

FTA

FEDERAL TRANSIT ADMINISTRATION

How to PIN your Certifications & Assurances Recipient Resources

December 20, 2016

Version 1.1



U.S. Department of Transportation
Federal Transit Administration

What is covered?

1. Who Can PIN C&As
2. User PIN
3. The Annual C&A Process
4. Steps to Complete the C&As
5. How to Attach supplemental information for your C&As
6. How to View & Print your C&As

Who can PIN the C&As

1. The Official User Role

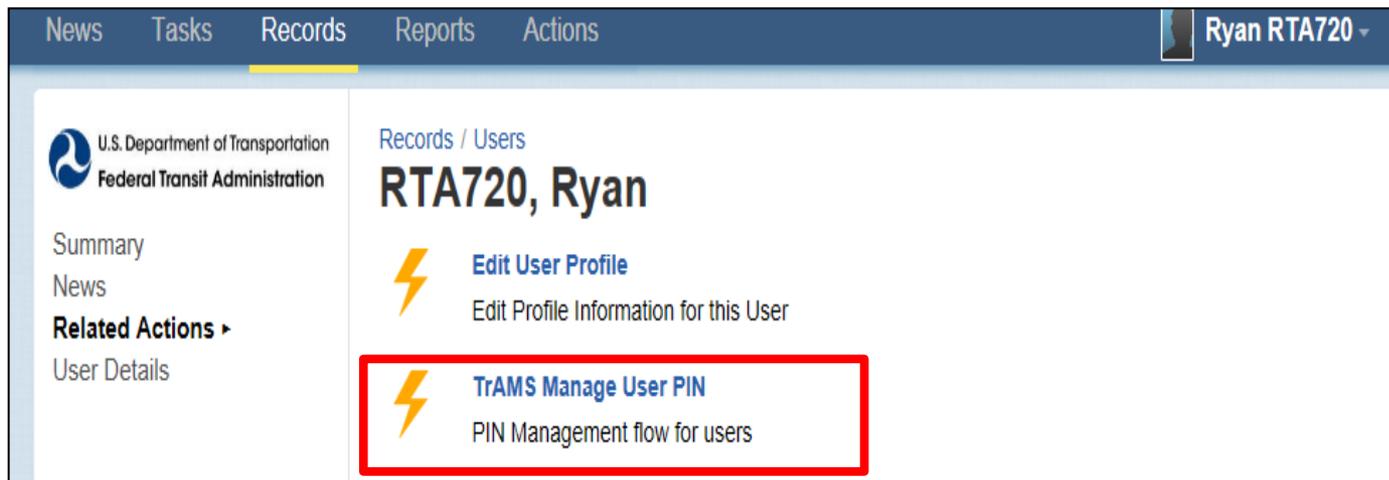
2. The Attorney User Role

(Or an agency delegated individual...make sure you have the appropriate delegation of signature authority attached to your organizational profile)

User PIN

Setting up your PIN

- Your PIN from TEAM is no longer valid.
- FTA no longer assigns you a PIN
- Users self select their PIN
- Set up your PIN under your user profile related actions
- You forgot your PIN? Please call the Helpdesk for a Reset



The screenshot shows a web application interface for the U.S. Department of Transportation Federal Transit Administration. The top navigation bar includes 'News', 'Tasks', 'Records', 'Reports', and 'Actions'. The user's name 'Ryan RTA720' is displayed in the top right corner. The main content area is titled 'Records / Users' and displays the user's name 'RTA720, Ryan'. Below the name, there are two action items, each with a lightning bolt icon: 'Edit User Profile' (with the description 'Edit Profile Information for this User') and 'TrAMS Manage User PIN' (with the description 'PIN Management flow for users'). The 'TrAMS Manage User PIN' option is highlighted with a red rectangular box.

Annual C&As Process

- The Certifications & Assurances are posted in the Federal Register
- FTA will load the C&As into TrAMS
- TrAMS Helpdesk will initiate the process in TrAMS
- This is NOT a Task Based Action
- Email notifications will be sent to the Official and Attorney to PIN the C&As.

