FTA

FEDERAL TRANSIT ADMINISTRATION



# FTA Transit Award Management System (TrAMS) User Guide

## Recipient Organizations

**PRELIMINARY**

**Version 1.0**

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DEPARTMENT OF TRANSPORTATION
UNITED STATES OF AMERICA

# Document Revision History

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| 1.0 | 02/17/2016 | Initial draft | Alison Cubero, Pamela Bruffy, Mark Choi |
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# 1 Overview

The Federal Transit Administration (FTA) as part of the U.S. Department of Transportation (DOT) provides financial assistance to develop new transit systems and improve, maintain, and operate existing systems. Financial assistance to states and local transit providers (from here on referred to as recipients) is provided through federal grants and cooperative agreements. Recipients of these federal funds are responsible for managing their programs in accordance with federal requirements, and the FTA is responsible for ensuring that the recipients of these funds follow federal mandates along with statutory and administrative requirements. The Transit Award Management System (TrAMS) is a web-based tool that was developed to allow recipients to apply for federal funds, manage their programs in accordance with federal requirements, and provide the FTA with a method to review, approve, control, and oversee the distribution of funds.

The TrAMS application is based on the Appian Business Process Management (BPM) platform. The platform provides workflow control though role-based access and by assigning 'Tasks' to the appropriate 'User Roles' when a particular step in a grants life cycle should be performed. Recipients initiate the grants process within the TrAMS application and are notified by email of any assigned tasks. Access to specific TrAMS grant functions are restricted to only be available during certain times within the grants life cycle and to users who are allowed to perform those tasks.

## 1.1 Recipients in TrAMS

The TrAMS system maintains information on each recipient organization, the organizations compliance with eligibility requirements for awards, and the users within their organization.

Recipient Organization profile information is automatically imported from the System for Award Management (SAM). Any changes to organizations information such as name, address, phone, emails, contact information, etc. must be made in SAM. Additional organizational information including, Congressional Districts, Fleet, Point of Contact and Union, Direct Recipient and Sub-allocation information is updated using TrAMS functionality. When applying for a grant, all required organizational information is taken from the Recipients organizations record.

To apply for FTA grants, recipients must ensure that they are in compliance with required civil rights programs. Using TrAMS, recipients must annually submit their Certification and Assurance that they adhere to the program standards. Through TrAMS they document, manage, and verify compliance to Equal Employment Opportunity (EEO), Title VI, and Disadvantage Business Enterprise (DBE) programs.

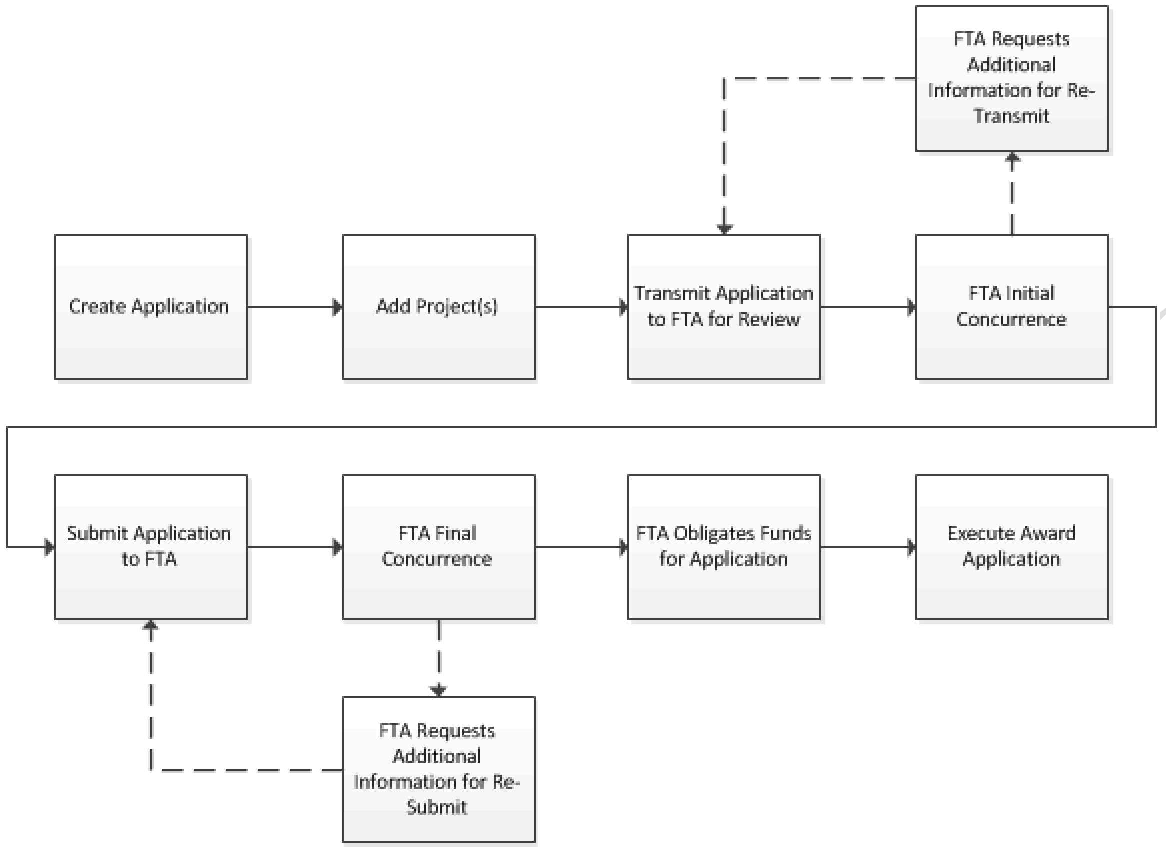
Each user within a recipient organization is provided with a unique 'User Name' for accessing TrAMS. Their user name is linked to one of more 'User Roles' that controls the information that they are allowed to view and update in TrAMS. Each organization has one or more users that have been granted the role of 'User Manager'. The 'User Manager' is able to manage the access to TrAMS for their organization, including adding new users, inactivating users, and assigning user roles. Each user role is linked to a specific subset of allowed activities and linked to assigned tasks as a grant moves through its life cycle.

## 1.2 Grant Life Cycle in TrAMS

Using TrAMS a designated user representing the recipient organization will draft an application to begin the TrAMS Grant Life Cycle. Recipients will need to provide a high level overview of the general purpose of the grant and answer some general questions regarding the purpose of the request. The recipient will then be required to add more specific information regarding the specifics of a grant by adding one or more projects. Projects within TrAMS allow for adding the details associated with an application including such items as location of project, type of work to be performed, environmental findings, funding source, funds requested, and expected project milestones. Additionally, TrAMS allows recipients to upload supporting documentation both on a project level and at the application level. Once a project is complete the system will perform a validation on the project to verify its completeness. After all projects for an application have been completed and validated, the system will perform a final validation on the application prior to the recipient being able to submit it for an initial FTA review.

Each recipient organization belongs to one of 10 regional FTA offices. Applications submitted to the FTA in TrAMS are transmitted to the recipients' local regional office. A pre-award manager from the regional office will be assigned to review the application for completeness and accuracy. The pre-award manager will use TrAMS to assign any additional required reviews (environmental, civil rights, and technical). These additional reviewers will receive a TrAMS task to log their concurrences or objections and provide any additional feedback. After all requested reviews have been completed TrAMS will notify the pre-award manager and assign him a new task to complete. The pre-award manager may at this point assign a task to the recipient to make changes or comments to their application or have TrAMS assign the application its Federal Awards Identification Number (FAIN). Once the FAIN has been assigned the recipient will receive an email indicating that they have received initial approval of their application and that they have been assigned a task to submit the final application.

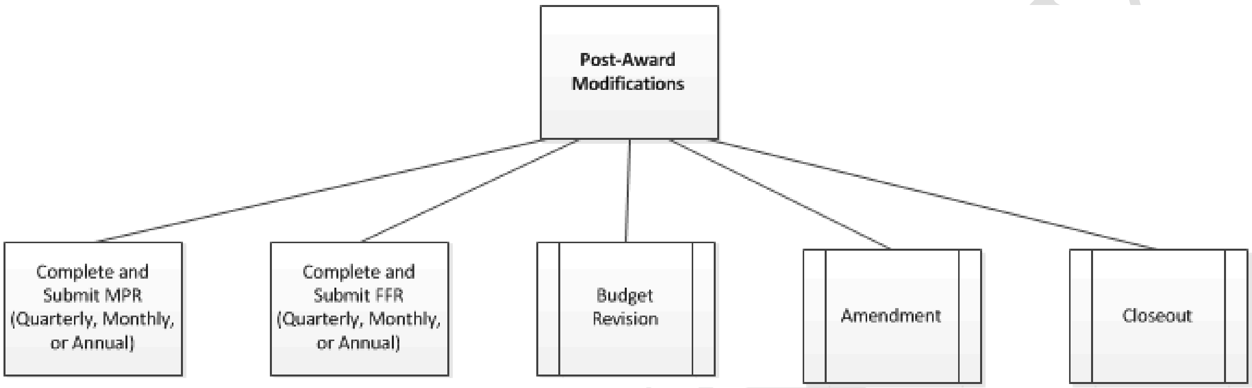
After submission has occurred the pre-award manger will receive a task to determine and assign any additional reviews that need to take place and request that funds are reserved. Again tasks will be assigned to additional regional reviewers to log their concurrences or objections along with a task to the regional reservationist to reserve the funds. Once more TrAMS will allow the pre-award manager to route the application back to the recipient for additional changes if necessary. Following the completion of the approval process the regional Administrator will receive a task to approve and obligate the funds for the award. A user designated as the recipient 'Official' will receive a task to accept the reward. At this point the reward will be executed and will move into a post award phase of grant.




During the post-award phase the recipient organization will be required to fulfill the terms of the award. Each award requires the recipient to provide a Federal Financial Report (FFR) and a Milestone Progress Reports (MPR). Frequency of these reports depends on the size of the recipient organization, the type of funding, and the amount of the funding. The TrAMS application will maintains the required frequency of these reports for each grant and will assign a task to the recipient prior to their due dates. Both the FFR and the MPR report will be created within the TrAMS application. Upon their completion they will be forwarded to FTA for review and will be maintained within the system throughout the life of the grant.

Required modifications to any grant are also maintained, reviewed, and approved using TrAMS. Three different types of changes to grants are available using TrAMS, Budget Revisions, Grant Amendments, and Administrative Amendments. Budget Revisions may be initiated by the recipient for changes that do not involve changes to scopes and funding of the grant. For changes to the scope or funds the recipient may initiate a Grant Amendment. When an amendment has been initiated, TrAMS will send the request through a full cycle of FTA reviews and approvals similar to the initial grant approval process. An Administrative Amendment is initiated by the FTA and will be used to modify grant name changes, clarify or modify terms and conditions of the grant or make funding adjustments to the grant.

Once all activities of a grant have been completed or all Federal funds expended the recipient must request a 'Closeout' of the grant using the TrAMS application. The recipient will be required to submit within TrAMS a final version of their FFR and MPR reports. Any unexpended balance of Federal funds will automatically deobligated by TrAMS upon closing of the grant. The grant closeout process may also be initiated by FTA in the event that the FTA determines that there is a failure to comply with the terms and conditions, failure of the recipient to make progress, or if they determine the funds are no longer needed for various reasons.




Following the completion of the closeout process of a grant, all financial records, supporting documents, and any submitted reports associated with the grant shall remain available in TrAMS for review by both the FTA and the recipient organization.

## 1.3 TrAMS System Interfaces.

The TrAMS system interacts directly or indirectly with other FTA and government systems in the awarding and executing of grants.

Recipient information in TrAMS is obtained from the System of Award Management (SAM). TrAMS performs a nightly update and syncs any organizational information such as name, address, phone numbers, emails, DUNS, TIN, Cage Numbers and organization contact information with the information in SAM. Changes to organizational information must therefore be made in SAM. Designated Users within the recipient organization may sync with SAM on an ad hoc basis.

Applications to be funded from non-formula grant programs and discretionary funds are required to go through the Congressional Release Process. An XML file is transmitted to the Grant Notification System 'GNS' when these applications are ready to be reviewed and awarded by the FTA Administrator.

Awarded Grant information is transmitted nightly to the Financial Management System (FMS). The FMS system is the tracking system which ensures that funds are properly utilized.

Requests to draw down grant funds are made through the use of the Electronic Clearing House Operation (ECHO) Web 2.0 application. ECHO Web 2.0 interacts with FMS to ensure that only approved funds are distributed.

As mandated through the Federal Funding Accountability and Transparency Act, awarded grant information shall be available for public access on the usa.spending.gov website. TrAMS transmits a file on a weekly basis to provide awarded grant information to the site.

# 2 Getting to know TrAMS

The following section provides a high level view of the TrAMS system and how to navigate, find, and work with data in TrAMS.

## 2.1 Navigation and Views

After logging in users see the TrAMS homepage. The homepage and all other TrAMS pages contain four distinct areas as shown in the figure below:

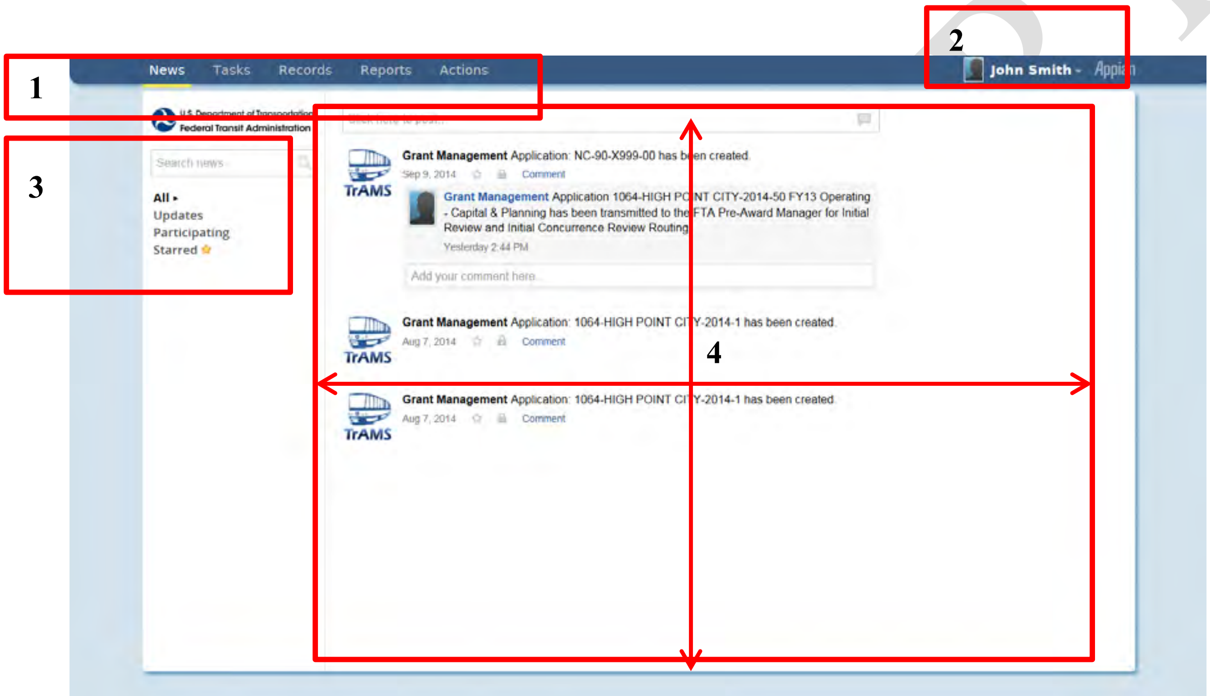



Figure 2-1 Navigation

1) **Navigation Tabs**: located at the top left corner of the TrAMS screen with the following five tabs:
   a) News
   b) Tasks
   c) Records
   d) Reports
   e) Actions

   The tabs are used to navigate through the system. All TrAMS users regardless of the User Roles assigned will see these five tabs.

2) **Account Information**: located at the top right corner of the TrAMS screen provides quick access to the logged in users profile, their user settings, and provides sign-out from TrAMS.

3) **Left Navigation Menu**: located in the leftmost middle portion of the TrAMS screen. The contents of the navigation menu will vary depending on the Main Content area. It will either

provide additional ways to search and filter the contents of the main area or it will provide a menu of options to see more detailed information about the currently selected data.

4) **Main Content**: This area will be where additional menus, forms, and reports display.

### 2.1.1 Navigation Tabs

The navigation tabs comprise your primary method of navigating in TrAMS. Each of the five tabs represents a different data type to work with in TrAMS.

#### 2.1.1.1 News

The 'News' tab is where users go to receive application and system news, and to collaborate with other TrAMS users through messaging. News feeds and messages may be targeted to specific users, groups, or to all users. This tab is the default tab that is selected when initially logging into the TrAMS application.

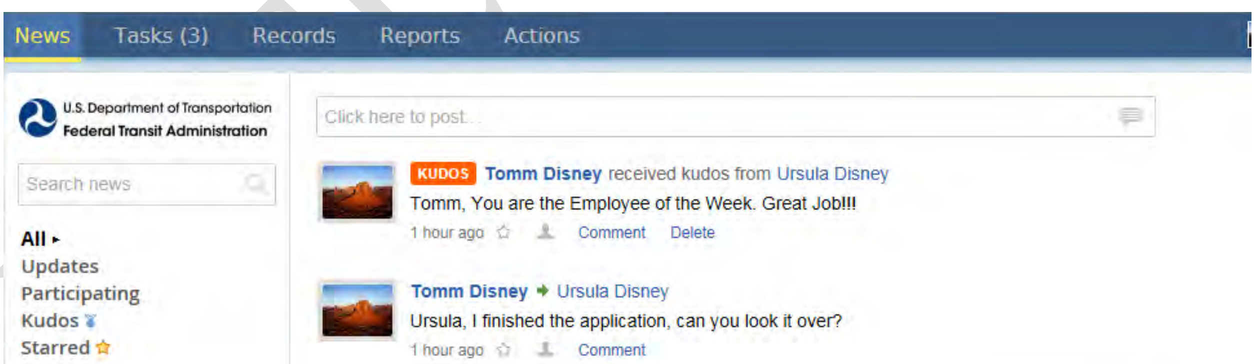
As an example, TrAMS automatically posts news feeds to the recipient's organization when:

- Applications are created
- When Applications are returned to the recipient for comments and changes
- When Applications are transmitted to FTA for initial review/concurrences
- When Applications are submitted to FTA for final review/concurrences

These messages will be grouped by application and are viewable by members of the recipient organization and FTA users.

Users may also use this tab add their own comments to the news feeds, communicate with other TrAMS user or groups using the post or message options, assign a social task, or to provide kudos.

Feeds will appear with the most recent posting found at the top of the list. The left hand navigation may be used to search for specific events or to filter down to a selected view. Users may manage their feeds further by following specific users or groups.

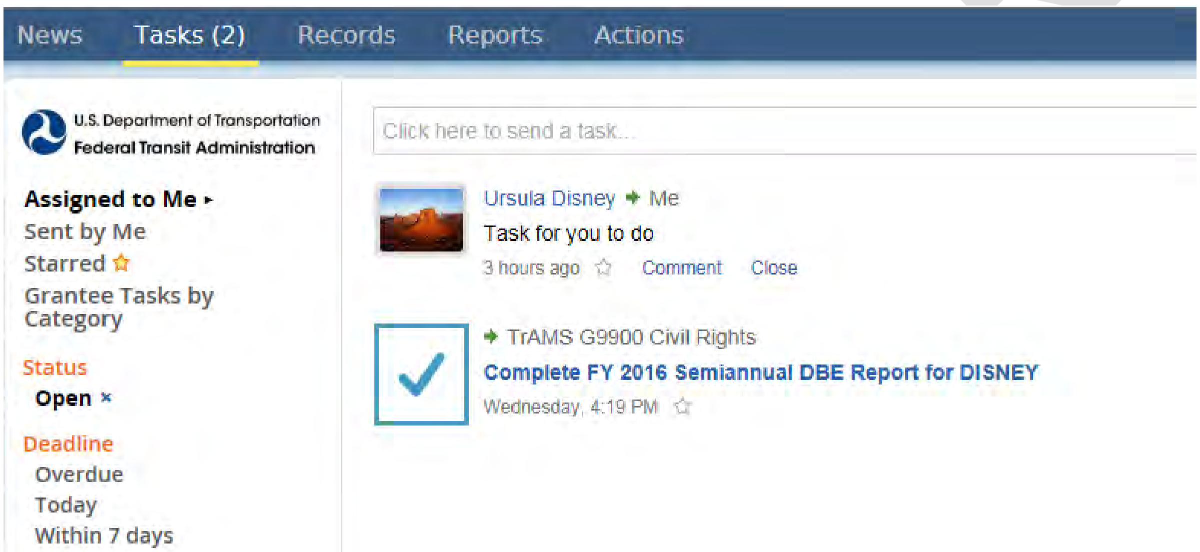



#### 2.1.1.2 Tasks

The 'Tasks' tab shows specific work items that have been assigned to the user or a group of users to complete. It lists by default all process tasks assigned to the user or the group they belong to and any social tasks assigned to them or by them. By clicking the task it opens the form that needs to be filled out. The number of open tasks assigned to the user (both process and social tasks) displays next the 'Tasks' tab title.

TrAMS will assign a task to a specific user or group when a certain step in a grants life cycle needs to be performed. As an example, users that have been assigned the 'Official' user role will receive a task when an award is ready for execution. By accepting the task the 'Official' will be able to review the awards information and sign their acceptance.

Social tasks are derived from other users and not directly from TrAMS, they do not have forms and can be commented on or closed directly from the task list.




### 2.1.1.3 Records

The 'Records' tab provides a way to access and work on records that already exists in the system. Records are comprised of all the information that makes up a specific type of data, such as all the information about the recipients organization. Clicking on the 'Records' tab gives the user a list of the types of records that they have viewer rights to. All users should see following record types,

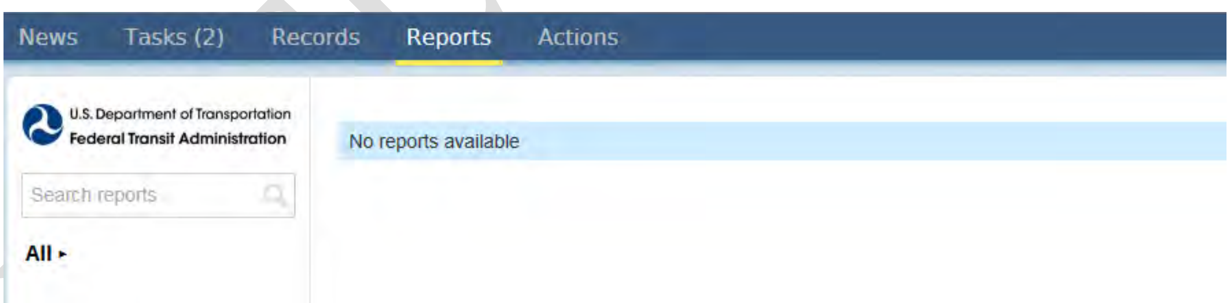
- Application/Awards – provides access to application and awards associated with the recipients' organization
- Projects – provides direct access to the individual projects that make up applications and awards
- Recipient Organization – provides access to recipients' organization records
- Static Reports – provides access to nightly generated reports and archived reports from TEAM
- Users – provides access to the users within the recipients' organization.

Selecting a type displays a listing of the 1st one hundred records associated with that type. Clicking on a record displays the detailed information associated to the selected record. Additional high level information about the record may be selected by choosing from the menu items found in the left hand navigation section of the screen. Choosing the 'Related Action' item provides a menu of more detailed data views and actions that may be performed on the record such as editing the record or transmitting an application to FTA.


#### 2.1.1.4 Reports

The 'Reports' tab is currently not in use in TrAMS.

- Previously generated reports (Static Reports) are accessible from the Records tab.
- Ad hoc Excel reports can be generated from the Actions tab.
- Previously created MPR and FFR reports may be searched for and viewed from the Actions tab.
- Tasks are assigned to create the MPR and FFR reports.



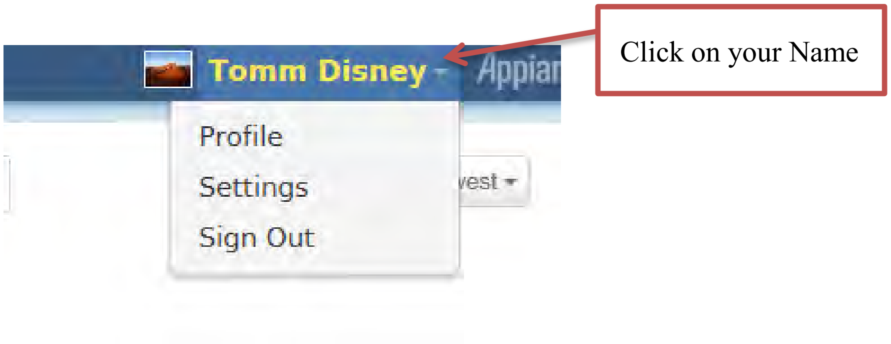

#### 2.1.1.5 Actions

The activities available under this tab are always available to the user to execute at any time. The 'Actions' tab provide a way to create new records, create and view excel reports, and perform searches for specific records. Visibility of the allowable actions for each user is controlled by the user roles that have been assigned to them.


### 2.1.2 Account Information

The account information area provides access to information that is specific to the user. It lists the logged in users first and last name. By clicking on the user name the user will be presented with the following three options:

1) Profile - provides a means for the user to update and view their profile information, including editing of user information and setting the users Personnel Identification Number (PIN). Refer to the 'User Access and User Management' section for full details.
2) Settings - opens the users Settings Page. From here the user can subscribe to Group Feeds and recipients may change of passwords (not for FTA use).
3) Sign Out - signs the user out of TrAMS.




### 2.1.3 Left Navigation Menu

The left navigation menu allows you to filter for specific data within the tab that is being viewed or contains a menu of additional information that is viewable for the data selected. Filters and menu items will vary depending on the tab and data type selected.

In some instances a search bar exists that allows the user to search for specific records. As an example after navigating to the Application/Awards from the record tab, the user may search for an award number or partial award number using the search box.

### 2.1.4 Main Content

The Main Content is where news items, tasks, forms, data, record specific menus, and search results are displayed in TrAMS.

1) The information displayed is specific to the tab you are working in (for example, only tasks will display when working in the ‘Tasks’ tab).
2) When printing within a web browser, only content within the Main Content area will be included.

## 2.2 Searching and Viewing TrAMS Information

Users may find specific applications, awards, users, reports, and organizations by using either the ‘Records’ tab or from the ‘Actions’ tab.

### 2.2.1 Searching from the Actions Tab

Users may search for a variety of information from the ‘Actions’ tab through the use of pre-defined data type searches. After selecting the type of data to search for the user will be presented with a search screen that will allow them to define filters for their search. The data that each user will be allowed to search on will depend on their user role.

To search for records using the ‘Actions’ tab the user selects the type of data he is searching for from the menu of available search options shown in the Main Content area of the Page. After selecting the search type the user will be presented with a search form to filter the data down to either the specific data they would like to see or to a smaller subset to choose from.

To search for records in the system using this tab:

1) Click on the ‘Actions’ tab on the navigation bar.

2) Select from one of the Search options. Search options will vary depending on the user roles assigned to you.


### 2.2.2 Searching from the Records Tab

Users may also search for data using the Records Tab, the record types that the user will see and have access to will depend on their user role.

To search for records using the 'Records' tab, the user selects the type of data he is searching for from the menu of available options shown in the' Main Content' area of the page. After selecting the data type, the user will be shown a list of the first 100 available records. A search box and additional filters will be available in the left hand navigation section of the page to help find a specific record.

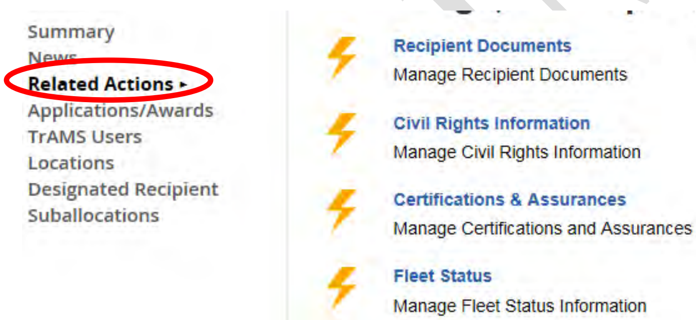
To search for records in the system using this tab:

1) Click on the 'Records' tab on the navigation bar.

2) Select from one of the record types available..


### 2.2.3 Viewing and Acting on Records

After having located the record you wish to view, you will be shown a high level summary of the data in the main content area of the screen. The left hand navigation will allow you to select different high level views of the data item selected, this often will include a 'Related Actions' option. By choosing the 'Related Actions' option the user will be provided additional options to view more detailed record information.. The 'Related Action' menu is also where the user will find options that will allow for the updating of the record. Updating of record information will depend on the users role as well as the current state of the data (ex. recipients may not edit applications that currently being reviewed).




## 2.3 Understanding Workflows

The TrAMS system automates the workflow (steps in a pre-defined process) associated with creating and administrating the FTA awards. Each step in creating, awarding, and administrating awards has been defined and associated with a user role to perform it. Workflows may be initiated by the system such as the yearly recertification of users or by a user such as when an application is transmitted for FTA review.

Workflows are initiated from the 'Actions' tab or from the 'Related Actions' menu associated with a record. After the user initiates the process other users that are part of the workflow will be notified of steps they need to complete. Steps in a workflow must be completed in the order defined.

### 2.3.1 Understanding Tasks

Tasks are part of workflows and are assigned when a user needs to perform a specific action as a part of the workflow. Users will be notified by email when tasks are assigned to them.

Tasks may be assigned to an individual user or to a group of users. When tasks are assigned to a group of users any user within the group may pick up the task to perform the necessary action. Once the task has either been picked up and/or performed by one of the user, the task becomes unavailable to the other users in the group. If a user selects a task and then decides that they cannot complete the task they may return the task to the group.

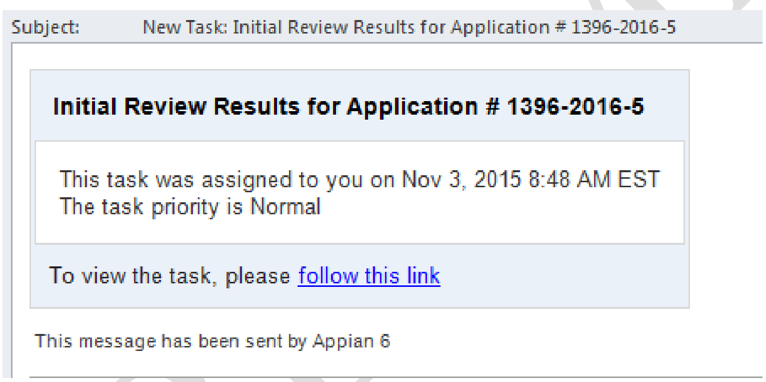
When tasks are assigned as part of workflows then the workflow stops and waits until the task is completed prior to assigning or completing the next step in the process. In some instances multiple users may be assigned a task concurrently, in these instances all users may perform their task simultaneously and the process will wait to proceed until all users have completed their required step.

#### 2.3.1.1 Task Notifications

When a ‘Task’ is created, all users that have been assigned the task will receive a task notification email from the system. This is a system generated message and will not accept any responses.

Task notifications will have the following characteristics

- From: Appian for Federal Transit Administration (PROD)
- Subject: New Task [Type of Task that has been assigned]




**Note:** If you believe you should have received a task notification and cannot find it in your email make sure to check your Junk folder.

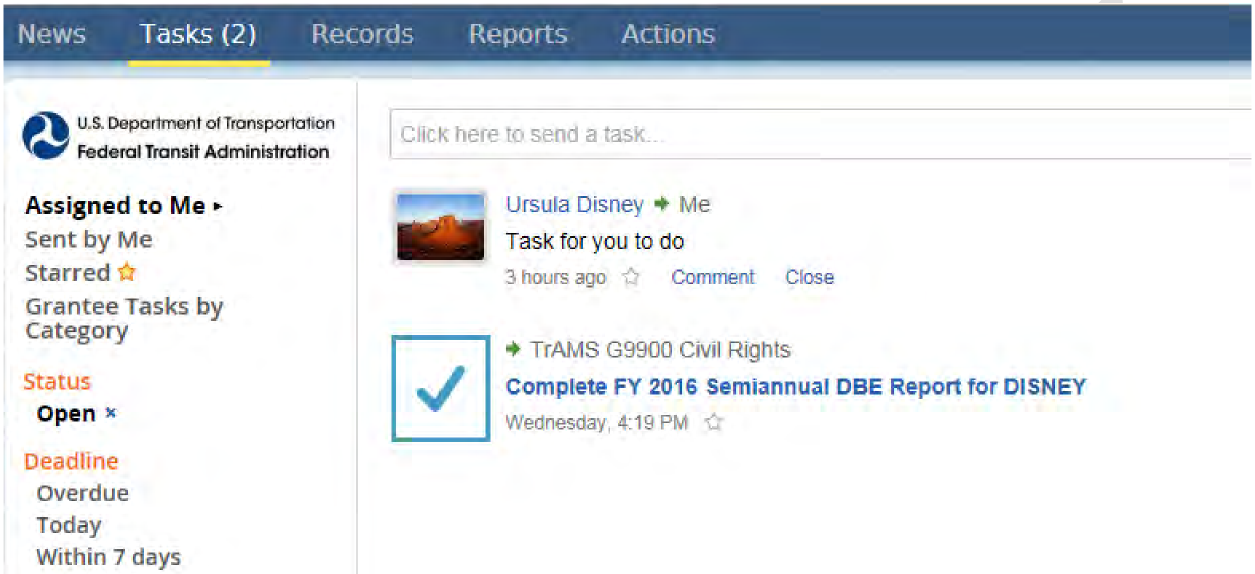
#### 2.3.1.2 Accepting Tasks

When a user receives a Task notification email in his inbox the user may click on the link provided. This will bring the user to the TrAMS log on screen. After logging into the system you will need to check your task queue.

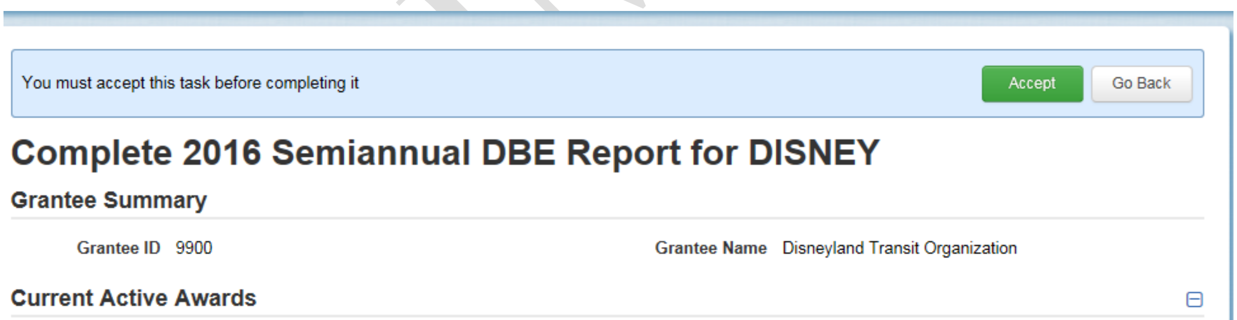
1) Click on the ‘Tasks’ tab.

2) You may use the filters provided in the left hand navigation to filter and find the task that you would want to work on.

3) Click on the link provided for the task you wish to accept.




4) A form will open for the task selected and you will need to click the 'Accept' button prior to being able to work with the form.




5) The Task will be closed once the user completes the required work.

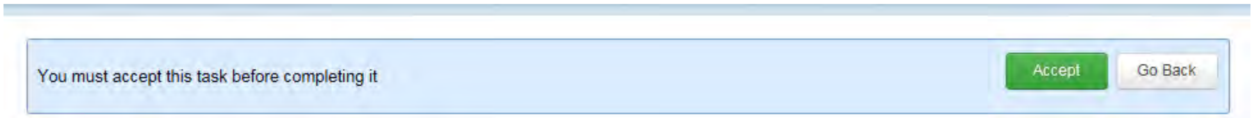
**Note:** If the form you are trying to work with appears to be in read-only mode, scroll to the top of the form to verify that you have accepted the task.

#### 2.3.1.3 Returning Tasks

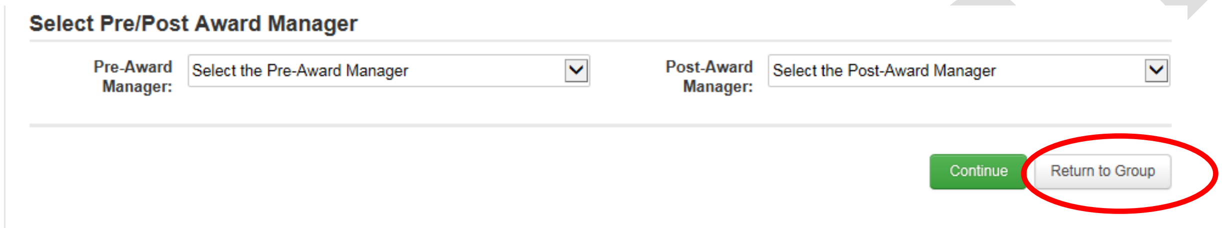
If a user decides that they have selected the wrong task or that they would prefer to work on the task at another time the user can simply return the task. Returned tasks will be available to all users that initially had the task assigned.

To return a task that you selected, but have not yet accepted.

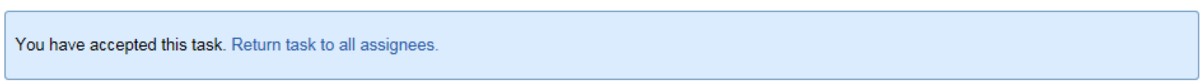
1) Click the ‘Go Back’ button.




2) Once a task has been assigned the user may return the task by using the ‘Return to Group’ button or similarly phrased button.




3) Or they may click the link ‘Return task to all assignees’ on the top of the page.

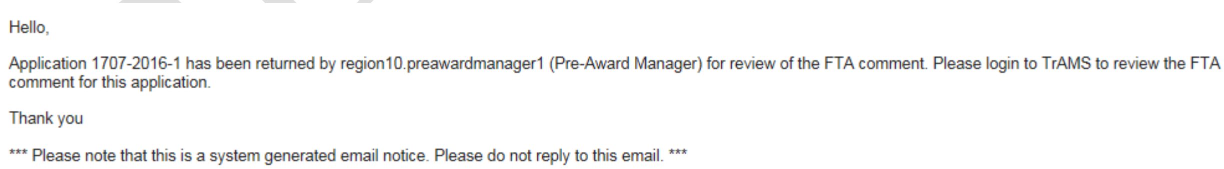



**Note:** If you have returned the task but do not immediately see the task back in your task queue, refresh the task queue by clicking on the ‘Task’ tab again.

### 2.3.2 Emails

In addition to tasks users may receive emails from the system indicating that they need to perform some action as part of a TrAMS workflow. After receiving an email and logging on, the user will not find any corresponding tasks to perform instead they will need to navigate to the appropriate record and required action on their own.

As an example a user may receive an email indicating that an Application has been returned by the pre-award manager and that they should review the comment.



Hello,

Application 1707-2016-1 has been returned by region10.preawardmanager1 (Pre-Award Manager) for review of the FTA comment. Please login to TrAMS to review the FTA comment for this application.

