no association property rules or incompatibility rules for any FACES roles within the same organization.

FACES Actor Role Matrix

Legend

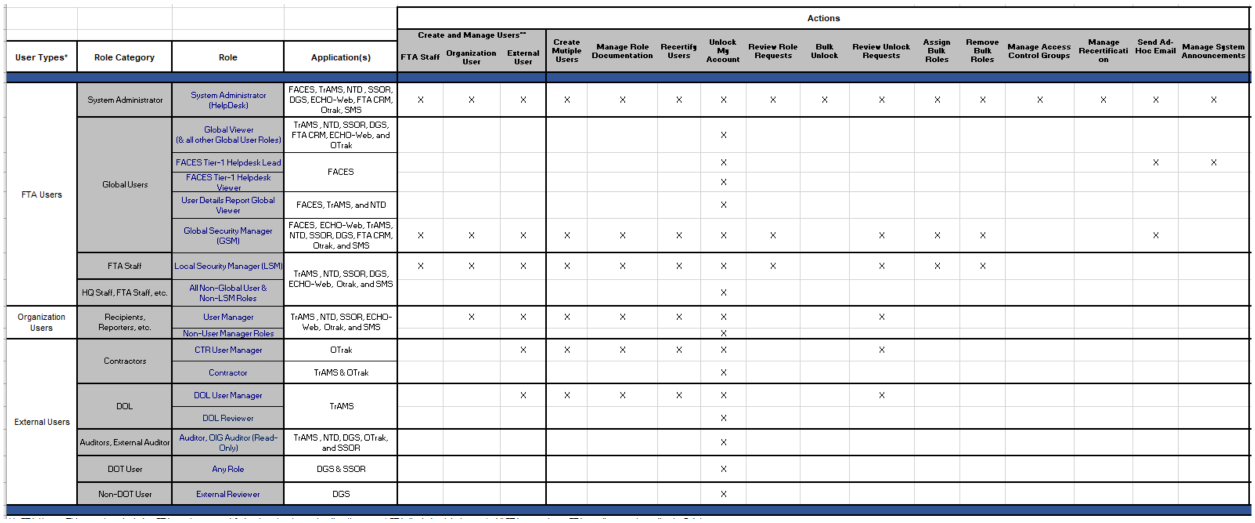


| FACES: | FTA Access Control Entry System |
|---|---|
| Document Title: | Actor Role Matrix |
| Purpose of document: | This matrix is designed to provide guidance on the assignment of roles and responsibilities across FACES functions as they relate to the different systems/applications. |
| Legend: | "X"= Yes; Blank = Not Applicable |
| Access to FACES Tempo and Sites | All Active Users |

Notes:

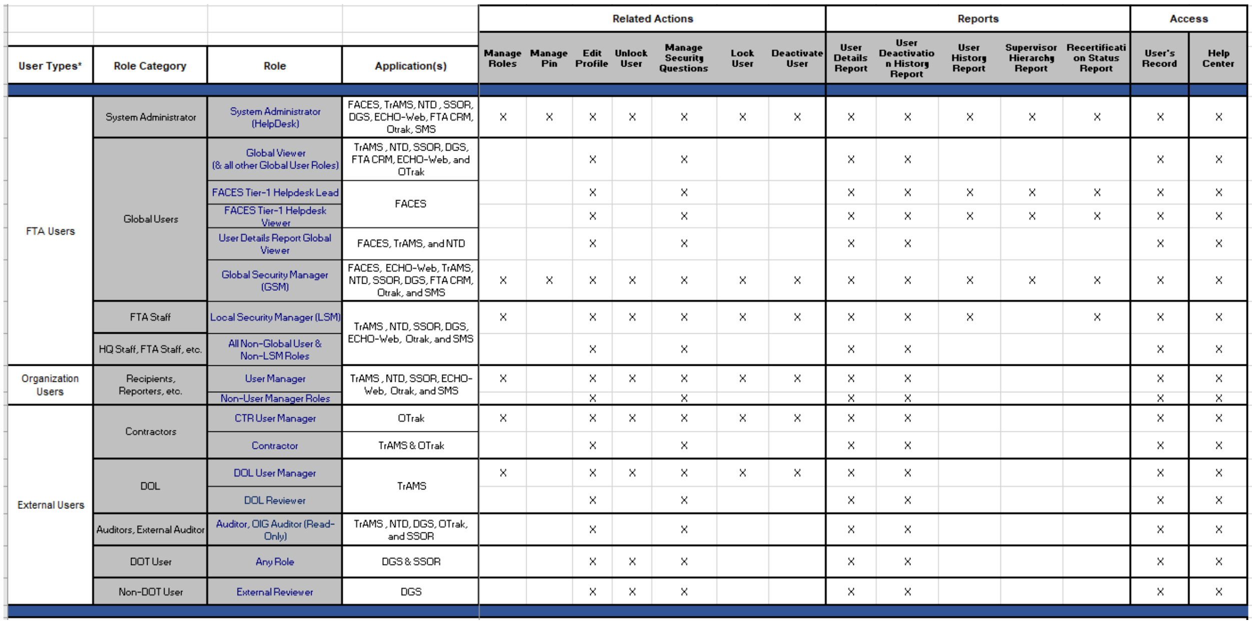
1. FTA Users: This user type includes FTA employees and federal contractors who directly support FTA (include global users). All FTA users have FTA email accounts ending in @dot.gov.
2. Organization Users: This user type includes individuals who are employed by or support an organization that uses an FTA platform software system. The users are grouped by their organization(s).
3. External Users: This user type includes individuals external to FTA, but provide support or oversight to one of the FTA platform software systems. External users have five sub-types: Auditors, Contractors, Department of Transportation (DOT), Non-DOT, and Department of Labor (DOL) users.
   Create User for FTA, can only mange roles.
   ^Manage Pin applied to users for TrAMS Organization Users: Submitter, Official, Attorney, and FTA Staff: Administrator.