Requirements

If you have an active award, the C&As must be executed within 90 days from the date of publication in the Federal Register, or prior to the next application ready for FTA award, whichever is sooner.

Annual C&As Process

- The Official should take action first, select the appropriate certifications.
- All recipients must select the Category #1.



The screenshot shows a table with the following data:

Certifications and Assurances		
<input type="checkbox"/>	Category	Title
<input checked="" type="checkbox"/>	01	REQUIRED FOR EACH APPLICANT
<input checked="" type="checkbox"/>	02	LOBBYING
<input checked="" type="checkbox"/>	03	PROCUREMENT AND PROCUREMENT SYSTEMS

- The Attorney should take action second to affirm the actions of the Official. Coordinate if changes are required.

When you PIN for both the Official and Attorney

Some agencies delegate the Official to PIN on behalf of the Attorney, this is still acceptable in TrAMS and requires that:

- a) the appropriate delegation of authority is attached to your Recipient Profile.
- b) the Attorney has signed and date a hard copy of the C&As which must also be attached to the Recipient Profile at the time of PINing.
- c) The Official must also be assigned the Attorney User Role to complete the action.

STEPS TO VIEW AND PIN THE CERTIFICATIONS & ASSURANCES

Note: The next two slides provides a quick reference without screenshots. Screenshots follow with a step by step guide.

Quick Ref Click Here: View or PIN C&As

1. Click on the Records Tab
2. Click on Recipient Organization from the Main Menu
3. Your Organization will populate
4. Click on the name listed – it is a hyperlink
5. You land on the Organizational Profile summary page
6. Click Related Actions in Sidebar Menu
7. Click on Certs & Assurances in Main Menu
8. Click on field to select Fiscal Year (to view/PIN)
9. Click on Continue Button
10. A View of prior or current year C&A will populate
To PIN....see next slide for additional steps

Steps to Complete C&As “Click Here”

To PIN current Fiscal Year C&As:

11. You must have the Official and/or Attorney User Role
12. The C&As will populate in a table with boxes (if you have the appropriate user roles).
13. Click on boxes of the appropriate Categories (Top box selects All Categories).
14. All Recipients must select Category 1.
15. Confirm name and title is correct.
16. Enter your 4-digit PIN in the Field (or fields if PINing for both).
17. Select Certify Button.
18. If PINing on behalf of the Attorney upload a copy of the Certifications under Recipient Documents.

View when C&As are Incomplete

Certifications & Assurances | FY 2016 C&A Affirmations

Recipient Profile Information

Recipient ID 1188 Recipient Name Rockford Mass Transit District (inc)

Certification and Assurance Information

Fiscal Year 2016 Assigned Date 11/2/2015
Due Date 1/31/2016
Certified Date

Published Certifications and Assurances Document

 **FTA FISCAL YEAR 2016 CERTIFICATIONS AND ASSURANCES**
128.5 KB

Certifications and Assurances

Category	Title
No items available	

Affirmation of Applicant

Affirmation of Applicant BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all Federal statutes and regulations, and follow applicable Federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative

Affirmation of Attorney

Affirmation of Applicant's Attorney As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under State, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA Project or Projects.

Each Applicant for FTA funding and each FTA Grantee with an active Capital or Formula Project must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its signature in lieu of the Attorney's signature, provided the Applicant has on file this Affirmation, signed by the attorney and dated this Federal fiscal year.

I Accept the above

Attorney's Name NOT SIGNED

Certification Date N/A

Certifications & Assurances Reside in the Organizational Profile

- 1) Click on the Records Tab
- 2) Click on Recipient Organization in the main menu.



Select Recipient Profile

In most cases one organization will populate unless the user is associated with multiple organizations.