Thank you

*** Please note that this is a system generated email notice. Please do not reply to this email. ***

It is expected that the user will:

- Log into the system
- Navigate to the application record indicated in the email
- Select the related actions menu
- Click on the ‘Application Review Comments’ and review the comments made by FTA.

- Make the necessary changes as indicated and re-transmit their application.

You will be able to distinguish between emails sent by the system and system emails associated with tasks:

- 'New Task' will be at the beginning of the subject line for emails associated with tasks.
- Emails not associated with a Task 'From' line will be listed as 'TrAMS Admin'.

In both cases the workflow will not continue until the required actions have been completed.

## 2.4 Working with TrAMS Forms

### 2.4.1 Browsers

The following web browsers are supported by TrAMS:

- Internet Explorer 9, 10, and 11
- Safari 5.x
- Firefox
- Chrome

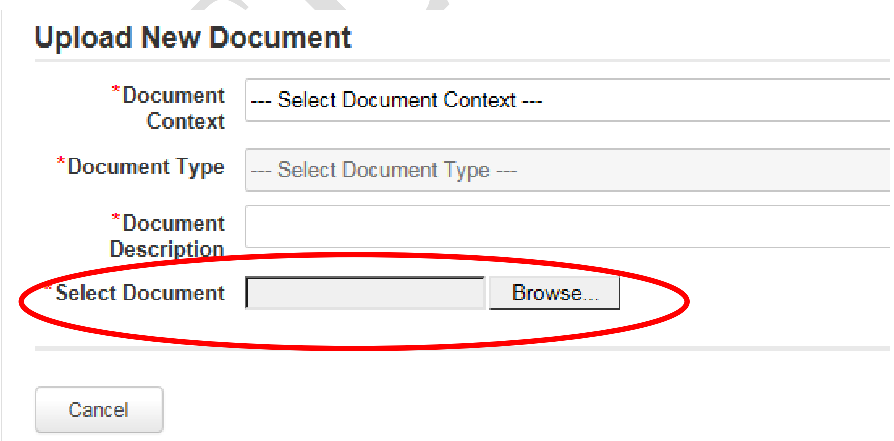
Although all of the listed browsers are all compatible with TrAMS some items may look and behave differently depending on the browser you are using.

**Note:** The instructions and screen shots shown in this guide have been created using Internet Explorer 11.

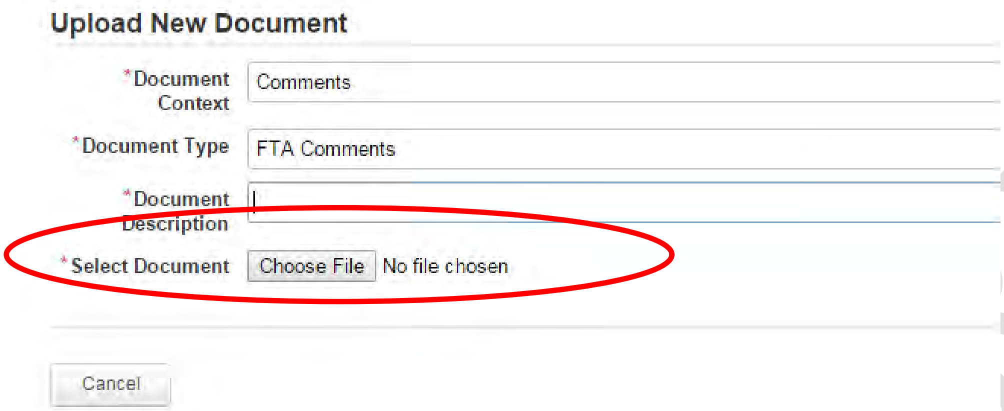
Sample browser differences include:

When selecting documents to upload

- Internet Explorer and Firefox



- Chrome & Safari

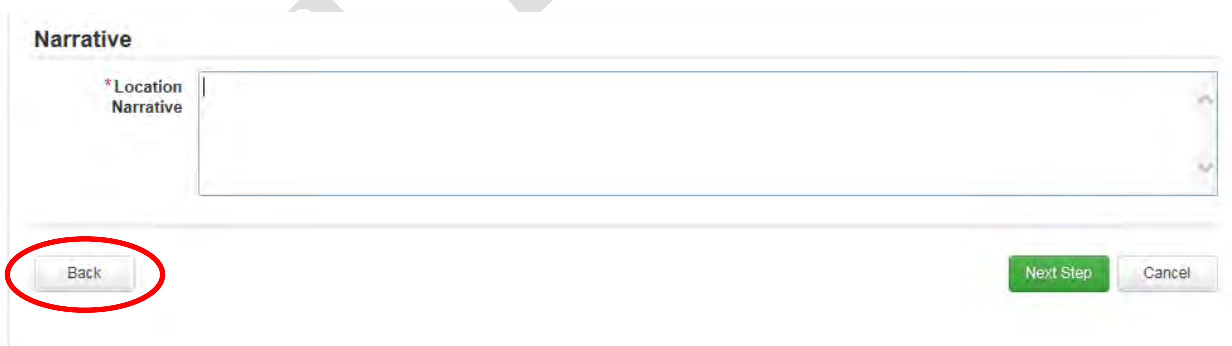



### 2.4.2 Buttons

Buttons on forms allow the user to perform some sort of action on the form such as saving, or deleting data and also provide a way to leave the form. When no buttons exist on a form you may simply click on another item from the left hand navigation menu or on another tab in order to close the form.

#### 2.4.2.1 Back Button

A 'Back' button is provided when multiple forms are part of a workflow and should be used when you want to move to a previous form to either verify the data entered or make changes to the data. You must use the 'Back' button provided on the form not the browser back button. When applicable the 'Back' button will appear on the bottom left side of the form.

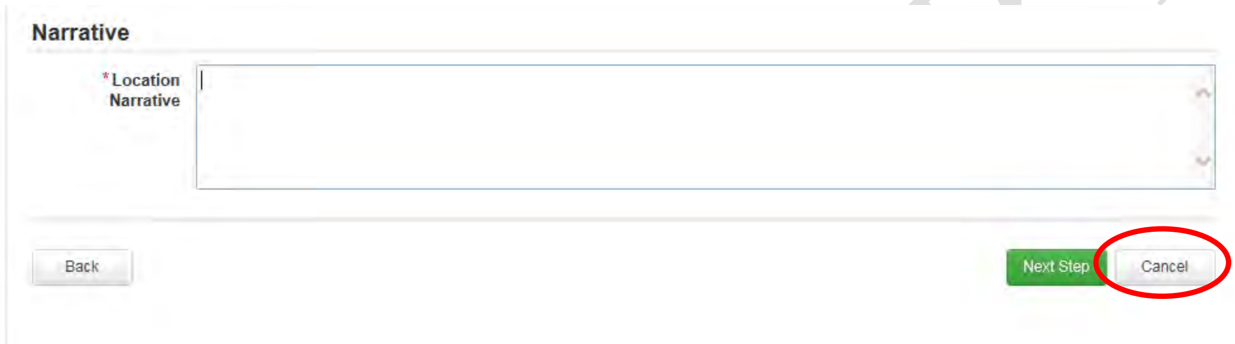



**Note:** Using the Browser back button exits you from the workflow and will not return you to the previous form as expected. The browser back button should not be used to navigate in TrAMS

#### 2.4.2.2 Cancel Button

A ‘Cancel’ button on forms closes the current action without saving changes made. When using the ‘Cancel’ button within a workflow, the ‘Cancel’ action will only apply to the current form; data from previous forms will have already been saved.

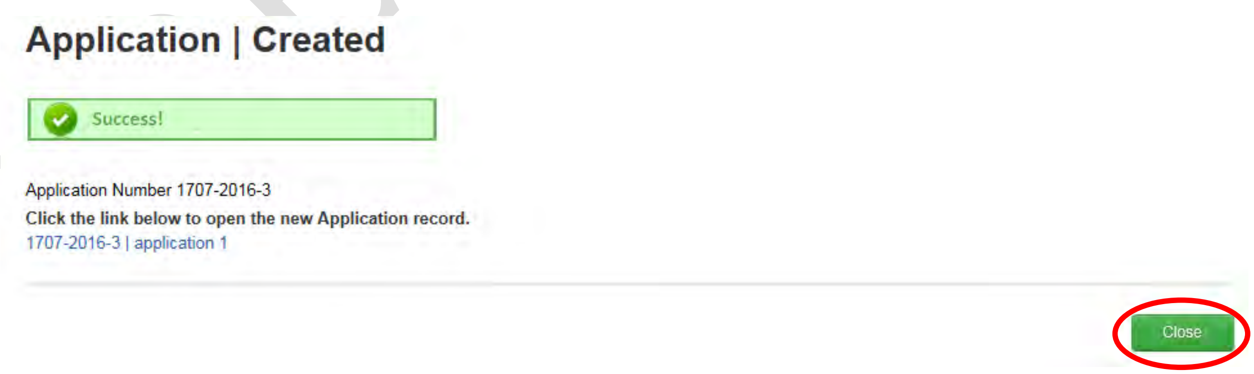
As an example, when initially adding a project there are three pages that are part of the workflow, the project details and narratives, project location, and project plan information. If you select the ‘Cancel’ button on the project location page, you exit the form and return to the related actions menu. Data entered on the location page will not be saved. Information from the ‘Project Details and Narratives’ page, the first form in the workflow is saved.




#### 2.4.2.3 Close Button

The ‘Close’ button completes an action or a workflow and returns the user to the menu that they initiated the action from. As with the ‘Cancel’ button this button does not perform a save action. You will most often see this button presented on read-only types of forms where saving is not warranted such as a success screen indicating the end of a step in a process.

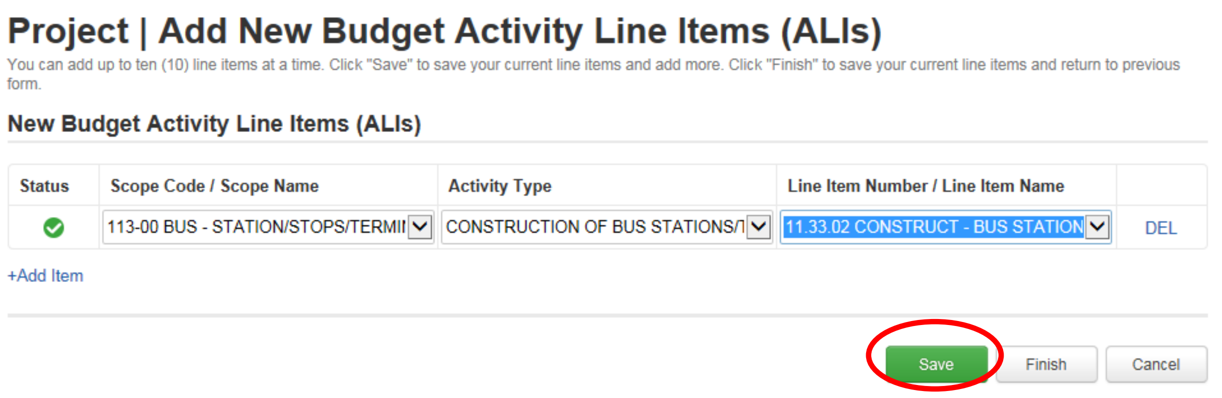
On some forms you may see both a ‘Cancel’ and a ‘Close’ button this is usually on a form that has expanded after you have made a selection from a grid. In these instances the ‘Cancel’ will close the expanded portion of the form without saving the information and the ‘Close’ button will close the entire form without saving.



#### 2.4.2.4 Save Button

The 'Save' button on a form, saves the changes that have been made to the form. 'Save' buttons are often located on forms that expand after selecting an item from a grid and allows for the user to save data intermittently for the expanded section.

If a form has both a 'Save' button and a 'Cancel' button, then changes made and saved are not affected when the 'Cancel' button is selected. Only the changes made after the 'Save' button was clicked are not saved.




#### 2.4.2.5 Additional Buttons

You will see a variety of other button labels, many of these buttons will provide a method to commit to the changes or the request being made. They will save the data and either close the form or move to the next appropriate form.

These buttons have been labeled to help you identify what will happen by clicking them.

Examples include:

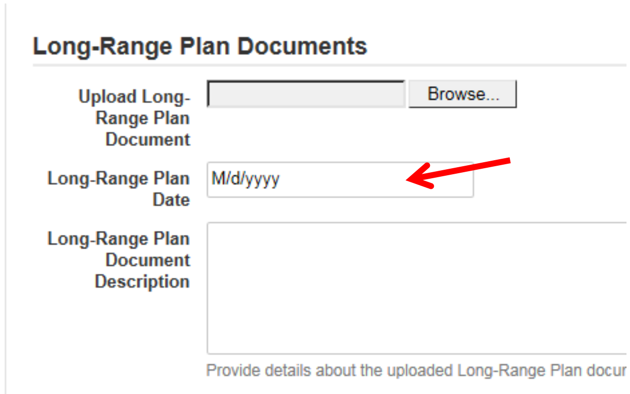
- Next – shown when workflow steps you through a series of forms. It will save the data on the current form and move to the next form in the workflow.
- Generate Report – Shown when creating excel reports. Initiates the creation of the report after selecting the search criteria.
- Submit – Saves the data and closes the current form.

### 2.4.3 Calendars

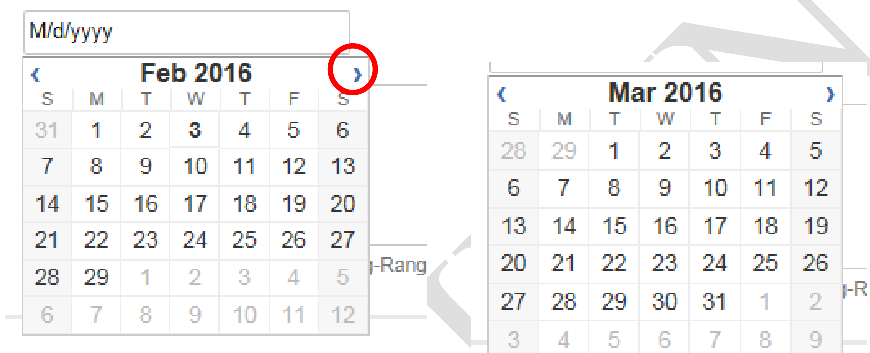
When entering dates into TrAMS system, users may either type the date directly into the field or they can use the calendar function to pick a date. Dates will display in 'm/d/yyyy' format and should be entered this way.

To select a date:

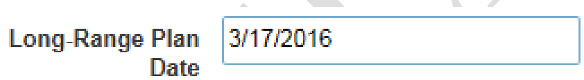
1) Click in the Date field.




2) The current month calendar will be displayed. Use the arrows (< and >) to navigate to the correct month and year.




3) Click on the date to select it.




### 2.4.4 Grids

Grids in the TrAMS system are used to display data and allow users a way to select a specific item(s) to perform some other action on.

#### 2.4.4.1 Selecting Records

Checkboxes are shown when a user is allowed to select a specific record from a grid to work with.

1) To select one record from a grid, click the check box associated with it and then click the appropriate action button (ex. Remove Document).

**Existing Documents**

| ☐ | Document Context | Document Type | Document File Name | Document Description | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|---|
| ☐ | Application Information | General | View Print Application - FL-2016-001-00 | Execute Award (2/1/2016) - Application View-Print | Feb 01, 2016 | julliennedisney@yahoo.com |
| ☑ | Proposal Documents | FTA Comments | DOT LOGO.bmp | Demo Documents | Feb 03, 2016 | julliennedisney@yahoo.com |

Add Document | Remove Document | Close

2) To select all items in a grid, click on the top checkbox and all other checkboxes will automatically be selected, then click the appropriate button to perform the action on all items in the table.

**Existing Documents**

| ☑ | Document Context | Document Type | Document File Name | Document Description | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|---|
| ☑ | Application Information | General | View Print Application - FL-2016-001-00 | Execute Award (2/1/2016) - Application View-Print | Feb 01, 2016 | julliennedisney@yahoo.com |
| ☑ | Proposal Documents | FTA Comments | DOT LOGO.bmp | Demo Documents | Feb 03, 2016 | julliennedisney@yahoo.com |

Add Document | Remove Document | Close

#### 2.4.4.2 Expanding and Collapsing Data

Grids are also used to select items for which you want to display additional details for. For grids which are used to expand data details only one row may be picked at a time.

1) Click the checkbox next to the item to expand.

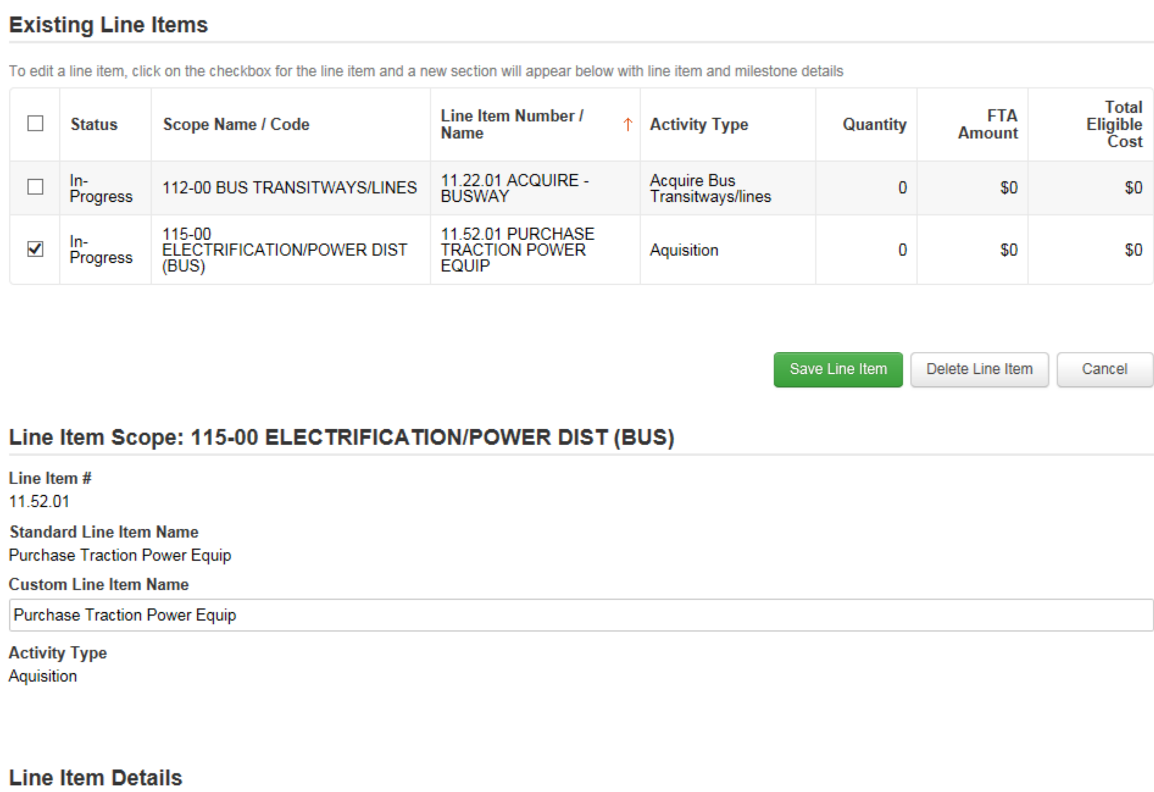
**Existing Line Items**

To edit a line item, click on the checkbox for the line item and a new section will appear below with line item and milestone details

| ☐ | Status | Scope Name / Code | Line Item Number / Name ↑ | Activity Type | Quantity | FTA Amount | Total Eligible Cost |
|---|---|---|---|---|---|---|---|
| ☐ | In-Progress | 112-00 BUS TRANSITWAYS/LINES | 11.22.01 ACQUIRE - BUSWAY | Acquire Bus Transitways/lines | 0 | $0 | $0 |
| ☐ | In-Progress | 115-00 ELECTRIFICATION/POWER DIST (BUS) | 11.52.01 PURCHASE TRACTION POWER EQUIP | Aquisition | 0 | $0 | $0 |

Add Line Item | Close

2) The page will expand below the current grid to show the additional information.



### Existing Line Items

To edit a line item, click on the checkbox for the line item and a new section will appear below with line item and milestone details

| ☐ | Status | Scope Name / Code | Line Item Number / Name ↑ | Activity Type | Quantity | FTA Amount | Total Eligible Cost |
|---|---|---|---|---|---|---|---|
| ☐ | In-Progress | 112-00 BUS TRANSITWAYS/LINES | 11.22.01 ACQUIRE - BUSWAY | Acquire Bus Transitways/lines | 0 | $0 | $0 |
| ☑ | In-Progress | 115-00 ELECTRIFICATION/POWER DIST (BUS) | 11.52.01 PURCHASE TRACTION POWER EQUIP | Aquisition | 0 | $0 | $0 |

Save Line Item | Delete Line Item | Cancel

### Line Item Scope: 115-00 ELECTRIFICATION/POWER DIST (BUS)

**Line Item #**
11.52.01

**Standard Line Item Name**
Purchase Traction Power Equip

**Custom Line Item Name**
Purchase Traction Power Equip

**Activity Type**
Aquisition

### Line Item Details

3) To collapse the item, simply uncheck the selection box, or click the appropriate action buttons that are present on the form.

#### 2.4.4.3 Sorting

A red arrow within a grid header field indicates that he table may be sorted by this field either ascending or descending.

1) Click in the header field to view the red arrow and sort. If no red arrow displays then the table cannot be sorted by this field.

| UZA Code | Cost Center | Account Classification Code | FPC | Transaction Date | Transaction Type ↑ | Amount |
|---|---|---|---|---|---|---|
| 020000 | 65000 | 2015.25.90.91.2 | 00 | 1/28/2016 | Authorized Disbursement | $100.00 |
| 020000 | 65000 | 2015.25.90.91.2 | 00 | 1/28/2016 | Authorized Disbursement | $100.00 |
| 020000 | 65000 | 2015.25.90.91.2 | 00 | 1/28/2016 | Obligation | $100.00 |
| 020000 | 65000 | 2015.25.90.91.2 | 00 | 1/28/2016 | Obligation | $100.00 |

2) Click in the header field again, to sort the other direction.

| UZA Code | Cost Center | Account Classification Code | FPC | Transaction Date | Transaction Type ↓ | Amount |
|---|---|---|---|---|---|---|
| 020000 | 65000 | 2015.25.90.91.2 | 00 | 1/28/2016 | Obligation | $100.00 |
| 020000 | 65000 | 2015.25.90.91.2 | 00 | 1/28/2016 | Obligation | $100.00 |
| 020000 | 65000 | 2015.25.90.91.2 | 00 | 1/28/2016 | Authorized Disbursement | $100.00 |

#### 2.4.4.4 Navigating Records

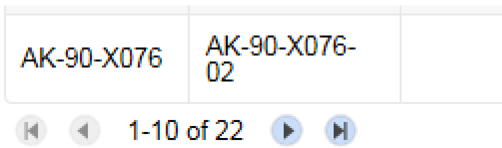
Each grid on a page is limited to the number of records that it will display at a time. When the number of records exceed the number of rows that will display comfortably on a page you may navigate to see additional records using the navigation arrows on the bottom of the grid.

1) Click on the arrow (>) to show the next set of records.

2) Click on the arrow and bar (>|) sign to move to the last record.

3) Click on the arrow (<) to move to the previous page.

4) Click on the bar and arrow (|<) to move to the first record.

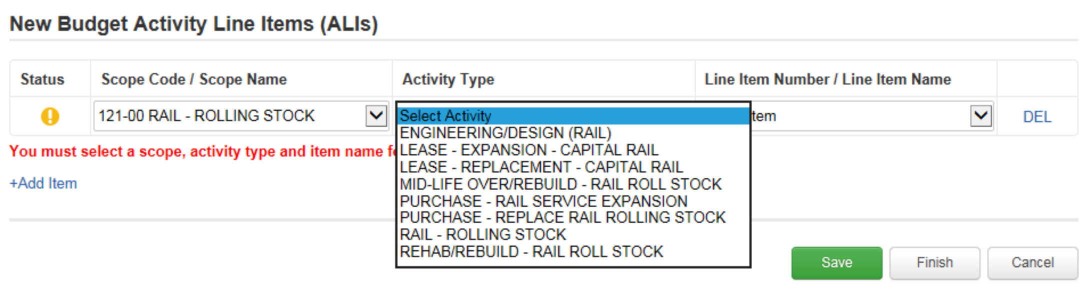



### 2.4.5 Drop Downs

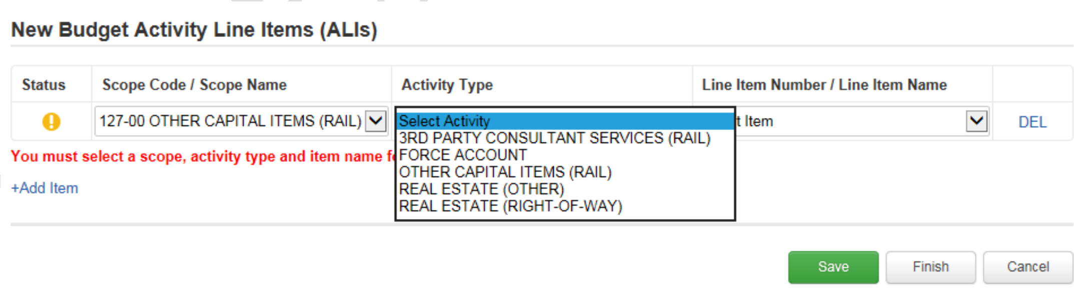
Drop downs are used for fields that have a pre-determined list of allowable values. The drop down field ensures that only valid values are selected. In many instances the values allowed in a field may depend on the values selected in other fields. In these instances the other fields must be selected first. The drop down lists for the dependent fields will be populated with the appropriate values following the initial selection.

1) Click on the drop down value for the left most field.

2) Select a value from the picker, and then move to the dependent field to see the correct subset of values.




3) If you select a different value from the first picker list a different subset of data will be displayed in the next picker list.

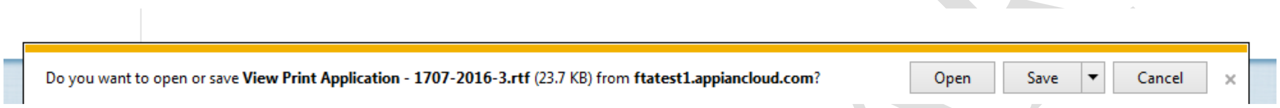


### 2.4.6 Viewing and Printing

Records that may be viewed and printed have been formatted as ‘Rich Text Format’ (.rtf). These files will need to be opened using a program that is compatible with this type of file. The most common used program to open this type of file is Microsoft Word.

After selecting the ‘View/Print’ action, you will be prompted on how to open this type of file. Variations will exist depending on the browser that you are working with and the program you have defined to be the default program to open rtf files.

Example: Internet Explorer 11 and Microsoft Word




## 2.5 Working with News Items

The TrAMS system allows you to openly communicate with other users and stay informed with events occurring within the TrAMS system. You may communicate with other users through:

- Posts
- Messages
- Kudos
- By assigning Tasks

In the ‘News’ tab you can view an ongoing list of entries created by fellow users, system administrators, and internal business processes.

### 2.5.1 Posts

A post is an entry that displays on the ‘News’ tab. The post may be from your followers and/or any users and groups you specify. Followers are users who have selected the ‘Follow’ option (button) on the user business card of your User Profile page. You can see the number of people following you from your profile page; however, the names of your followers will not be displayed.

Recipient users will receive system posts automatically whenever a grant application from their organization is created or updated. FTA users will receive system posts automatically whenever any application is created or updated for all regions. Both recipient and FTA users will see any posts or messages directly sent to their username.

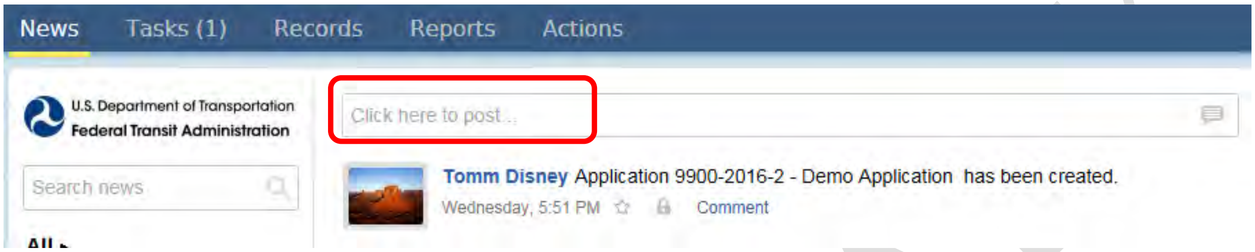
Posts will be visible from the respective ‘News’ tabs of the sender and recipient(s) of the post. The post will also be visible to users added later to a post after it has been published. The post will then appear in their ‘News’ tabs automatically, even if they are not following you. If a user is added to the post, that user will receive an email notification that they were added, along with a link to the post. You can select the ‘Participating’ filter on the ‘News’ tab to only display the posts that you have participated in.

All posts can be searched irrespective of author and recipient(s).

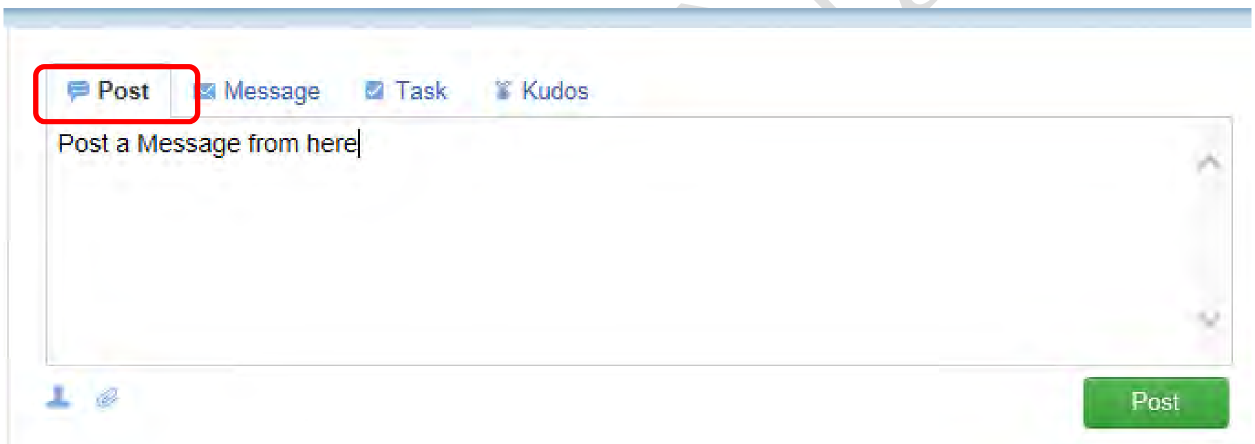
#### 2.5.1.1 Create Post

To create a new post:

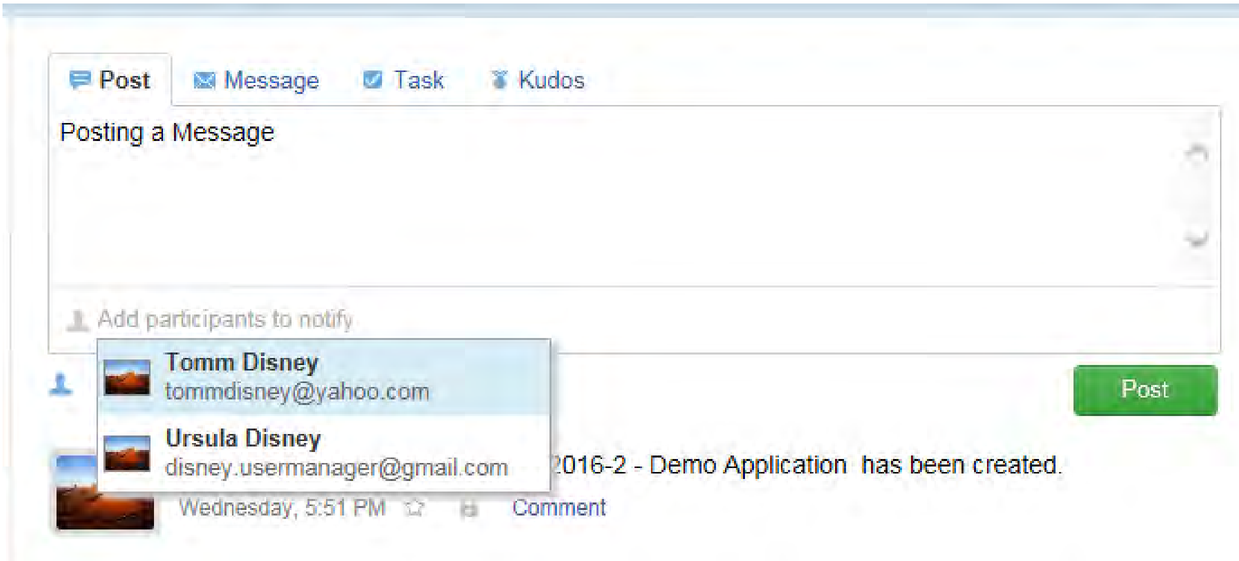
1) At the top of the 'News' tab, click inside the field which displays 'Click here to post...', the 'Post' tab will be initially selected by default.




2) Enter the post's text into the 'Type post here' prompt. At a minimum, you must enter at least one character which is not a space. Posts can be a maximum of 4,000 characters including spaces.




3) To add users or groups to the post:
   a) Click the person icon in the bottom-left of the entry box.
   b) Type the name of a user in the text field or click the button with a group icon to the right of the field. This is a type-ahead field; names will auto-populate under the field as you type, from which you can then select the recipient(s).
   c) Select the user from the drop-down menu that appears. The selected user will display as a button in the text field. To remove a participant, select the 'x' which appears in each participant's button.
   d) Repeat as needed for any other users that the post is intended for.




4) To attach files to the post:

a) Click the paperclip icon below the entry box.

b) Select the file that you want to attach using the file browser and then open it for upload.

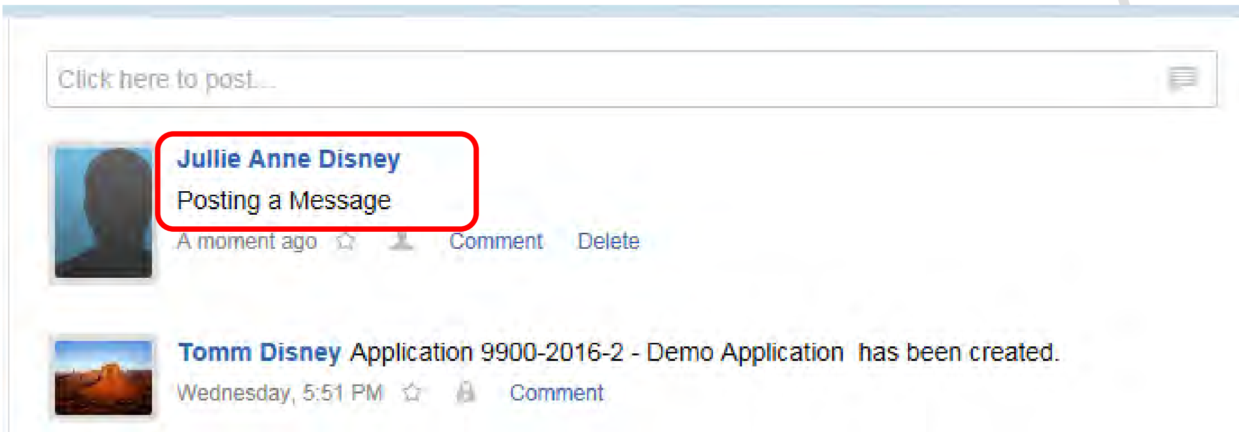
c) Repeat as needed for any additional files you would like to attach to the post.

d) You can remove any attached files before posting by clicking on the ‘x’ which appears to the right of the file’s name.

5) Once finished, click the ‘Post’ button.


**Note:** Any attachments added to posts may be deleted by the sender. However, any attachments added to comments replying to a post cannot be deleted after the comments have been published.

6) The post will display on your ‘News’ tab, the ‘News’ tabs of your followers, and the ‘News’ tabs of any users and groups that you added to the post. By default, you will receive an email notification every time a user comments on the post.




### 2.5.2 Messages

Messages are entries you can send to a single user or group, multiple users and/or groups, or all users in the system. Only the recipients you send the message to and any users and groups added to the message can view it. The message will not show up in the search results of other users.

FTA users can send messages (as well as posts, tasks, or kudos) to all other FTA users or any recipient users. Recipient users can only send messages to users within their organization, for example, those found within their TrAMS ‘Users’ dashboard. Recipient users cannot send messages to FTA users.

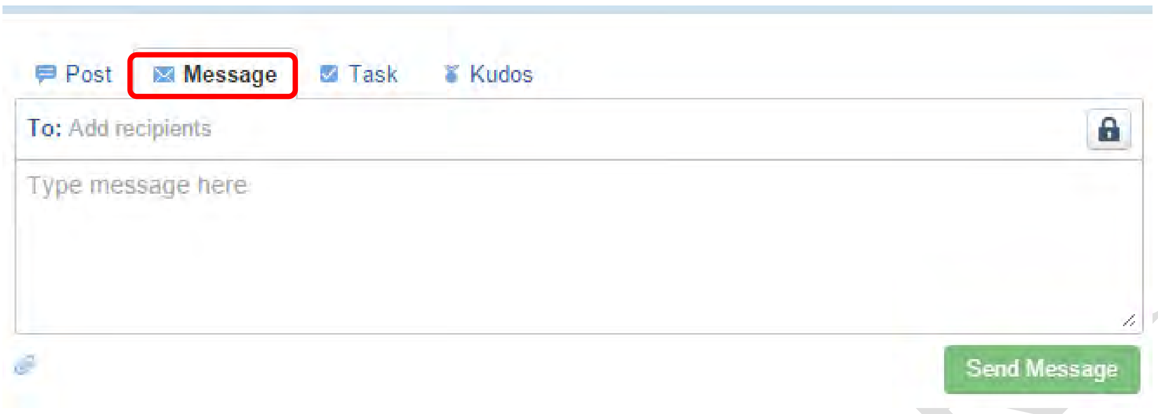
The message you send can be "locked" or "unlocked":

- Locked Messages: Can only ever be seen by the target audience. Additional users and groups cannot be added after you send the message.
- Unlocked Messages: Can only be seen by the target audience and any users and groups added after you create the message.

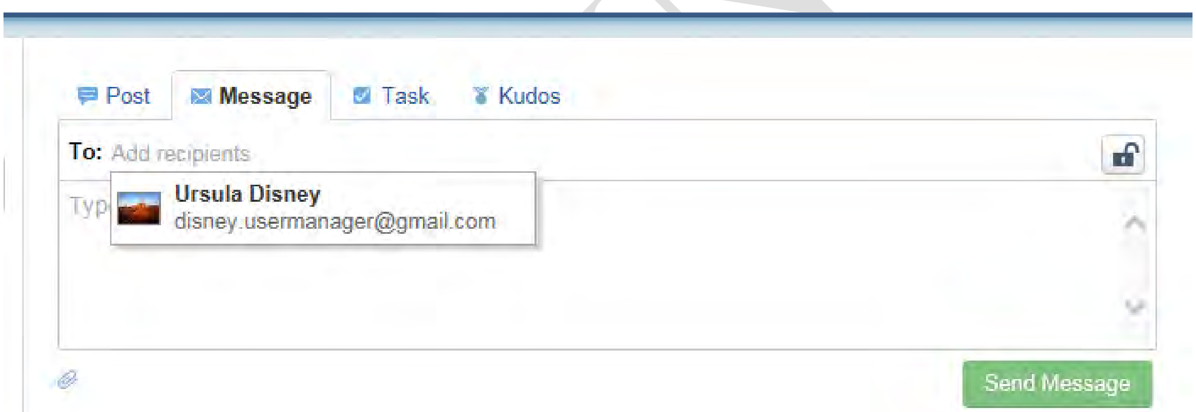
#### 2.5.2.1 Create Message

To send a message to a single user or group or a list of users and/or groups:

1) At the top of the ‘News’ tab, click inside the field which displays ‘Click here to post...’ and then select the ‘Message’ tab.