Actions:



| | | | | Actions | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Create and Manage Users** | | | | | | | | | | | | | | | |
| User Types* | Role Category | Role | Application(s) | FTA Staff | Organization User | External User | Create Mutiple Users | Manage Role Documentation | Recertify Users | Unlock My Account | Review Role Requests | Bulk Unlock | Review Unlock Requests | Assign Bulk Roles | Remove Bulk Roles | Manage Access Control Groups | Manage Recertification | Send Ad-Hoc Email | Manage System Announcements |
| FTA Users | System Administrator | System Administrator (HelpDesk) | FACES, TrAMS, NTD , SSOR, DGS, ECHO-Web, FTA CRM, Otrak, SMS | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| | Global Users | Global Viewer (& all other Global User Roles) | TrAMS , NTD, SSOR, DGS, FTA CRM, ECHO-Web, and OTrak | | | | | | | X | | | | | | | | | |
| | | FACES Tier-1 Helpdesk Lead | FACES | | | | | | | X | | | | | | | | X | X |
| | | FACES Tier-1 Helpdesk Viewer | | | | | | | | X | | | | | | | | | |
| | | User Details Report Global Viewer | FACES, TrAMS, and NTD | | | | | | | X | | | | | | | | | |
| | | Global Security Manager (GSM) | FACES, ECHO-Web, TrAMS, NTD, SSOR, DGS, FTA CRM, Otrak, and SMS | X | X | X | X | X | X | X | X | | X | X | X | | | X | |
| | FTA Staff | Local Security Manager (LSM) | TrAMS , NTD, SSOR, DGS, ECHO-Web, Otrak, and SMS | X | X | X | X | X | X | X | X | | X | X | X | | | | |
| | HQ Staff, FTA Staff, etc. | All Non-Global User & Non-LSM Roles | | | | | | | | X | | | | | | | | | |
| Organization Users | Recipients, Reporters, etc. | User Manager | TrAMS , NTD, SSOR, ECHO-Web, Otrak, and SMS | | X | X | X | X | X | X | | | X | | | | | | |
| | | Non-User Manager Roles | | | | | | | | X | | | | | | | | | |
| External Users | Contractors | CTR User Manager | OTrak | | | X | X | X | X | X | | | X | | | | | | |
| | | Contractor | TrAMS & OTrak | | | | | | | X | | | | | | | | | |
| | DOL | DOL User Manager | TrAMS | | | X | X | X | X | X | | | X | | | | | | |
| | | DOL Reviewer | | | | | | | | X | | | | | | | | | |
| | Auditors, External Auditor | Auditor, OIG Auditor (Read-Only) | TrAMS , NTD, DGS, OTrak, and SSOR | | | | | | | X | | | | | | | | | |
| | DOT User | Any Role | DGS & SSOR | | | | | | | X | | | | | | | | | |
| | Non-DOT User | External Reviewer | DGS | | | | | | | X | | | | | | | | | |

## Related Actions, Reports, & Access



| | | | | Related Actions | | | | | | | Reports | | | | | Access | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| User Types* | Role Category | Role | Application(s) | Manage Roles | Manage Pin | Edit Profile | Unlock User | Manage Security Questions | Lock User | Deactivate User | User Details Report | User Deactivation History Report | User History Report | Supervisor Hierarchy Report | Recertification Status Report | User's Record | Help Center |
| FTA Users | System Administrator | System Administrator (HelpDesk) | FACES, TrAMS, NTD , SSOR, DGS, ECHO-Web, FTA CRM, Otrak, SMS | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| | Global Users | Global Viewer (& all other Global User Roles) | TrAMS , NTD, SSOR, DGS, FTA CRM, ECHO-Web, and OTrak | | | X | | X | | | X | X | | | | X | X |
| | | FACES Tier-1 Helpdesk Lead | FACES | | | X | | X | | | X | X | X | X | X | X | X |
| | | FACES Tier-1 Helpdesk Viewer | | | | X | | X | | | X | X | X | X | X | X | X |
| | | User Details Report Global Viewer | FACES, TrAMS, and NTD | | | X | | X | | | X | X | | | | X | X |
| | | Global Security Manager (GSM) | FACES, ECHO-Web, TrAMS, NTD, SSOR, DGS, FTA CRM, Otrak, and SMS | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| | FTA Staff | Local Security Manager (LSM) | TrAMS , NTD, SSOR, DGS, ECHO-Web, Otrak, and SMS | X | | X | X | X | X | X | X | X | X | | X | X | X |
| | HQ Staff, FTA Staff, etc. | All Non-Global User & Non-LSM Roles | | | | X | | X | | | X | X | | | | X | X |
| Organization Users | Recipients, Reporters, etc. | User Manager | TrAMS , NTD, SSOR, ECHO-Web, Otrak, and SMS | X | | X | X | X | X | X | X | X | | | | X | X |
| | | Non-User Manager Roles | | | | X | | X | | | X | X | | | | X | X |
| External Users | Contractors | CTR User Manager | OTrak | X | | X | X | X | X | X | X | X | | | | X | X |
| | | Contractor | TrAMS & OTrak | | | X | | X | | | X | X | | | | X | X |
| | DOL | DOL User Manager | TrAMS | X | | X | X | X | X | X | X | X | | | | X | X |
| | | DOL Reviewer | | | | X | | X | | | X | X | | | | X | X |
| | Auditors, External Auditor | Auditor, OIG Auditor (Read-Only) | TrAMS , NTD, DGS, OTrak, and SSOR | | | X | | X | | | X | X | | | | X | X |
| | DOT User | Any Role | DGS & SSOR | | | X | X | X | | | X | X | | | | X | X |
| | Non-DOT User | External Reviewer | DGS | | | X | X | X | | | X | X | | | | X | X |

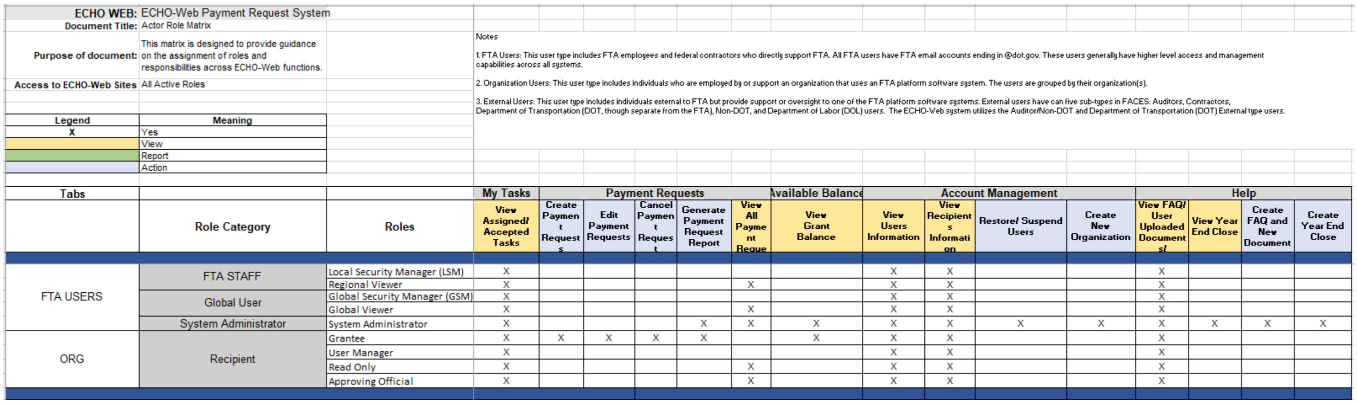
# 7. ECHO-WEB Rules & Actor Role Matrix

## ECHO-Web Rules

| | | Rule Type | | |
|---|---|---|---|---|
| Role Category | Roles | Incompatibility | Association Property | Rule |
| FTA Staff | Regional Viewer | x | | Unable to have the Global Viewer role |

| | | | | |
|---|---|---|---|---|
| | Global Viewer | X | | Unable to have the Regional Viewer role |
| Recipient | Grantee | X | | Unable to have the Approving Official role |
| | Read Only | X | | Unable to have the Approving Official role |
| | Approval Official | | X | There can only be 1 "Approving Official" within an organization |
| | | X | | Unable to have the Grantee role and/or a Read Only role |

