Developing Applications in TrAMS

Stakeholder Session
February 23 and 25, 2016
Session Overview

• What information must be provided in your application.
• The concept of a “project” and different ways to structure projects within applications.
• Developing applications with multiple FTA funding sources.
• TrAMS application and project numbering.
• Additional information-messages, fleet status, contacting FTA prior to transmission
• Questions and Answers
• Live Demonstration
• Questions and Answers
Please be advised information is subject to change and enhancements may be incorporated post deployment. Please refer to the FTA TrAMS website for guidance, updates and corrections to related to TrAMS.

Thank you for your understanding and cooperation.

www.fta.dot/TrAMS
Reporting Errors/Issues to the Help Desk

Help Desk: (877) 561-7466
FTA.TrAMS.Help@DOT.GOV

1. Your Name
2. Your Email/Phone Number
3. Incident Number (if you called the Helpdesk and already have one)
4. Date/Time incident occurred
5. Environment (Production vs. Training)
6. Browser and Version (Chrome vs Internet Explorer vs Firefox vs Safari vs Tablet vs Other?)
7. Application Number (if applicable)

1. Brief Description of Issue (steps of what you were trying to do)
2. Screenshots of forms/error messages
3. User Type (FTA vs. Recipient)
4. Cost Center/Region
5. User Roles
6. Recipient ID (if applicable)
Gaining Access to TrAMS

- All active TEAM users received an email from FTA.TrAMS.Help@dot.gov with instructions on how to log on.
- An “active” TEAM user was a user whose last log-in was on or after October 1, 2013.
- We emailed the instructions to your TEAM email address.
- If you did not receive the instructions to log into TrAMS
  - The email might be in your SPAM folder.
  - You might not have been a TEAM user.
  - Your TEAM account might not have been active.
  - The TEAM email on file for you may be out of date.
- Contact your organization’s user manager. If you don’t have one, contact your FTA LSM.
- Your user manager or LSM can create a new account for you in TrAMS if necessary.
- If you are already an NTD user, your user manager can give you access to TrAMS and TrAMS roles.
How long will TEAM remain available?

TEAM will remain open in a “Read Only Status” through August 2016.

This will allow users to review and to view/print information that resides in TEAM.

All other functions (create, modify, reporting, etc…) will continue to be disabled.
Resources Available on the TrAMS Website

http://www.fta.dot.gov/TrAMS

• The TrAMS user manual
• A list of upcoming trainings
• Presentations and recordings for prior trainings.
• Guidance on developing applications
• The TrAMS help desk and FTA LSM contacts.
Grant Life Cycle – Application to Award

Grantee Transmits Initial Application to FTA

FTA Initial concurrences and FAIN Assignment

Grantee Formally Submits Application to FTA

FTA Final Concurrences & Grant Award (DOL/GNS)

Grantee Executes Grant Award Agreement

Develop Draft Application
Steps to Create an Application & Required Information

Step 1: Create the Application

Step 2: Create the Project

Step 3: Build the Project Activities

Step 4: Validate Each Project AND

Step 5: Validate Application
Basic Application Information

1) Application Name
2) Grant or Cooperative agreement
3) Application Executive Summary
4) Point of Contact
5) Executive Order 12372 information
6) Federal Debt
7) Pre Award Authority
TrAMS Application Format

Each Application must have at least

✓ One Project

Each Project must have at least

✓ One Budget Scope Code

Each Budget Scope Code must have at least

✓ One Budget Activity Line Item (ALI)
Project Level Information

1) Project Name
2) Project Description/ Narrative
3) Project Location
4) Project Benefits
5) Planning Requirements (STIP/UPWP/LRP)
6) Each Project is Validated
Project Activity Level Information

1) Budget Scope Code & Activity Line Items
2) Extended Budget Detail Narrative
3) Federal and Non-Federal Amounts
4) FTA Fund Program(s)
5) Quantity
6) Third Party Contractor(s)
7) Milestones
8) Environmental Finding(s)
TrAMS Applications and Projects

The next several slides will discuss:

• The concept of a “project” in TrAMS.
• How projects relate to scope of work and budget scopes and ALIs.
• How projects relate to environmental determinations
• When to create multiple projects in applications vs. a single project.
TEAM Awards & “Project”