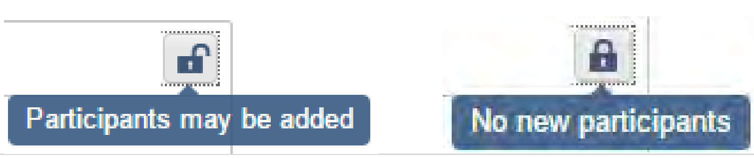



2) To add a user to the recipients list, type the name of the user in the 'To:' field and select it from the drop-down that appears. The selected user will display as a button in the 'To:' field. You can remove any selected recipients by clicking on the 'x' which appears in each recipient's button.

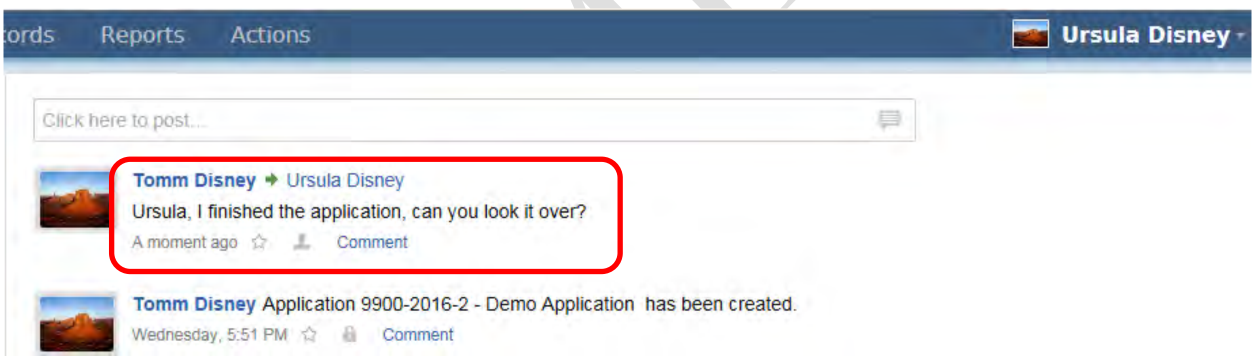



3) Repeat previous steps in this section as needed for any other users intended for the message.

4) To lock the message to only the original list of recipients and prevent any other recipients from being added to the message, click the lock icon to the right of the recipient list. This configures the message as a locked message and the lock icon changes to a locked state. Clicking it again will return it to an unlocked state. Note that only the message's sender can lock and unlock the message before it gets published. After a locked message has been published, a lock icon shown in a locked state will always be displayed under the message and cannot be unlocked—this is to indicate that once you have posted your message, you cannot unlock the message to add additional participants.



5) Enter the message's text into the 'Type message here' prompt. At a minimum, you must enter at least one character which is not a space. Messages can be a maximum of 4,000 characters including spaces.
6) To attach files to the message:
    a) Click the paperclip icon below the entry box.
    b) Select the file that you want to attach using the file browser and then open it for upload.
    c) Repeat as needed for any additional files you would like to attach.
    d) You can remove any attached files before sending the message by clicking on the 'x' which appears to the right of the file name.
7) Once finished, click the 'Send Message' button.
8) The message will display on the 'News' tabs of your selected recipients. By default, recipients will receive an email notification that the message was created, and you will receive an email notification whenever a user comments on your message. If one of the message's original recipients adds additional users and groups to your unlocked message, you (the original author of the message) will also receive an email notification by default.




### 2.5.3 Kudos

Kudos is a way to publicly show your praise for another user's work. Kudos display on the 'News' tabs of the recipient and their followers. Kudos can also be viewed by all users when they are visiting the user's profile. You can only give kudos to a single user with which you have viewer rights to. Recipients cannot give kudos to FTA users, but only to other users within their own organization. FTA users are able to give kudos to any other FTA users and recipients, regardless of region separations.

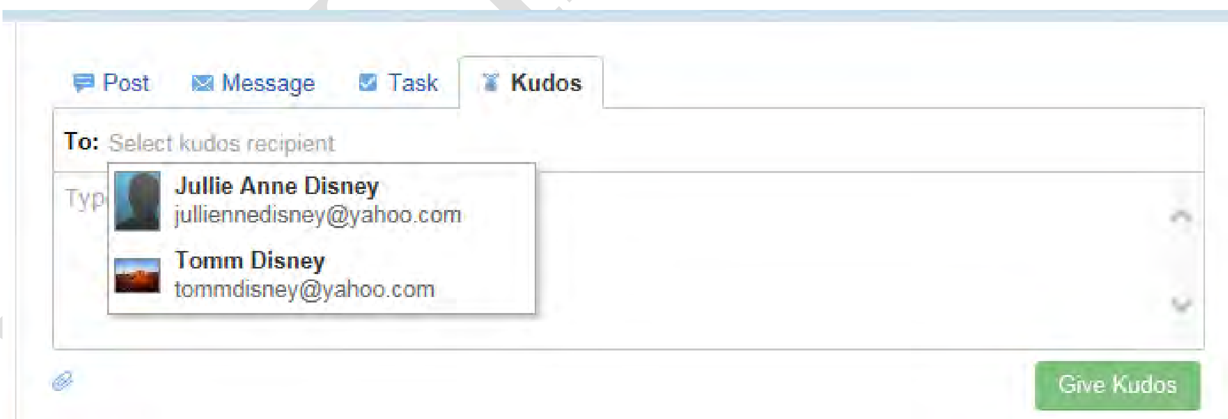
**Note:** You cannot send kudos to yourself, deactivated users, or users you do not have viewer rights to.

#### 2.5.3.1 Give Kudos

To give kudos to another user:

1) At the top of the 'News' tab, click inside the field which displays 'Click here to post...' and then select the 'Kudos' tab.


2) Begin typing the name of the user you want to give kudos to. This is a type-ahead field; names will auto-populate under the field as you type, from which you can then select the recipient(s).
3) Enter text for your kudos. At a minimum, you must enter at least one character which is not a space. Kudos can be a maximum of 4,000 characters including spaces.
4) To attach files to the kudos:
   a) Click the paperclip icon below the entry box.
   b) Select the file that you want to attach using the file browser and then open it for upload.
   c) Repeat as needed for any additional files you would like to attach.
   d) You can remove any attached files before giving the kudos by clicking on the **x** which appears to the right of the file name.
5) Once finished, click the 'Give Kudos' button.



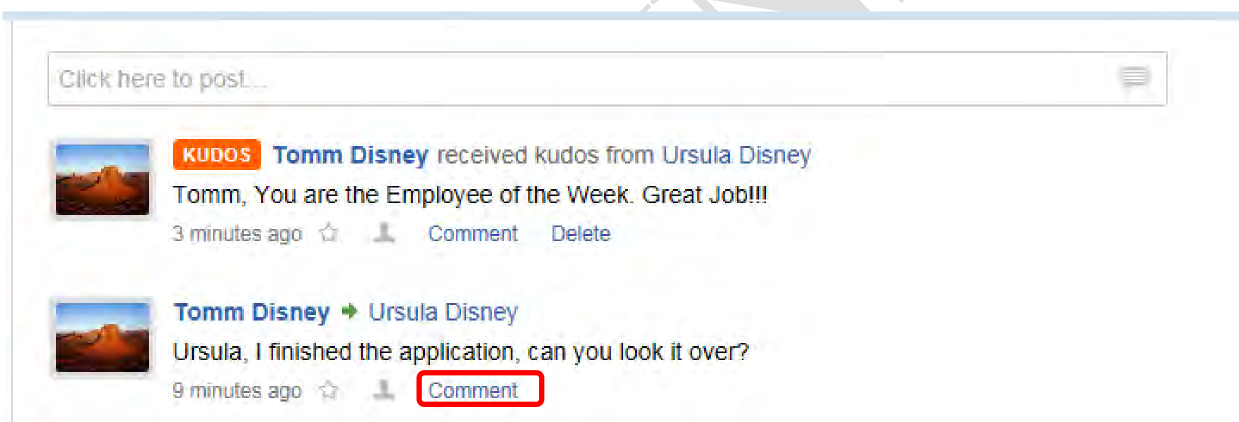

6) The kudos will display on the 'News' tabs of any users currently following you as well as for the user you gave the kudos to.


By default, the kudos recipient will receive an email notification that the kudos was created and you will receive an email notification whenever a user comments on the kudos given by you.

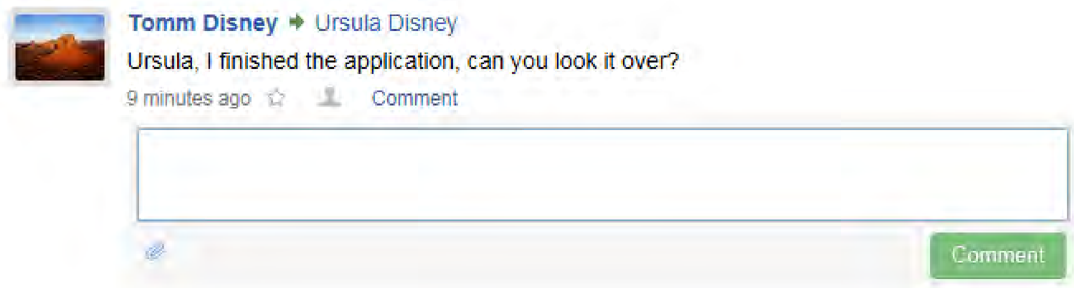
#### 2.5.3.2 Post Comment on Post, Message, or Kudos

To post a comment on a published posting:

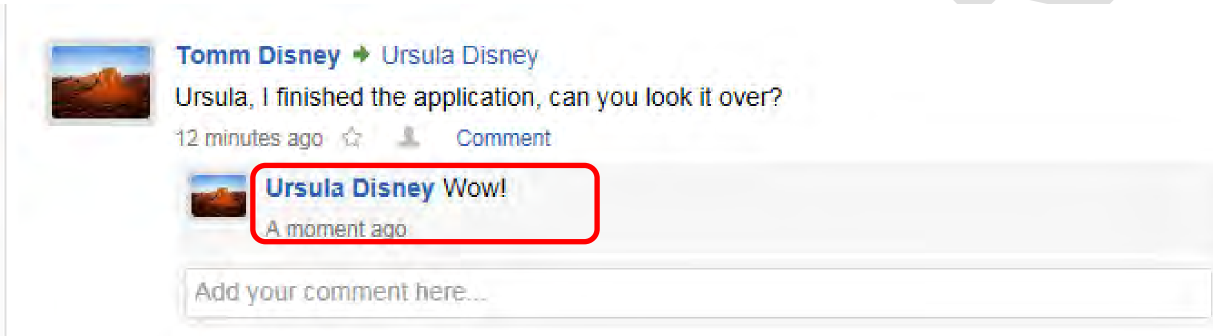
1) Click the 'Comment' link shown under the entry.




2) Enter the comment's text into provided text field. Comments can be a maximum of 4,000 characters including spaces.
3) To attach files with the comment:
   a) Click the paperclip icon below the entry box.
   b) Select the file that you want to attach using the file browser and then open it for upload.
   c) Repeat as needed for any additional files you would like to attach to the comment.
   d) You can remove any attached files before posting by clicking on the 'x' which appears to the right of the file's name.
4) Once finished, click the 'Comment' button.




5) The comment will be posted and associated with the original Post, Message, or Kudo.




### 2.5.3.3 Delete Post, Message, or Kudos

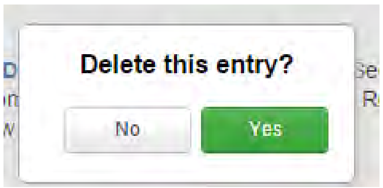
A post, message, or kudos' author will be able to delete his/her posting only if no comments have been entered and saved for it yet.

**Note:** You cannot delete a post, message, or kudos after it has been published with comments; only the Help Desk will have the ability to delete them from the 'News' tab.

To delete a post, message, or kudos that has not had any comments added to it:

1) Ensure you are logged on as the post, message, or kudos author. All recipients will not be allowed to delete postings.
2) Find your posting on the 'News' tab and then click the 'Delete' link.

3) A prompt message will be displayed: "Delete this entry?" Click the 'Yes' button to remove the posting.

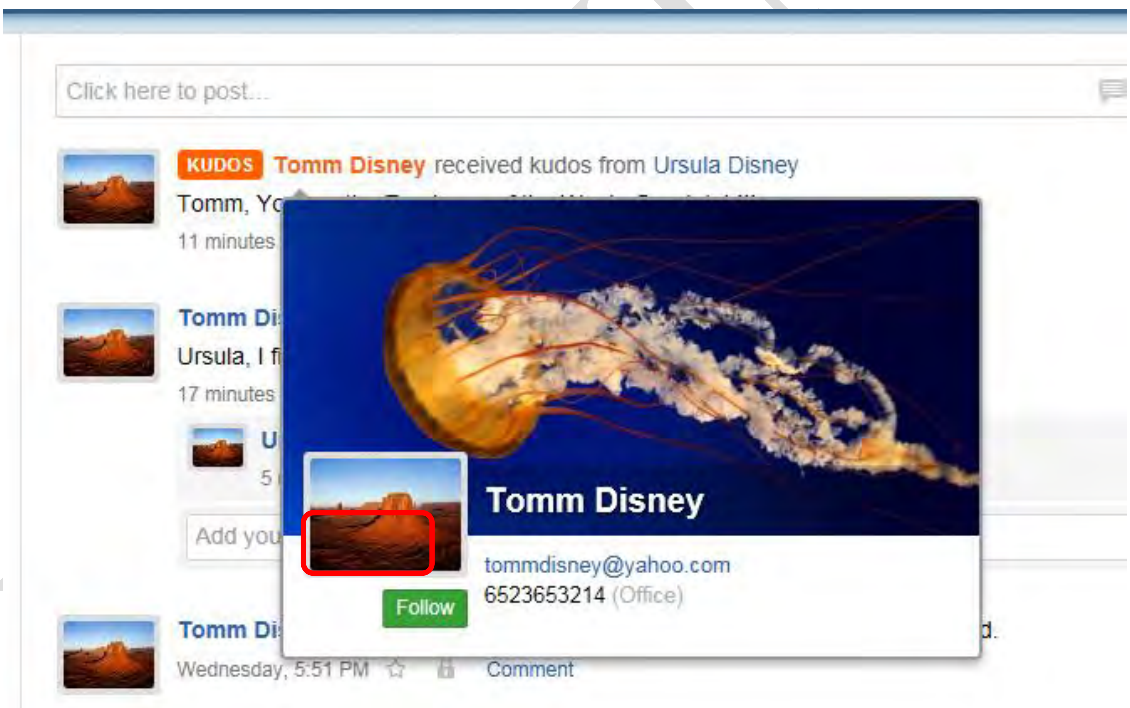



#### 2.5.3.4 Follow/Unfollow User

The option to 'follow' a user lets you select whose posts can be viewed from your 'News' tab. If you follow a user, any post created by that user will automatically display in your 'News' tab. The 'Follow' option will be displayed for a user if you position your cursor over a sender's hyperlinked name from the 'News' tab. Note that this option is displayed as 'Unfollow' if the user is someone you are already following.

1) From the 'News' tab, click on the person name that you want to follow

2) Click the 'Follow' button.



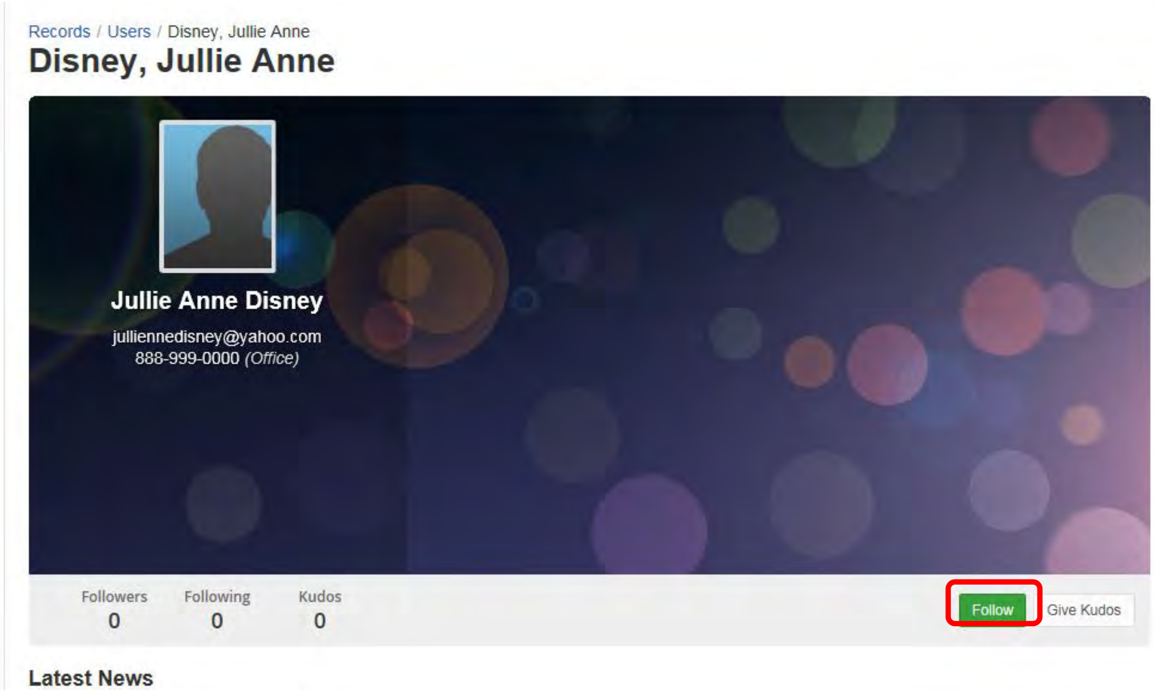

If the user you wish to follow is not shown in your 'News' tab:

1) Click on the 'Records' tab.

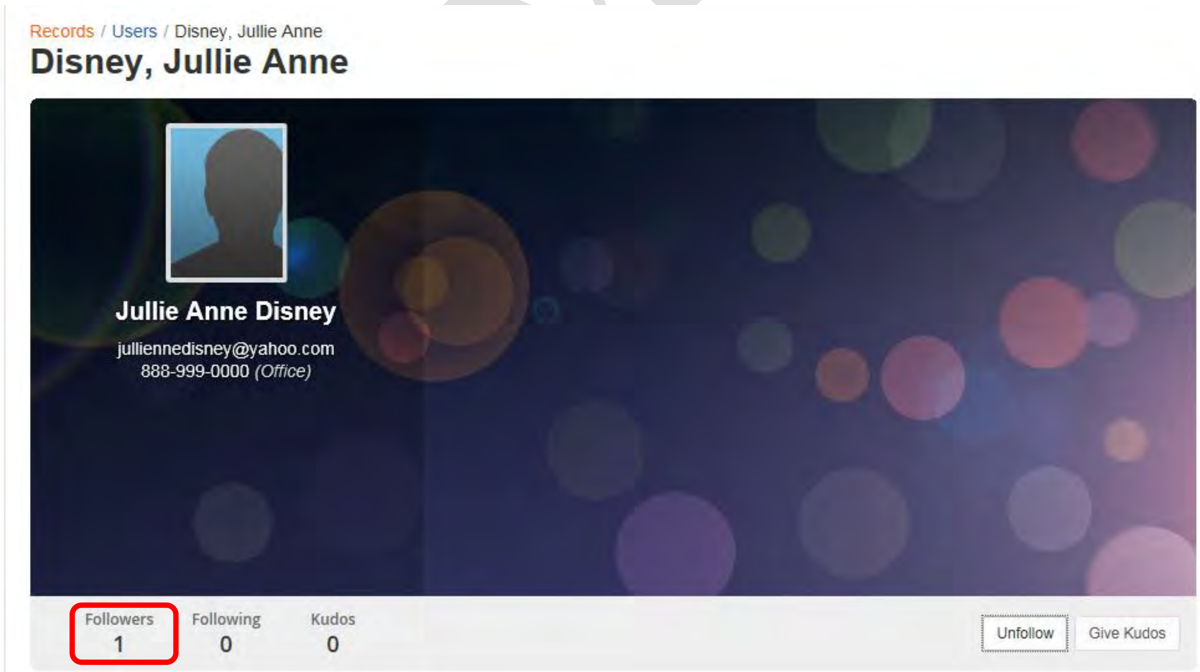
2) Click on ‘Users’.


3) Find the record of the user you wish to follow and then select the name to view its ‘Summary’ dashboard.

4) Click the ‘Follow’ button. The button will turn gray and change to ‘Unfollow’.




**Note:** These same steps may be repeated to unfollow a user that you are already following.



Any posts that this user creates will now show up in your ‘News’ tab. In order to view posts previously created by the user, refresh your browser. A post will remain on the ‘News’ tab after it has been published until it is deleted, which can only be done by the Help Desk.

If you unfollow a user, posts created by the user will stop automatically showing up in your ‘News’ tab. You can continue to receive messages from them (refer to previous section, Messages), but you will no longer see posts published by them unless they add you or one of your groups as a participant to the post. You may still continue to search for a post (or posts) made by the user.

### 2.5.4 Tasks

Sending a task is a way to create a task for another user or yourself through TrAMS.

- Tasks can only be completed through TrAMS.
- Tasks are not based on a process, but instead are only based on the text you enter.

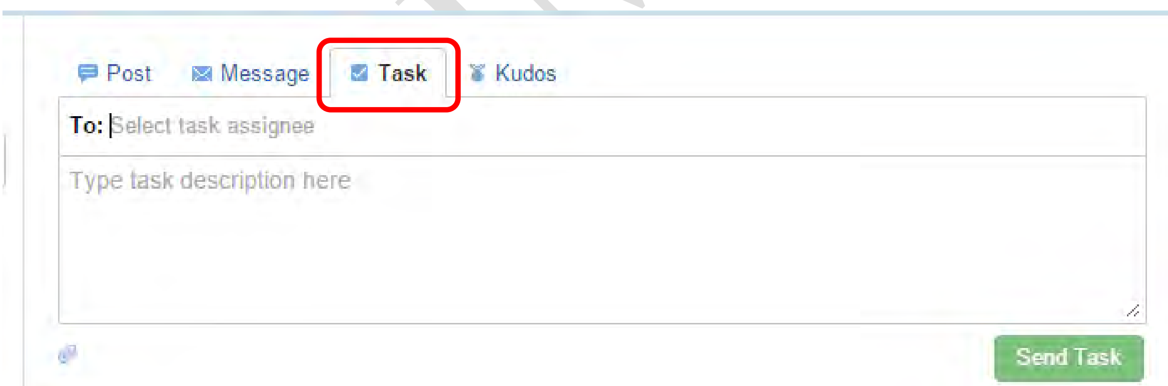
**Note:** You cannot send a task to multiple users, deactivated users, or users you do not have viewer rights to.

**Note:** A task cannot be deleted after it has been created and launched—it can only be closed after that.

#### 2.5.4.1 Assign Task

To assign out a task:

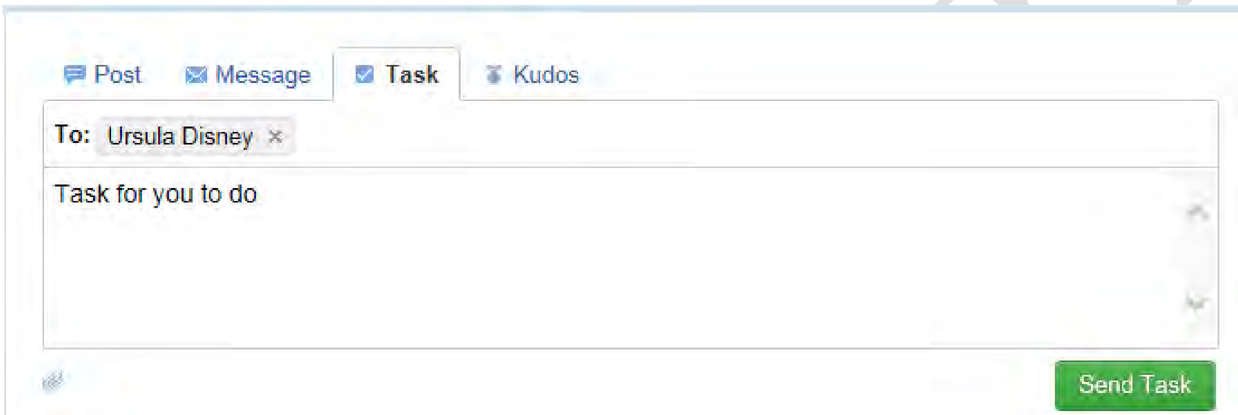
1) At the top of the ‘News’ tab, click inside the field which displays ‘Click here to post...’ and then select the ‘Tasks’ tab.



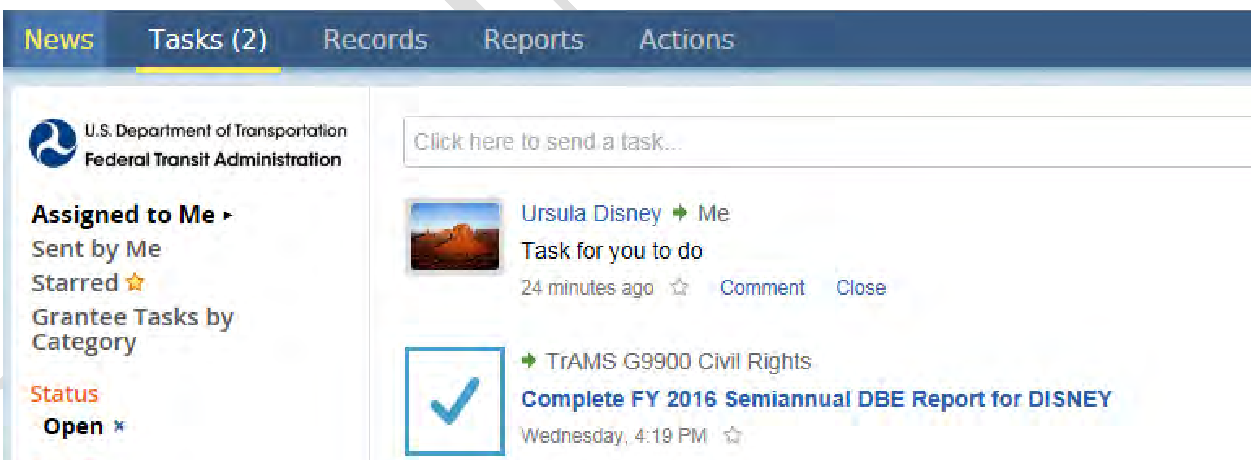

2) In the ‘To:’ field, begin typing the name of the user you want to assign the task to. This is a type-ahead field; names will auto-populate under the field as you type, from which you can then select the recipient(s). You will also be allowed to select your own name if you wish to create the task for yourself.

3) Enter a description for your task. At a minimum, you must enter at least one character which is not a space. The task description can be a maximum of 4,000 characters including spaces.

4) To attach files to the task:
   a) Click the paperclip icon below the text box.
   b) Select the file that you want to attach using the file browser and then open it for upload.
   c) Repeat as needed for any additional files you would like to attach.
   d) You can remove any attached files before sending the task by clicking on the **x** which appears to the right of the file name.
5) Once finished, click the ‘Send Task’ button.

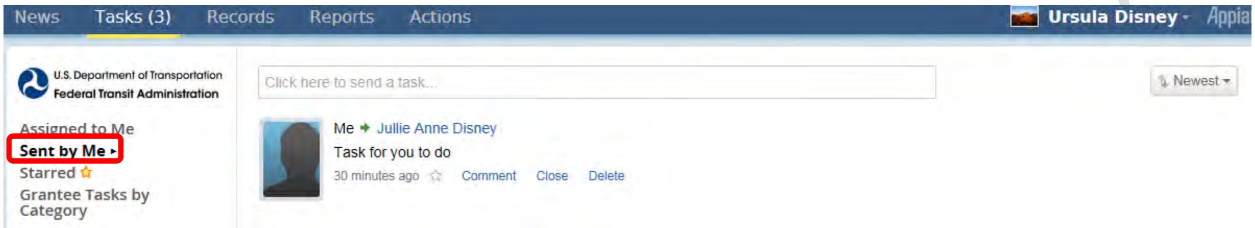



6) The recipient of the Task will now receive the Task in their ‘Task’ list under the ‘Task tab.



### 2.5.4.2 View and Close Assigned Tasks

A task will be added to the assigned recipient's "Tasks" tab and can be filtered by selecting 'Assigned to Me' after logging in as that recipient. You can also view tasks that you had previously assigned out by selecting 'Sent by Me' under your 'Tasks' tab.

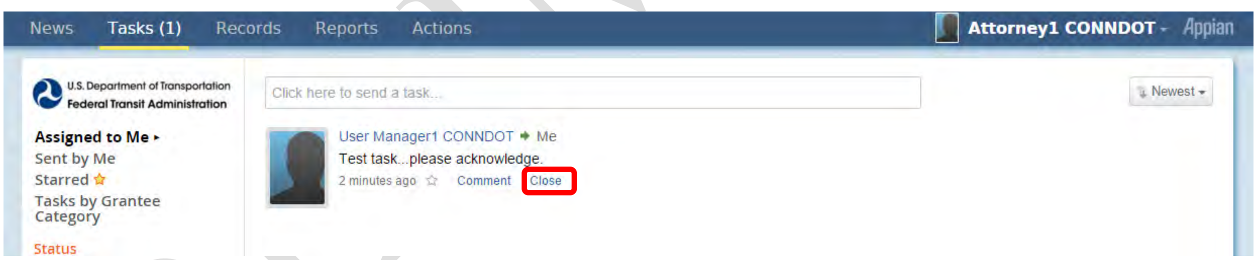



From here, you can also comment on, close, or delete the task while it is still alive. Tasks cannot be sent to more than one recipient; therefore, only the sender and the recipient of the task are able to view the task itself.

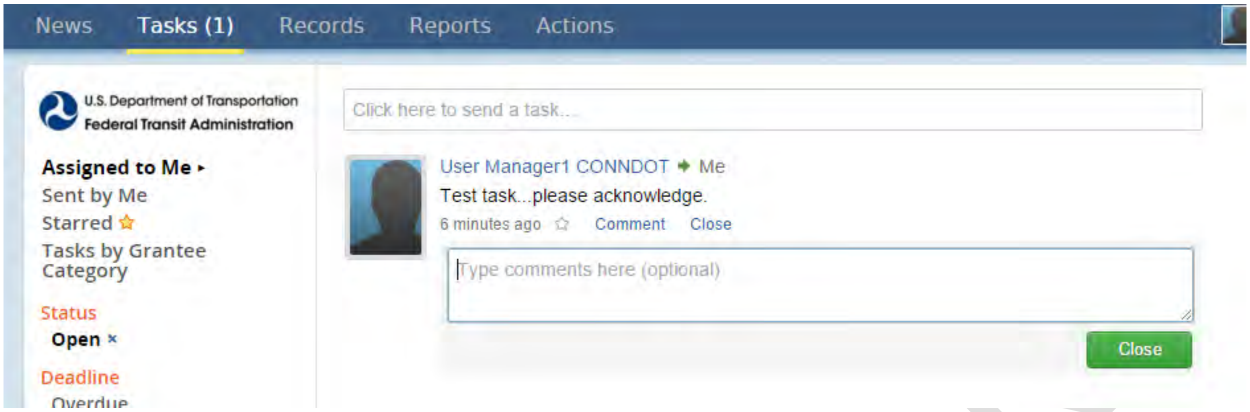
By default, you will receive an email notification when the assignee comments on or closes a task assigned by you.

To close a task as the assignee:

1) Click 'Tasks' from the navigation bar and then select your task. The full description of the task will be displayed under the sender's name.

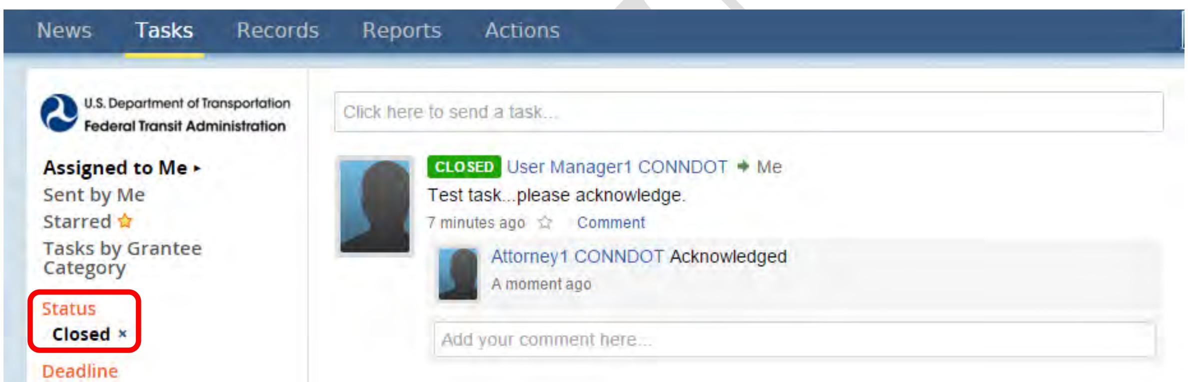



2) Click the 'Close' link under the task. A text entry box will be displayed where you will be given the option to enter a comment regarding the task.




3) Once finished, click the ‘Close’ button.

4) A notification will be emailed to the task’s sender, letting him/her know that the task has been closed by the assignee. The notification will include your message if one had been entered.




**Note:** Comments can be added both before and after you complete a task.

### 2.5.5 Search News

Any user with view permissions to a post can search for it. View permissions for posts, messages, and kudos are granted only to the sender and his/her intended recipient users/groups. This includes all current followers. Tasks cannot be searched from the ‘News’ tab, but can be filtered from the ‘Tasks’ tab as needed.

#### 2.5.5.1 View Options

On the left navigation menu of the ‘News’ tab, you can select from the provided viewing options to filter entries and change their sort order depending on the view selected.


- ‘All’

This view lists all the following entries by the most recently added:

- Posts added by you.
- Posts added by users you follow.
- Messages sent by you.
- Messages sent to you or a group in which you're a member.
- Kudos given by you.
- Kudos given by users you follow.
- Events added to feeds in which you are subscribed.
- Entries that a user added you to or that include a group in which you're a member of.

- ‘Updates’

This view lists the same entries you see in the All view but sorts them by those with the most-recent activity. Activity includes both the initial creation of an entry and comments added to it. For example, if a user adds a comment to an entry created yesterday, it now becomes the first on the list.

- ‘Participating’

This view lists any News entries that you are a part of, which include the following:

- Entries created by you.
- Entries created by the system on your behalf.
  - For example, events created by a process where you are the user associated with the “event,” such as after you create a new application, the “Application #xxxx-xxxx-x has been created” event will appear alongside your name in the ‘News’ tabs of users subscribed to those events.
- Entries targeted to you.
  - For example, a message targeted to a list of users including yourself or a kudos given to you.

    - This does not include entries targeted to a group you are a part of.
  - Entries you comment on.
  - Entries you are added to.

**Note:** If, at any time, you are removed from a group and in turn lose viewer rights to a locked message, the entry no longer displays in your "Participating" view, even if you have commented on it. If it is an open message, however, that post continues to appear in your "Participating" view regardless of your group membership status.

- 'Starred'

This view lists favorite feed items that you have starred by clicking the star icon for the entry. The star is similar to using the flag feature in MS Outlook. Once the star has been selected, it will become yellow to highlight the selection.

#### 2.5.5.2 Search Options

Each time you perform a search, you can narrow down your results in one or more of the ways described below. The search bar is displayed at the top of the left navigation menu while the 'News' tab is selected.


- 'By Keyword'

Enter a word, the first part of a word, or multiple words into the search box and then press 'Enter' on your keyboard (note that the magnifying glass icon in the search bar is simply an image and has no function). The 'News' tab will return posts, messages, kudos, and events that contain the search term(s) either in the main entry or within a related comment.

To search for a specific phrase, enclose the phrase in quotation marks (`""`).

- 'By Author'

Enter the text `from:` followed by all or part of a name, and then press 'Enter'. The 'News' tab will return entries attributed to a user with a partially or fully matching first name, last name, or username. For example, `from: Smith` might return entries by John Smith, Matt Smithers, Smith Jordan, Smithe Company, or robert.smith.

It does not search through comments attributed to the user.

To include both a first and last name, enclose the name in quotation marks. For example, `from:"John Smith"` will only return entries attributed to John Smith.

- ‘By Keyword and Author’

By combining the two tactics above, you can search for entries that contain a specific keyword and were attributed by a specific author.

For example, `contract from:"John Smith"` only returns entries authored by John Smith that contain the word "contract." Entering `from:"John Smith" contract` returns the same results since contract is outside the quotes.

- ‘By Star Status’

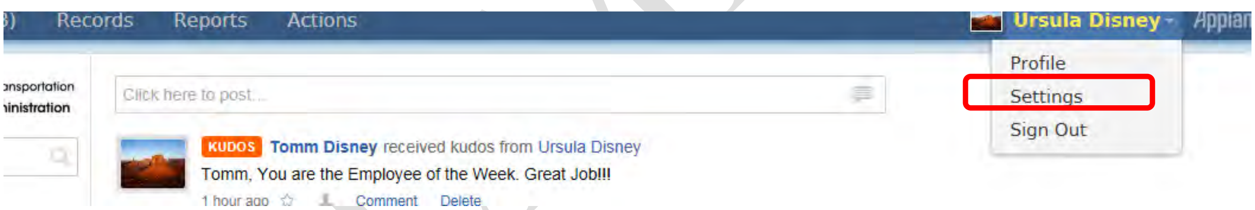
Enter the text `is:starred` along with your other search requirements to narrow down results to only those you had previously starred.

For example, `is:starred contract` only returns entries containing the word "contract" that were starred by you. Entering `contract from:"John Smith" is:starred` only returns entries authored by John Smith, containing the word "contract", and had been starred by you.