ECHO-Web Actor Role Matrix



| | |
|---|---|
| **ECHO WEB:** | ECHO-Web Payment Request System |
| **Document Title:** | Actor Role Matrix |
| **Purpose of document:** | This matrix is designed to provide guidance on the assignment of roles and responsibilities across ECHO-Web functions. |
| **Access to ECHO-Web Sites** | All Active Roles |

| Legend | Meaning |
|---|---|
| X | Yes |
| 🟨 | View |
| 🟩 | Report |
| 🟦 | Action |

Notes

1. FTA Users: This user type includes FTA employees and federal contractors who directly support FTA. All FTA users have FTA email accounts ending in @dot.gov. These users generally have higher level access and management capabilities across all systems.

2. Organization Users: This user type includes individuals who are employed by or support an organization that uses an FTA platform software system. The users are grouped by their organization(s).

3. External Users: This user type includes individuals external to FTA but provide support or oversight to one of the FTA platform software systems. External users have can five sub-types in FACES: Auditors, Contractors, Department of Transportation (DOT, though separate from the FTA), Non-DOT, and Department of Labor (DOL) users. The ECHO-Web system utilizes the Auditor/Non-DOT and Department of Transportation (DOT) External type users.

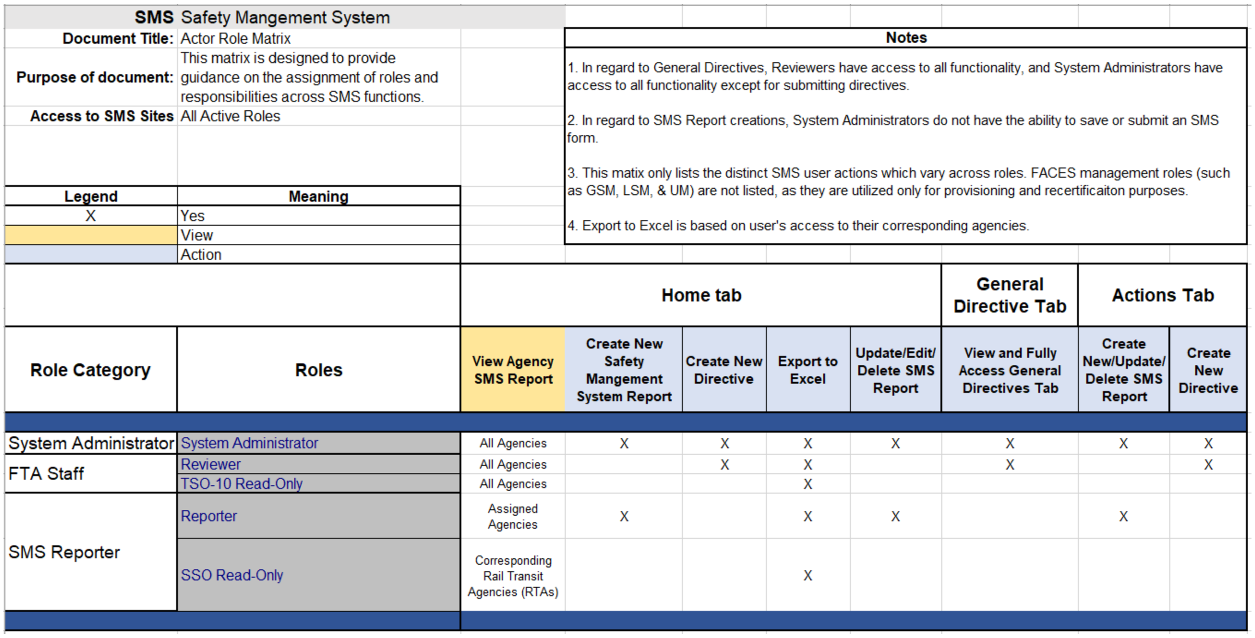
| Tabs | | | My Tasks | Payment Requests | | | | | Available Balance | Account Management | | | | Help | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Role Category | Roles | View Assigned/ Accepted Tasks | Create Payment Requests | Edit Payment Requests | Cancel Payment Request | Generate Payment Request Report | View All Payment Reque | View Grant Balance | View Users Information | View Recipients Information | Restore/ Suspend Users | Create New Organization | View FAQ/ User Uploaded Documents/ | View Year End Close | Create FAQ and New Document | Create Year End Close |
| FTA USERS | FTA STAFF | Local Security Manager (LSM) | X | | | | | | | X | X | | | X | | | |
| | | Regional Viewer | X | | | | | X | | X | X | | | X | | | |
| | Global User | Global Security Manager (GSM) | X | | | | | | | X | X | | | X | | | |
| | | Global Viewer | X | | | | | X | | X | X | | | X | | | |
| | System Administrator | System Administrator | X | | | | X | X | X | X | X | X | X | X | X | X | X |
| ORG | Recipient | Grantee | X | X | X | X | X | | X | X | X | | | X | | | |
| | | User Manager | X | | | | | | | X | X | | | X | | | |
| | | Read Only | X | | | | | X | | X | X | | | X | | | |
| | | Approving Official | X | | | | | X | | X | X | | | X | | | |

## 8. SMS Rules & Actor Role Matrix

SMS Rules

Currently, there are no association property rules or incompatibility rules for any SMS roles within the same organization.

## SMS Actor Role Matrix



| | |
|---|---|
| **SMS** | Safety Mangement System |
| **Document Title:** | Actor Role Matrix |
| **Purpose of document:** | This matrix is designed to provide guidance on the assignment of roles and responsibilities across SMS functions. |
| **Access to SMS Sites** | All Active Roles |

| Legend | Meaning |
|---|---|
| X | Yes |
| 🟨 | View |
| 🟦 | Action |

**Notes**

1. In regard to General Directives, Reviewers have access to all functionality, and System Administrators have access to all functionality except for submitting directives.

2. In regard to SMS Report creations, System Administrators do not have the ability to save or submit an SMS form.

3. This matix only lists the distinct SMS user actions which vary across roles. FACES management roles (such as GSM, LSM, & UM) are not listed, as they are utilized only for provisioning and recertificaiton purposes.