- TEAM Awards referred to a “Project” to identify the application or award.
- The TEAM application format lumped all activities together in the application making it difficult to identify discrete Projects; and no way determine expenditures at the Project or activity level.
TrAMS Awards & “Project”

Each Award has its own purpose or scope of work, defined by its Project(s) and its activities

- TrAMS establishes a new “Project” Level within an application/award to better capture the scope of work of a “Project”. For example, a TrAMS Project may be used to define a specific project (e.g. The Main Street BRT, or the Red Line Station Expansion Project); a Project can also be used to group related but independent activities (e.g. Capital Improvements: Bus Preventative Maintenance, Shelter purchase Bus Replacements, Security Improvements)
TEAM & TrAMS – Terminology

TEAM Award

- Project Number
- Scope
- Activity Line Items

TrAMS Award

- Federal Award Identification Number (FAIN)
  - Project Number
  - Scope Code
  - Activity Line Item
TrAMS “Projects”

• Each application must have at least one Project, but may include multiple Projects
• Each Project has its Scope of Work defined by the Budget Scope Codes, ALIs, and the Extended Budget Description
• Each Project is assigned a Project Number
Considerations when defining Projects

• Are they related activities or multiple smaller routine activities?
• Do they share the environmental determination?
• High visibility project? Congressional interest?
• Do you want modal separation by Project, rail vs. bus?
• Will different organizational divisions implement the different Projects?
• Timeline to complete each Project, does one have a short-term vs. a long-term timeline?
TrAMS - Scope of Work

The scope of work of an Agreement is defined by the Project or Projects and the scope of work of each project. The ALIs and the extended budget details provide the narrative to explain the scope of work.
TEAM Award in TrAMS

- All TEAM awards migrated to TrAMS retain their TEAM Award ID (aka. Project Number) does not change. (e.g. CA-90-X007-03)
- All TEAM awards will have one Project and it will inherit the original TEAM Project Number
- ECHO will still recognize your TEAM awards using the TEAM Project Number
- All TEAM awards are “flagged” in the view print to denote it was originally created in TEAM
TrAMS Scopes & ALIs

No changes to the TEAM Scopes & ALI Tree

TrAMS applies a strict relationship between Budget Scope Codes and ALIs. Examples:

• Preventative Maintenance is not associated with 111-00 Rolling Stock, but with Other Bus Capital 117-00

• Budget Scope Code numbers cannot be modified (e.g. 111-01, 111-02, 111-03 or 123.A1, 123.B1…)

• Budget Scope Code names cannot be modified (e.g. Rolling Stock Amendment #1)
TrAMS & “Budget Scope Codes”

- The TEAM Scope and ALI Tree numbers and structure remains the same
- Budget Scope Codes are used to categorize activities, and in general does not equate to a Scope of Work
- The terms “Budget” and “Code” is added to TrAMS vernacular to emphasize Scope Level obligations
- FTA reimburses funds at the Budget Scope Code level
- Only one fund source may be applied to a Budget Scope Code
Projects and Environmental Determinations

FY 2015 Bus Capital and Rehab of Admin Facility
FAIN: CA-2015-A325-00

Bus Capital Improvements – Project 1
Project with Activities that have Different Environmental Designations

- Bus Other Capital
  - Project Administration CE II c - 4
  - Preventative Maintenance CE II c - 7
- Rolling Stock (Bus)
  - Buy 40 Ft Buses CE II c - 7
- Transit Enhancements
  - Bus Shelters CE II c - 9

Bus Facility Rehabilitation – Project 2
Project with a Single Environmental Designation
e.g., Environmental Assessment

- Support Facilities
- Design & Engineering
- Security
- Construction Rehab Admin

- Project 01 includes a group of system-wide activities and each has its own Categorical Exclusion Designation
- Project 02 is a specific project that has received a FONSI / Environmental Assessment that covers all associated activities
The next few slides will discuss:

• Temporary Federal Award Identification Number (FAIN).
• Final FAIN
• Project Number
• How information is updated when an award is amended.
• Illustrative examples
TrAMS Numbering