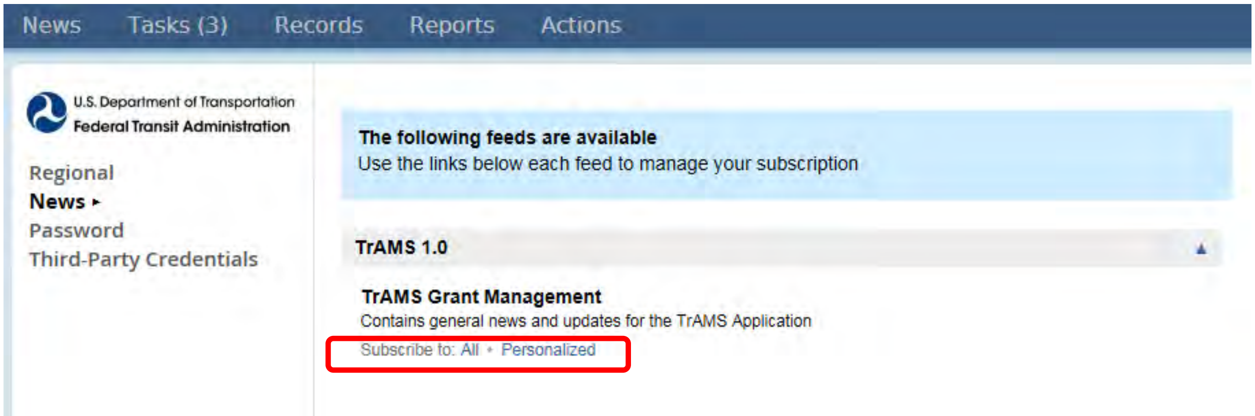
### 2.5.6 Subscribe/Unsubscribe News Feeds

To view all of your available subscriptions and subscribe/unsubscribe:

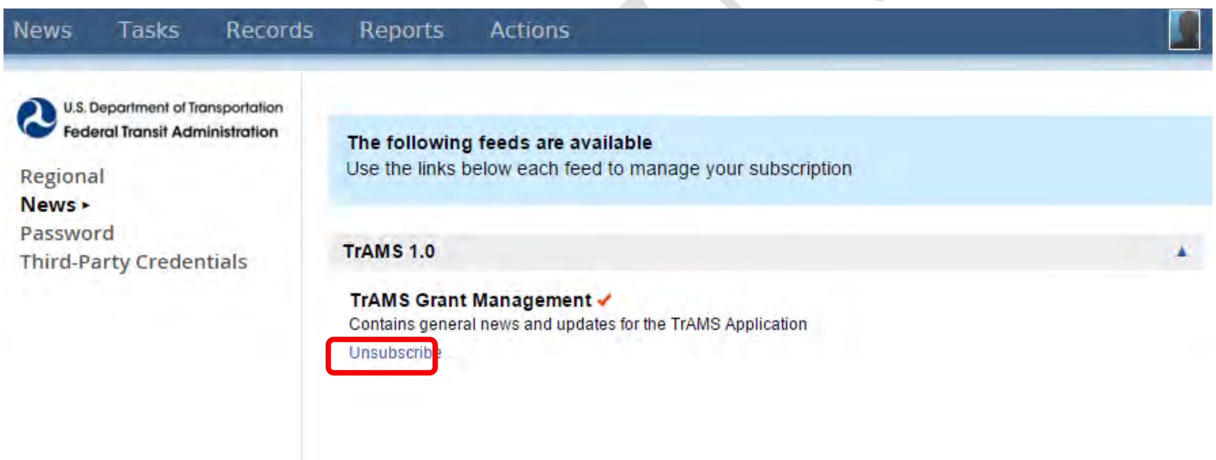
1) While logged on, click on your username at the top right corner of the page and then select ‘Settings’.




2) From the left navigation menu, select ‘News’.
3) To subscribe to a feed, click either the ‘All’ or ‘Personalized’ link below the feed’s name.
   a) Clicking ‘All’ subscribes you to all events added to that feed. A check mark will indicate that you have subscribed to ‘All’.
   b) Clicking ‘Personalized’ subscribes you to only events added to that feed and targeted specifically to a group in which you're a member. Check with your system administrator before enabling it as they will need to configure this option. A person icon will indicate that you have subscribed to ‘Personalized’.




4) To unsubscribe from a feed, click the ‘Unsubscribe’ link below the feed’s name. Once you unsubscribe, you will no longer see events in your ‘News’ tab from that specific feed.




5) You can also unsubscribe from a feed from the ‘News’ tab directly by positioning your cursor over an event and then clicking the ‘Unsubscribe’ button that appears.

**Note:** If you do not wish to see the system’s automatic posts about grants, you can unsubscribe from the ‘TrAMS Grant Management’ news feed.

# 3 User Access and User Management

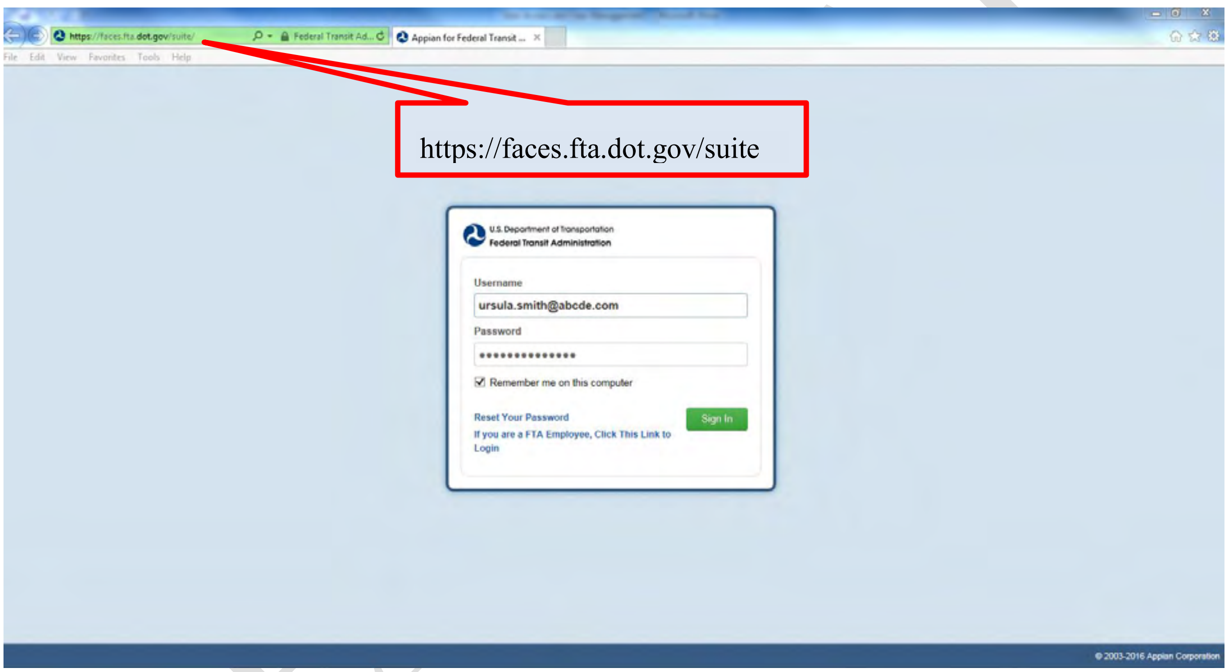
## 3.1 Accessing TrAMS

### 3.1.1 Logging into TrAMS

The TrAMS web system may be accessed through a web browser.

To access TrAMS:

1) Open a web browser and enter the TrAMS web address, https://faces.fta.dot.gov/suite/.
2) Enter your username and password and then click the 'Sign In' button to be directed to the TrAMS Main Menu.




### 3.1.2 User Name and Password

In order to log into TrAMS, users need a user name and password. A users' email address is used in TrAMS as their user name. TrAMS user names and passwords are case sensitive.

New users should contact their organizations 'User Manager' in order to obtain access to TrAMS. After the User Manager has added the users contact information into TrAMS the user will receive an email from TrAMS indicating that the account has been created. Users will need to use the 'Forgot Password' option to initially set their password.

**Note:** All users that had access to TEAM will be automatically added into TrAMS. The users email address from TEAM will be the users TrAMS user name. Their user name will be created using lower case. The system will send an email notification to all new recipient users with their username and instructions to set their new password.

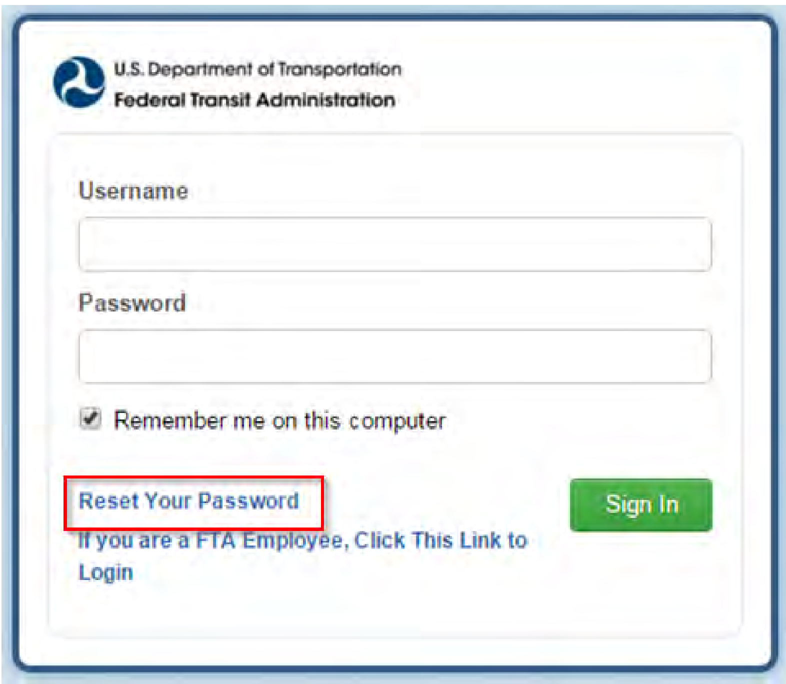
### 3.1.3 Setting your Password

TrAMS will allow you to request a password reset from the login screen.

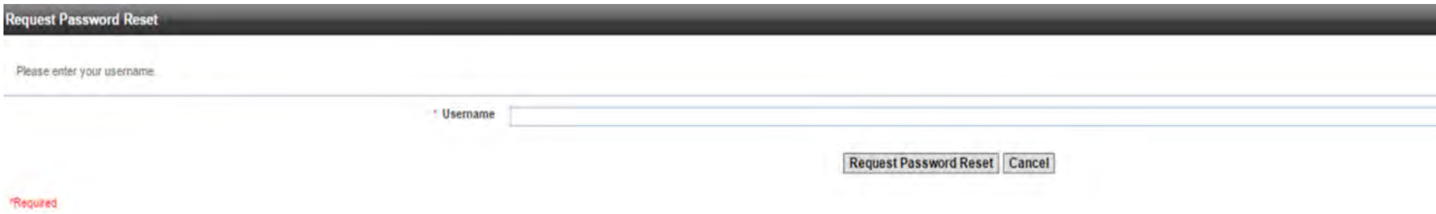
Passwords in TrAMS should be updated every 60 days and are expected to have the following characteristics.

- 12 characters in length
- Has not been used in previous 24 passwords
- Contains at least one English uppercase character
- Contains at least one English lowercase character
- Contains at least one numeric character
- Contains at least one non-alphanumeric character

1) Select 'Reset Your Password' from the Login Screen.

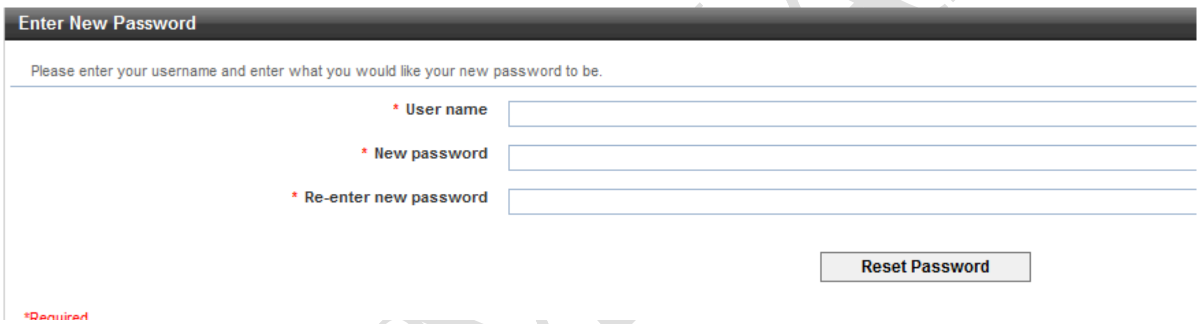



2) Provide your Username (ex. jane.doe@gmail.com)

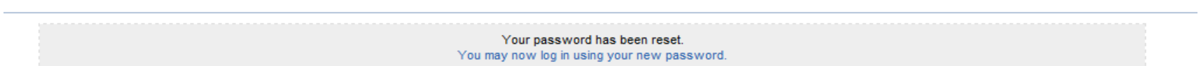



**Note:** TrAMS is case sensitive, your username will be created in lowercase therefore you must enter it in lowercase in order to perform a password reset.

3) TrAMS will check that the user name is valid and that you are active in TrAMS, providing these conditions are true you will receive an email from TrAMS within minutes. The email will contain a link to allow you to reset your password. The link will be valid for 15 minutes after the email was sent.




4) Following the password reset you may log into TrAMS. You may follow the blue hyperlink to return to the login screen.




## 3.2 User Records

### 3.2.1 Introduction

A user records includes all information that is directly related to a user profile such as their name, address, title, and user roles. It also includes social activities that are related to the users such as Kudos received and followers (Refer to News for more information on social activities). Users within an organization may see other users within their organizations 'Summary' page and their 'User Details' information.

Each user may manage their profile information. All information other than email addresses, user roles, and the organization that they are a part of may be edited by the user. User roles may be edited by User

Managers (Refer to User Manager Responsibilities for more information). Contact your regional LSM or Supervisor if you need to make additions or deletions to the organizations that you are associated with. Changes to email addresses are not supported.

### 3.2.2 TrAMS User Roles

Each recipient organization will have a User Manager assigned to them and it will be their responsibility to assign roles to each user within their organization. Users will be assigned one or multiple roles. The roles assigned to a user control the 'Actions' that a user will have access to and the 'Tasks' that the system assigns to them. Viewing of data is limited to the recipient organizations that the user belongs to.

The following table lists the available user roles that may be assigned to recipients and the system actions that these roles provide access to (Refer to Appendix B - TEAM vs. TrAMS for equivalent TEAM roles).

| User Role & Description | Available Actions | Tasks Assigned |
|---|---|---|
| **Read Only** - View only | • Search Applications/Awards<br>• Search Recipient Organizations<br>• Search FFR and MPR for Review<br>• Search DBE Reports<br>• Application Budget by ALI Report<br>• Application by Status Report<br>• Application Budget Report<br>• Application Discretionary Allocation Detail Report<br>• TrAMS User Detail Report<br>• FFR Detail Report<br>• Recipient POC Detail Report<br>• MPR Detail Report<br>• Project Scope Budget Report<br>• Project Budget Report | N/A |
| **User Manager** - Adds, edits, or removes agency user roles and privileges; edits agency profile information; deactivates and reactivates users | • ALL Read-Only role actions<br>• Add New System User<br>• Deactivate System Users | N/A |
| **Submitter** - Creates and edits applications and their details; creates, edits, and deletes applications' projects and their details; transmits initial draft applications for review; formally submits | • ALL Read-Only role actions<br>• Create Application | • Submit Application<br>• Re-Submit Application<br>• Complete Sub-Allocations |

| User Role & Description | Available Actions | Tasks Assigned |
|---|---|---|
| applications to FTA for award consideration; implements post-award activities (amendments, budget revisions, and closeouts); adds, edits, and deletes direct recipients and formula program sub-allocations (if designated recipient) | | |
| **Developer** - Creates and edits applications and their details; creates, edits, and deletes applications' projects and their details; transmits initial draft applications for review; implements post-award activities (amendments, budget revisions, and closeouts); adds, edits, and deletes direct recipients and formula program sub-allocations (if designated recipient) | • ALL Read-Only role actions<br>• Create Application | • Complete Sub-Allocations |
| **Official** - Executes grant/cooperative agreements; executes the annual Certifications & Assurances; adds, edits, and deletes direct recipients and formula program sub-allocations (if designated recipient) | ALL Read-Only role actions | • Execute Application<br>• Complete Sub-Allocations |
| **Attorney** - Prepares and submits/uploads recipient legal documents; executes the annual Certifications & Assurances | ALL Read-Only role actions | N/A |
| **Civil Rights** - Updates civil rights program compliance and documents; completes and submits DBE reporting requirements | ALL Read-Only role actions | • Submit DBE Report<br>• Update DBE Report |
| **FFR Reporter** - Prepares and submits Federal Financial Reports | ALL Read-Only role actions | • Complete FFR<br>• Update FFR |
| **MPR Reporter** - Prepares and submits Milestone Progress Reports | ALL Read-Only role actions | • Complete MPR<br>• Update MPR |

### 3.2.3 Searching for User Records

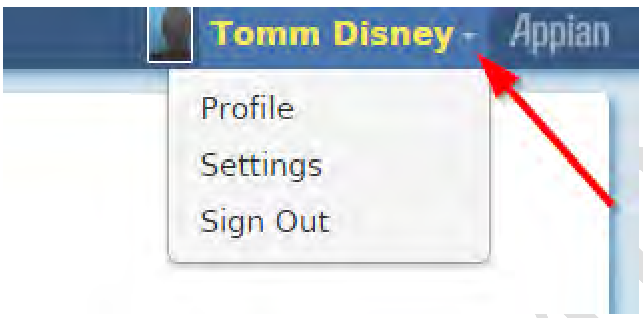
Users may view and edit their own profile information and view other users within their organization. You may access your own user record by selecting the 'Profile' option from the account information at the top right hand corner or by searching within the 'Users' from the 'Records' tab.

#### 3.2.3.1 Profile access from Account Information

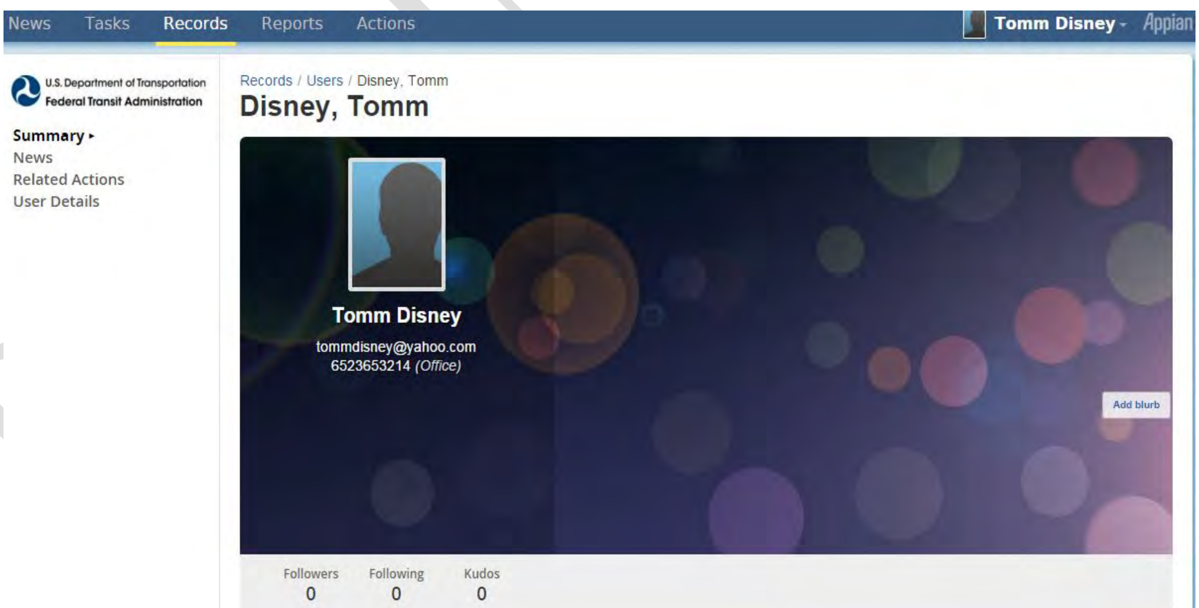
To view your own profile information from the Account information area:

1) Click on the down arrow next to your user name to reveal the drop down menu.

2) Click on the 'Profile' option.




3) Your 'Summary' dashboard will be displayed.



#### 3.2.3.2 Searching from the Records Tab

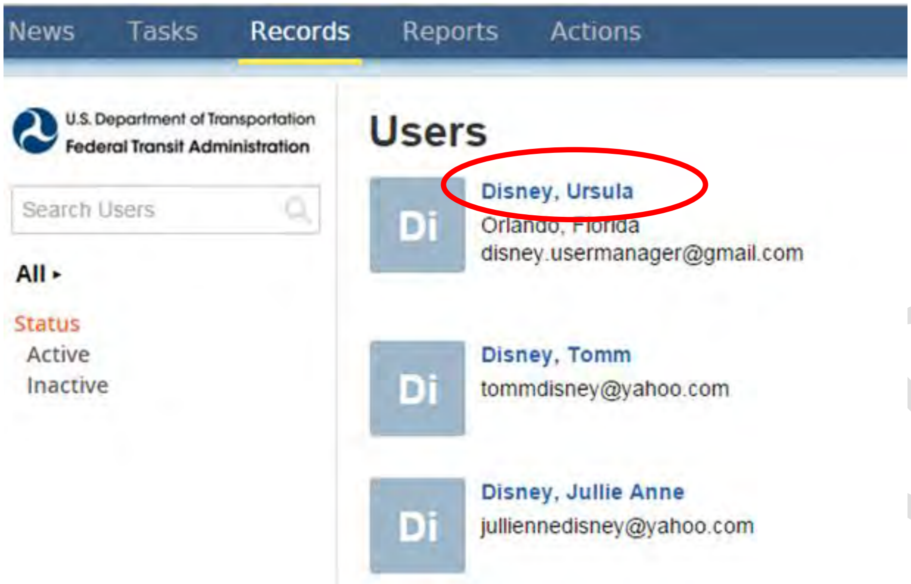
You may find your own or to find other users profile(s) from within your organization from the 'Records' tab in TrAMS.

1) Click on 'Records' tab.

2) Click on the 'Users' record type to view the users in your organization.


3) Use the search box to type in the name or partial name of the user you are looking for or select the status filter from the left hand navigation to narrow the list to either 'Active' or 'Inactive' users.

4) Click on the blue User Name which is a hyperlink that will take you directly to the user record's 'Summary' page.




5) Your user Summary page is displayed.

## 3.3 Working with your own Record

### 3.3.1 Users Summary Page

The Users summary page is the landing page when a user either selects the 'Profile' option from their account information at the top right hand corner or they choose themselves or another user from the' Records' tab. This page consists of the users' business card and news items related to the user. Users may customize their page by uploading a background, adding a profile picture, or adding some brief text such as their business title.

When viewing others users summary pages, users will have the option to select to follow them or to provide them with kudos.

#### 3.3.1.1 Customize Summary Page

Users may customize their business card by adding a profile picture, a background, and/or text.

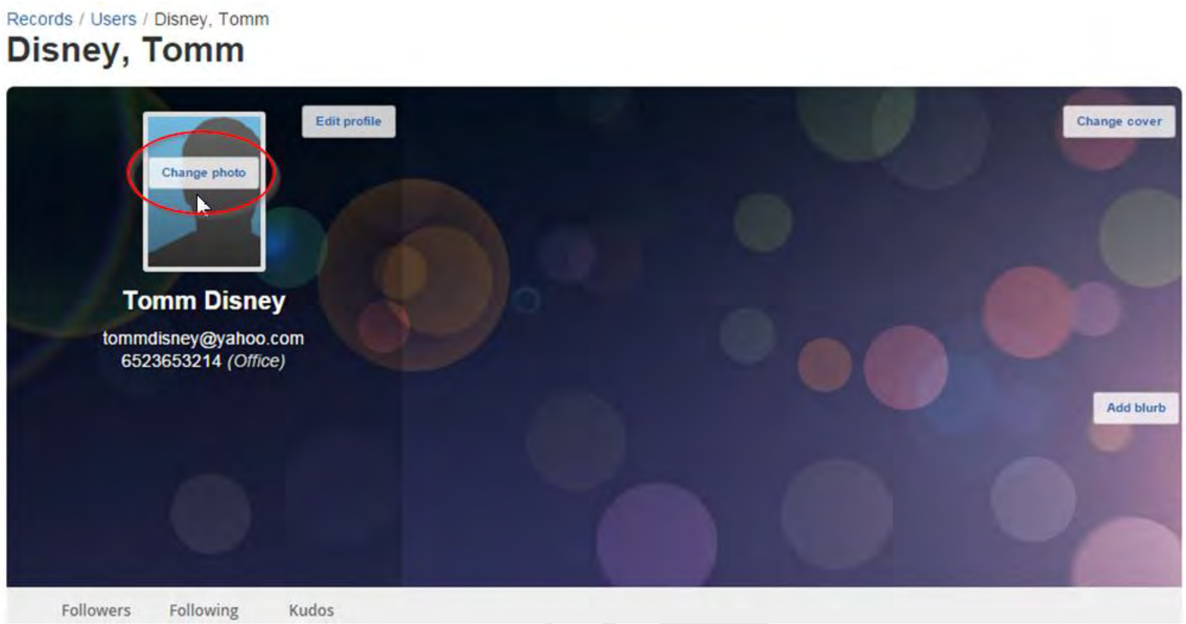
#### 3.3.1.2 Adding/Changing Profile Picture

Users may select to add or update their profile picture. This profile picture will be associated with the user and will be displayed alongside any posts attributed to them.

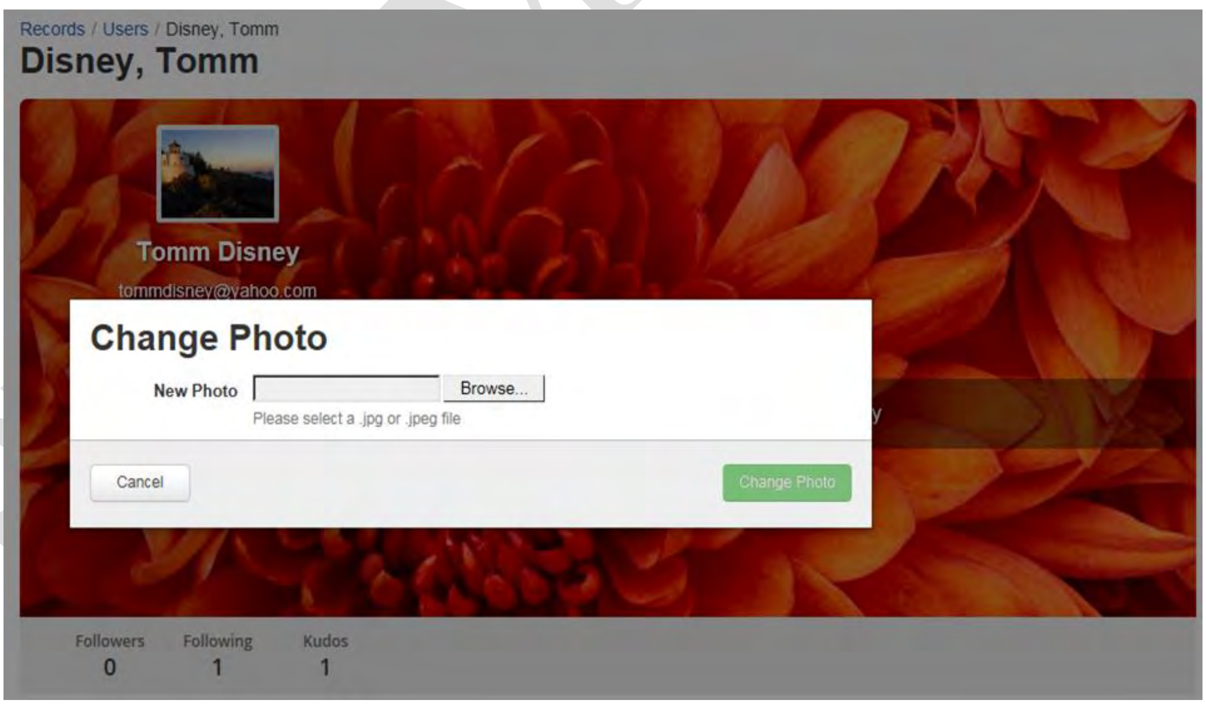
To add or change your profile picture:

1) Place the cursor in the picture box so that the text box 'Change photo' appears.

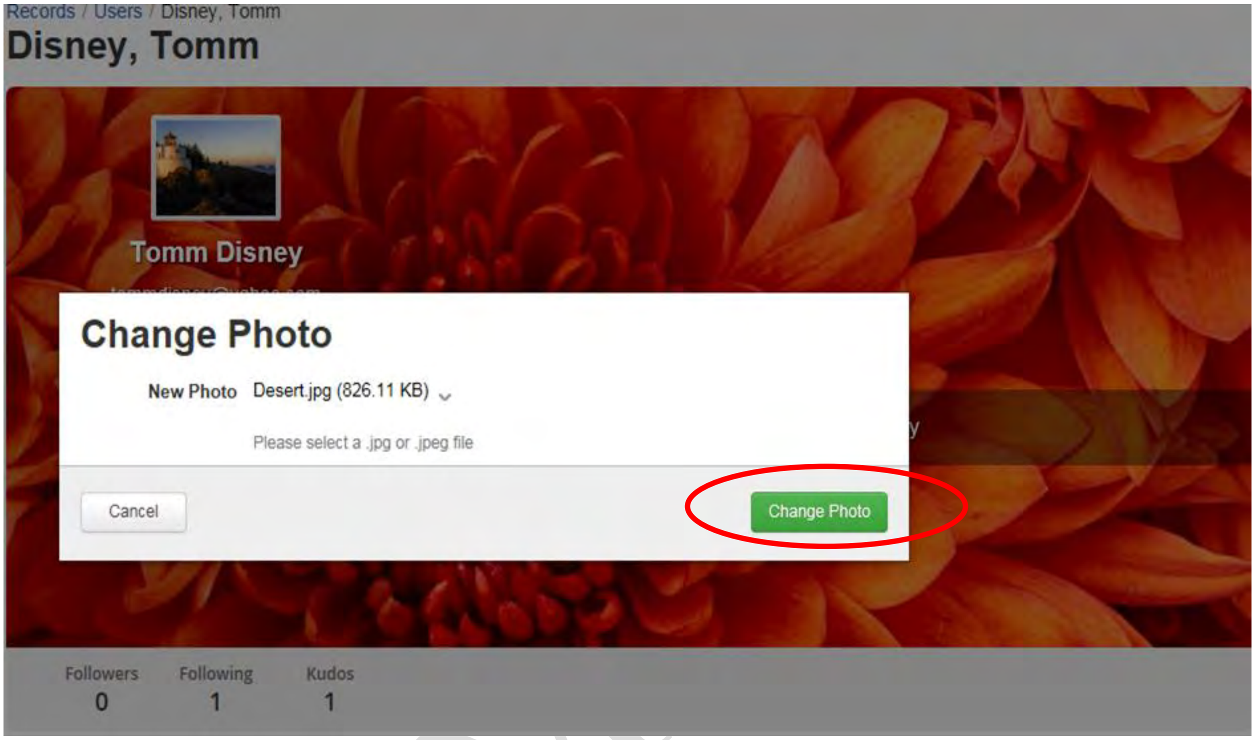
2) Click on the 'Change photo' text box.




3) Select the ‘Browse’ button to navigate to the files on your local machine and select an image to upload. File type must be jpg or jpeg.



4) Click the ‘Change Photo’ button to complete the process.



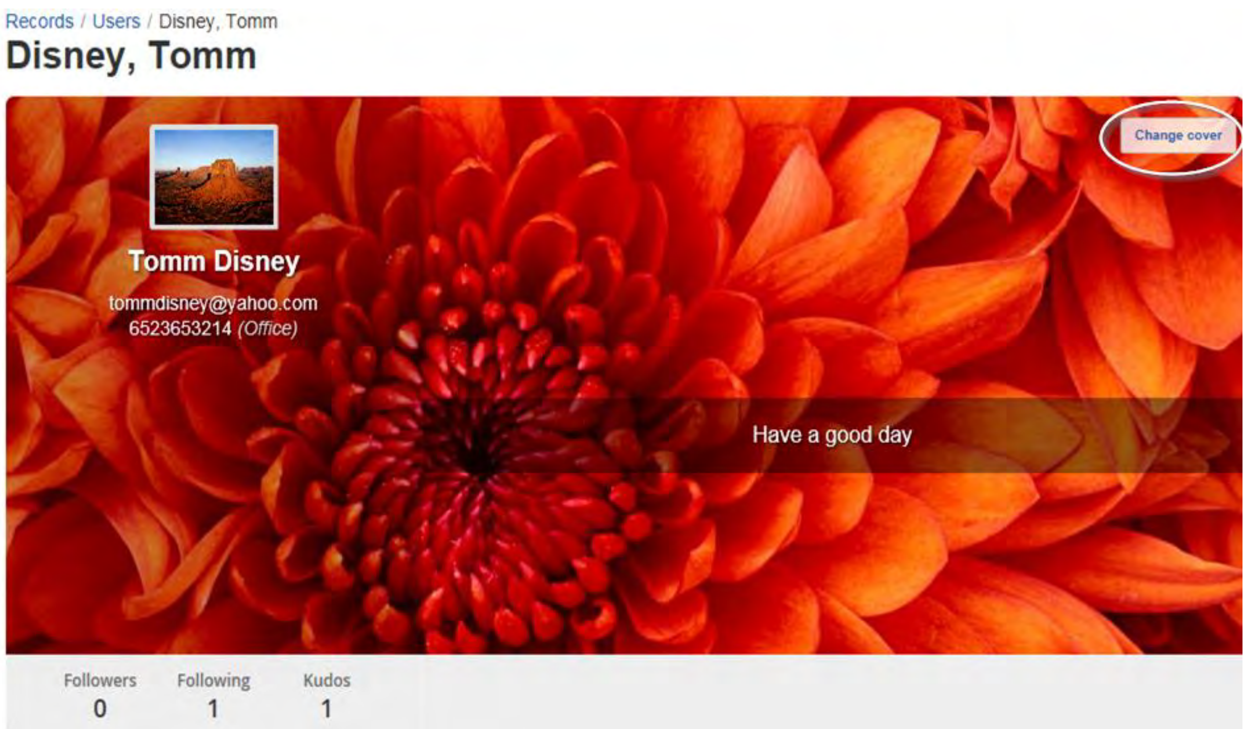

5) Select the ‘x’ link to remove the image just selected or click the ‘Cancel’ button to return to the ‘Summary’ page without saving any changes.

#### 3.3.1.3 Adding/Changing background

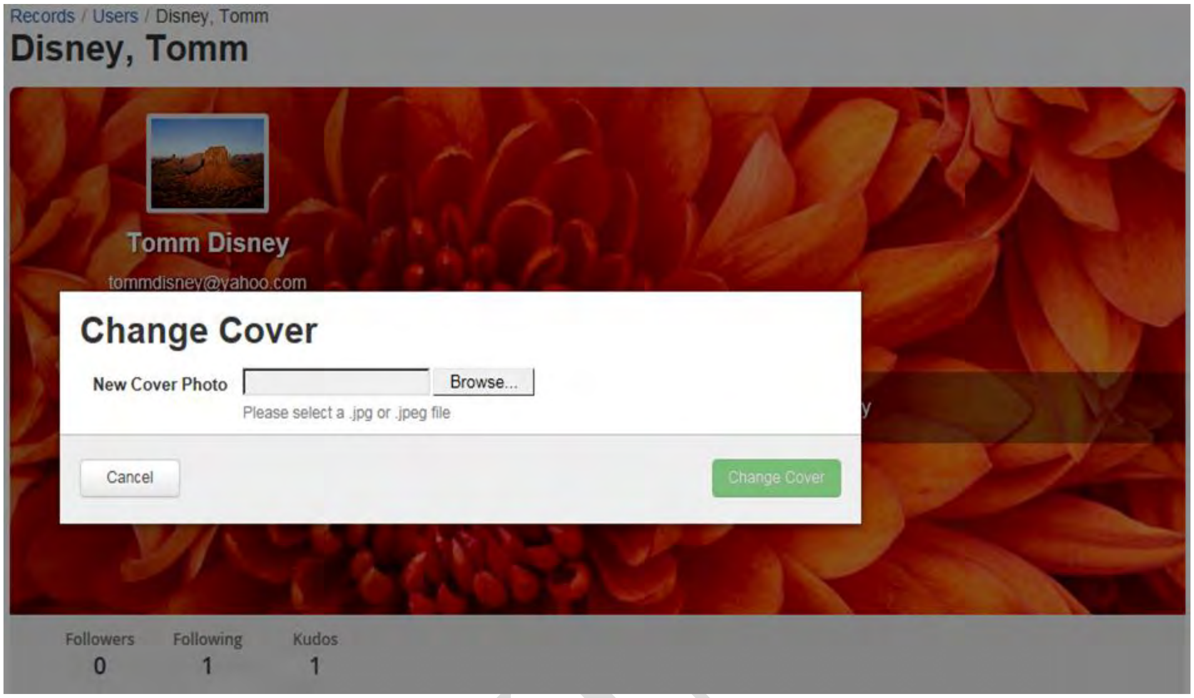
Users may modify the backdrop of their business card. This image will be seen when other users view your summary page.

1) Place the cursor on the right hand side of the business card so that the ‘Change Cover ‘text appears.

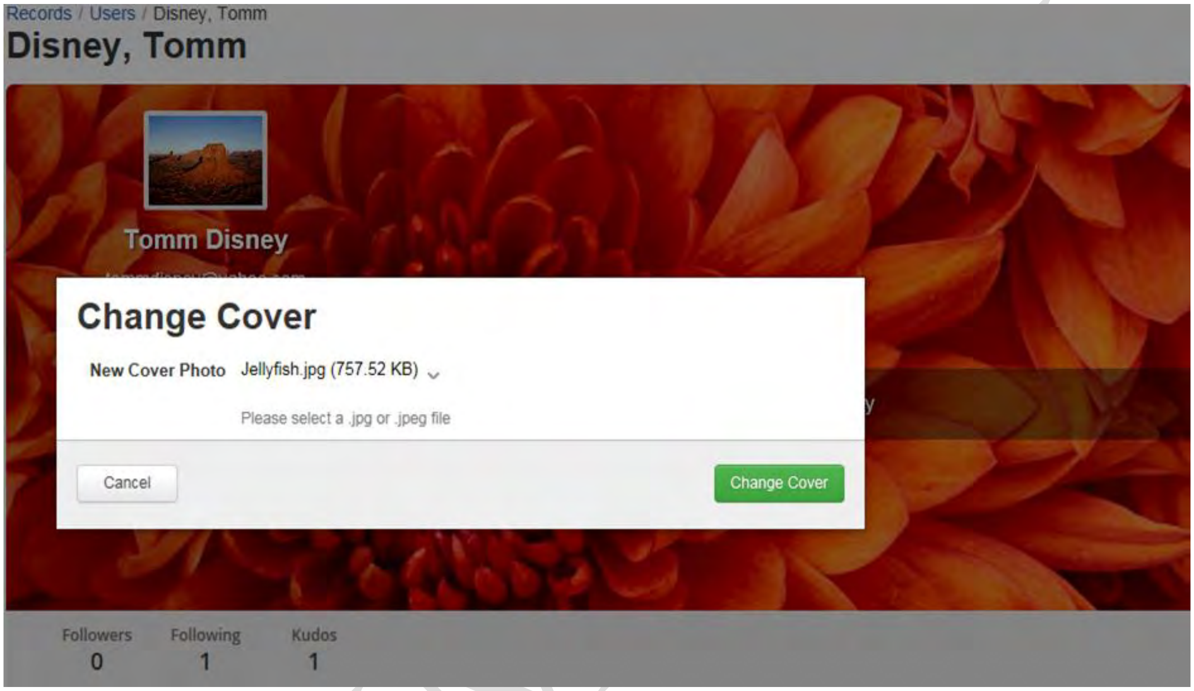
2) Click on the ‘Change cover’ text box.




3) Select the ‘Browse’ button to navigate the files on your local machine and select an image to upload. File type must be jpg or jpeg.