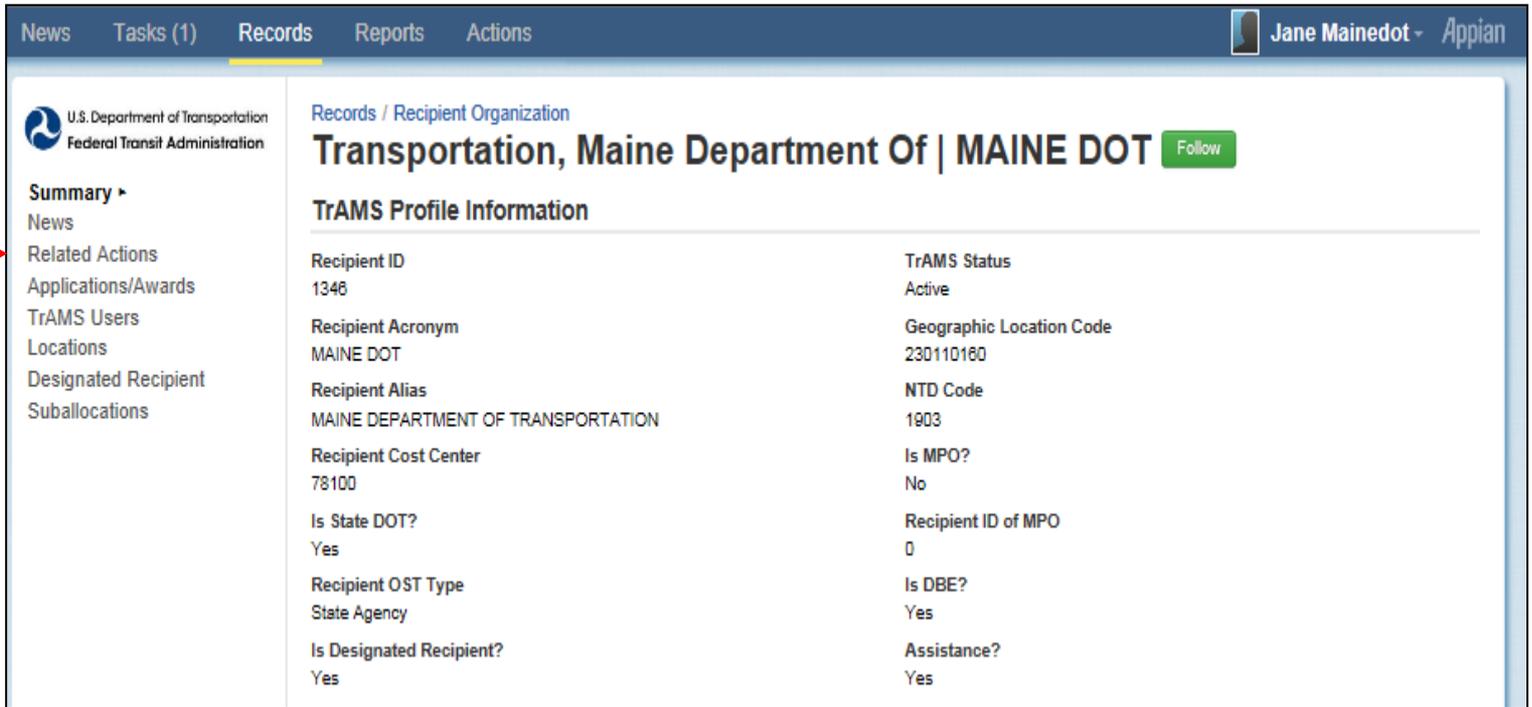
3) Click on the organizational name it is a hyperlink to the Organizational Profile record.

The screenshot shows a web application interface for the Federal Transit Administration. At the top, there are navigation tabs: News, Tasks (1), Records (highlighted), Reports, and Actions. On the left side, there is a logo for the U.S. Department of Transportation Federal Transit Administration, a search bar labeled 'Search Recipient Organiza', and a link 'All >'. The main content area is titled 'Recipient Organization'. It features a blue square icon with the letters 'Tr' and the text 'Transportation, Maine Department Of | MAINE DOT'. A red arrow points to this text. Below the organization name, the following details are listed: 'Recipient ID:1346', 'TrAMS Status: Active', and 'SAM Status: ACTIVE'.

To act on a record...Use Related Actions

You land on the Recipient Organizational Summary page.

4) Select Related Actions from the sidebar menu.