The System Generates the numbers

– Not assigned by staff

Temporary Application & Project Numbers

– System generated once an applicant creates an application record

The FAIN & Project Numbers are assigned when FTA considers an application complete

– Generated by system, initiated by FTA
Temporary Application Numbers

Application Temp #: 1306-2016-15

- Vendor ID (1306)
- FY Application Record is created (2016)
- Next Application in Sequence (15)

Project Temp # 1306-2016-15-P1

- Vendor ID (1306)
- FY Project is Created (2016)
- Next in sequence (15)
- Project # within Application (P1)
<table>
<thead>
<tr>
<th>CA</th>
<th>State</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016</td>
<td>Fiscal Year the FAIN is Assigned</td>
</tr>
<tr>
<td>021</td>
<td>Next application in sequence</td>
</tr>
<tr>
<td></td>
<td>(for the state, in the fiscal year the FAIN is assigned)</td>
</tr>
<tr>
<td>00</td>
<td>Initial Award (00) or Amendment (01, 02, etc…)</td>
</tr>
</tbody>
</table>
TrAMS Award Project Numbers
CA-2016-021-01-00

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>CA</td>
<td>State</td>
</tr>
<tr>
<td>2016</td>
<td>Fiscal Year the FAIN is Assigned</td>
</tr>
<tr>
<td>021</td>
<td>Next application in sequence</td>
</tr>
<tr>
<td>(1, 2, …21, 22…125)</td>
<td></td>
</tr>
<tr>
<td>01</td>
<td><strong>Project Number</strong> (01, 02, 03 etc…)</td>
</tr>
<tr>
<td>00</td>
<td>Initial Award (00), changes for</td>
</tr>
<tr>
<td></td>
<td>Amendment (01, 02, 03)</td>
</tr>
</tbody>
</table>
Temporary & Final Identification Numbers
Can be seen in Application View/Print

| Federal Award Identification Number (FAIN) | IN-2016-001-00 |
| Temporary Application Number | 1202-2016-1 |
| Award Name | IPTC Cooperative Agreement for Research |
| Award Status | Active (Executed) |
| Award Budget Number | 0 |
What happens if the Award is amended?

<table>
<thead>
<tr>
<th>Award Agreement</th>
<th>Project Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>CA-2016-021-00 = Initial</td>
<td>CA-2016-021-01-00 = Initial</td>
</tr>
<tr>
<td>CA-2016-021-01 = Amend #1</td>
<td>CA-2016-021-01-01 = Amend #1</td>
</tr>
</tbody>
</table>

Overall Award and Projects move together, Projects are not amended independently:

- CA-2016-021-03 = Award/Amendment
- CA-2016-021-01-03 = Project 1
- CA-2016-021-02-03 = Project 2
Close Out Amendments

Q: A frequently asked question is, “if you have more than one project in an application, can you close out projects independently?

A: No. The award and all projects within the award move together, they are not independent. Consider the timelines to complete projects when creating your application.
Simple Application, 1 Project, 1 Fund Source, and 3 Budget Scope Codes

<table>
<thead>
<tr>
<th>TrAMS Award/FAIN</th>
<th>CA-2016-021-00</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Number</td>
<td>FY Bus Capital Projects</td>
</tr>
<tr>
<td></td>
<td>CA-2016-021-01-00</td>
</tr>
<tr>
<td>Budget Scope Code</td>
<td>111-00</td>
</tr>
<tr>
<td></td>
<td>117-00</td>
</tr>
<tr>
<td></td>
<td>114-00</td>
</tr>
<tr>
<td>Activity Line Items</td>
<td>11.16.40</td>
</tr>
<tr>
<td></td>
<td>11.12.01</td>
</tr>
<tr>
<td></td>
<td>11.7A.00</td>
</tr>
<tr>
<td></td>
<td>11.42.00</td>
</tr>
</tbody>
</table>

Obligate & Draw Down Funds at Scope Level
1 Application, 2 Projects
1 Fund Source, 2 Scopes

Application FAIN: CA-2016-021-00

Project Number:
- Project #1: CA-2016-021-01-00
- Project #2: CA-2016-021-02-00

Project Scope:
- 111-00
- 442-00

Activity Line Items:
- 11.12.20
- 11.12.01
- 44.24-00

Illustration Only
Creating and Awarding Applications funded by Multiple FTA Programs (i.e. “Super Grants”)

• An application with more than one fund source is referred to as a “Super grant”

• Creating a Super Grant is optional.