4. Export to Excel is based on user's access to their corresponding agencies.

| | | Home tab | | | | | General Directive Tab | Actions Tab | |
|---|---|---|---|---|---|---|---|---|---|
| **Role Category** | **Roles** | **View Agency SMS Report** | **Create New Safety Mangement System Report** | **Create New Directive** | **Export to Excel** | **Update/Edit/ Delete SMS Report** | **View and Fully Access General Directives Tab** | **Create New/Update/ Delete SMS Report** | **Create New Directive** |
| System Administrator | System Administrator | All Agencies | X | X | X | X | X | X | X |
| FTA Staff | Reviewer | All Agencies | | X | X | | X | | X |
| | TSO-10 Read-Only | All Agencies | | | X | | | | |
| SMS Reporter | Reporter | Assigned Agencies | X | | X | X | | X | |
| | SSO Read-Only | Corresponding Rail Transit Agencies (RTAs) | | | X | | | | |

# Appendix C: FTA Cost Centers

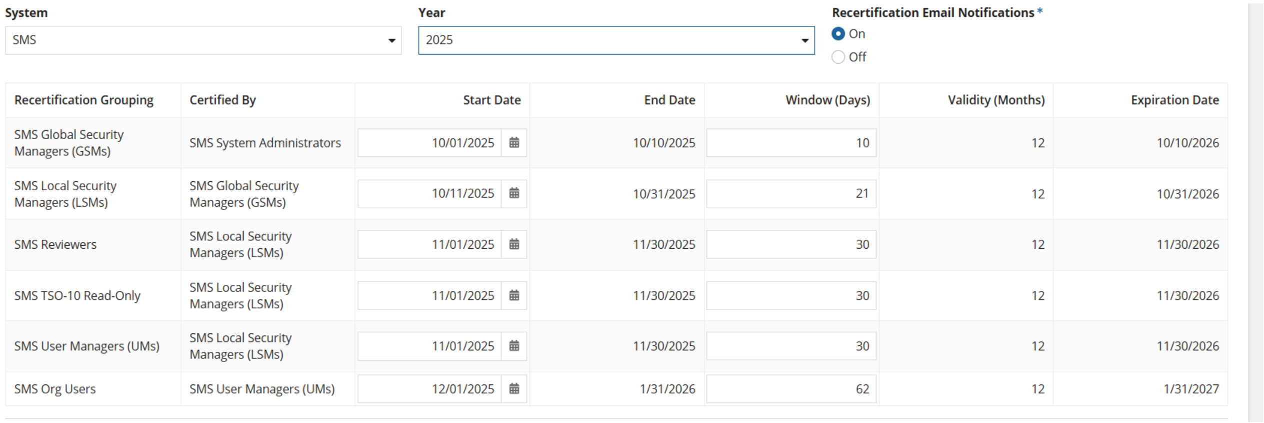
FTA is organized into 10 Regional FTA offices and 11 FTA Headquarters offices. These "cost centers" have acronyms and numbers that are used throughout FACES. Each organization is tagged to a cost center. The FTA cost centers are:

| Cost Center Name | Acronym | Number |
|---|---|---|
| FTA Regional 1 Office | TRO-1 | 78100 |
| FTA Regional 2 Office | TRO-2 | 78200 |
| FTA Regional 3 Office | TRO-3 | 78300 |
| FTA Regional 4 Office | TRO-4 | 78400 |
| FTA Regional 5 Office | TRO-5 | 78500 |
| FTA Regional 6 Office | TRO-6 | 78600 |
| FTA Regional 7 Office | TRO-7 | 78700 |
| FTA Regional 8 Office | TRO-8 | 78800 |
| FTA Regional 9 Office | TRO-9 | 78900 |
| FTA Regional 10 Office | TRO-10 | 79000 |
| Office of Administrator | TOA | 61000 |
| Office of Administration | TAD | 62000 |
| Office of the Chief Counsel | TCC | 63000 |
| Office of Communication and Congressional Affairs | TCA | 64000 |
| Office of Program Management | TPM | 65000 |
| Office of Budget and Policy | TBP | 66000 |
| Office of Research, Demonstration and Innovation | TRI | 67000 |
| Office of Civil Rights | TCR | 68000 |
| Office of Planning and Environment | TPE | 71000 |
| Office of Transit Safety and Oversight | TSO | 74000 |
| Office of Regional Services | TRS | 78000 |

**Table 1: FTA Cost Centers**

# Appendix D: Recertification Windows

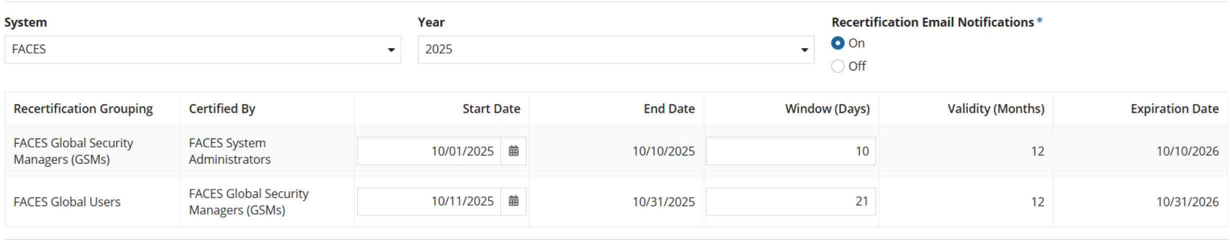
## 9. SMS Recertification Window



| | | |
|---|---|---|
| System | Year | Recertification Email Notifications* |
| SMS | 2025 | ● On<br>○ Off |

| Recertification Grouping | Certified By | Start Date | End Date | Window (Days) | Validity (Months) | Expiration Date |
|---|---|---|---|---|---|---|
| SMS Global Security Managers (GSMs) | SMS System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| SMS Local Security Managers (LSMs) | SMS Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| SMS Reviewers | SMS Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| SMS TSO-10 Read-Only | SMS Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| SMS User Managers (UMs) | SMS Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| SMS Org Users | SMS User Managers (UMs) | 12/01/2025 | 1/31/2026 | 62 | 12 | 1/31/2027 |