Records / Users / Disney, Tomm
Disney, Tomm
Tomm Disney
tommdisney@yahoo.com
Change Cover
New Cover Photo
Browse...
Please select a .jpg or .jpeg file
Cancel
Change Cover
Followers
0
Following
1
Kudos
1

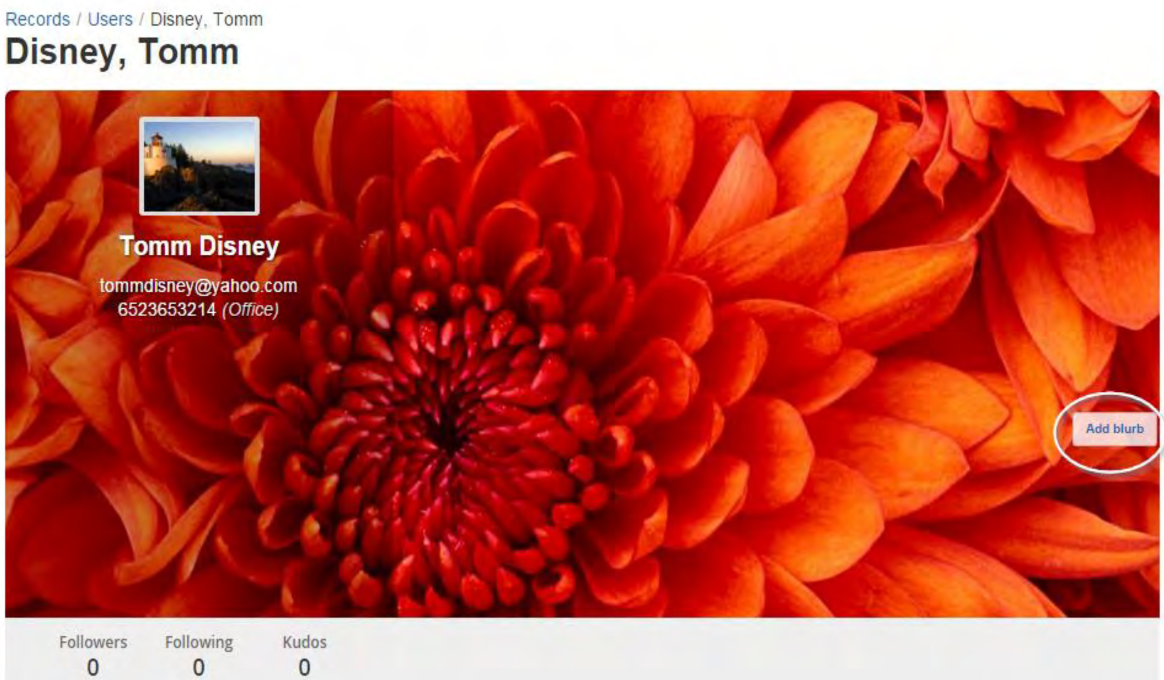
4) Click the 'Change Cover' button to complete the process. Select the 'x' link to delete the image just selected or click the 'Cancel' button to return to the 'Summary' page without saving any changes.




#### 3.3.1.4 Adding/Changing text

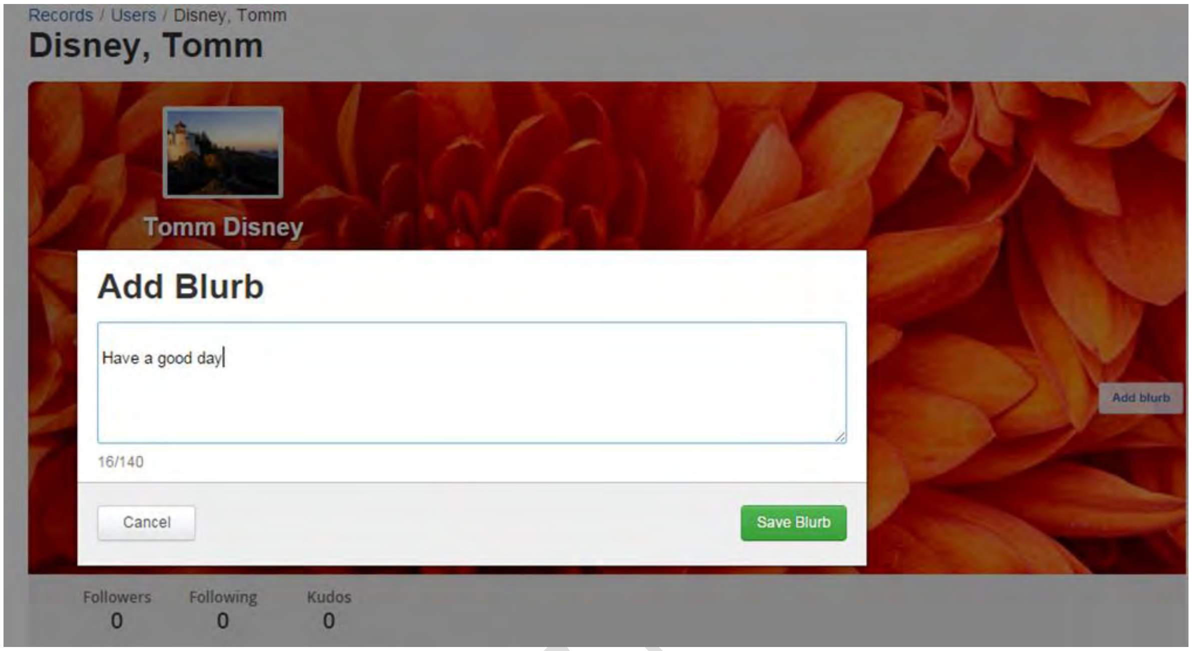
Users may add text to their business card. Text is limited to 140 characters. To add text to your business card:

1) Click on the 'Add blurb' text box.




2) Type the text within the provided box.

3) Click the 'Save Blurb' button to apply the text to the business card. Click 'Cancel' discard changes made.



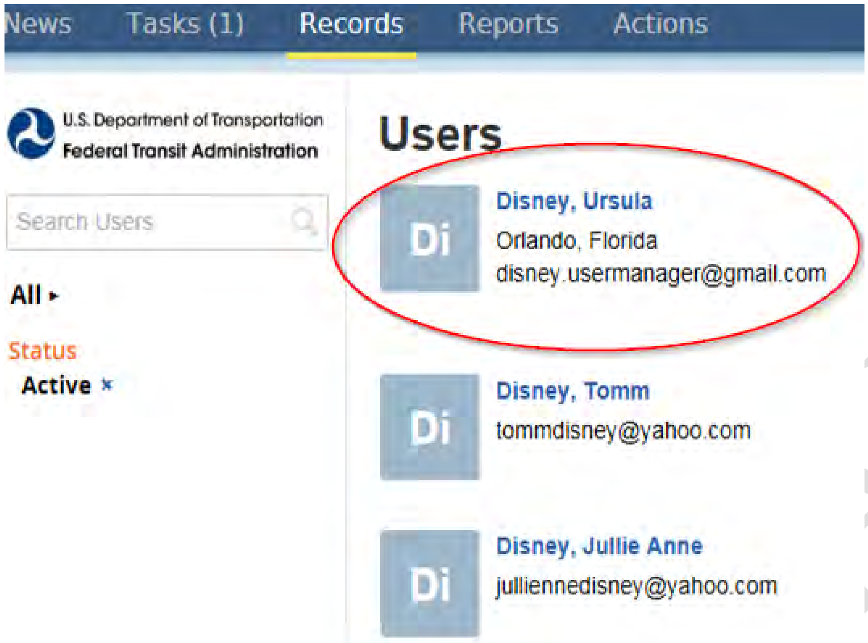

#### 3.3.1.5 Follow Users

To automatically see posts attributed to other users, a user may choose to follow others. By following a user their posts will automatically appear in their News feeds. Users may select to follow users from the News tab (Refer to Follow/Unfollow User) or from selecting their Profiles.

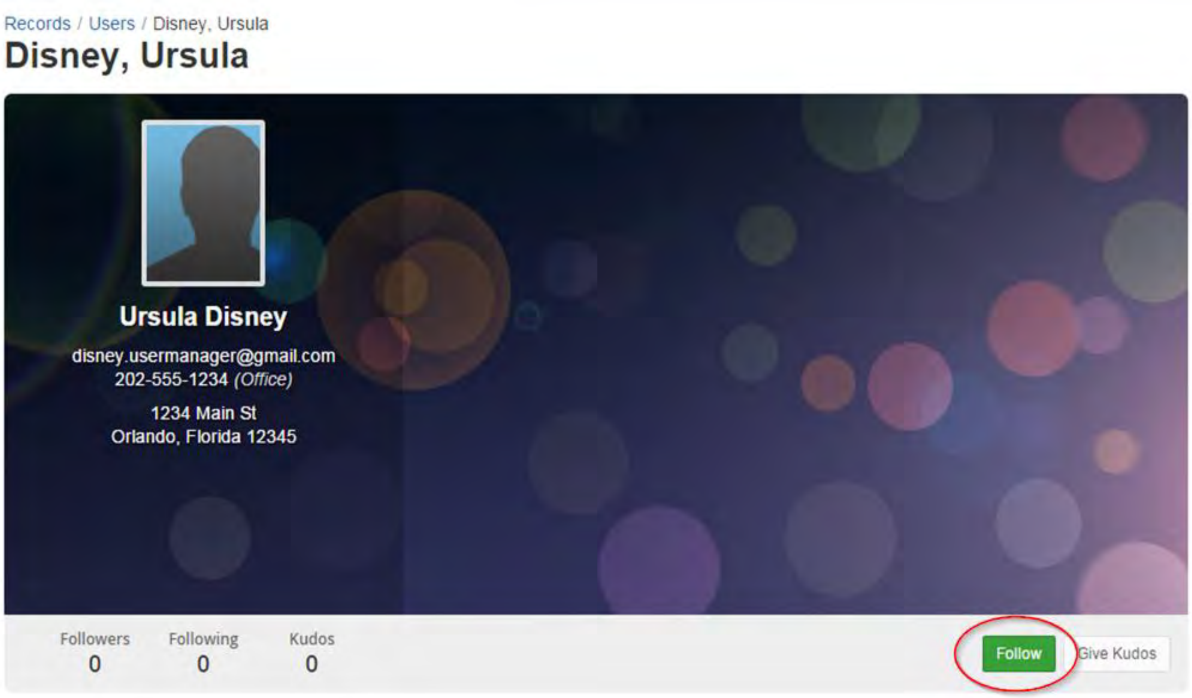
To follow locate another user profile page:

1) Select 'Users' form the 'Records' tab.

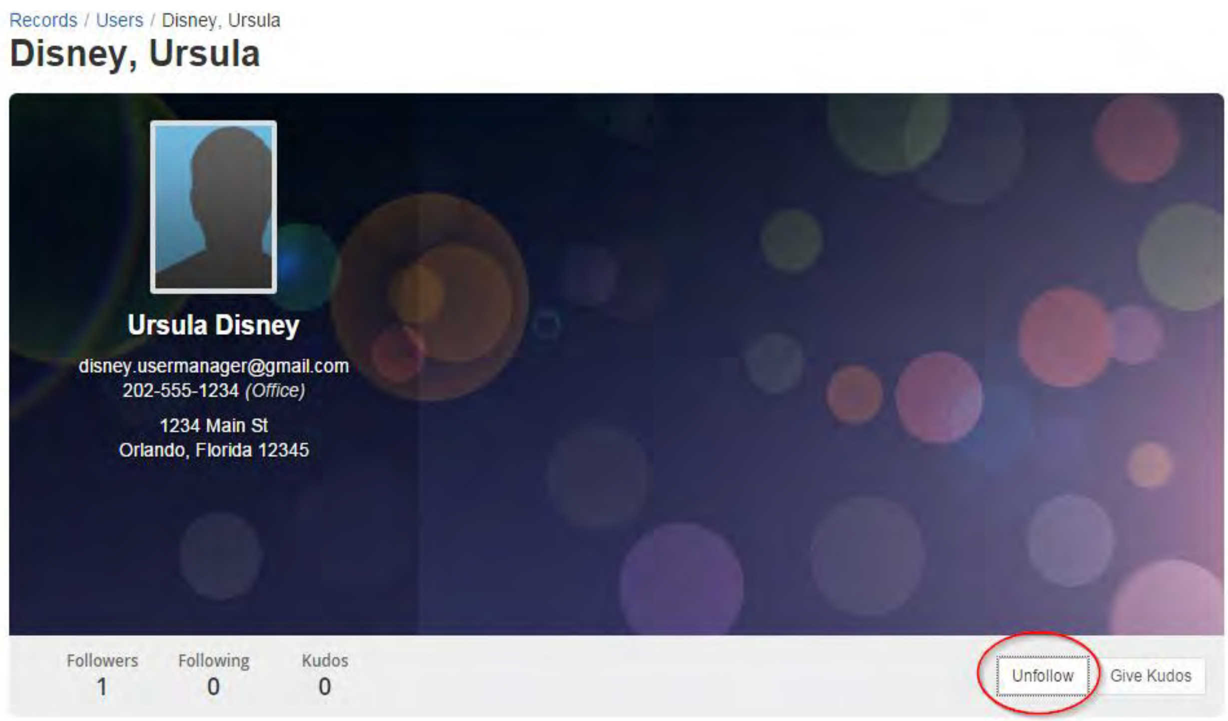
2) Select the user, from the provided listing.




3) Click the ‘Follow’ button on the user’s business card. The button will turn gray and change to ‘Unfollow’ and the number of followers will update.



4) Select Unfollow to no longer receive post updates.



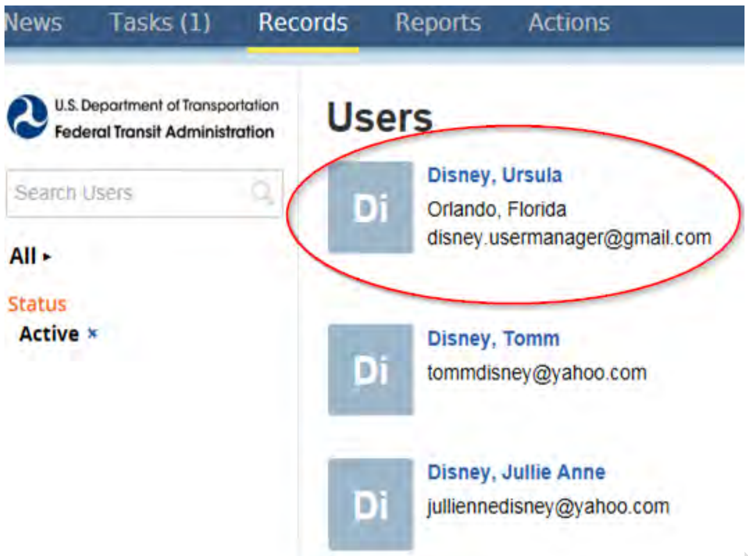

#### 3.3.1.6 Provide Kudos

Kudos is a way to praise another user's work. Kudos will display for a user under their business card on the Users Summary page. Kudos may be provided from the News tab (Refer to Kudos) or by locating the users profile from the 'Records' tab. Kudos will be visible to all users that visit the user's profile page.

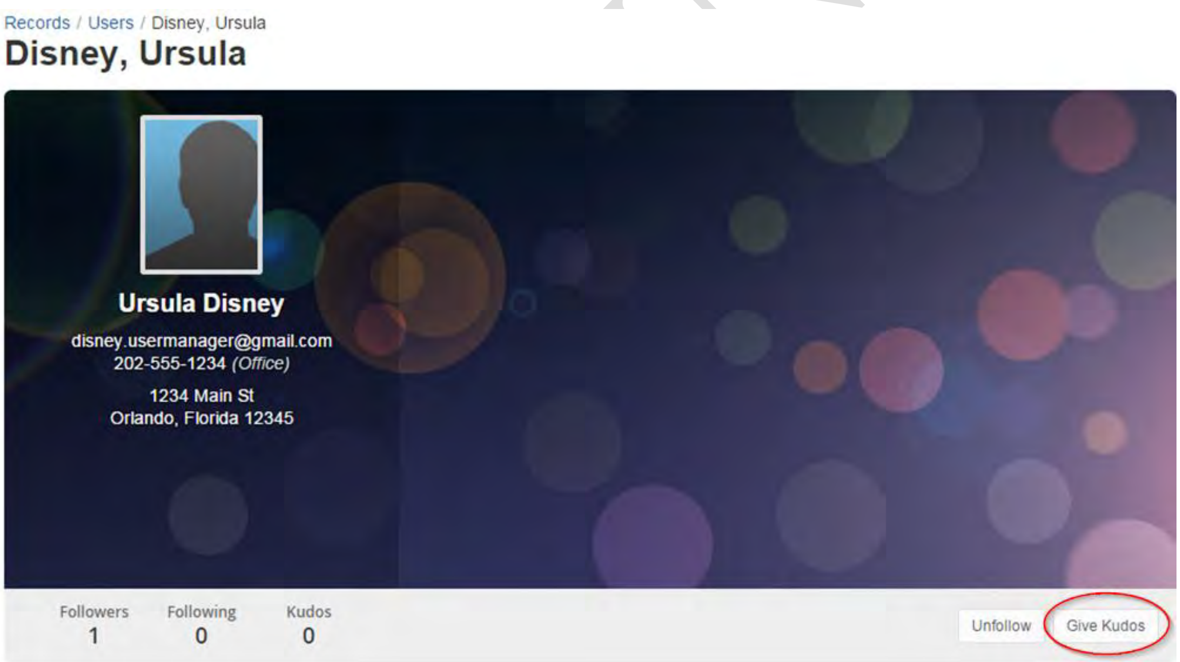
To provide kudos locate another user profile page:

1) Select 'Users' form the 'Records' tab.

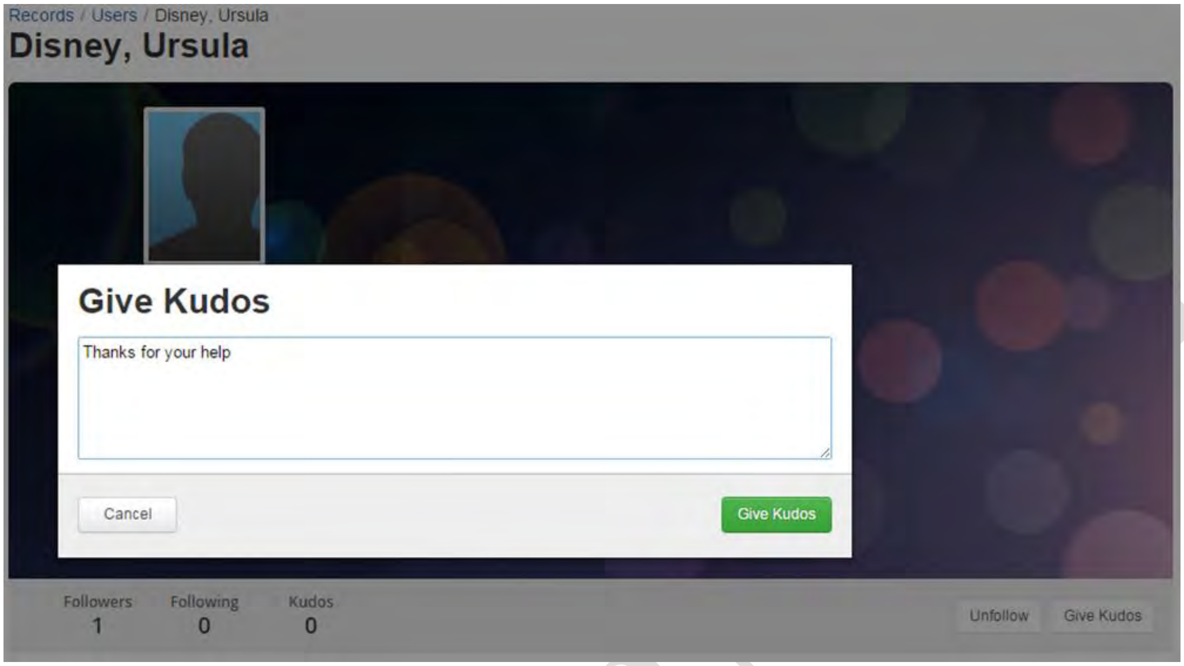
2) Select the user, from the provided listing.




3) Click the Give Kudos button on the user's business card.




4) Provide your comment and click 'Give Kudos'.




### 3.3.2 User Details

This is a view only page; users are able to see their own profiles and the profiles of other users within their organization. The User Details Page consists of three Main Parts.

1) User Information – Lists basic information about the user:

   a) Username – Name used to log into TrAMS.

   b) Status – Status within TrAMS, Active or Inactive

   c) Full Name – User first and last name.

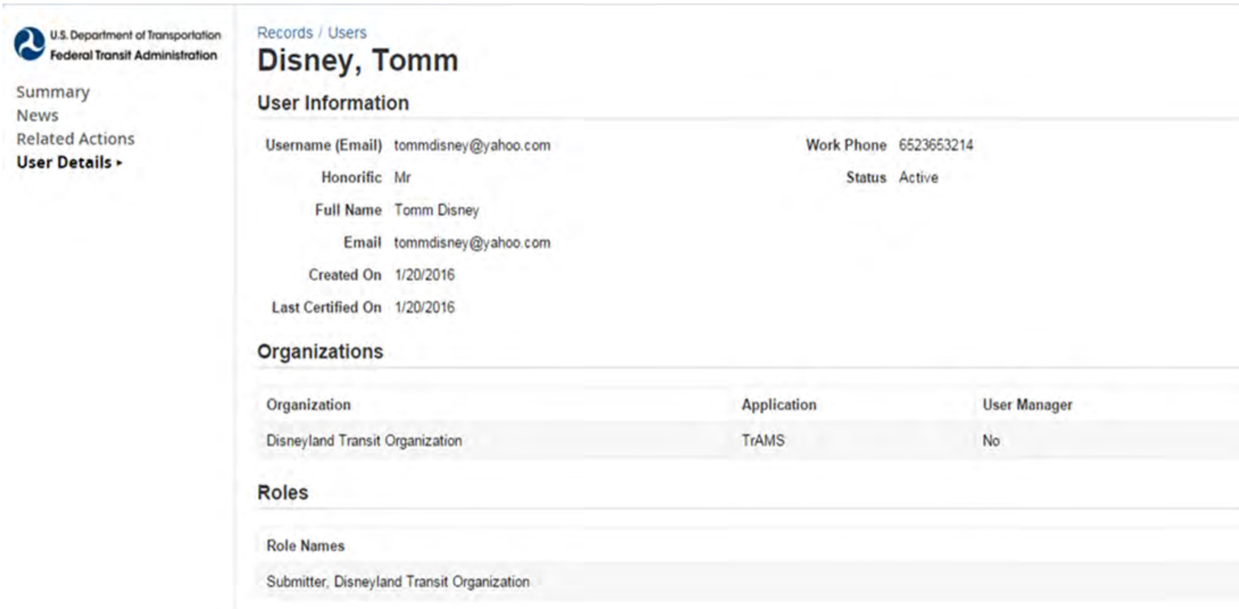
   d) Email - Email address system will use to send notifications.

   e) Created On – Date user was initially created in the system.

   f) Last Certified On – Latest date that the LSM of the region certified the user as valid.

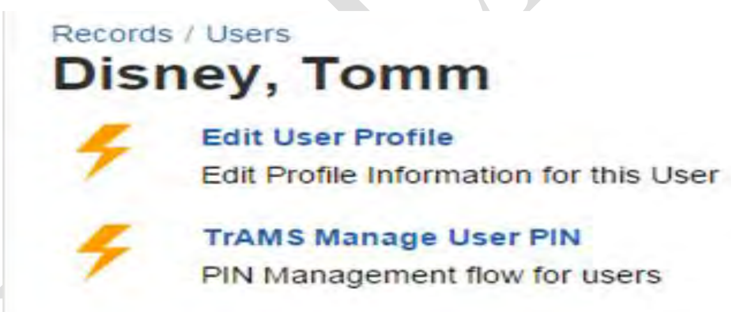
2) Organizations – List of organizations a user is associated with in TrAMS and if they are a User Manager for the organization.

3) Roles – Lists the user roles associated to the user and the organization that they may perform that role for.




### 3.3.3 Related Actions

By selecting 'Related Actions' users will be provided with additional options that can be performed on their User Record.

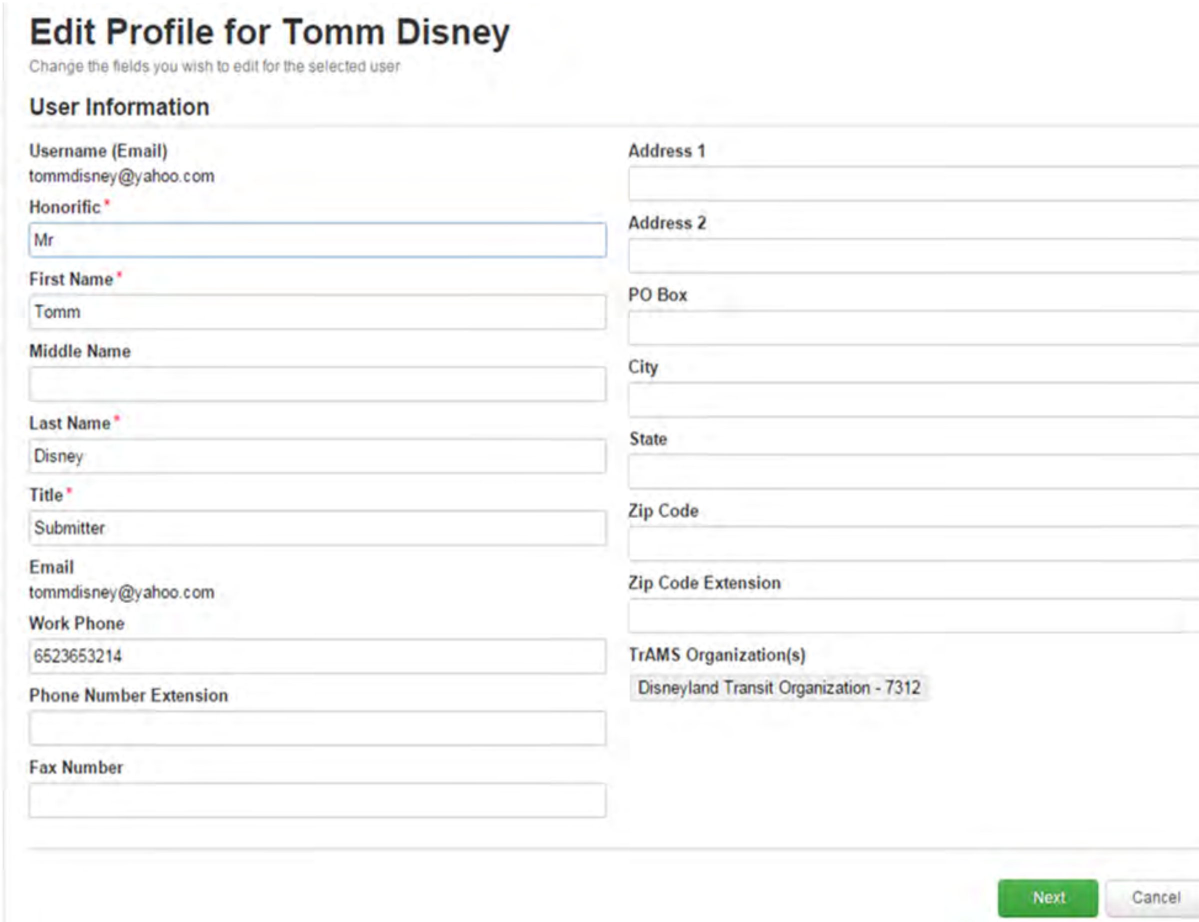



#### 3.3.3.1 Related Actions: Edit User Profile

To edit the user profile for any of the user in your recipient organization:

1) Click 'Edit User Profile'.

2) The ‘Edit Profile for [Username]’ form will be displayed with all previously saved user information details in editable fields.




3) Click the ‘Cancel’ button to return to the ‘Related Actions’ menu without saving any of your changes.

4) Update fields as needed and then click the ‘Next’ button to save all details.

5) The ‘Edit Profile for [Username] Confirmation’ form will be displayed with a summary of the saved details. Click the ‘Previous’ button if you wish to return to the previous form. Click the ‘Submit’ button to proceed with changes. Click the ‘Cancel’ button to return to the ‘Related Actions’ menu without saving the change.

#### 3.3.3.2 Related Actions: TrAMS Manage User PIN

TrAMS employ’s a PIN-based system to add security to some of its functions. Four-digit numeric PIN codes, as set by the users themselves, will be required to complete specialized actions only available to specific user roles (Submitter, Attorney, and Official). For a recipient organization, these actions include formally submitting an application to FTA for review as the Submitter, executing an application as the Official, and signing off on Certifications and Assurances as either the Official or Attorney.

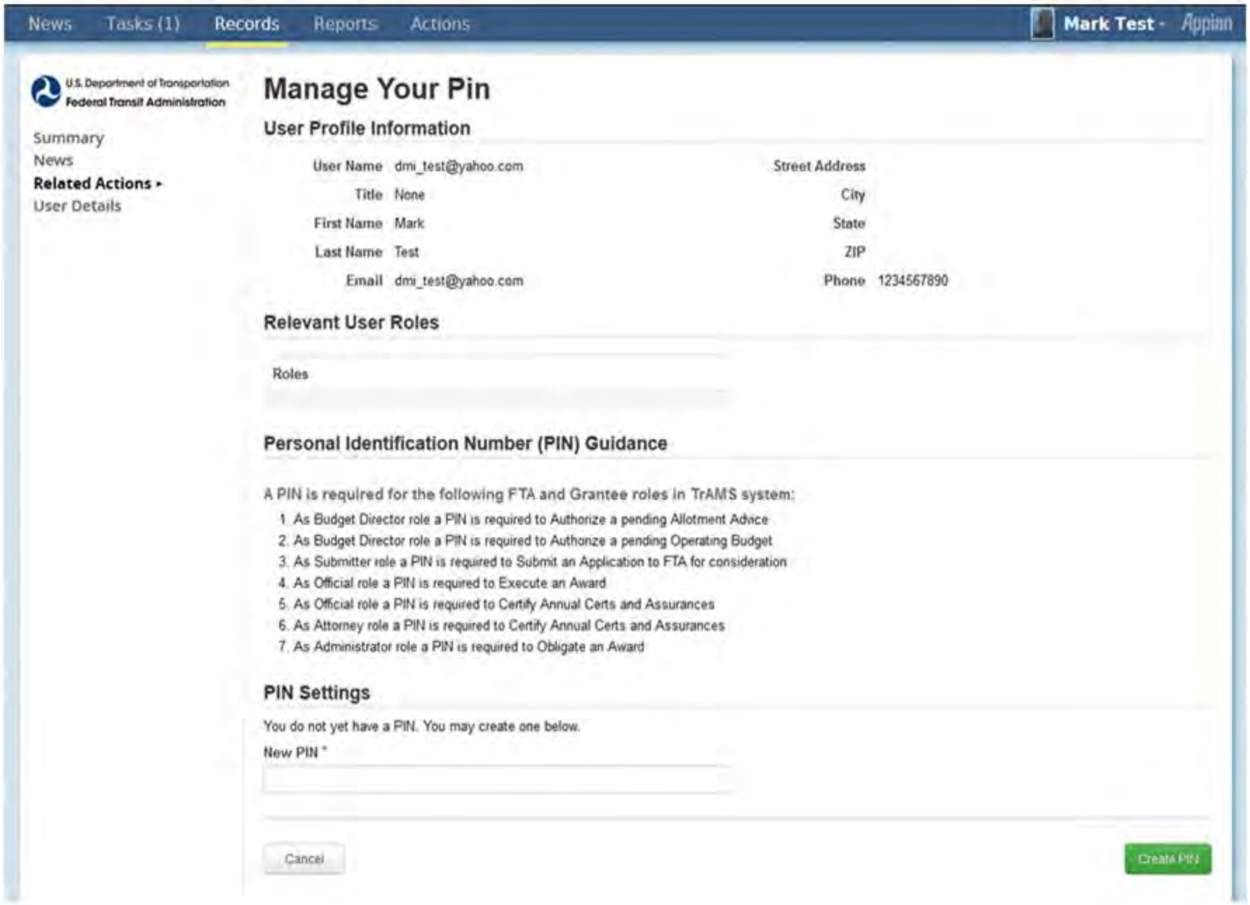
#### 3.3.3.3 Create/Update PIN

If the User Manager for your organization elects to add one or more of the PIN-based roles (Submitter, Attorney, and/or Official) to your user record, you will gain access to a new Related Action to set your personal four-digit PIN code. This Related Action will be shown as 'TrAMS Manage User 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.

To create a new PIN code:

1) Locate your User Profile Record.
2) Click 'Related Actions' on the left navigation menu.
3) Click 'TrAMS Manage User PIN'.

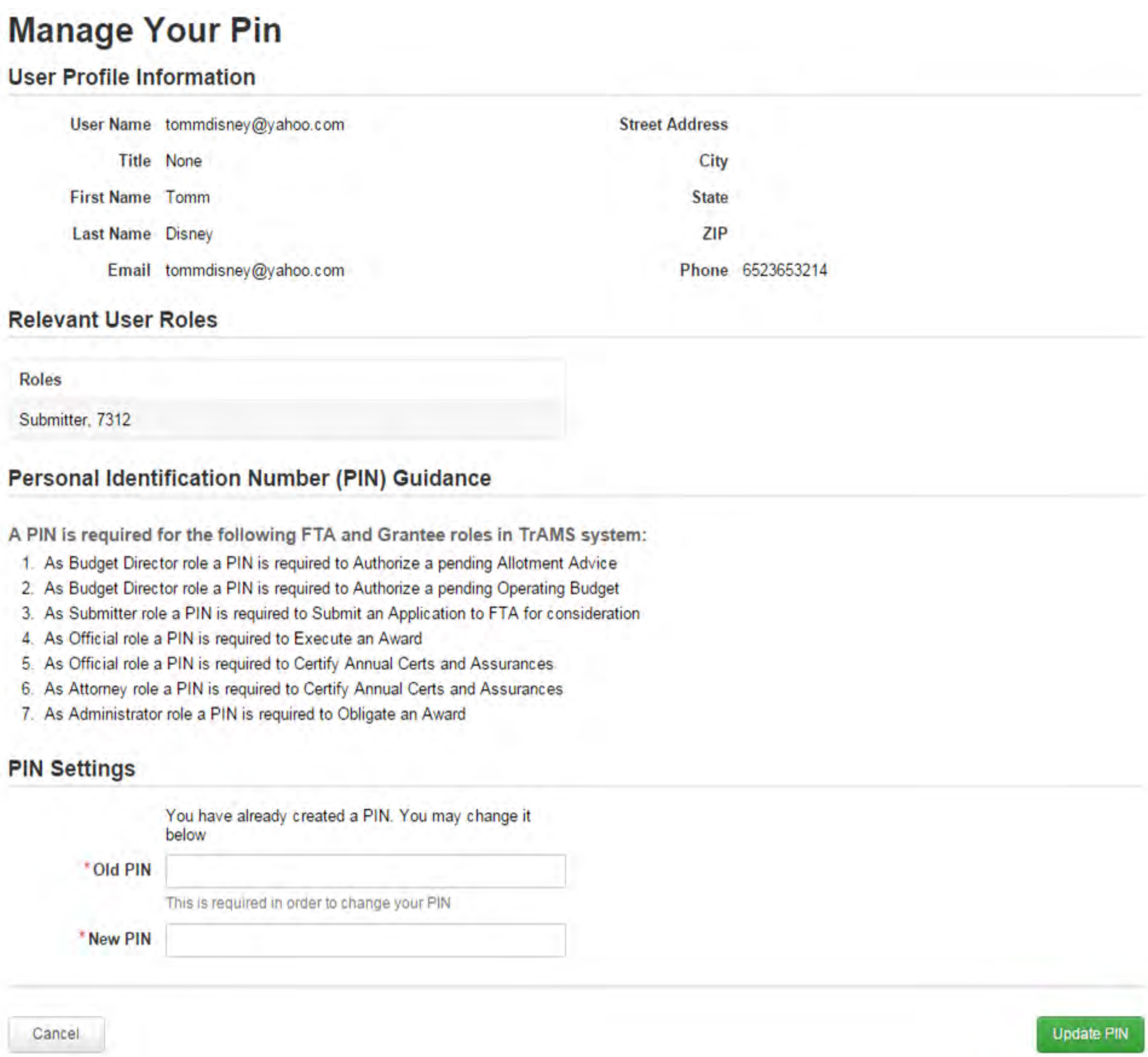

4) The 'TrAMS Manage User PIN' form will be displayed.
5) First time users will see the 'New PIN' field. Enter a four-digit PIN code into the 'New PIN' field. This is a required field.
6) Click the 'Create PIN' button to save. Click Cancel button to return to the 'Related Actions' menu without saving your PIN number.




7) If you have previously set a PIN number the ‘Manage User PIN’ form will be displayed.

   a) Enter the current PIN into the ‘Old PIN’ field

   b) Enter your desired new PIN code into the ‘New PIN’ field. Click the ‘Update PIN’ button to save.



## Manage Your Pin

### User Profile Information

| | | | |
|---|---|---|---|
| User Name | tommdisney@yahoo.com | Street Address | |
| Title | None | City | |
| First Name | Tomm | State | |
| Last Name | Disney | ZIP | |
| Email | tommdisney@yahoo.com | Phone | 6523653214 |

### Relevant User Roles

| Roles |
|---|
| Submitter, 7312 |

### Personal Identification Number (PIN) Guidance

**A PIN is required for the following FTA and Grantee roles in TrAMS system:**

1. As Budget Director role a PIN is required to Authorize a pending Allotment Advice
2. As Budget Director role a PIN is required to Authorize a pending Operating Budget
3. As Submitter role a PIN is required to Submit an Application to FTA for consideration
4. As Official role a PIN is required to Execute an Award
5. As Official role a PIN is required to Certify Annual Certs and Assurances
6. As Attorney role a PIN is required to Certify Annual Certs and Assurances
7. As Administrator role a PIN is required to Obligate an Award

### PIN Settings

You have already created a PIN. You may change it below

*Old PIN

This is required in order to change your PIN

*New PIN

Cancel

Update PIN

#### 3.3.3.4 Reset PIN

If you have forgotten your PIN code, call the help desk for assistance with resetting your PIN.

## 3.4 User Manager Responsibilities

Each organization will have one or more users that have been assigned the ‘User Manager’ role. As a User Manager for an organization a user is able to

- Create new users
- Deactivate users
- Reactivate users
- Assign new roles to users
- Edit user profile information
- Recertify users

Access to perform these functions is limited to the recipients within the organization that have the ‘User Manager’ role assigned to them. FTA approval is required to obtain or assign the User Management role.

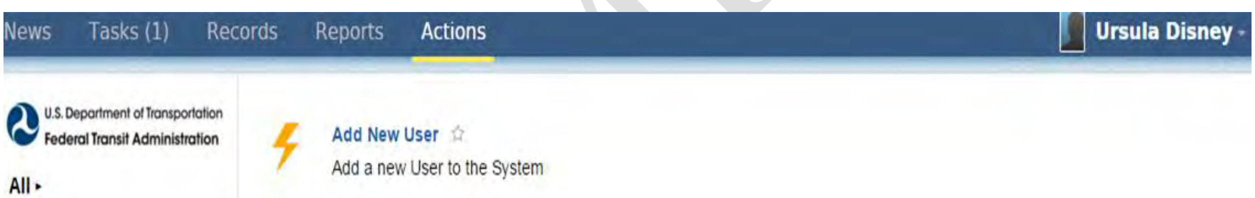
From the ‘Actions’ tab User Managers may access the following activities.