The screenshot shows the Appian interface for a record. The top navigation bar includes 'News', 'Tasks (1)', 'Records', 'Reports', and 'Actions'. The user is identified as 'Jane Mainedot - Appian'. The main content area is titled 'Records / Recipient Organization' and 'Transportation, Maine Department Of | MAINE DOT'. A sidebar menu on the left lists various options, with a red arrow pointing to 'Related Actions'. The main content area displays 'TrAMS Profile Information' with the following details:

Recipient ID	1346	TrAMS Status	Active
Recipient Acronym	MAINE DOT	Geographic Location Code	230110160
Recipient Alias	MAINE DEPARTMENT OF TRANSPORTATION	NTD Code	1903
Recipient Cost Center	78100	Is MPO?	No
Is State DOT?	Yes	Recipient ID of MPO	0
Recipient OST Type	State Agency	Is DBE?	Yes
Is Designated Recipient?	Yes	Assistance?	Yes

Related Actions Menu

To either VIEW or to PIN your C&A

5) Click on “Certifications and Assurances” from the main menu.

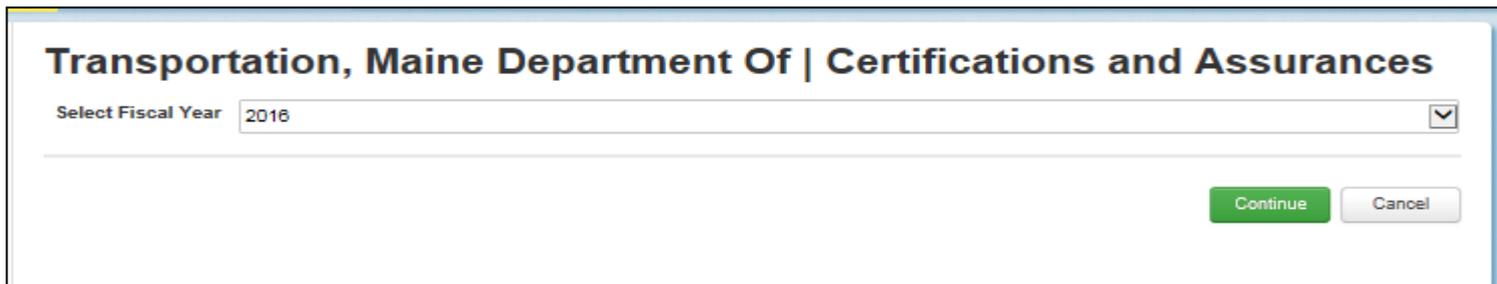
Records / Recipient Organization
Transportation, Maine Department Of |

- ⚡ **Recipient Documents**
Manage Recipient Documents
- ⚡ **Civil Rights Information**
Manage Civil Rights Information
- ⚡ **Certifications & Assurances** ←
Manage Certifications and Assurances
- ⚡ **Fleet Status**
Manage Fleet Status Information
- ⚡ **Congressional Districts**
Manage Recipient's Congressional Districts
- ⚡ **Direct Recipients**
Manage Direct Recipients Associated with Designated Recipient
- ⚡ **POC and Union Information**
Manage Recipient's Points of Contact and Union Information
- ⚡ **Sync Recipient Organization With SAM**
Sync with SAM System to Update Organization's SAM Information
- ⚡ **Formula Suballocations**
Manage Formula Program Suballocations

Certifications & Assurances Module

The current federal fiscal year will default. You can execute or modify only the current fiscal year C&As.

6) Select the FY and the “Continue” button to View a prior C&A or PIN the current FY C&As.



Transportation, Maine Department Of | Certifications and Assurances

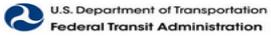
Select Fiscal Year 2016

Continue Cancel

Note that the system only displays the last 10 fiscal years in the selection field.

View of Prior Executed C&A

The module will display only those C&A selected (in this example for FY 2013 only 16 of the 24 categories were selected).