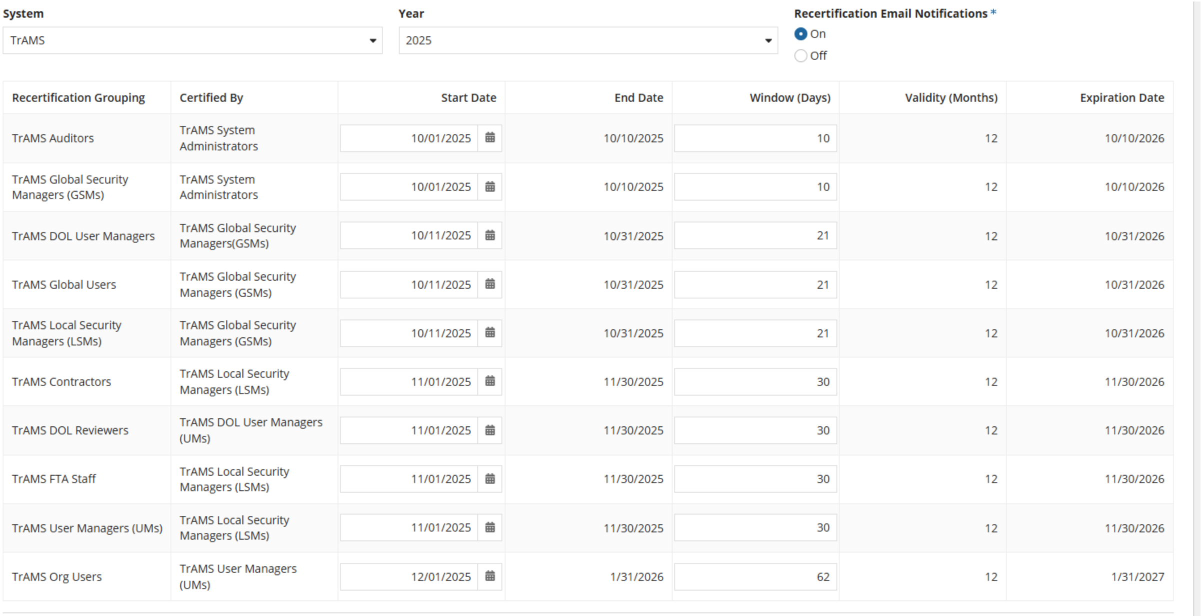
## 10. FACES Recertification Window



| | | |
|---|---|---|
| System | Year | Recertification Email Notifications* |
| FACES | 2025 | ● On<br>○ Off |

| Recertification Grouping | Certified By | Start Date | End Date | Window (Days) | Validity (Months) | Expiration Date |
|---|---|---|---|---|---|---|
| FACES Global Security Managers (GSMs) | FACES System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| FACES Global Users | FACES Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |

## 11. TrAMS Recertification Window



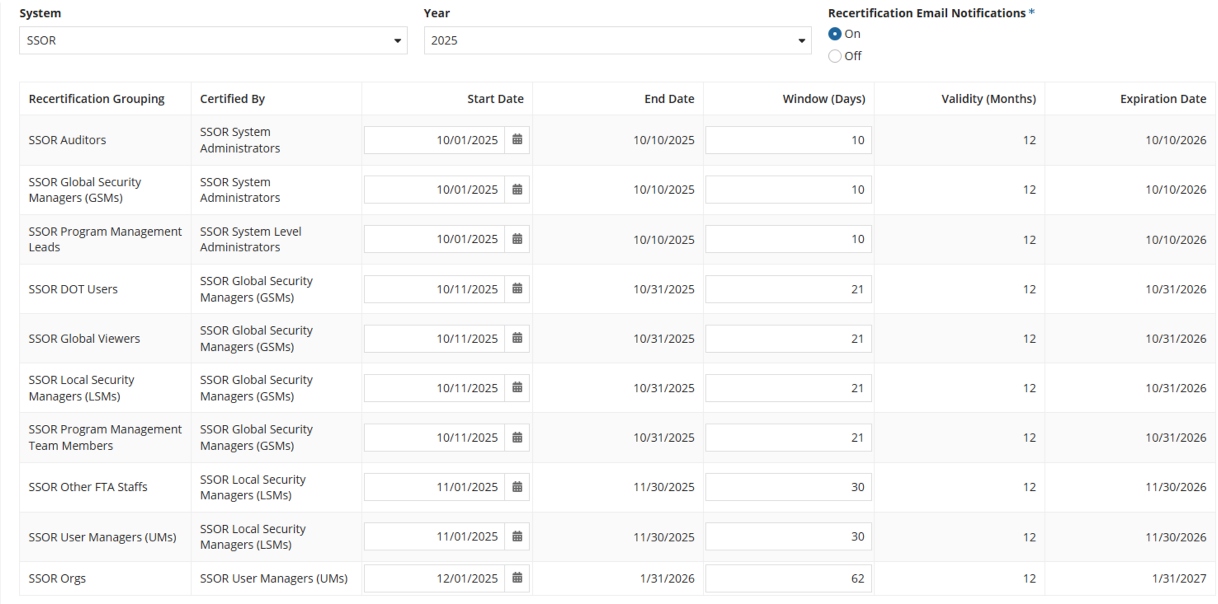
System
TrAMS

Year
2025

Recertification Email Notifications *
● On
○ Off

| Recertification Grouping | Certified By | Start Date | End Date | Window (Days) | Validity (Months) | Expiration Date |
|---|---|---|---|---|---|---|
| TrAMS Auditors | TrAMS System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| TrAMS Global Security Managers (GSMs) | TrAMS System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| TrAMS DOL User Managers | TrAMS Global Security Managers(GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| TrAMS Global Users | TrAMS Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| TrAMS Local Security Managers (LSMs) | TrAMS Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| TrAMS Contractors | TrAMS Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| TrAMS DOL Reviewers | TrAMS DOL User Managers (UMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| TrAMS FTA Staff | TrAMS Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| TrAMS User Managers (UMs) | TrAMS Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| TrAMS Org Users | TrAMS User Managers (UMs) | 12/01/2025 | 1/31/2026 | 62 | 12 | 1/31/2027 |