- Create new users
- Add new users in bulk
- Deactivate users
- Recertify users

### 3.4.1 Action: Add New System User

User Managers have access to the Action ‘Add New System User’.

1) Click ‘Add New System User’.




2) The ‘Add New User’ form is displayed. You will be able to complete the following fields:
    a) Enter a valid email address for the user into the ‘Username (Email)’ field. This is a required field and will function as the users login. Email addresses should be provided in lowercase. Each Username field must be unique and cannot be changed after creation.
    b) Enter an honorific for the user into the ‘Honorific’ field. This is a required field (i.e. Mr., Ms.) .
    c) Enter the user’s first name into the ‘First Name’ field. This is a required field.
    d) Enter the user’s middle name into the ‘Middle Name’ field.
    e) Enter the user’s last name into the ‘Last Name’ field. This is a required field.
    f) Enter the user’s job title into the ‘Title’ field. This is a required field.
    g) Enter a valid email address for the user into the ‘Email’ field. This is a required field.

h) Enter the user's work phone number into the 'Work Phone' field. This is a required field.

i) Enter the user's phone number extension into the 'Phone Number Extension' field.

j) Enter the user's fax number into the 'Fax Number' field.

k) Enter the first line of the user's address into the 'Address 1' field.

l) Enter the second line of the user's address into the 'Address 2' field.

m) Enter the user's PO Box address into the 'PO Box' field.

n) Enter the city for the user's address into the 'City' field.

o) Select the state for the user's address from the drop-down menu provided under the 'State' field.

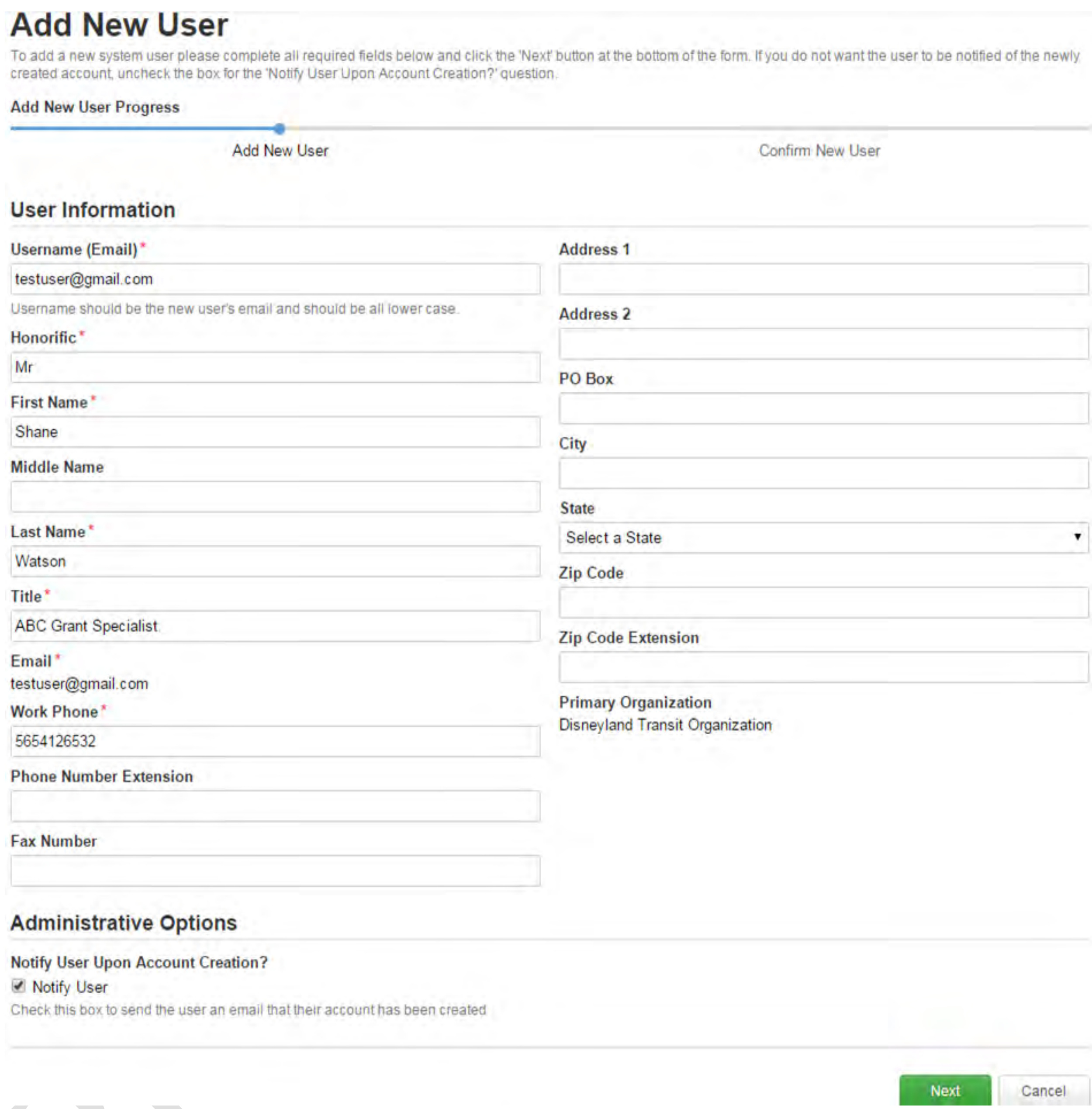
p) Enter the ZIP Code for the user's address into the 'ZIP Code' field.

q) Enter the ZIP Code Extension for the user's address into the 'ZIP Code Extension' field.

r) Select check box for 'Notify User' if you would like to have the system send an email notification to the user that their account has been created.

**Note:** At any point, you may click the 'Cancel' button on this form to return to the 'Actions' tab without creating the User.

2) Once all required details have been entered, click the 'Next' button.



Add New User

To add a new system user please complete all required fields below and click the 'Next' button at the bottom of the form. If you do not want the user to be notified of the newly created account, uncheck the box for the 'Notify User Upon Account Creation?' question.

Add New User Progress

Add New User | Confirm New User

User Information

Username (Email)*
testuser@gmail.com
Username should be the new user's email and should be all lower case.

Honorific*
Mr

First Name*
Shane

Middle Name

Last Name*
Watson

Title*
ABC Grant Specialist

Email*
testuser@gmail.com

Work Phone*
5654126532

Phone Number Extension

Fax Number

Address 1

Address 2

PO Box

City

State
Select a State

Zip Code

Zip Code Extension

Primary Organization
Disneyland Transit Organization

Administrative Options

Notify User Upon Account Creation?
Notify User
Check this box to send the user an email that their account has been created

Next | Cancel

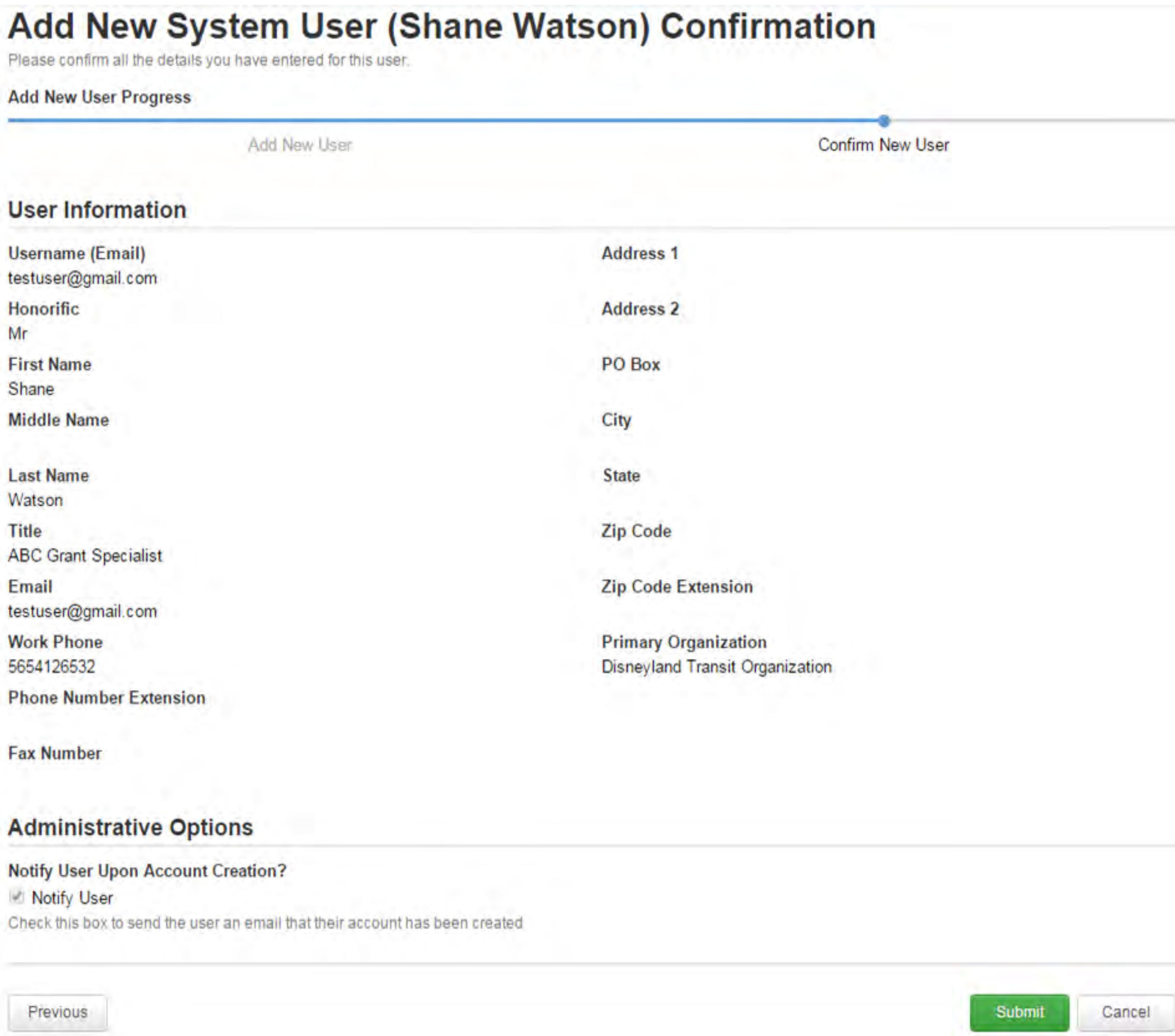
3) The ‘Add New System User (User Name) Confirmation’ form is displayed. The user may:

a) Return to the previous screen and make changes to the users’ information by selecting the ‘Previous’ button.

b) Create the user and continue to the next form to assign user roles by selecting the ‘Submit’ button.

c) Cancel the creation of the new user by selecting the **'**Cancel' button.

4) Click the 'Submit' button to add the user.




After selecting the 'Submit' button the user will have the option to assign user roles or simply complete the transaction. Users not assigned any roles during creation will default to having their access limited to the privileges associated with the 'Read Only' role.

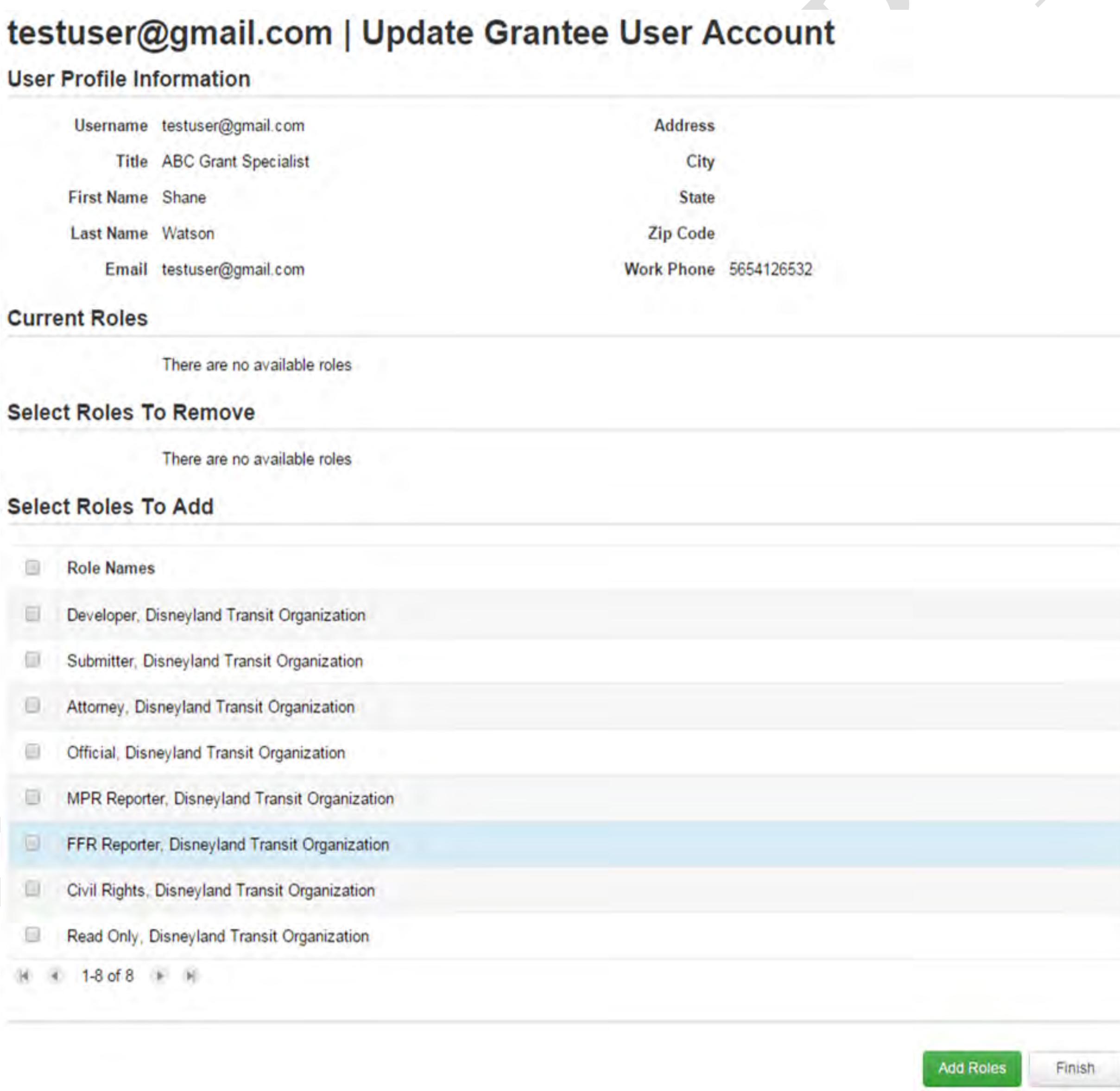
#### 3.4.1.1 Assigning User Roles

The '(User Name) | Update Grantee User Account' form will be displayed to the User Manager directly after creating a new user. Each user may be assigned multiple roles.

Each role will be specific to a recipient organization. In order to assign a user to multiple roles in multiple organizations the User Manager will need to be the User Manager of the other organization as well. The LSM for the region should be contacted if that is not the case in order to assign the additional required roles.

The list of available user roles and their associated organization will be displayed in the 'Select Roles To Add' section of the screen

1) Select user roles by checking the boxes next to all the desired roles. Verify that the roles selected are for the expected organizations.

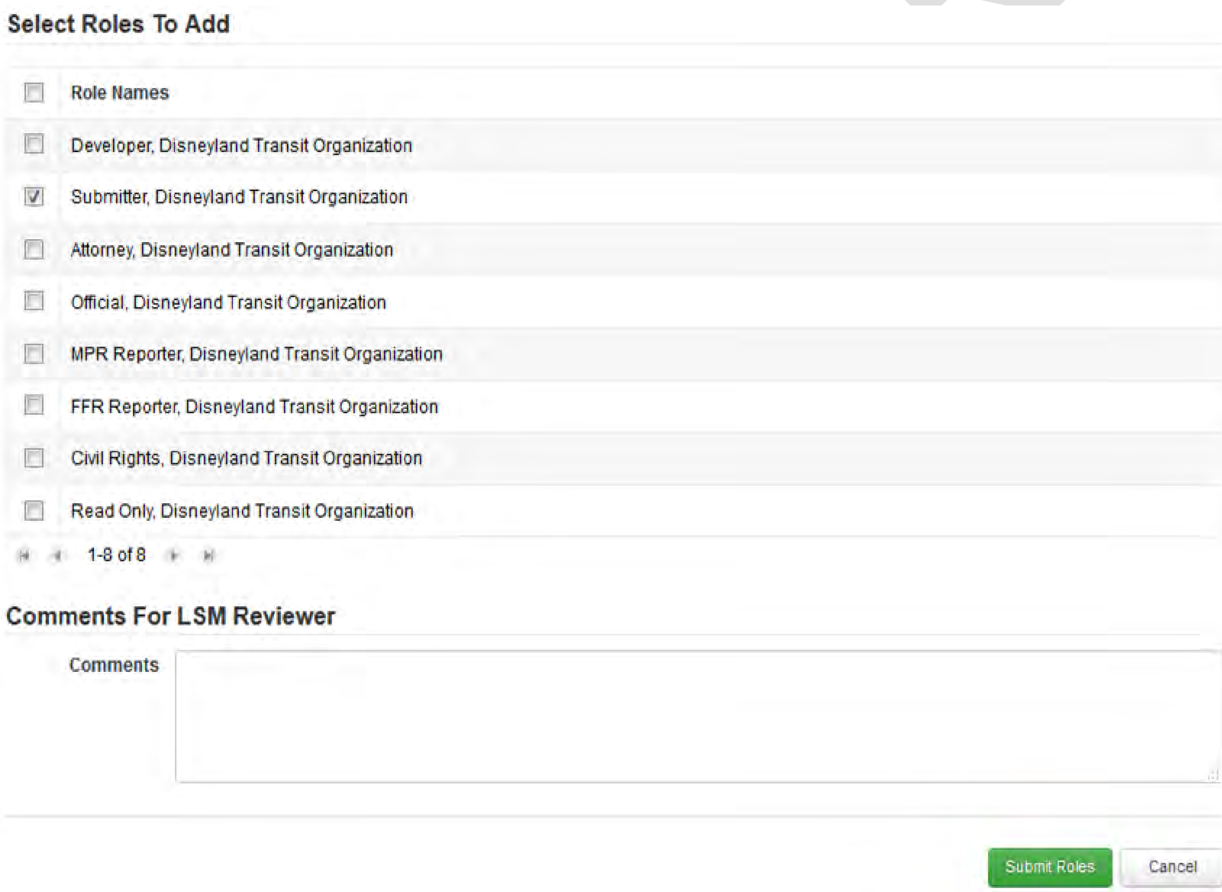


2) Granting of the roles of ‘Submitter’, ‘Attorney’, or ‘Official’ will require FTA approval. When any of these roles have been selected a comment box will be displayed to allow for adding information for the FTA to consider in their review.

**Note**: Assignment of the User Manager Role must be done from the User Record.

3) Selecting the ‘Finish’ button will complete the create user action without saving the selected User roles.

4) Click ‘Add Roles’ to add the selected roles to the new user.



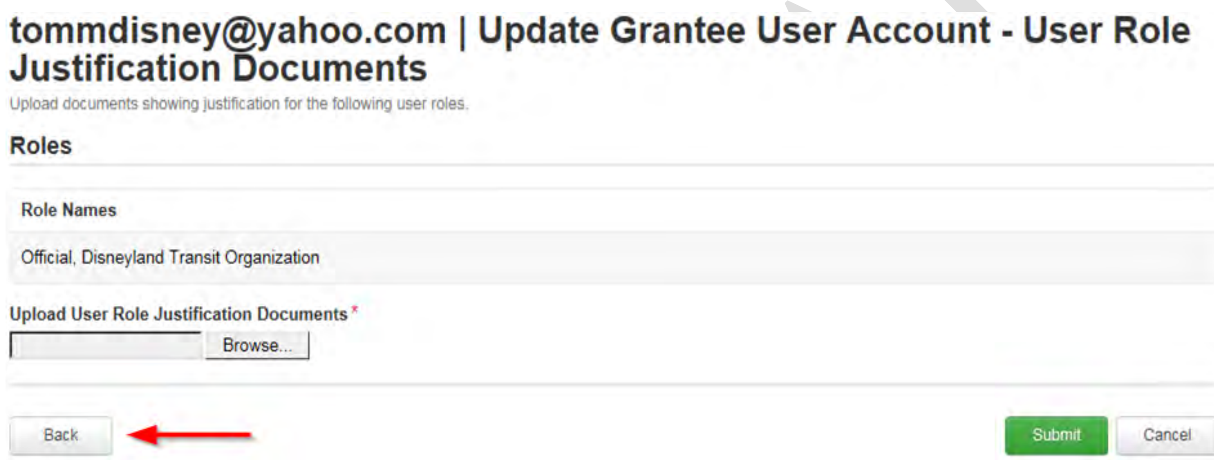

5) Click ‘Add Roles’ to add the selected roles to the new user.

6) Select the 'Finish' button to complete the assignment of roles.

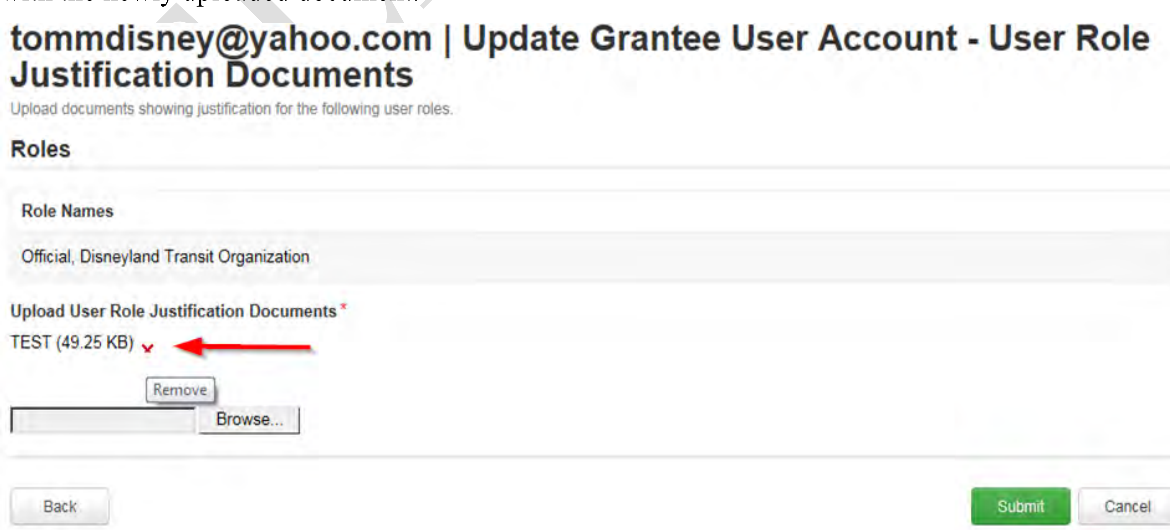
**Note**: Selecting the Finish button prior to selecting the 'Add Role's button will complete the create user action without saving the selected User roles.

7) A document justifying the role must be uploaded when the roles of Submitter, Attorney, or Official have been selected. The user will be presented with the '(User Name) | Update Grantee User Account – User Role Justification Documents' form when any of these roles have been selected.

   a) Select the 'Browse' button to upload a document. For multiple roles, multiple documents may be required and can be uploaded one at a time using the 'Browse' button.




   b) To delete a document that has been uploaded prior to submission, click the 'x' link associated with the newly uploaded document.

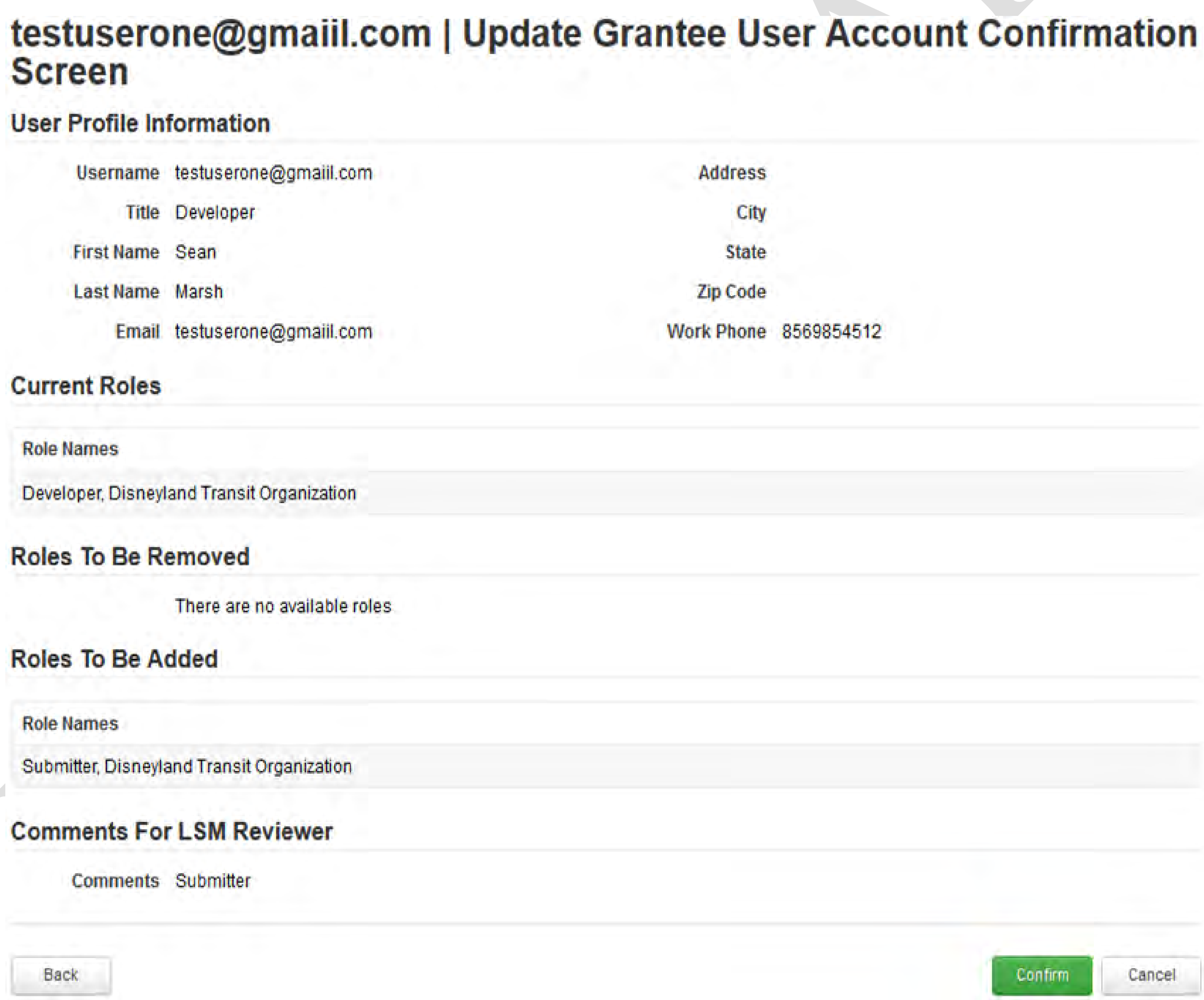


c) The user may select the ‘Back’ button to Return to the ‘(User Name) | Update Grantee User Account’ form and make changes to the selected roles.

d) After a document has been uploaded the user may select the ‘Submit’ button to complete the document upload.

e) Select the ‘Cancel’ button at any time to return to the ‘Related Actions’ menu

8) A confirmation form will be presented to the user following the selection of the ‘Submit’ button.



**testuserone@gmaiil.com | Update Grantee User Account Confirmation Screen**

**User Profile Information**

| | | | |
|---|---|---|---|
| Username | testuserone@gmaiil.com | Address | |
| Title | Developer | City | |
| First Name | Sean | State | |
| Last Name | Marsh | Zip Code | |
| Email | testuserone@gmaiil.com | Work Phone | 8569854512 |

**Current Roles**

| Role Names |
|---|
| Developer, Disneyland Transit Organization |

**Roles To Be Removed**

There are no available roles

**Roles To Be Added**

| Role Names |
|---|
| Submitter, Disneyland Transit Organization |

**Comments For LSM Reviewer**

Comments Submitter

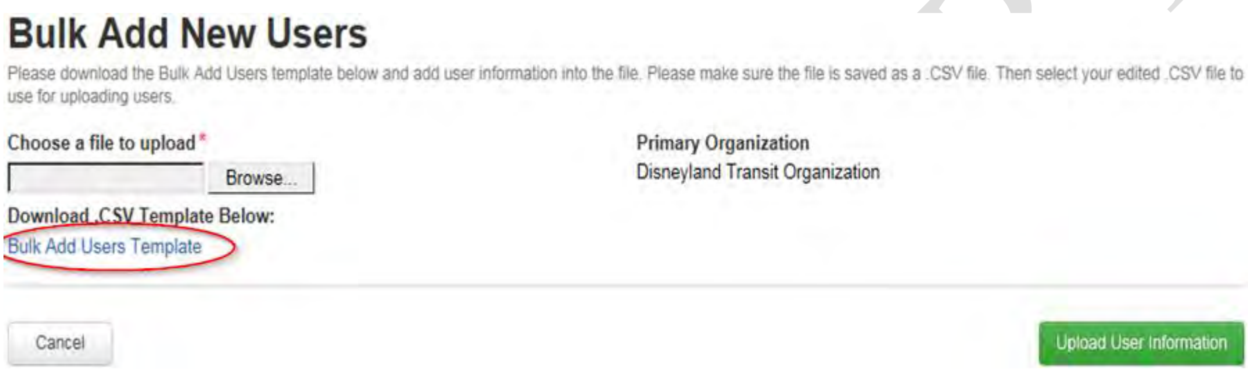
Back Confirm Cancel

### 3.4.2 Action: Bulk Add New Users

If more than one user needs to be created for a recipient organization the User Manager may load them into the system through the use of a CSV (Comma Separated Values) file.

1) Select the Action 'Bulk Add New Users' to display the 'Bulk Add New Users' form.

2) Download the template provided.




3) In the template for each user provide the following details;

   a) Leave the ID field blank

   b) Email address, all lower case. This will become the new users 'TrAMS Username'

   c) First Name

   d) Last Name

   e) Work Phone Number

   f) Address 1

   g) Address 2 (if applicable)

   h) City

   i) State name or territory name, spelled out

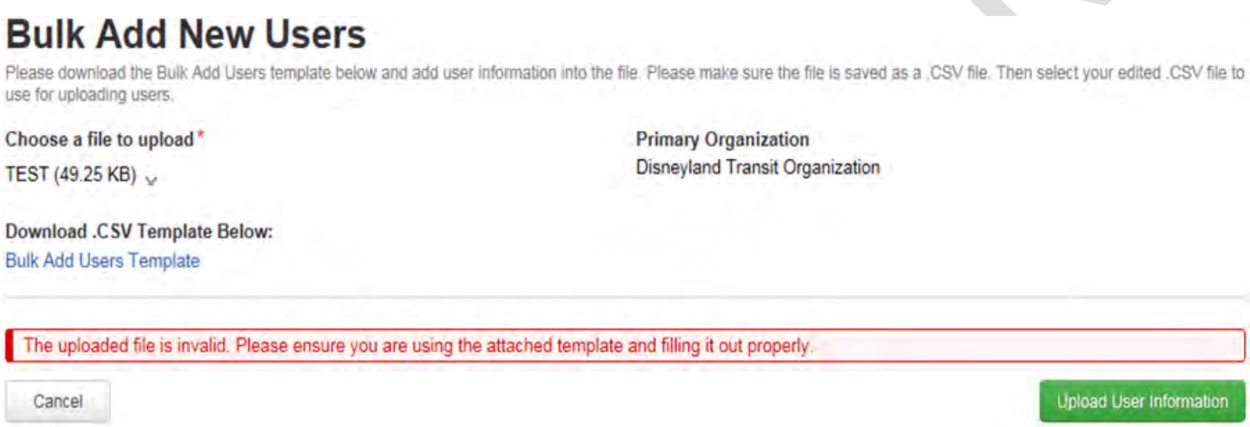
   j) Five digit zip code.

4) Save your file, making sure the file is saved with the extension .CSV

| A | B | C | D | E | F | G | H | I | J | K |
|---|---|---|---|---|---|---|---|---|---|---|
| id_leave b | Email | First Nam | Middle Na | Last Name | Work Phone | Address 1 | Address 2 | City | State_Spe | Zip Code_5 digits |
| | newperson@gmailc.com | New | | Person | 123-456-8989 | 123 Main st | | Happyland | Florida | 11111 |

5) Use the Browse button on the 'Bulk Add New Users' form to locate your CSV file.

6) Click the 'Upload User Information' button. An error message will be displayed if the incorrect file type is uploaded.

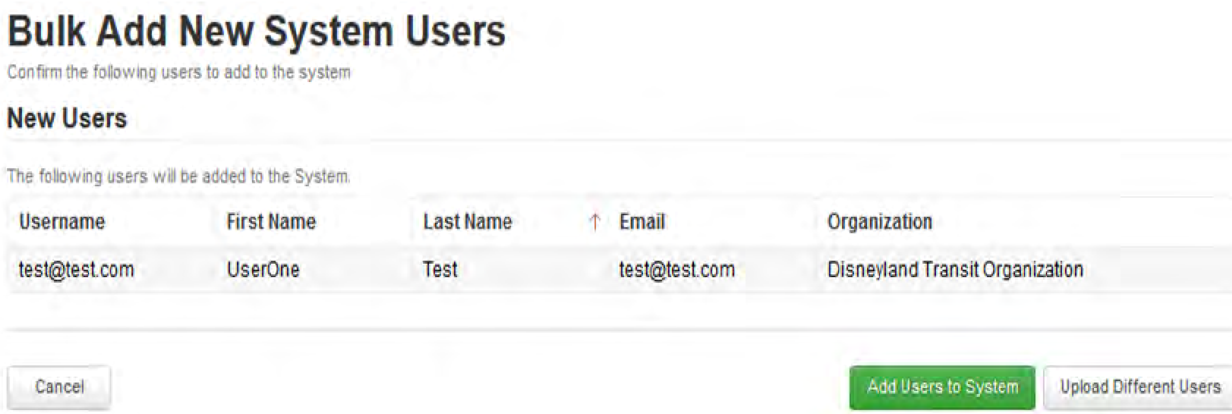



7) The system will display the users in the file that will be uploaded.

8) You may:
   a) Click on 'Cancel' to return to the Action dashboard

   b) Click on 'Add Users' to confirm the users and complete the upload.

   c) Click on 'Upload Different Users' to return to the 'Bulk Add New Users' to select a different file for upload.




Once the users have been added to the system the User Manager will need to locate each user using their user record to assign them the appropriate roles.

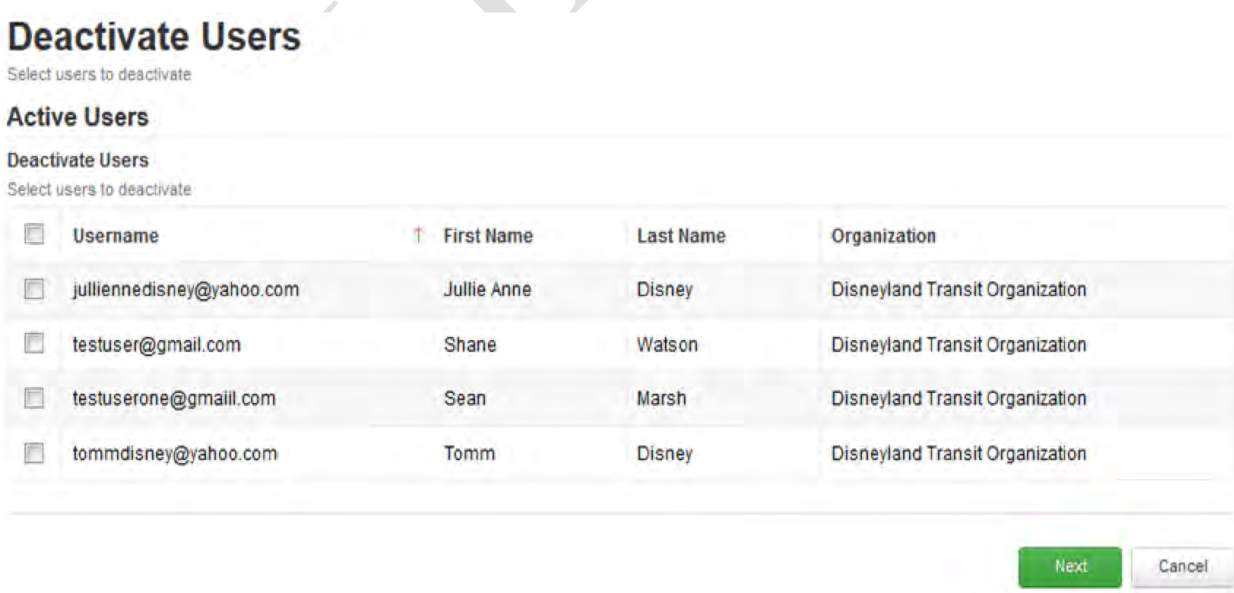
### 3.4.3 Action: Deactivate System Users

User Managers may deactivate one or multiple users at a time using the Deactivate System Users Action.

1) Click the Action 'Deactivate System Users'.

2) Click the checkbox associated with the user or users to be deactivated. To deactivate all users shown on the page select all users by clicking the first box on the page next to 'Username'.

3) Click the 'Next' button.



4) Prior to deactivation a confirmation page will be displayed with the list of users that will be deactivated.

   a) Click ‘Return to List of Users’ to make a different selection of users.

   b) Click ‘Submit’ to complete the deactivation of the user.

   c) Click ‘Cancel’ to return to the Actions dashboard without completing the deactivation. Process.

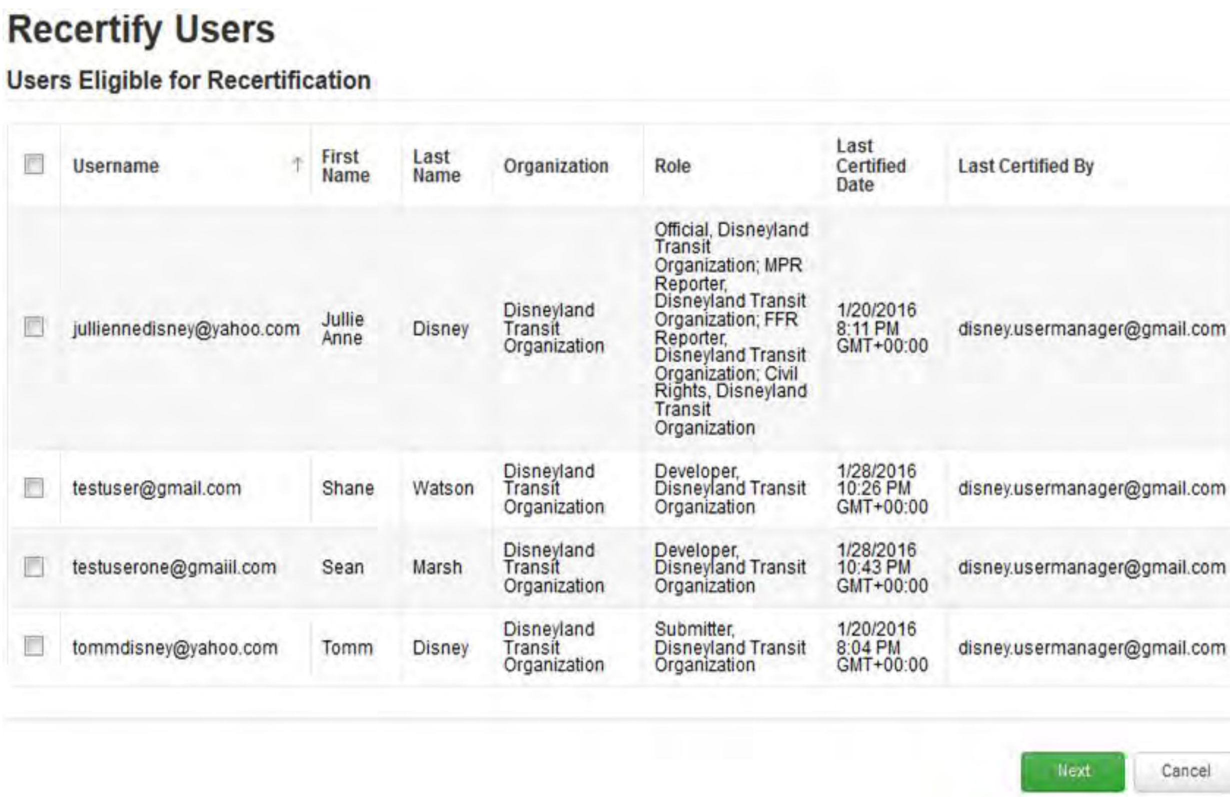

### 3.4.4 Action: Recertify Users

Users will need to be certified on a yearly basis. Users not certified within 90 days of the due date will be automatically deactivated.