• Using the Super Grant configuration should be coordinated with your FTA regional office.
Super Grants might be used when...

1. When multiple funding programs are being used to fund related activities such as a capital improvement project, a construction project or system-wide improvement project.

2. When multiple funding programs are being used for the same budget scope and activity line item.

3. When Flexing funds from FHWA flex-funding (i.e., Surface Transportation Program and Congestion Mitigation and Air Quality Program) for same or related projects also using an FTA program.

4. When an applicant is applying for multiple formula program funds apportioned under different programs in the same funding fiscal year or the prior fiscal year for the same urbanized area(s). (Section 5307, 5337, and 5339)
Super Grants may not be optimal when…

1. When an application contains funding programs with different requirements e.g., DOL review or Reporting Frequency etc…

2. Timeline/Period of Performance

3. Recipient’s ability to track and manage expenditures and draw-downs by funding source
Super Grant Architecture and NEPA Assignment of Environmental Determination

If the project you are funding is associated with a single NEPA action (i.e., an EIS or an EA), organize your super-grant application so that the multiple funding sources are associated with that Single Project.
Operating Assistance
1 Project, One Scope w/ 2 Fund Sources

- Application FAIN: CA-2016-021-00
- Project Number: CA-2016-021-01-00
- Scope Code: 300-00
- Activity Line Items: 30.09.01
- Obligate Fund Source #1
- Obligate Fund Source #2

Illustration Only
1 Application, 2 Projects, 2 Fund Sources for Bus Purchase
You must have a scope for each fund source

<table>
<thead>
<tr>
<th>Application FAIN</th>
<th>CA-2016-021-00</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Number</td>
<td></td>
</tr>
<tr>
<td>Scope Code</td>
<td></td>
</tr>
<tr>
<td>Activity Line Items</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>111-00 Fund #1</th>
<th>111-00 Fund #2</th>
<th>114-00</th>
</tr>
</thead>
<tbody>
<tr>
<td>11.12.40</td>
<td>11.12.01</td>
<td>11.12.40</td>
<td>11.44.03</td>
</tr>
</tbody>
</table>
Multiple Years and UZAs

• Application may include a request for funds from two different fiscal years of the same source; FY 2014 and 2015 in 5307 Funds

• Application may include a request for funds from two different UZAs

• You can include different years and UZA allocations in the same Budget Scope Code.
TrAMS Message Screens

**Green Box is a Success Box and Confirmation.**

- A Green Success Box appears when you have completed a process successfully. For example when you Transmit or Submit an application or quarterly report, the system confirms and validates the action is complete.

**Blue Box is a Notification Message.**

- You may encounter a blue box when you have created an application that includes rolling stock. The system will prompt you with a blue box to update your fleet status information.
TrAMS Message Screens

Yellow Box is a Warning Message or Soft Stop.
• For example, a yellow box may populate at initial transmission if your Civil Rights Programs are incomplete.

Red Box is an Error or Hard Stop.
• If you receive a Red Box or Message in Red, you must correct the error to move forward in the process. For example if information is missing in a Project at validation, you will get an error message that details what you need to do to pass validation.
Fleet Information in TrAMS

- Fleet information migrated into TrAMS will populate and reside in your Recipient Profile.
- Recipients should not anticipate their fleet information to be complete. Fleet information will reflect the last Award that included fleet rolling stock scopes.
- Grantees should use the first week to review and update their fleet information.
Fleet Status

Fleet Information in TrAMS (in the interim) will display only the TEAM “after value” as the “Current Value.”