## 12. SSOR Recertification Window



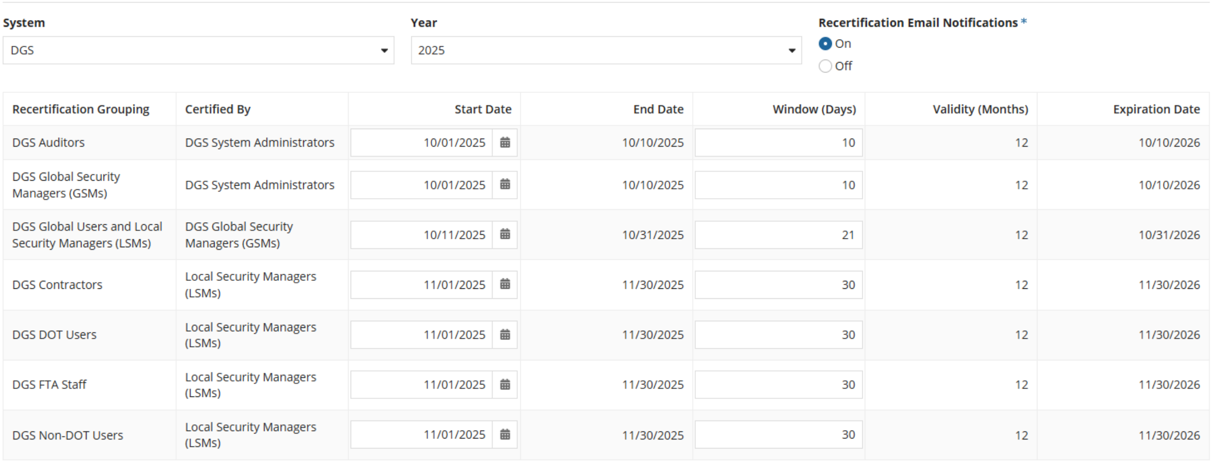
System
SSOR

Year
2025

Recertification Email Notifications *
● On
○ Off

| Recertification Grouping | Certified By | Start Date | End Date | Window (Days) | Validity (Months) | Expiration Date |
|---|---|---|---|---|---|---|
| SSOR Auditors | SSOR System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| SSOR Global Security Managers (GSMs) | SSOR System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| SSOR Program Management Leads | SSOR System Level Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| SSOR DOT Users | SSOR Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| SSOR Global Viewers | SSOR Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| SSOR Local Security Managers (LSMs) | SSOR Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| SSOR Program Management Team Members | SSOR Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| SSOR Other FTA Staffs | SSOR Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| SSOR User Managers (UMs) | SSOR Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| SSOR Orgs | SSOR User Managers (UMs) | 12/01/2025 | 1/31/2026 | 62 | 12 | 1/31/2027 |

## 13. DGS Recertification Window



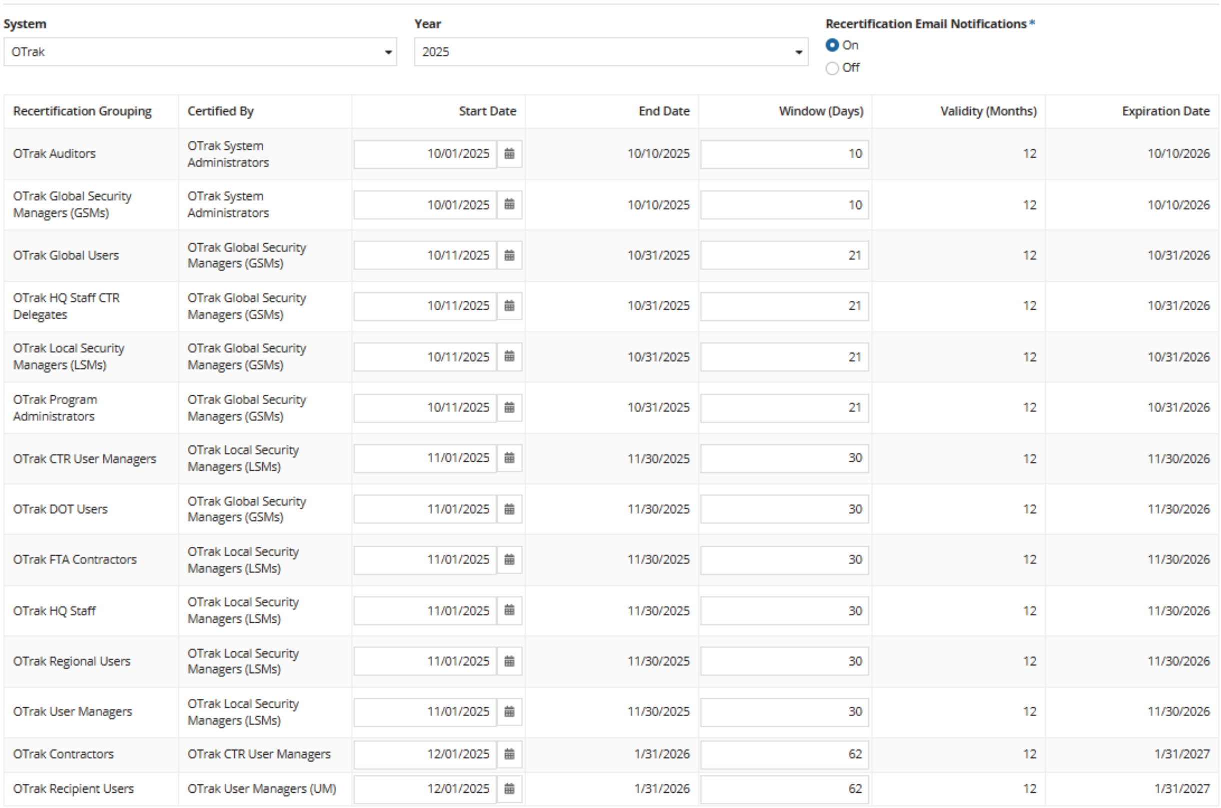
System
DGS

Year
2025

Recertification Email Notifications *
● On
○ Off

| Recertification Grouping | Certified By | Start Date | End Date | Window (Days) | Validity (Months) | Expiration Date |
|---|---|---|---|---|---|---|
| DGS Auditors | DGS System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| DGS Global Security Managers (GSMs) | DGS System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| DGS Global Users and Local Security Managers (LSMs) | DGS Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| DGS Contractors | Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| DGS DOT Users | Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| DGS FTA Staff | Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| DGS Non-DOT Users | Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |

## 14. OTrak Recertification Window



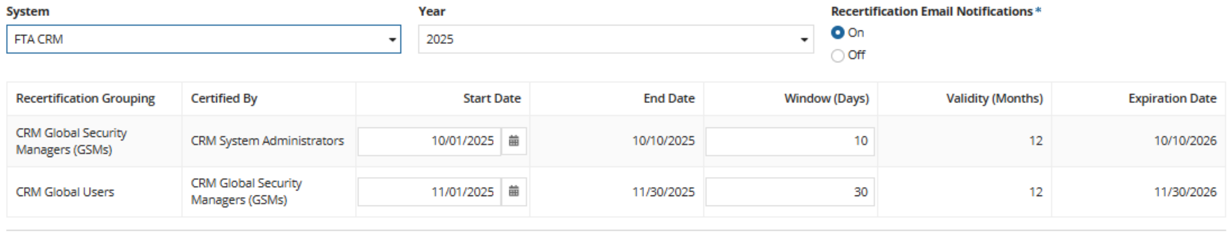
System
OTrak

Year
2025

Recertification Email Notifications *
● On
○ Off

| Recertification Grouping | Certified By | Start Date | End Date | Window (Days) | Validity (Months) | Expiration Date |
|---|---|---|---|---|---|---|
| OTrak Auditors | OTrak System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| OTrak Global Security Managers (GSMs) | OTrak System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| OTrak Global Users | OTrak Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| OTrak HQ Staff CTR Delegates | OTrak Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| OTrak Local Security Managers (LSMs) | OTrak Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| OTrak Program Administrators | OTrak Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| OTrak CTR User Managers | OTrak Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| OTrak DOT Users | OTrak Global Security Managers (GSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| OTrak FTA Contractors | OTrak Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| OTrak HQ Staff | OTrak Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| OTrak Regional Users | OTrak Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| OTrak User Managers | OTrak Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| OTrak Contractors | OTrak CTR User Managers | 12/01/2025 | 1/31/2026 | 62 | 12 | 1/31/2027 |
| OTrak Recipient Users | OTrak User Managers (UM) | 12/01/2025 | 1/31/2026 | 62 | 12 | 1/31/2027 |