1) Select the Action ‘Recertify Users’.

2) Click the checkbox associated with the user or users that are to be recertified. To recertify all the users on the page, select all users by clicking the top box next to ‘Username’.

3) Click the ‘Next’ button.



## Recertify Users

### Users Eligible for Recertification

| ☐ | Username | First Name | Last Name | Organization | Role | Last Certified Date | Last Certified By |
|---|---|---|---|---|---|---|---|
| ☐ | julliennedisney@yahoo.com | Jullie Anne | Disney | Disneyland Transit Organization | Official, Disneyland Transit Organization; MPR Reporter, Disneyland Transit Organization; FFR Reporter, Disneyland Transit Organization; Civil Rights, Disneyland Transit Organization | 1/20/2016 8:11 PM GMT+00:00 | disney.usermanager@gmail.com |
| ☐ | testuser@gmail.com | Shane | Watson | Disneyland Transit Organization | Developer, Disneyland Transit Organization | 1/28/2016 10:26 PM GMT+00:00 | disney.usermanager@gmail.com |
| ☐ | testuserone@gmaiil.com | Sean | Marsh | Disneyland Transit Organization | Developer, Disneyland Transit Organization | 1/28/2016 10:43 PM GMT+00:00 | disney.usermanager@gmail.com |
| ☐ | tommdisney@yahoo.com | Tomm | Disney | Disneyland Transit Organization | Submitter, Disneyland Transit Organization | 1/20/2016 8:04 PM GMT+00:00 | disney.usermanager@gmail.com |

Next Cancel

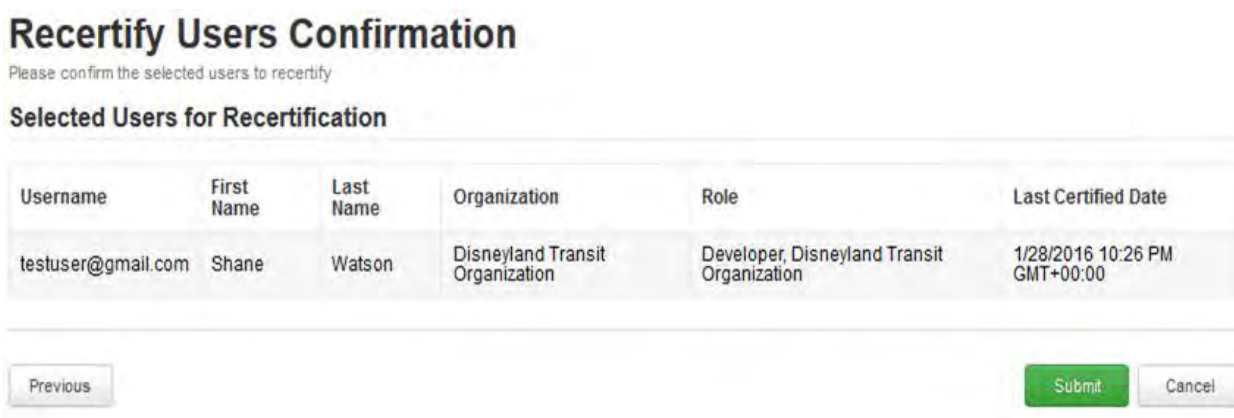
**Note:** When multiple pages exist and selecting all users (using the checkbox associated with the Username field) only the users on the displayed page are selected. You will need to navigate to each page to select the additional users on that page prior to selecting the 'Next' button.

4) The 'Recertify User Confirmation' form will be displayed with the list of users to be certified.

   a) Click 'Previous' to return to the previous screen and select different users

   b) Click 'Submit' to confirm the recertification.

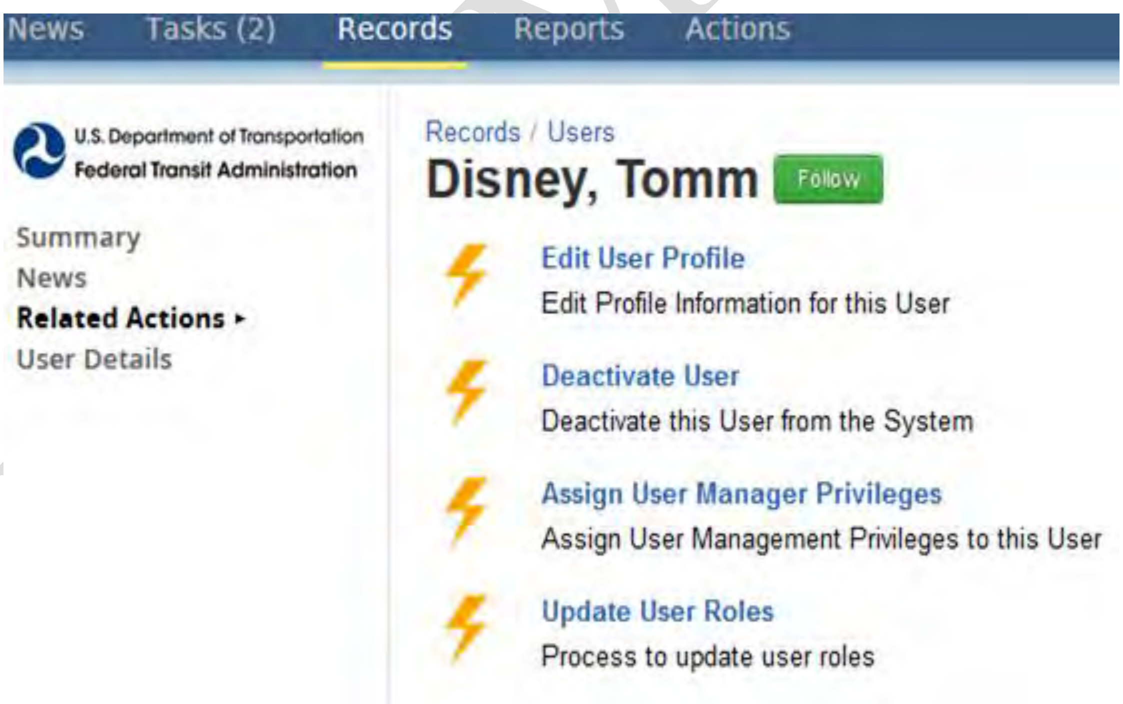
   c) Click 'Cancel' to return to the Actions dashboard without recertifying any of the users selected.




### 3.4.5 Updating Existing User Records

Once a user has been created, users with the User Manager role are able to manage details for existing users in their organization including, managing the user's profiles and updating their role privileges including assigning the User Manager role. Users may be deactivated and deactivated users may be reactivated as well.

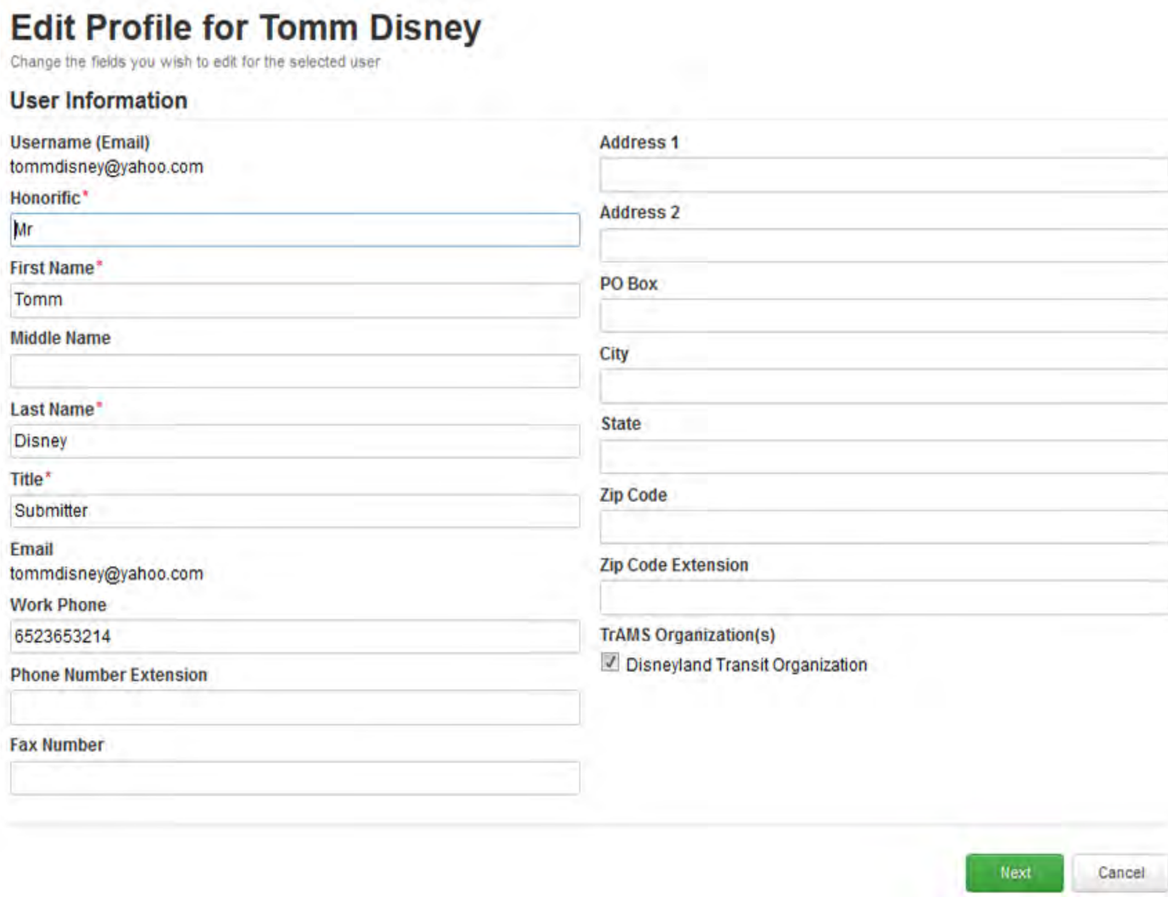
To perform any of these actions you must first locate the desired user from the 'Records' tab (Refer to Searching for User Records) and then select the 'Related Actions' associated with the user from the left hand navigation.



#### 3.4.5.1 Related Action: Edit User Profile

To edit the user profile for any of the user in your recipient organization:

1) Click ‘Edit User Profile’.
2) The ‘Edit Profile for [Username]’ form will be displayed with all previously saved user information details in editable fields.
3) Click the ‘Cancel’ button to return to the ‘Related Actions’ menu without saving any of your changes.



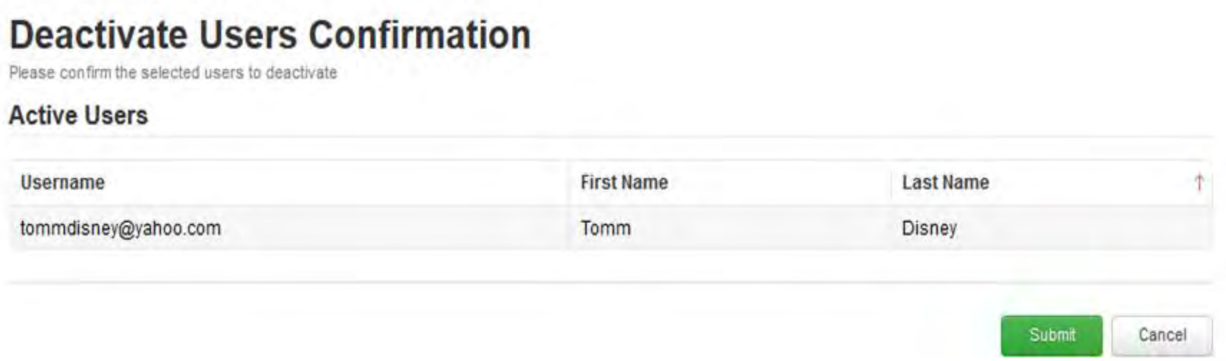

4) Update fields as needed and then click the ‘Next’ button to save all details.
5) The ‘Edit Profile for [Username] Confirmation’ form will be displayed with a summary of the saved details. Click the ‘Previous’ button if you wish to return to the previous form. Click the ‘Submit’ button to proceed with changes. Click the ‘Cancel’ button to return to the ‘Related Actions’ menu without saving the changes.

#### 3.4.5.2 Related Action: Deactivate User

Deactivating a user will deactivate the user in the system. If a user is associated with multiple organizations the User Manager should remove user roles to deactivate the user for a specific organization.

To deactivate a user with 'Active' status in the system:

1) Click 'Deactivate User'.
2) The 'Deactivate Users Confirmation' form will be displayed providing confirmation of the user that will be deactivated.
3) Click the 'Submit' button to proceed with user deactivation. You will be returned to the 'Related Actions' menu.
4) Click the 'Cancel' button to return to the 'Related Actions' menu without saving any of your changes.




#### 3.4.5.3 Related Action: Reactivate User

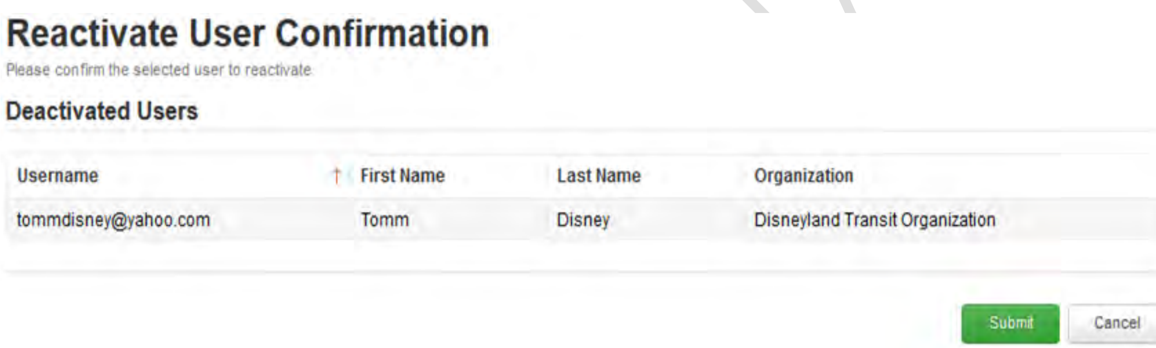
**Note:** This related action will not appear for user records with 'Active' status. It can only be accessed after selecting a user record with 'Inactive' status.

Inactive users in the system may be reactivated by the User Managers of the organization that they were associated with at the time of their deactivation. When reactivating a user all previously associated information for the user (profile and user roles) will be restored.

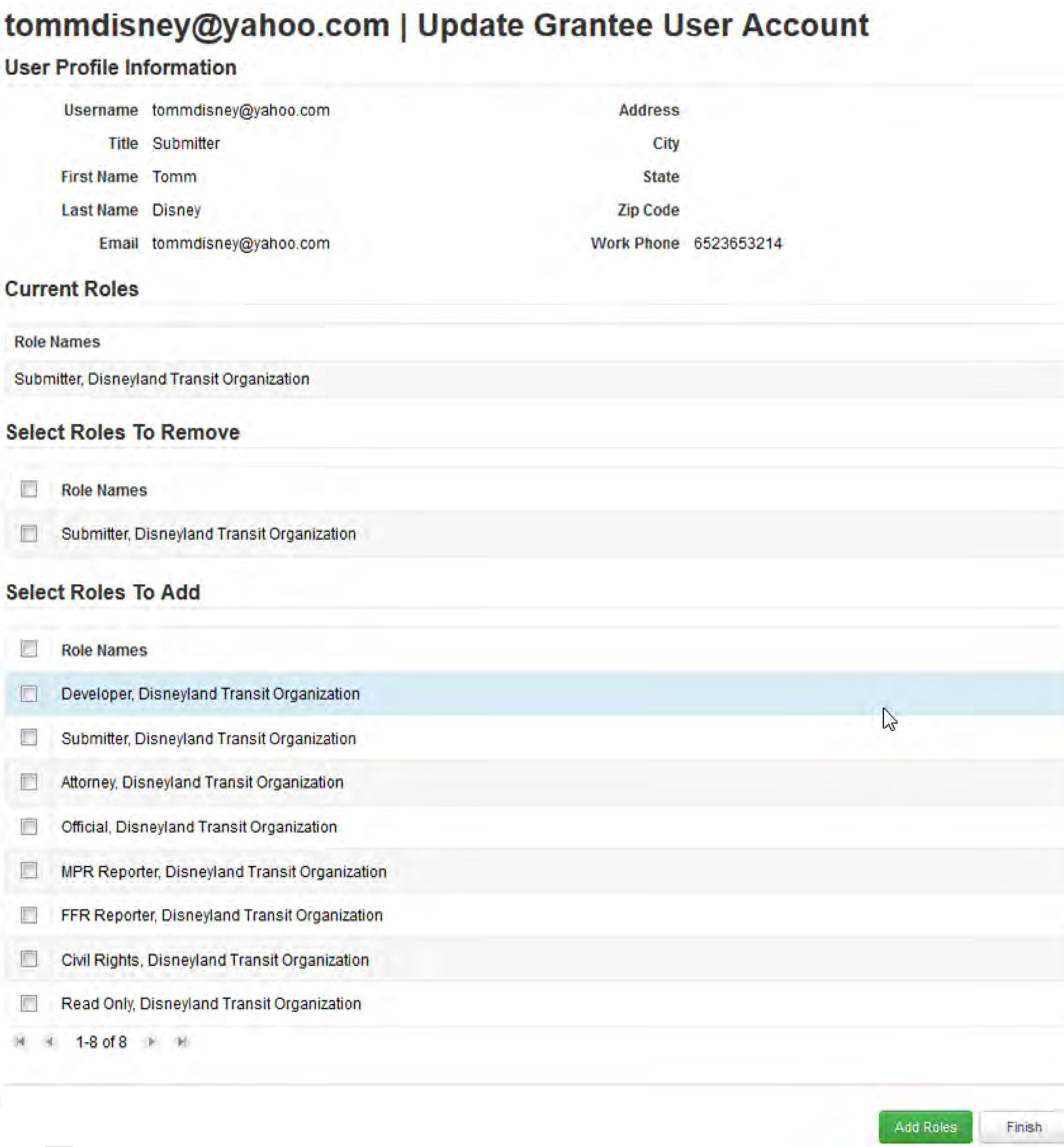
To reactivate a user with 'Inactive' status:

1) Click 'Reactivate User'.


2) The ‘Reactivate Users Confirmation’ form will be displayed with the selected user record shown.
3) Click the ‘Submit’ button to proceed with user reactivation.
4) Click the ‘Cancel’ button to return to the ‘Related Actions’ menu without reactivating the user.

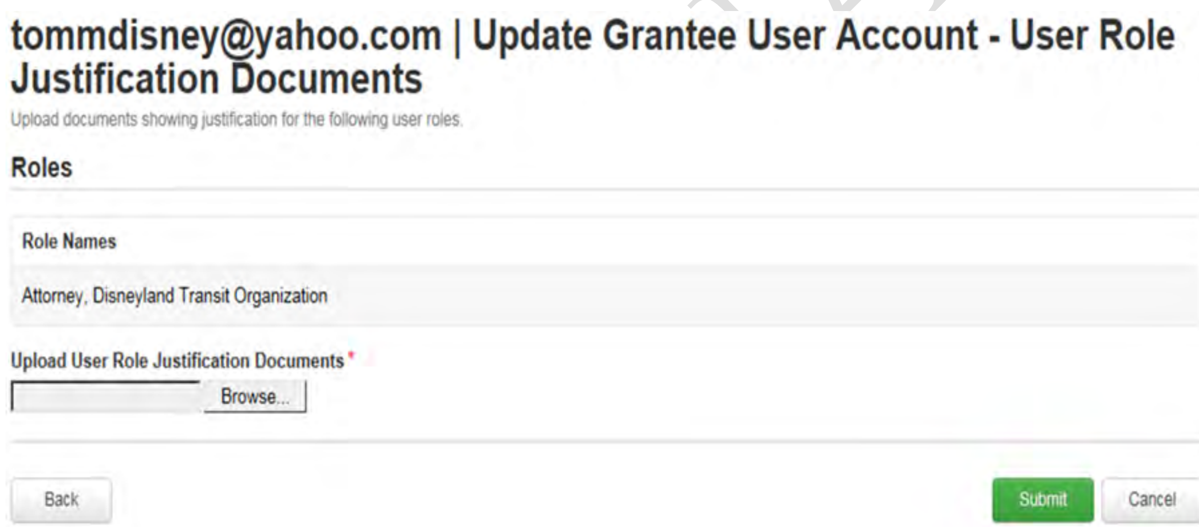



5) After selecting ‘Submit’, the ‘[User Name] | Update Grantee User Account’ screen will be displayed, which includes the user profile information and the roles previously assigned to the user.
6) Select new user roles or delete roles previously assigned by selecting the check box next to the User Roles to be assigned or those to be removed.
7) Click ‘Add Roles’ to save the information.
8) Click ‘Finish’ if no additional roles are required and activate the user.




9) The ‘Comments for LSM Reviewer’ box will be displayed when the roles of Attorney, Official, Read-Only, or Submitter, have been selected.


10) The ‘Update Grantee User Account – User Role Justification Documents’ form is displayed when the roles of Attorney, Submitter, or Official have been selected. You will need to upload documentation to support the justification of the role.



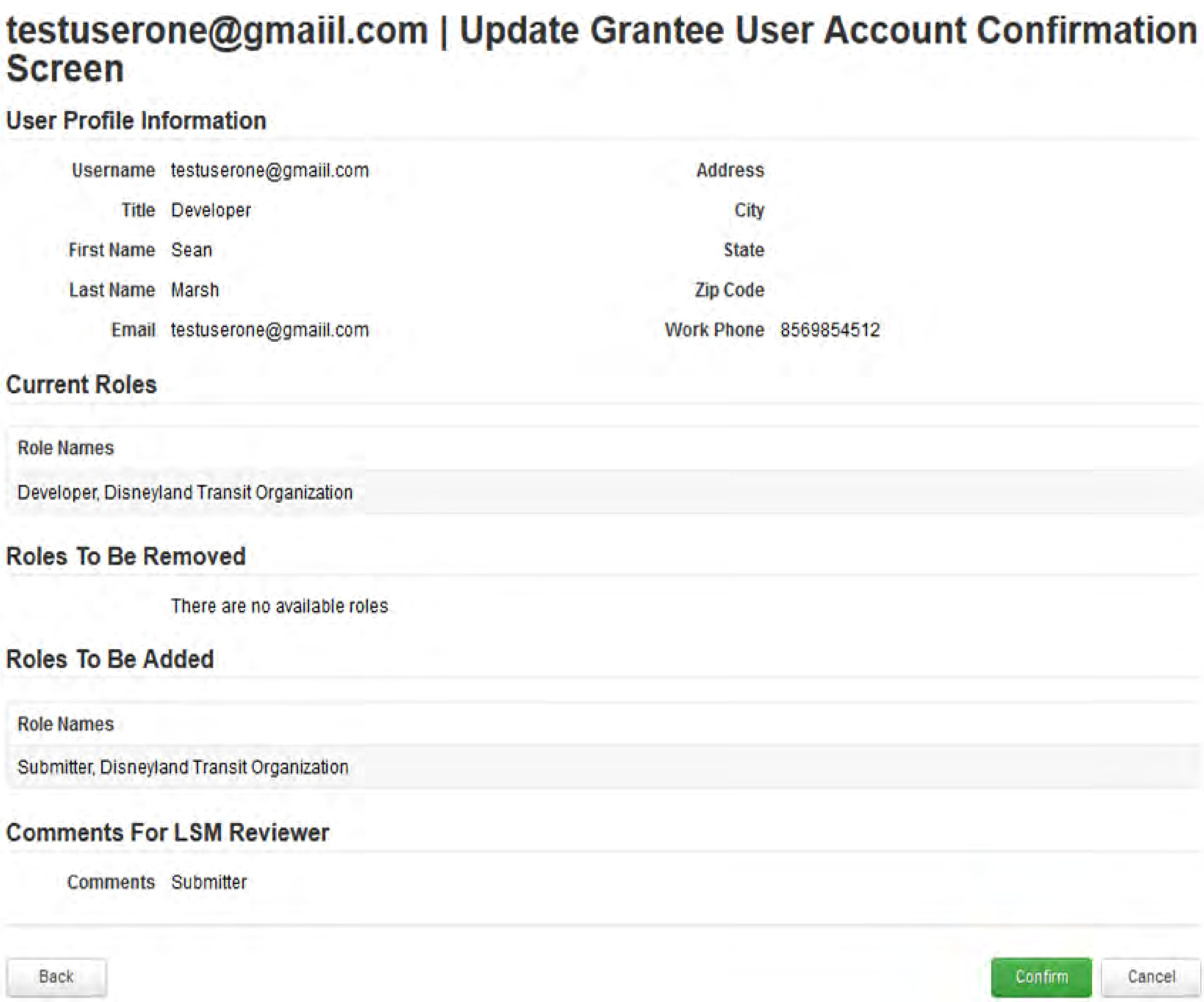

11) The ‘Update Grantee User Account Confirmation Screen’ will be displayed if changes are made to the roles.

12) You may:

a) Select the ‘Back’ button to make additional changes to the roles.

b) Select the ‘Confirm’ button to reactivate the user and confirm the role changes.

c) Select the ‘Cancel’ button to reactivate the user but keep the role changes.



## testuserone@gmaiil.com | Update Grantee User Account Confirmation Screen

**User Profile Information**

| | | | |
|---|---|---|---|
| Username | testuserone@gmaiil.com | Address | |
| Title | Developer | City | |
| First Name | Sean | State | |
| Last Name | Marsh | Zip Code | |
| Email | testuserone@gmaiil.com | Work Phone | 8569854512 |

**Current Roles**

| Role Names |
|---|
| Developer, Disneyland Transit Organization |

**Roles To Be Removed**

There are no available roles

**Roles To Be Added**

| Role Names |
|---|
| Submitter, Disneyland Transit Organization |

**Comments For LSM Reviewer**

Comments Submitter

Back Confirm Cancel

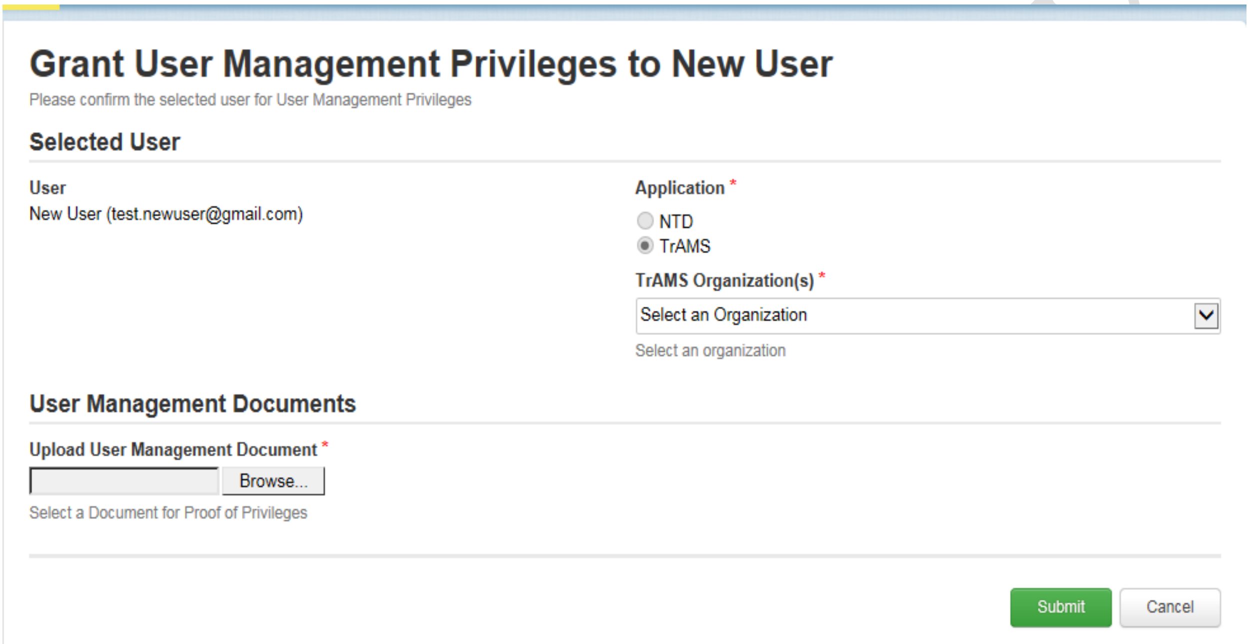
13) A task will be generated for FTA to review the request when the roles of Attorney, Official, Submitter or Read-Only have been selected and you will be returned to the 'Related Actions' menu.

#### 3.4.5.4 Related Action: Assign User Manager Privileges

To confer user manager privileges to another user:

1) Click 'Assign User Manager Privileges'.
2) The 'Grant User Management Privileges to [Username]' form will be displayed.
3) Use the drop-down menu provided under the 'TrAMS Organization(s)' field to select a recipient organization for the new user manager. This is a required field.
4) Click the 'Browse...' button under the 'Upload User Management Document' field to select a local file for upload. Click the 'Remove' link which appears after upload if you wish to remove your uploaded file. Note that this is a required field.

5) Click the ‘Submit’ button to proceed with requesting user manager rights for this user. A task will be generated for FTA to review the request and you will be returned to the ‘Related Actions’ menu.
6) Click the ‘Cancel’ button to return to the ‘Related Actions’ menu without saving.




**Note:** The FTA Regional Office must complete its review of the request and log approval before the added role privileges can take effect for the user.

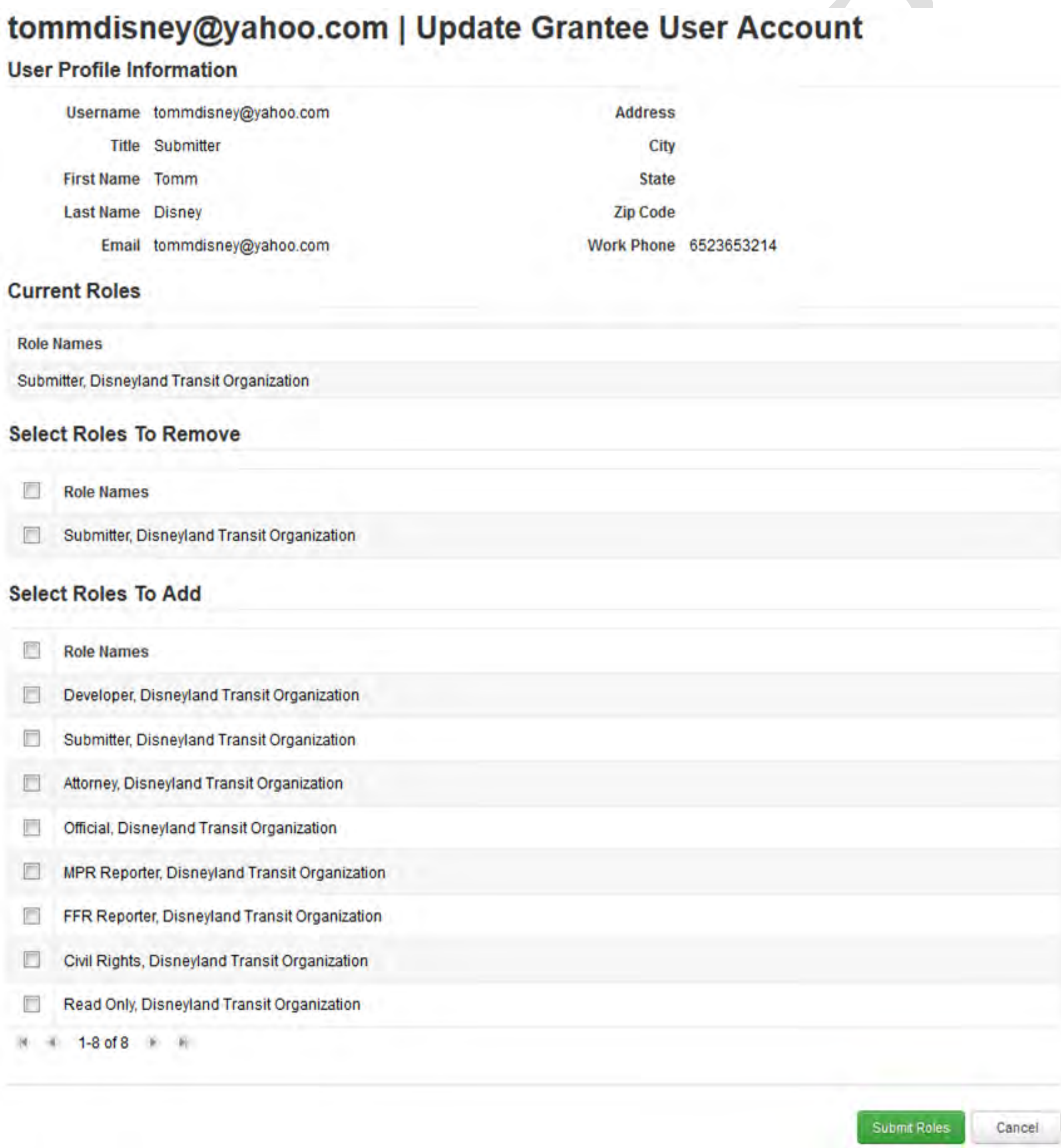
### 3.4.5.5 Related Action: Update User Roles

User roles may be assigned at the time of user creation or may be updated any time after by selecting the ‘Update User Role’ related action.

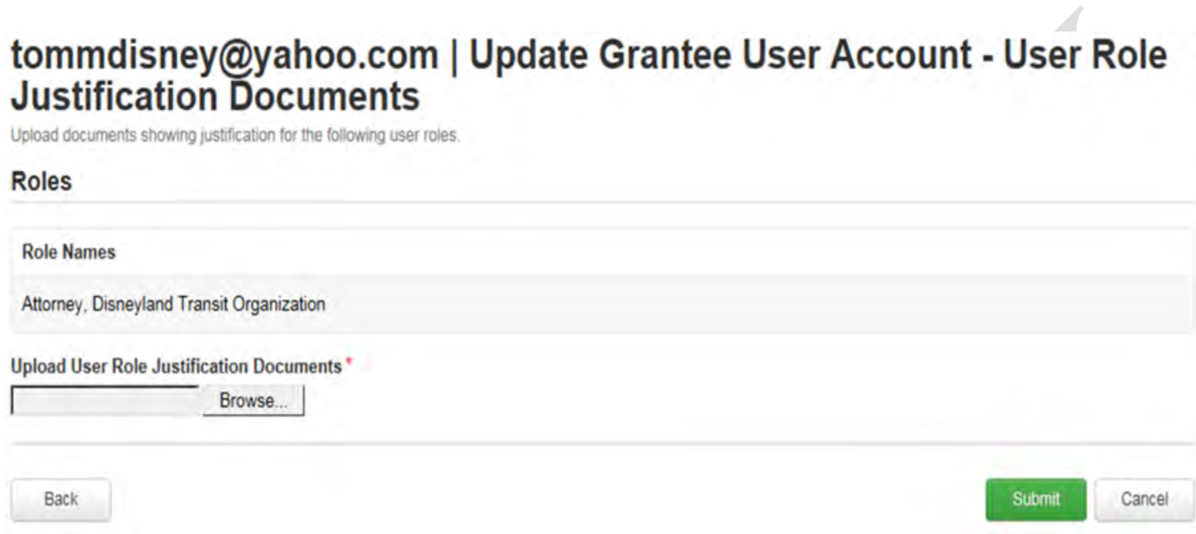
To add or remove the assigned roles for a user:

1) Click ‘Update User Roles’.
2) The ‘[Username] | Update Recipient User Account’ form will be displayed with current roles to add and remove.
3) From the ‘Select Roles to Remove’ grid, select the check boxes for roles you wish to remove from the selected user. From the ‘Select Roles to Add’ grid, select the check boxes for roles you wish to add to the selected user.
4) The ‘Comments for LSM Reviewer’ box will be displayed when the roles of Attorney, Official, Read-Only, or Submitter, have been selected.


5) Click the ‘Submit Roles’ button to proceed with role changes.



6) The ‘Update Grantee User Account – User Role Justification Documents’ form is displayed when the roles of Attorney, Submitter, or Official have been selected. You will need to upload documentation to support the justification of the role.