Summary
News
Related Actions >
Applications/Awards
TrAMS Users
Locations
Designated Recipient
Suballocations

Certifications & Assurances | FY 2013 C&A Affirmations

Recipient Profile Information

Recipient ID 1245 Recipient Name Transportation, Wisconsin Department Of

Certification and Assurance Information

Fiscal Year 2013 Certified Date 4/12/2013

Certifications and Assurances

Category	Title
01	REQUIRED FOR EACH APPLICANT
02	LOBBYING
03	PRIVATE SECTOR PROTECTIONS
04	PROCUREMENT AND PROCUREMENT SYSTEM
05	ROLLING STOCK REVIEWS AND BUS TESTING
06	DEMAND RESPONSIVE SERVICE
07	INTELLIGENT TRANSPORTATION SYSTEMS
08	INTEREST, FINANCE, AND LEASING COSTS
09	TRANSIT ASSET MGMT AND AGENCY SAFETY PLANS
10	ALCOHOL AND CONTROLLED SUBSTANCES TESTING
14	BUS AND BUS FACILITIES PROGRAMS
15	URBANIZED AREA FORMULA/JARC
16	SENIORS/ELDERLY/INDIVIDUALS WITH DISABILITIES
17	RURAL/NOT URBANIZED/APPALACH/OTRB
21	STATE SAFETY OVERSIGHT GRANT PROGRAM
22	PUB. TRANS. EMERGENCY RELIEF

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The C&A Module: PIN Your C&As

Only the Official and Attorney role will see a view of the C&As with boxes used to select the applicable categories.

Category 01 is required.

7) Click on Boxes to Select Applicable Categories

Certifications and Assurances		
<input type="checkbox"/>	Category	Title
<input type="checkbox"/>	01	REQUIRED FOR EACH APPLICANT
<input type="checkbox"/>	02	LOBBYING
<input type="checkbox"/>	03	PROCUREMENT AND PROCUREMENT SYSTEMS
<input type="checkbox"/>	04	PRIVATE SECTOR PROTECTIONS
<input type="checkbox"/>	05	ROLLING STOCK REVIEWS AND BUS TESTING
<input type="checkbox"/>	06	DEMAND RESPONSIVE SERVICE
<input type="checkbox"/>	07	INTELLIGENT TRANSPORTATION SYSTEMS
<input type="checkbox"/>	08	INTEREST, FINANCING, AND LEASING COSTS
<input type="checkbox"/>	09	TRANSIT ASSET MGMT AND RECIP. SAFETY PLANS
<input type="checkbox"/>	10	ALCOHOL AND CONTROLLED SUBSTANCES TESTING

TrAMS C&A Module: PIN Your C&As

The module includes a link to the published C&As if you need to review a category description.

Certifications & Assurances | FY 2016 C&A Affirmations

Recipient Profile Information

Recipient ID 1346 Recipient Name Transportation, Maine Department Of

Certification and Assurance Information

Fiscal Year 2016 Assigned Date Nov 2, 2015
Due Date Jan 31, 2016
Certified Date

Published Certifications and Assurances Document

 [FTA FISCAL YEAR 2016 CERTIFICATIONS AND ASSURANCES](#) 128.5 KB ←

Certifications and Assurances

<input type="checkbox"/>	Category	Title
<input type="checkbox"/>	01	REQUIRED FOR EACH APPLICANT

C&A Module Form Dates

- The “Certified Date” will populate only when both the official and the Attorney have PINed the C&As.
- If the selections are updated, the updated date becomes the new certified date.

Recipient Profile Information	
Recipient ID 1346	Recipient Name Transportation, Maine Department Of
Certification and Assurance Information	
Fiscal Year 2016	Assigned Date Nov 2, 2015
	Due Date Jan 31, 2016
	Certified Date 

If you sign on behalf of both the Official and Attorney; your name and title will populate in both sections of the affirmation.

8) You MUST Enter your PIN in Each Field and Click on “Certify” button.

Certify Affirmation

Please note that this verification is being recorded under the name of:

Official's Name	Roger RIPTA	Certification Date	1/22/2016
Title	None	PIN	<input type="text"/>



Affirmation of Attorney

Affirmation of Applicant's Attorney As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under State, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA Project or Projects.

Each Applicant for FTA funding and each FTA Grantee with an active Capital or Formula Project must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its signature in lieu of the Attorney's signature, provided the Applicant has on file this Affirmation, signed by the attorney and dated this Federal fiscal year.