## 15. FTA CRM Recertification Window



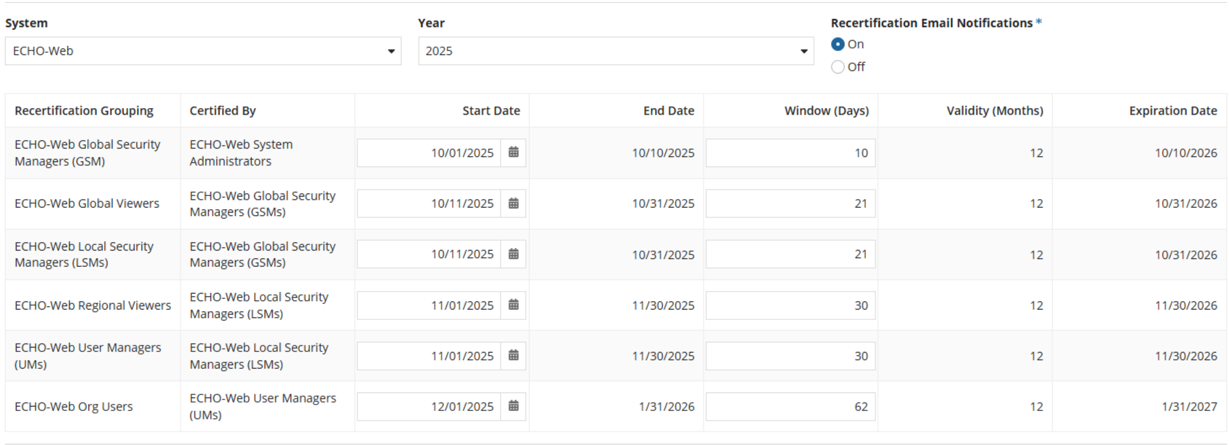
System
FTA CRM

Year
2025

Recertification Email Notifications*
● On
○ Off

| Recertification Grouping | Certified By | Start Date | End Date | Window (Days) | Validity (Months) | Expiration Date |
|---|---|---|---|---|---|---|
| CRM Global Security Managers (GSMs) | CRM System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| CRM Global Users | CRM Global Security Managers (GSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |

## 16. ECHO-Web Recertification Window



System
ECHO-Web

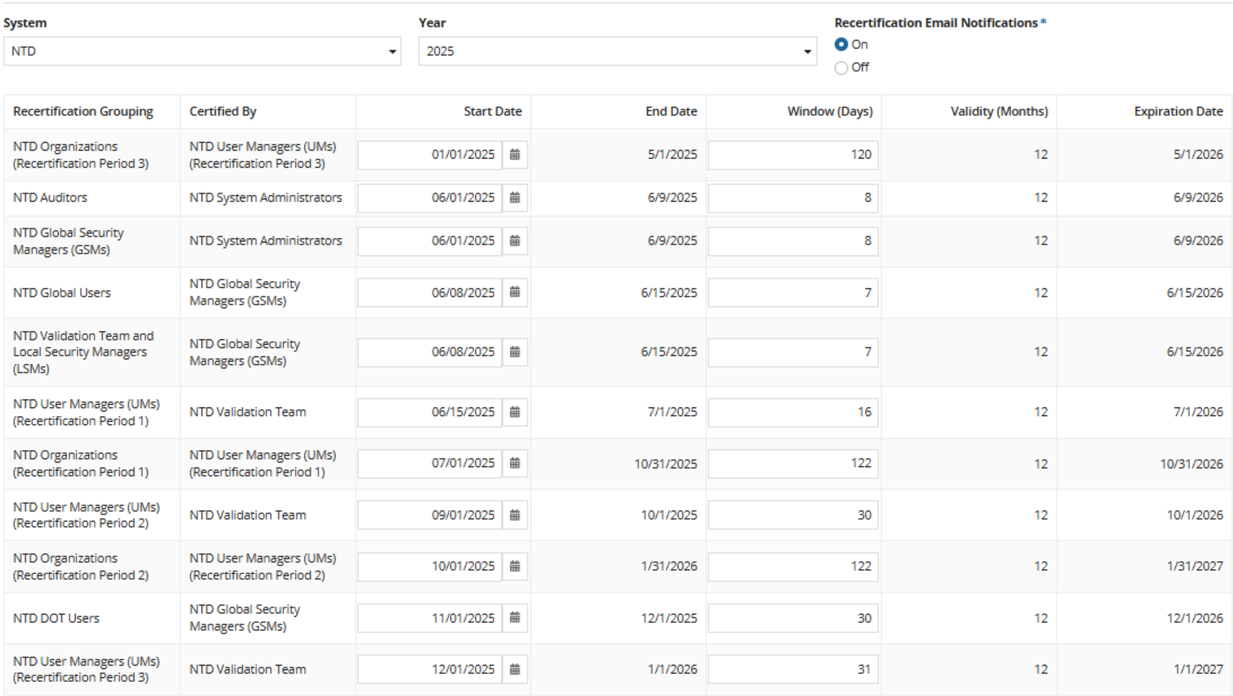
Year
2025

Recertification Email Notifications*
● On
○ Off

| Recertification Grouping | Certified By | Start Date | End Date | Window (Days) | Validity (Months) | Expiration Date |
|---|---|---|---|---|---|---|
| ECHO-Web Global Security Managers (GSM) | ECHO-Web System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| ECHO-Web Global Viewers | ECHO-Web Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| ECHO-Web Local Security Managers (LSMs) | ECHO-Web Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| ECHO-Web Regional Viewers | ECHO-Web Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| ECHO-Web User Managers (UMs) | ECHO-Web Local Security Managers (LSMs) | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| ECHO-Web Org Users | ECHO-Web User Managers (UMs) | 12/01/2025 | 1/31/2026 | 62 | 12 | 1/31/2027 |

## 17. NTD Recertification Window

Please note that that NTD’s below recert window is set to be modified in Aug’25.
Current Recert Window