<table>
<thead>
<tr>
<th>Part 6: Fleet Status</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fixed Route</strong></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>I. Active Fleet</td>
</tr>
<tr>
<td>A. Peak Requirement</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>B. Spares</td>
</tr>
<tr>
<td>C. Total (A+B)</td>
</tr>
<tr>
<td>D. Spare Ratio (B/A)</td>
</tr>
<tr>
<td>II. Inactive Fleet</td>
</tr>
<tr>
<td>A. Other</td>
</tr>
<tr>
<td>B. Pending Disposal</td>
</tr>
<tr>
<td>C. Total (A+B)</td>
</tr>
<tr>
<td>III. Total (I.C and II.C)</td>
</tr>
</tbody>
</table>

- **Current Value**

<table>
<thead>
<tr>
<th>I. Active Fleet</th>
<th>Current Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Peak Requirement</td>
<td>192</td>
</tr>
<tr>
<td>B. Spares</td>
<td>44</td>
</tr>
<tr>
<td>C. Total (A+B)</td>
<td>236</td>
</tr>
<tr>
<td>D. Spare Ratio (B/A)</td>
<td>22.92%</td>
</tr>
</tbody>
</table>

- **Inactive Fleet**

<table>
<thead>
<tr>
<th>II. Inactive Fleet</th>
<th>Current Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Other</td>
<td>10</td>
</tr>
<tr>
<td>B. Pending Disposal</td>
<td>0</td>
</tr>
<tr>
<td>C. Total (A+B)</td>
<td>10</td>
</tr>
</tbody>
</table>

III. Total (I.C and II.C) | 246
Manage Fleet Status

The module provides summary details of the selected fleet and...

**Fleet Status | Fleet Details**

**Recipient Profile Information**

- **Recipient ID**: 1910
- **Recipient Name**: Madison, City Of

**Existing Fleet Summary**

<table>
<thead>
<tr>
<th>I. Existing Active Fleet</th>
<th>II. Existing Inactive Fleet</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Peak Requirement</td>
<td>A. Contingency</td>
</tr>
<tr>
<td>B. Spares</td>
<td>B. Pending Disposal</td>
</tr>
<tr>
<td>C. Total Active Fleet (A + B)</td>
<td>C. Total Inactive Fleet (A + B)</td>
</tr>
<tr>
<td>D. Spare Ratio (B / A)</td>
<td></td>
</tr>
<tr>
<td>Total Fleet (I.C and II.C)</td>
<td></td>
</tr>
</tbody>
</table>

- A. Peak Requirement: 182
- B. Spares: 38
- C. Total Active Fleet (A + B): 220
- D. Spare Ratio (B / A): 18.13%
- Total Fleet (I.C and II.C): 234
- A. Contingency: 0
- B. Pending Disposal: 14
Manage Fleet Status

...provides a form to modify and save.
Fleet and Awards

Fleet information only populates in your new TrAMS award view/print when rolling stock (bus or rail) is included.

*Note: Fleet information only populates and attaches (to new TrAMS or amendments) when FTA completes its award of the application. Therefore, if you make changes post submission during FTA final review, that is the information that will be attached to that award.*
Fleet information

- Initial award: fleet is captured at Award.
- Amendments: fleet recaptured at Award of the amendment.
- Budget Revisions: fleet only knows that what was included in the last award/amendment; therefore fleet must be updated in the next amendment action.
Before you Transmit Your Application

- We encourage you to reach out to your regional grant representative to find out if they would like to review the application.
- An informal/preliminary review of applications that are in progress could identify and address any issues in your application early in the process.
- This may result in your application receiving the formal FTA reviews and concurrences more quickly and less application routing back and forth in TrAMS.
- Applicants and FTA staff can review the application at the same time. Both applicants and FTA staff can make edits to the application while it is “In Progress.”
Reporting Errors/Issues to the Help Desk

Help Desk: (877) 561-7466
FTA.TrAMS.Help@DOT.GOV

1. Your Name
2. Your Email/Phone Number
3. Incident Number (if you called the Helpdesk and already have one)
4. Date/Time incident occurred
5. Environment (Production vs. Training)
6. Browser and Version (Chrome vs Internet Explorer vs Firefox vs Safari vs Tablet vs Other?)

1. Brief Description of Issue (steps of what you were trying to do)
2. Screenshots of forms/error messages
3. User Type (FTA vs. Recipient)
4. Cost Center/Region
5. User Roles
6. Recipient ID (if applicable)
7. Application Number (if applicable)