Attorney's Name	NOT SIGNED
Certification Date	N/A

Certify Affirmation

Please note that this verification is being recorded under the name of:

Attorney's Name	Roger RIPTA	Certification Date	1/22/2016
Title	None	PIN	<input type="text"/>



Affirmation of Applicant

Affirmation of Applicant BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in federal fiscal year 2016, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply to each Award for which it now seeks, or may later seek federal assistance to be awarded by FTA during federal fiscal year 2016.

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 et seq., and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31, apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with a federal public transportation program authorized by 49 U.S.C. chapter 53 or any other statute.

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and any other statements made by me on behalf of the Applicant are true and accurate.

I Accept the above

Official's Name Brother Masterson

Certification Date Jan 26, 2016

If you expected to Certify on behalf of both but only see this view, you still need to complete your C&As, check your certification date

Affirmation of Attorney

Affirmation of Applicant's Attorney As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under state, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

Each Applicant for federal assistance to be awarded by FTA and each FTA Recipient with an active Capital or Formula Project or Award must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its electronic signature in lieu of the Attorney's signature within FTA's electronic award and management system, provided the Applicant has on file and uploaded to FTA's electronic award and management system this hard-copy Affirmation, signed by the attorney and dated this federal fiscal year.

I Accept the above

Attorney's Name

NOT SIGNED

Certification Date N/A

Confirmation Notifications

If the Official PINs separately from their Legal Counsel, the below message will populate noting the C&As still requires action. You may need to coordinate with your Counsel.

Certifications & Assurances | FY 2016 C&As Not Final

Confirmation Message

 Notification

You have successfully logged the Affirmation of Applicant.

However, the Affirmation of Attorney has not been logged for FY 2016 C&As. The Attorney must also log approval for the C&As before they are final.

Close

Attach Reference Documents If Necessary

- Once you Certify your C&As, you will return to the related actions menu.
- If you certified on behalf of both you will need to add the supplemental documents.

Records / Recipient Organization
Transportation, Maine Department Of |

-  **Recipient Documents** ←
Manage Recipient Documents
-  **Civil Rights Information**
Manage Civil Rights Information
-  **Certifications & Assurances**
Manage Certifications and Assurances
-  **Fleet Status**
Manage Fleet Status Information
-  **Congressional Districts**
Manage Recipient's Congressional Districts
-  **Direct Recipients**
Manage Direct Recipients Associated with Designated Recipient
-  **POC and Union Information**
Manage Recipient's Points of Contact and Union Information
-  **Sync Recipient Organization With SAM**
Sync with SAM System to Update Organization's SAM Information
-  **Formula Suballocations**
Manage Formula Program Suballocations

Recipient Document

To Add a new document, scroll to the bottom and select “Add Document Button” to proceed to the next form.

<input type="checkbox"/>	Civil Rights	General	156_TITLE VI FINAL_with maps.pdf	TITLE VI - 2014 - Submission 14 of 23	May 29, 2014	TEAM Doc
<input type="checkbox"/>	Civil Rights	General	158_TITLE VI FINAL_with maps.pdf	TITLE VI - 2014 - Submission 15 of 23	May 29, 2014	TEAM Doc
<input type="checkbox"/>	Civil Rights	General	159_TITLE VI FINAL_with maps_0.pdf	TITLE VI - 2014 - Submission 17 of 23	May 29, 2014	TEAM Doc
<input type="checkbox"/>	Civil Rights	General	180_TITLE VI FINAL_with maps.pdf	TITLE VI - 2014 - Submission 21 of 23	May 29, 2014	TEAM Doc

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Upload Documentation

1. Under Document Context select Cert & Assurances.
2. Document Type only provides “general” as an option.
3. Enter a Description (E.g. FY 2017 CA Attorney Signature)
4. Upload a document and use the “Save” Button.