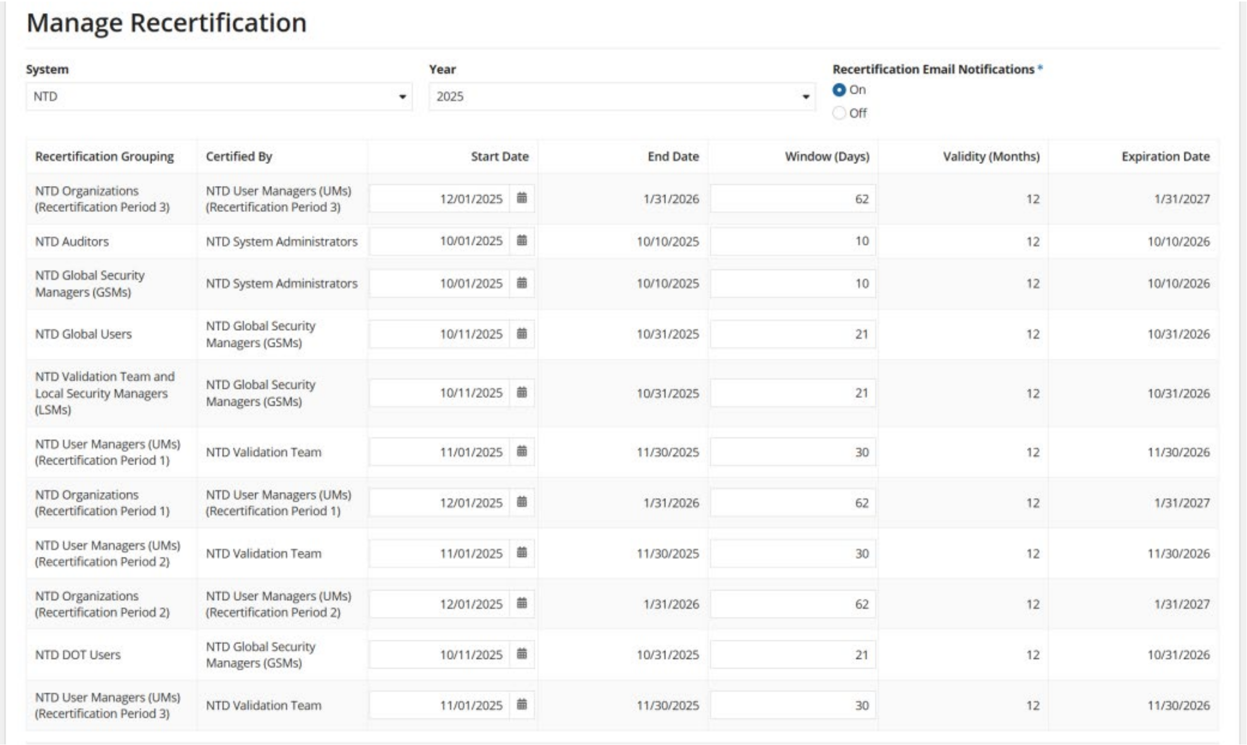
System: NTD

Year: 2025

Recertification Email Notifications*
● On
○ Off

| Recertification Grouping | Certified By | Start Date | End Date | Window (Days) | Validity (Months) | Expiration Date |
|---|---|---|---|---|---|---|
| NTD Organizations (Recertification Period 3) | NTD User Managers (UMs) (Recertification Period 3) | 01/01/2025 | 5/1/2025 | 120 | 12 | 5/1/2026 |
| NTD Auditors | NTD System Administrators | 06/01/2025 | 6/9/2025 | 8 | 12 | 6/9/2026 |
| NTD Global Security Managers (GSMs) | NTD System Administrators | 06/01/2025 | 6/9/2025 | 8 | 12 | 6/9/2026 |
| NTD Global Users | NTD Global Security Managers (GSMs) | 06/08/2025 | 6/15/2025 | 7 | 12 | 6/15/2026 |
| NTD Validation Team and Local Security Managers (LSMs) | NTD Global Security Managers (GSMs) | 06/08/2025 | 6/15/2025 | 7 | 12 | 6/15/2026 |
| NTD User Managers (UMs) (Recertification Period 1) | NTD Validation Team | 06/15/2025 | 7/1/2025 | 16 | 12 | 7/1/2026 |
| NTD Organizations (Recertification Period 1) | NTD User Managers (UMs) (Recertification Period 1) | 07/01/2025 | 10/31/2025 | 122 | 12 | 10/31/2026 |
| NTD User Managers (UMs) (Recertification Period 2) | NTD Validation Team | 09/01/2025 | 10/1/2025 | 30 | 12 | 10/1/2026 |
| NTD Organizations (Recertification Period 2) | NTD User Managers (UMs) (Recertification Period 2) | 10/01/2025 | 1/31/2026 | 122 | 12 | 1/31/2027 |
| NTD DOT Users | NTD Global Security Managers (GSMs) | 11/01/2025 | 12/1/2025 | 30 | 12 | 12/1/2026 |
| NTD User Managers (UMs) (Recertification Period 3) | NTD Validation Team | 12/01/2025 | 1/1/2026 | 31 | 12 | 1/1/2027 |

To be updated Recert Windows in Aug’25:



## Manage Recertification

System: NTD

Year: 2025

Recertification Email Notifications*
● On
○ Off

| Recertification Grouping | Certified By | Start Date | End Date | Window (Days) | Validity (Months) | Expiration Date |
|---|---|---|---|---|---|---|
| NTD Organizations (Recertification Period 3) | NTD User Managers (UMs) (Recertification Period 3) | 12/01/2025 | 1/31/2026 | 62 | 12 | 1/31/2027 |
| NTD Auditors | NTD System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| NTD Global Security Managers (GSMs) | NTD System Administrators | 10/01/2025 | 10/10/2025 | 10 | 12 | 10/10/2026 |
| NTD Global Users | NTD Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| NTD Validation Team and Local Security Managers (LSMs) | NTD Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| NTD User Managers (UMs) (Recertification Period 1) | NTD Validation Team | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| NTD Organizations (Recertification Period 1) | NTD User Managers (UMs) (Recertification Period 1) | 12/01/2025 | 1/31/2026 | 62 | 12 | 1/31/2027 |
| NTD User Managers (UMs) (Recertification Period 2) | NTD Validation Team | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |
| NTD Organizations (Recertification Period 2) | NTD User Managers (UMs) (Recertification Period 2) | 12/01/2025 | 1/31/2026 | 62 | 12 | 1/31/2027 |
| NTD DOT Users | NTD Global Security Managers (GSMs) | 10/11/2025 | 10/31/2025 | 21 | 12 | 10/31/2026 |
| NTD User Managers (UMs) (Recertification Period 3) | NTD Validation Team | 11/01/2025 | 11/30/2025 | 30 | 12 | 11/30/2026 |