Recipient Organization | Add Documents

Recipient Information

Recipient ID 1369 Recipient Name Massachusetts Bay Transportation Authority

Upload New Document

* Document Context

* Document Type

* Document Description

* Select Document

Recipient Documents

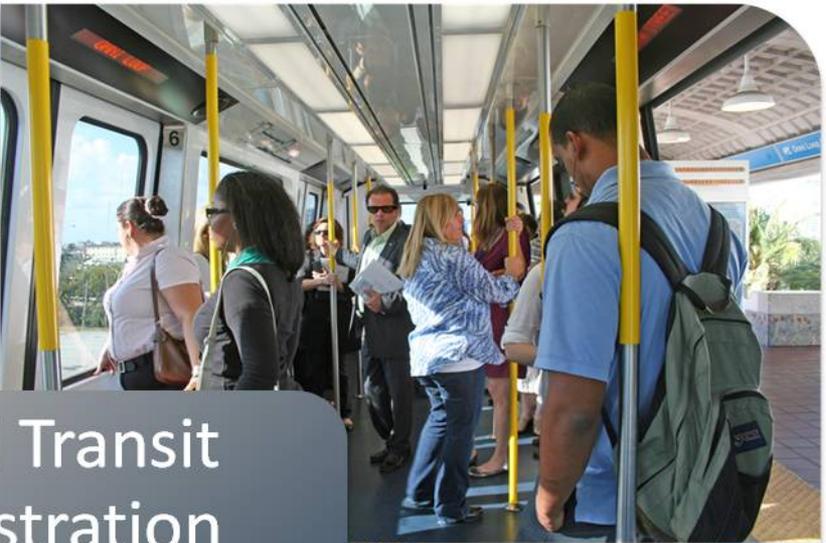
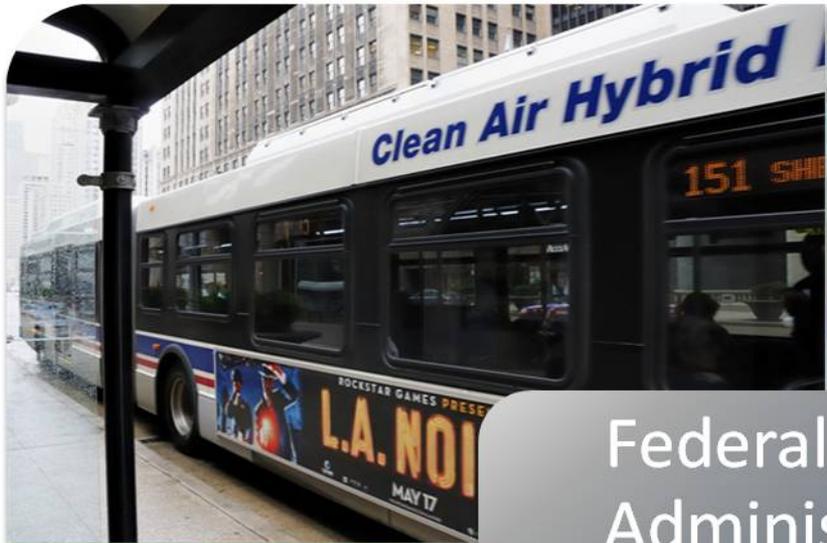
- Recipients may not delete documents uploaded to their profile.
- Contact your FTA contact if a document must be replaced or removed.

Applications and C&A's Incomplete

When you begin a new TrAMS application, if you see C&As as “missing”, that is an indication that your organization has not executed its C&As. Your C&As must be executed prior submission.

Recipient ID 1182	Recipient Name Chicago Transit Authority								
Application Status Information									
Application Number 1182-2016-1	<table border="1"><thead><tr><th>Application Tasks for Completion</th><th>Status</th></tr></thead><tbody><tr><td>Annual C&As</td><td>MISSING</td></tr><tr><td>Executive Summary</td><td>COMPLETED</td></tr><tr><td>Project(s) Validated</td><td>MISSING</td></tr></tbody></table>	Application Tasks for Completion	Status	Annual C&As	MISSING	Executive Summary	COMPLETED	Project(s) Validated	MISSING
Application Tasks for Completion	Status								
Annual C&As	MISSING								
Executive Summary	COMPLETED								
Project(s) Validated	MISSING								
Application Name Reserach for the MGMGrandHotel Transit System									
Status In-Progress									
Last Modified On									





Federal Transit
Administration
www.fta.dot.gov



FTA

FEDERAL TRANSIT ADMINISTRATION