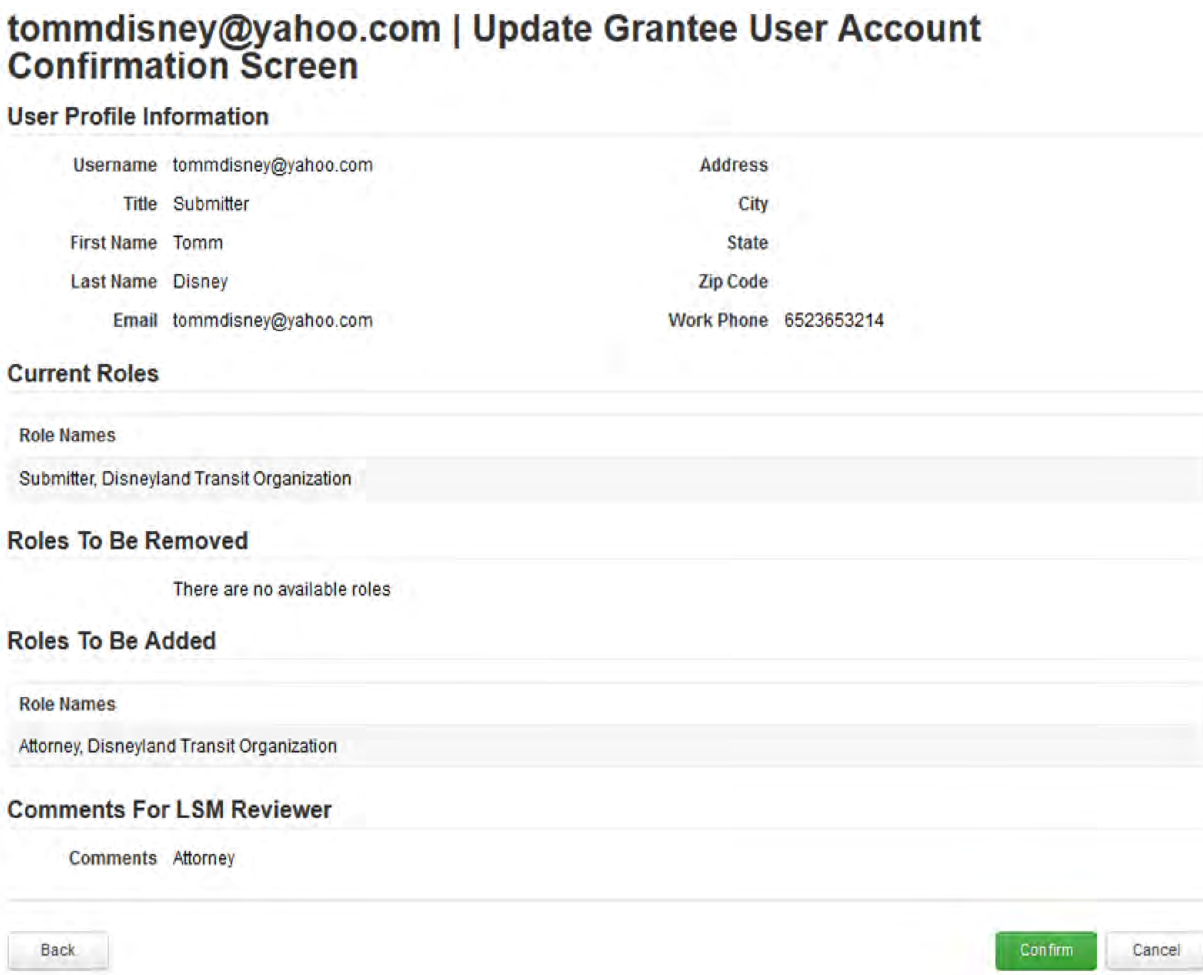



7) The ‘[Username] | Update Recipient User Account Confirmation Screen’ form will be displayed with a summary of the role changes.

a) Click the ‘Back’ button if you wish to return to the previous form to make additional changes.

b) Click the ‘Confirm’ button to proceed with the role change request.

c) Click ‘Cancel’ to disregard the requested changes and return to the ‘Related Actions’ menu.



## tommdisney@yahoo.com | Update Grantee User Account Confirmation Screen

### User Profile Information

| | | | |
|---|---|---|---|
| Username | tommdisney@yahoo.com | Address | |
| Title | Submitter | City | |
| First Name | Tomm | State | |
| Last Name | Disney | Zip Code | |
| Email | tommdisney@yahoo.com | Work Phone | 6523653214 |

### Current Roles

| Role Names |
|---|
| Submitter, Disneyland Transit Organization |

### Roles To Be Removed

There are no available roles

### Roles To Be Added

| Role Names |
|---|
| Attorney, Disneyland Transit Organization |

### Comments For LSM Reviewer

Comments Attorney

Back Confirm Cancel

8) A task will be generated for FTA to review the request when the roles of Attorney, Official, Submitter or Read-Only have been selected and you will be returned to the 'Related Actions' menu.

# 4 Recipient Organization Management

The Recipient Organization module is where you can search, view, update, and perform reviews on recipient organization details in TrAMS. User must be part of an organization or FTA in order to view or update information for a recipient organization. New organization may be created by the FTA regional Supervisors providing that they have an active record in the System for Award Management (SAM).

## 4.1 Search Recipient Organization Records

Users may find their recipient information by either searching from the 'Actions' tab 'Search Recipient Organization' or by selecting the 'Recipient Organization' record from the 'Records' tab. Additionally, you are able to navigate to your organization record from any application or awards 'Summary' page by simply clicking the Recipient ID hyperlink located on that page (Refer to 'Working with Applications').

### 4.1.1 Searching Recipient Organization from Records Tab

Users may search for recipient organizations using the 'Actions' tab.

1) Click 'Search Recipient Organizations'.


2) The 'View Recipient Profile | Search Recipients in TrAMS' form will be displayed with search criteria fields. Note that none of these fields are required. You will be able to complete the following:

   a) Enter the recipient organization's ID into the 'Recipient ID' field.

**Note:** Recipients that are associated with only one organization will not be able to choose a 'Recipient ID' your ID will be automatically selected for you.

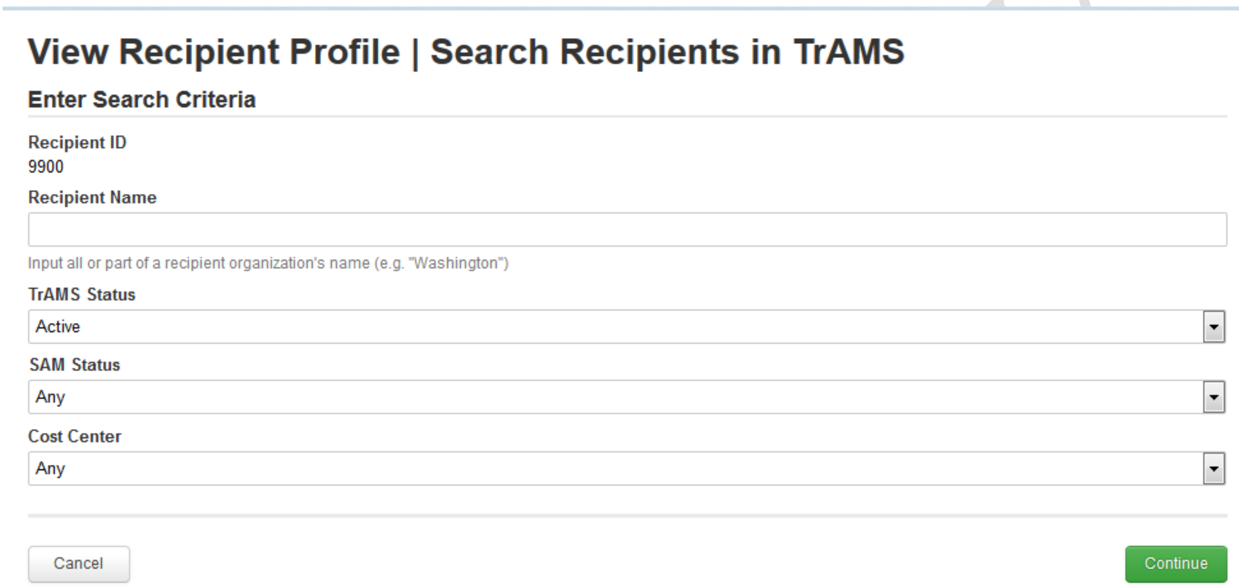
   b) Enter the recipient organization's name in the 'Recipient Name' field.

   c) Select the recipient organization's status in TrAMS from the drop-down menu provided under the 'TrAMS Status' field.

d) Select the recipient organization's status in SAM.gov from the drop-down menu provided under the 'SAM Status' field.

e) Select a cost center from the drop-down menu provided under the 'Cost Center' field.

3) Once all desired search criteria have been entered, click the 'Continue' button.



**View Recipient Profile | Search Recipients in TrAMS**

**Enter Search Criteria**

Recipient ID
9900

Recipient Name

Input all or part of a recipient organization's name (e.g. "Washington")

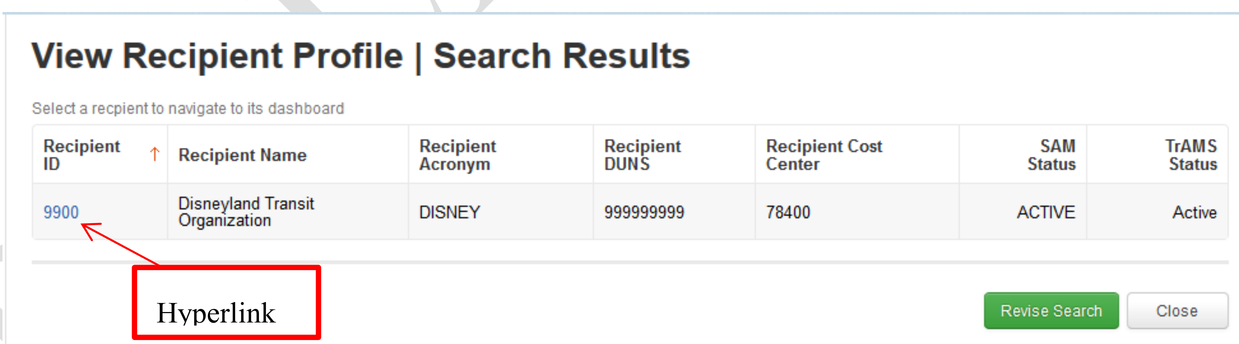
TrAMS Status
Active

SAM Status
Any

Cost Center
Any

Cancel
Continue

4) The 'View Recipient Profile | Search Results' form will be displayed. To access the recipient record, click on the 'Recipient ID' hyperlink of the desired recipient organization.



**View Recipient Profile | Search Results**

Select a recpient to navigate to its dashboard

| Recipient ID ↑ | Recipient Name | Recipient Acronym | Recipient DUNS | Recipient Cost Center | SAM Status | TrAMS Status |
|---|---|---|---|---|---|---|
| 9900 | Disneyland Transit Organization | DISNEY | 999999999 | 78400 | ACTIVE | Active |

Hyperlink

Revise Search
Close

## 4.1.2 Searching Recipient Organizations from Records Tab

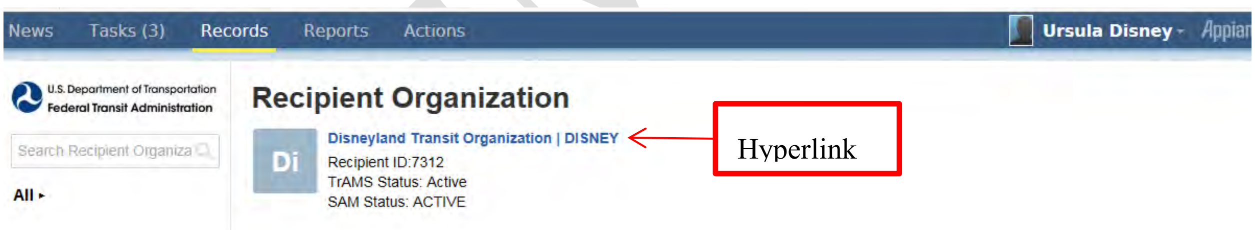
Recipient organization profile(s) may be accessed from the 'Records' tab in TrAMS.

1) Click on the 'Recipient Organization' record type to view the record for your recipient organization.


2) The recipient organizations that you belong to will be displayed.

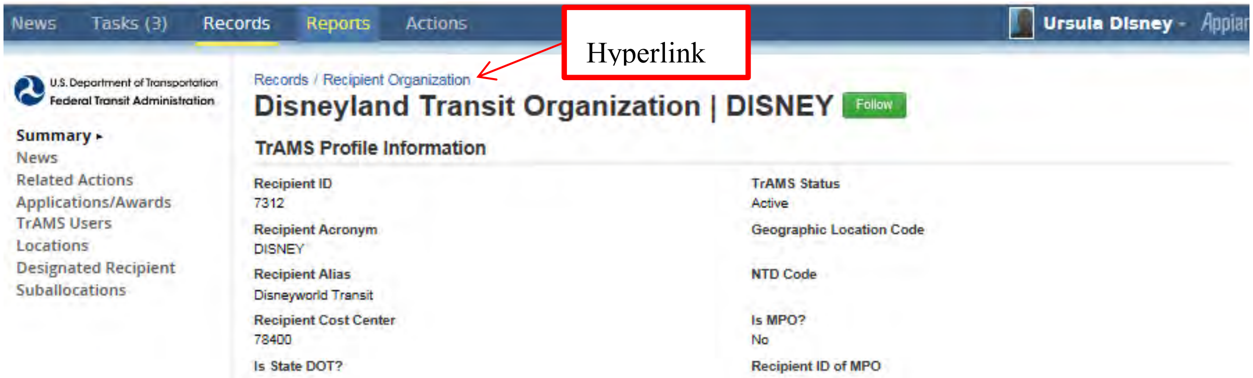
3) If multiple organizations are displayed you may filter using the search box and typing the organization name in full or in part, or simply scroll down the page to find the organization you want to view.

4) Click on your recipient organization's name, which is a hyperlink which will take you directly to your recipient organization record's 'Summary' page.




5) To view additional details for the recipient organization select an item from the left hand navigation or select the 'Related Actions' tab if you need to make modifications.

6) To return to the list of organization records click the 'Recipient Organization' hyperlink at the top of the 'Summary' page.




## 4.2 Viewing Recipient Organization Records and Related Actions

### 4.2.1 Summary

The ‘Summary’ page is the landing page after selecting an organization to view. It contains high level information concerning the organization including:

- TrAMS Profile Information
- SAM Profile Information
- Payment Information
- Locations

The ‘Summary’ page is in read-only format for all users. To make updates to the TrAMS profile, payment, or location information contact your FTA regional representative or grant manager.

SAM profile information changes must be made directly in SAM and is synced nightly with SAM.

Records / Recipient Organization

**Disneyland Transit Organization | DISNEY** Follow

**TrAMS Profile Information**

| | | | |
|---|---|---|---|
| Recipient ID | 7312 | TrAMS Status | Active |
| Recipient Acronym | DISNEY | Geographic Location Code | |
| Recipient Alias | Disneyworld Transit | NTD Code | |
| Recipient Cost Center | 78400 | Is MPO? | No |
| Is State DOT? | No | Recipient ID of MPO | |
| Recipient OST Type | Transit Authority | Is DBE? | No |
| Is Designated Recipient? | No | Assistance? | No |

**SAM Profile Information**

| | | | |
|---|---|---|---|
| Legal Business Name | Disneyland Transit Organization | SAM Status | ACTIVE |
| DBA Name | | SAM Expiration Date | 12/01/2016 |
| DUNS | 123456789 | SAM Website | Click here to update the organization's Profile in SAM |
| Website | No Website in profile | FY End Date | 12/31 |

**Payment Information**

| | | | |
|---|---|---|---|
| ECHO Number | 999999999 | WCF? | No |
| REQU? | No | TSC? | No |
| OPAC? | No | | |

**Locations**

| Name | Address Line 1 | Address Line 2 | City | State | Zip |
|---|---|---|---|---|---|
| Headquarters | 1234 Main St | | Orlando | FL | 12345 |
| Physical Address | 1234 Main St | | Orlando | FL | 12345 |
| Mailing Address | 1234 Main St | | Orlando | FL | 12345 |

### 4.2.2 News

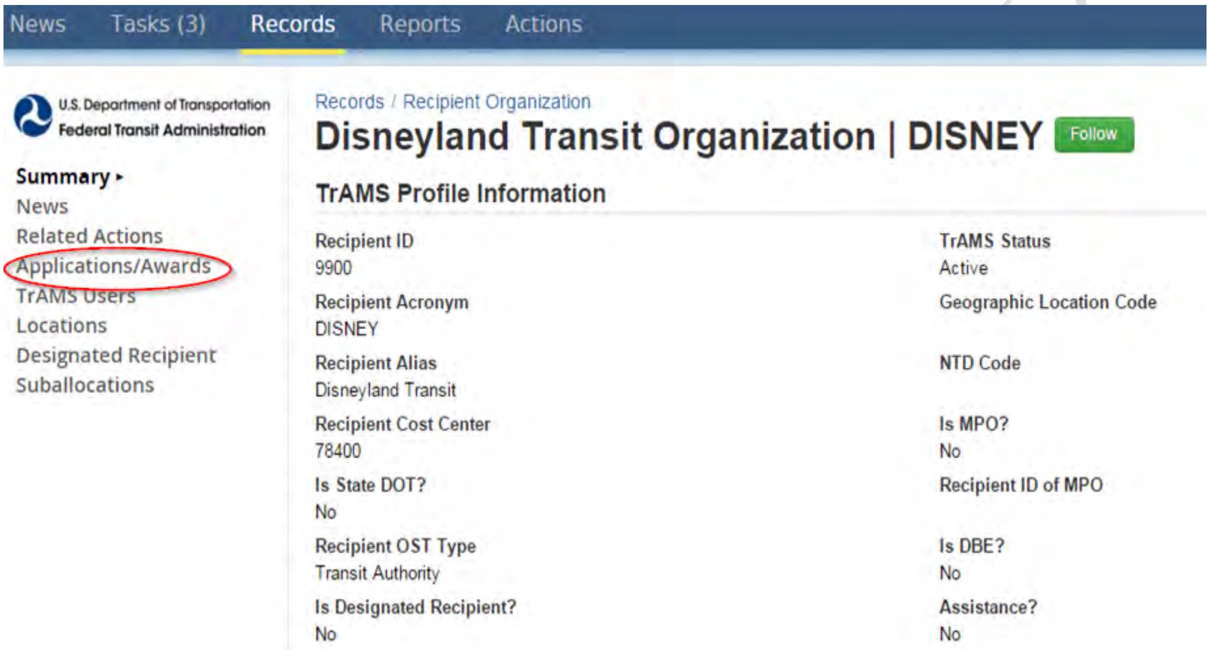
This feature has not yet been implemented. In the future users will use this feature to see news feeds that are related to their organization.

### 4.2.3 Applications/Awards

You may see a list of all applications and awards that are associated with your organization both current and past. Along with the application / award FAIN it will display the name, last updated by, last update date, and the current status of the application /award. Each amendment associated with an award will be displayed separately. A FAIN will be displayed as a hyperlink to provide easy access to the details of each application / award.

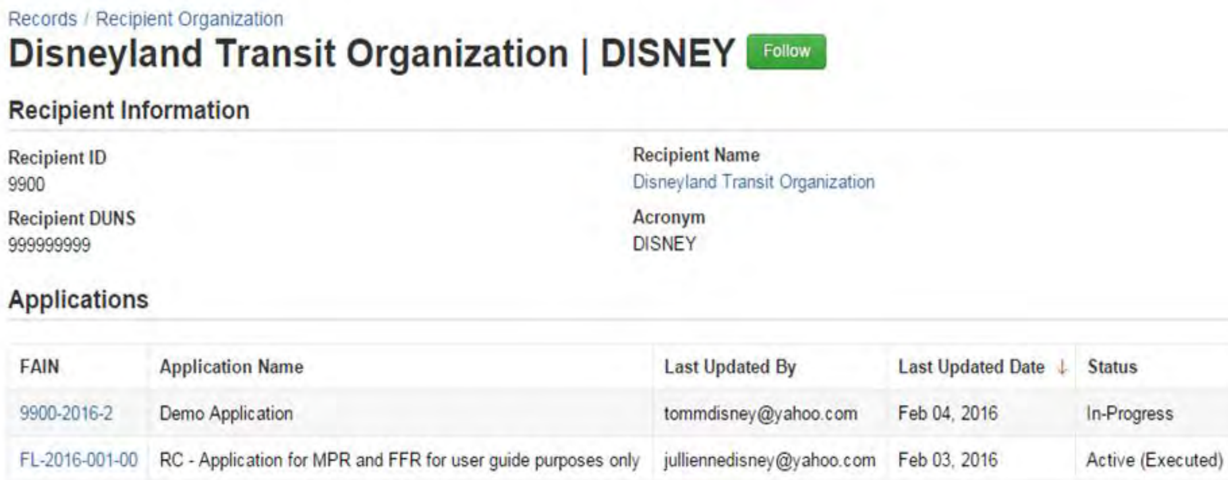
To view the 'Applications/Awards' for a recipient organization:

1) Click on the 'Applications/Awards' from the left navigation menu.




2) The applications/awards associated to the recipient are listed and displayed in grid format under the 'Applications' section. If there are no applications associated, the grid will be empty.

3) Click on the 'FAIN' of the desired application/award to move the application record.



Records / Recipient Organization

# Disneyland Transit Organization | DISNEY

Follow

## Recipient Information

Recipient ID
9900

Recipient DUNS
999999999

Recipient Name
Disneyland Transit Organization

Acronym
DISNEY

## Applications

| FAIN | Application Name | Last Updated By | Last Updated Date ↓ | Status |
|---|---|---|---|---|
| 9900-2016-2 | Demo Application | tommdisney@yahoo.com | Feb 04, 2016 | In-Progress |
| FL-2016-001-00 | RC - Application for MPR and FFR for user guide purposes only | julliennedisney@yahoo.com | Feb 03, 2016 | Active (Executed) |

4) When more than 25 application / awards exist, use the arrows on the bottom of the page to display the additional applications.

| | | | |
|---|---|---|---|
| FL-85-X001-00 | Key West | Sep 10, 2015 | Active Award / Inactive Amendment |
| FL-16-X008-01 | Elderly and Persons with Disabiliti | Sep 08, 2015 | Active (Executed) |

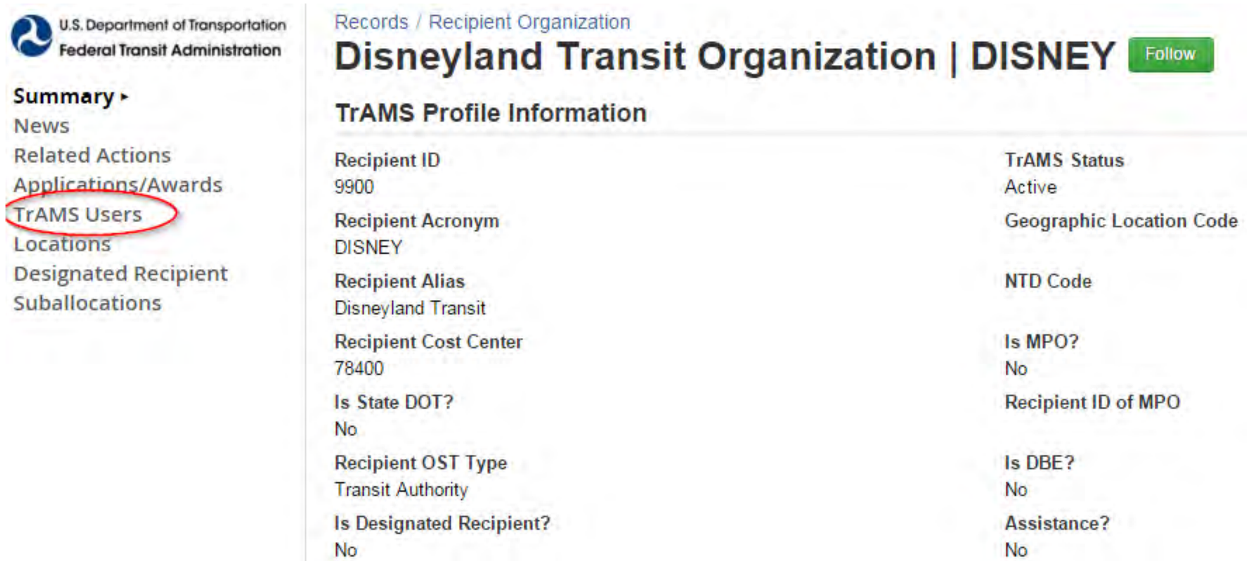
1-25 of 373

### 4.2.4 TrAMS Users

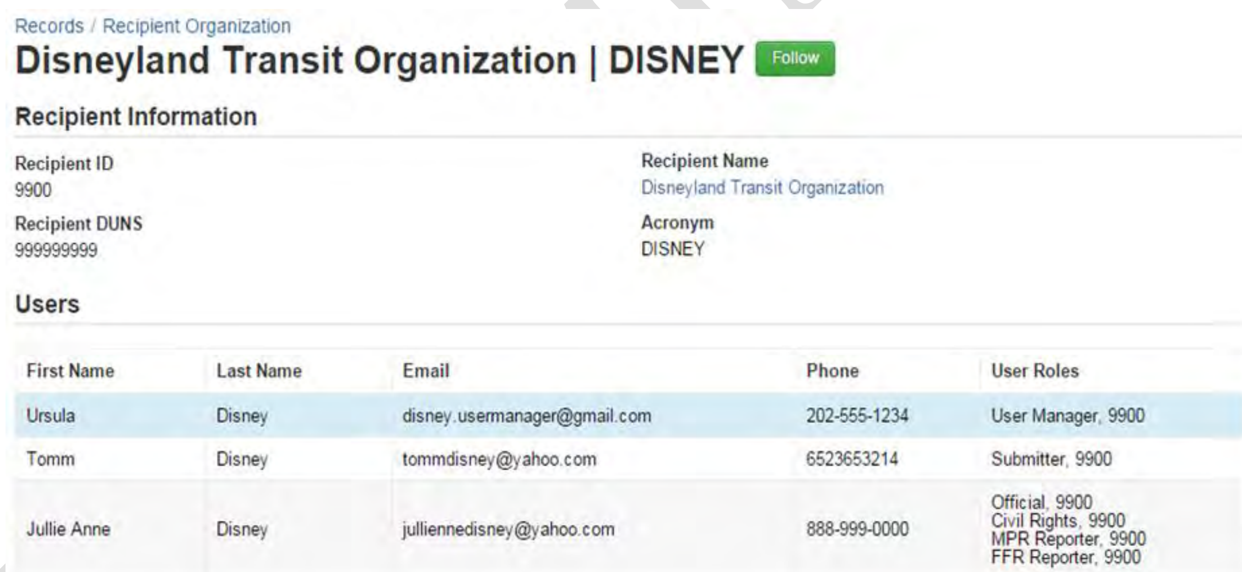
You may view all users that are associated with your organization from the 'TrAMS Users' page. For each user it will display their name, contact information (email and phone), and the user roles that have been assigned to them. Refer to User Manager Responsibilities section to add or modify users to your organization.

To view TrAMS users associated with the organization:

1) Click on 'TrAMS Users' from the left navigation menu.




2) The TrAMS users associated to the recipient are listed and displayed in grid format under the 'Users' section. If there are no TrAMS users associated, the grid will be empty.




### 4.2.5 Locations

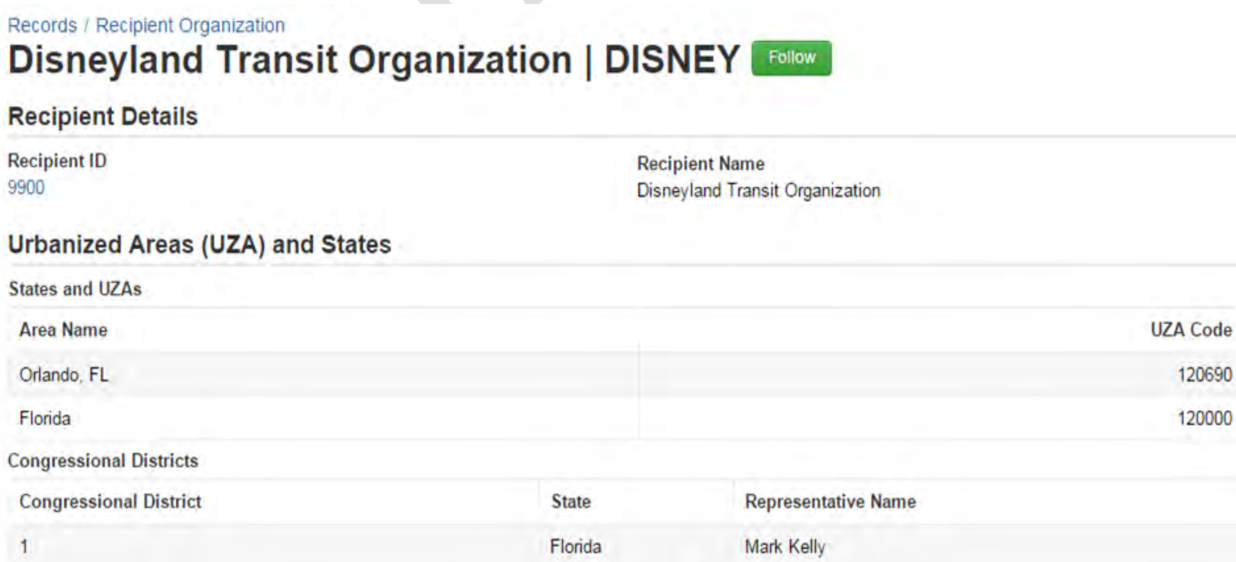
Each organization may be associated with multiple urbanized areas and/or multiple congressional districts. The Locations page displays all the UZA's that the recipient is associated with and congressional district that they belong to. Congressional districts may be added from the 'Related Actions' menu, associated UZA's are managed by FTA.

To view the 'Locations' for a recipient organization:

1) Click on the 'Location' from the left navigation menu.


2) The 'Urbanized Areas (UZA) and States' section displays the UZAs and states associated with the recipient organization. If there are no UZAs and states associated, the grid will be empty.

3) The 'Congressional Districts' section displays all Congressional Districts associated with the recipient organization. If there are no Congressional Districts associated, the grid will be empty.



### 4.2.6 Designated Recipient

The Designated Recipient has the principal authority and responsibility for administrating the funding apportioned to states and urbanized areas (UZAs) for specified formula funding programs. This includes allocating the state or UZA's annual apportionment amounts among direct recipients within the area.

In TrAMS, recipient organizations can be tagged as designated recipients for the following formula funding programs:

- Section 5307 – Urbanized Area Formula Program (5307-2A)
- Section 5310 – Formula Grants for Enhanced Mobility of Seniors & Individuals with Disabilities (5310-1A)
- Section 5337 – State of Good Repair Formula Grants (5337)

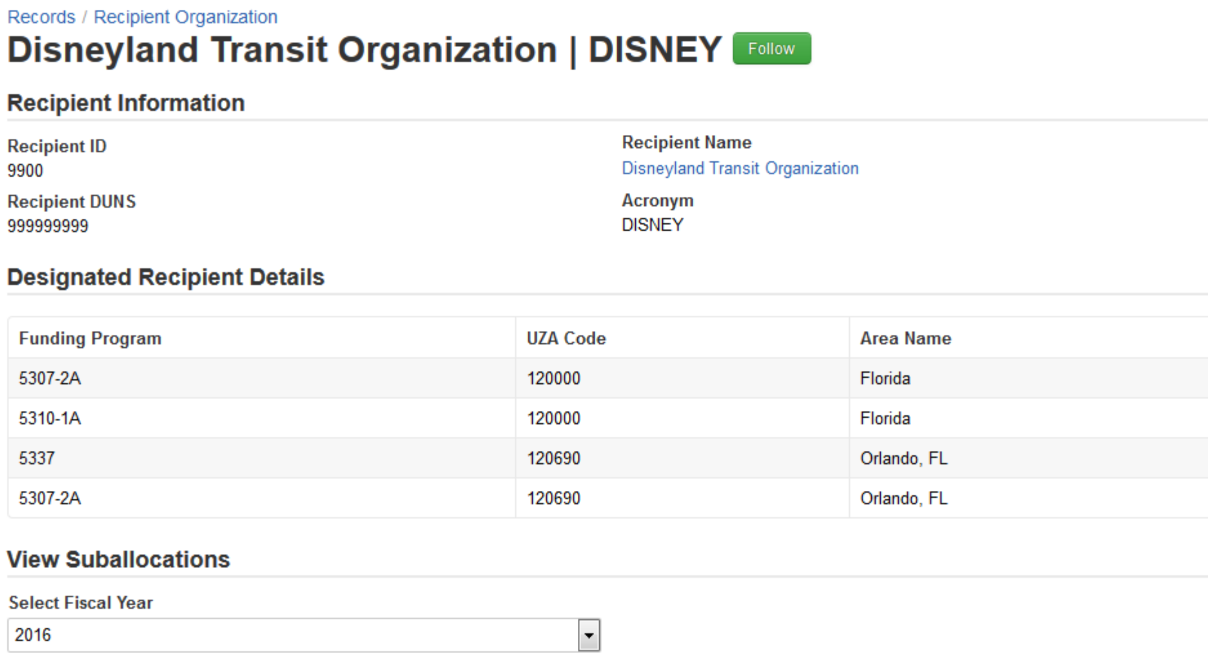
If your organization is a designated recipient, you will see the funding programs and UZA's that you are associated with on the 'Designated Recipient' page.

Designated recipient details information may be updated by the FTA after verifying that organizations have the appropriate documentation for the requested changes

All recipient users have view access only to the 'Designated Recipient' information. To view the Designated Recipient details for your recipient organization:

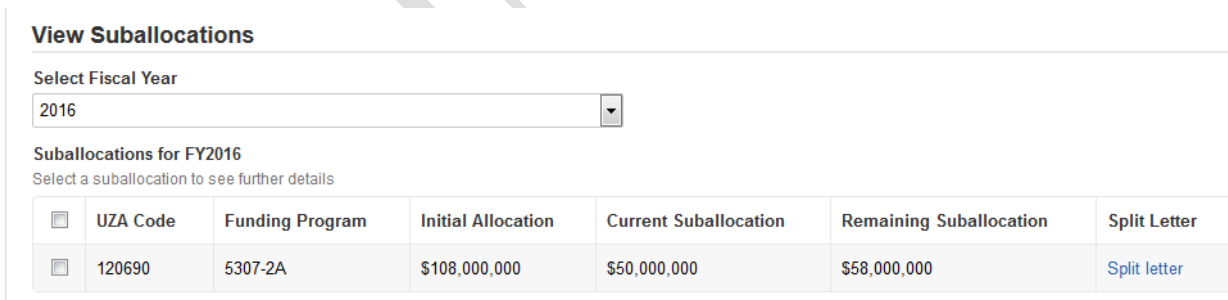
1) Click on the 'Designated Recipient' from the left navigation menu.


2) The formula programs associated with the Designated Recipient(s) are listed and displayed in grid format under the 'Designated Recipient Details' section. If your recipient organization is not a designated recipient, the grid will be empty.




3) Suballocations will be populated after the Submitter has finalized the apportionment allocations.

4) You may click on the ‘Split Letter’ Document hyperlink to view the split letter.




### 4.2.7 Suballocations

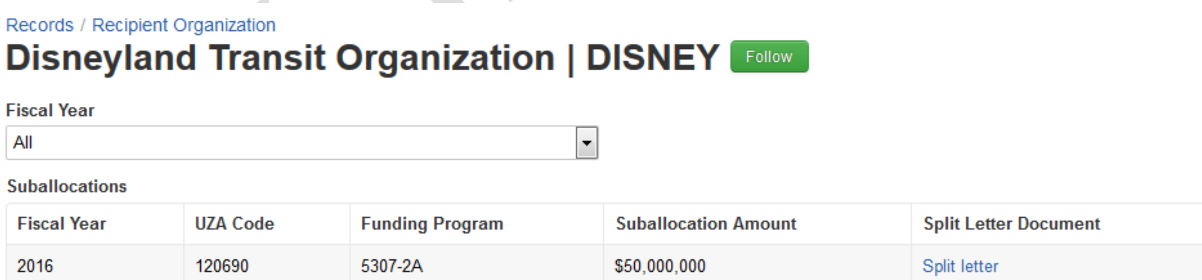
If your organization is a ‘Direct Recipient’ organization you may view the amount of funds that has been suballocated to your organization by selecting ‘Suballocations’. All recipient users have view access only to the ‘Suballocations’ information.

To view the ‘Suballocations’ for a recipient organization:

1) Click on the ‘Suballocations’ from the left navigation menu.


2) The suballocations amount associated with your recipient organization is listed and displayed in grid format under the ‘Suballocations’ section. If there are no suballocations associated, the grid will be empty. By default all fiscal year information is displayed, you may elect to use the Fiscal Year drop down box to select a single year to display.

3) You may click on the ‘Split Letter Document’ hyperlink to view the split letter


Records / Recipient Organization

Disneyland Transit Organization | DISNEY Follow

Fiscal Year

All

Suballocations

| Fiscal Year | UZA Code | Funding Program | Suballocation Amount | Split Letter Document |
|---|---|---|---|---|
| 2016 | 120690 | 5307-2A | $50,000,000 | Split letter |

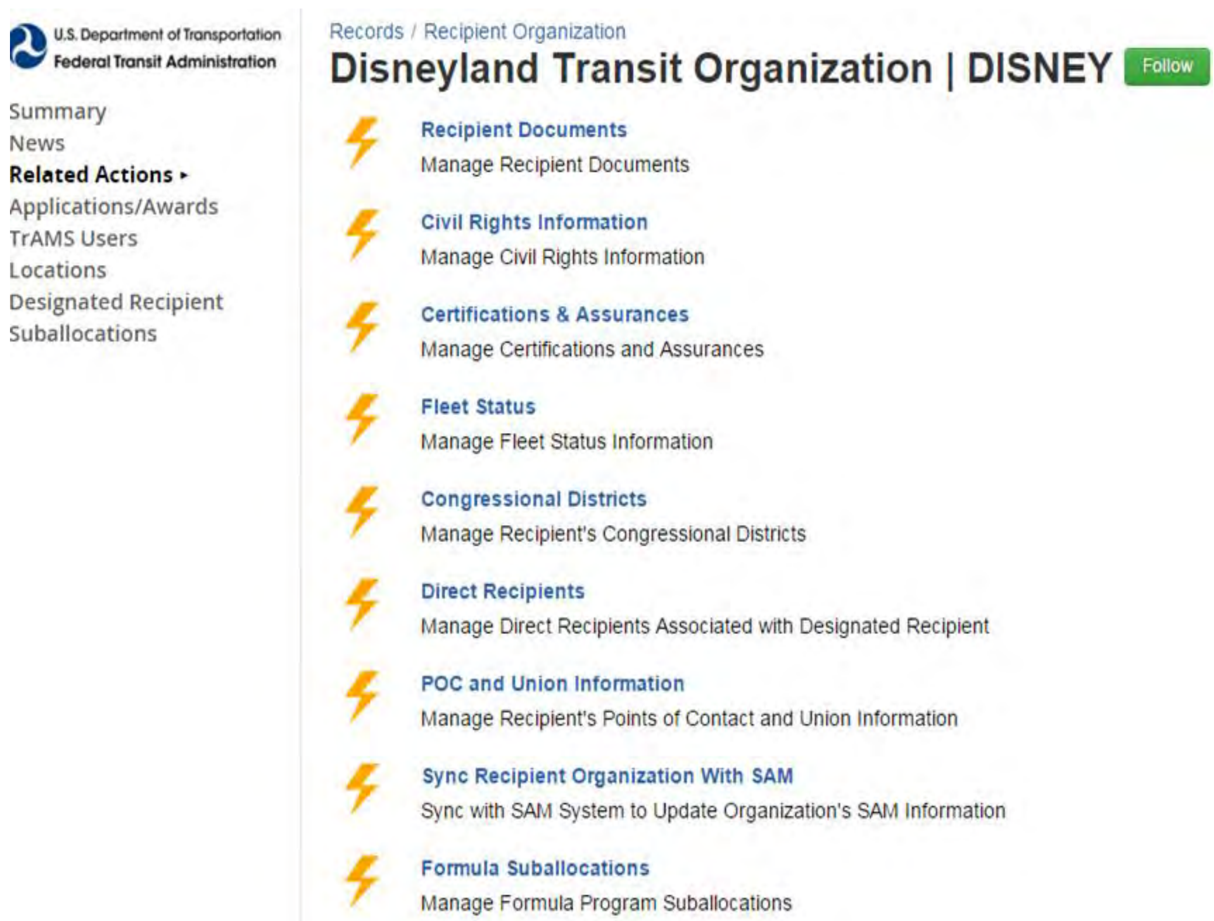
## 4.3 Managing Recipient Organization Details

### 4.3.1 Recipient Organization Record Related Actions

Updates to recipient organization information may be made from the ‘Related Actions’ available from the left hand navigation.   The following actions are available to all recipient users.

- Recipient Documents
- Civil Rights Information
- Certifications & Assurances
- Fleet Status
- Congressional Districts
- Direct Recipients
- POC and Union Information
- Sync Recipient Organization With SAM
- Formula Suballocations

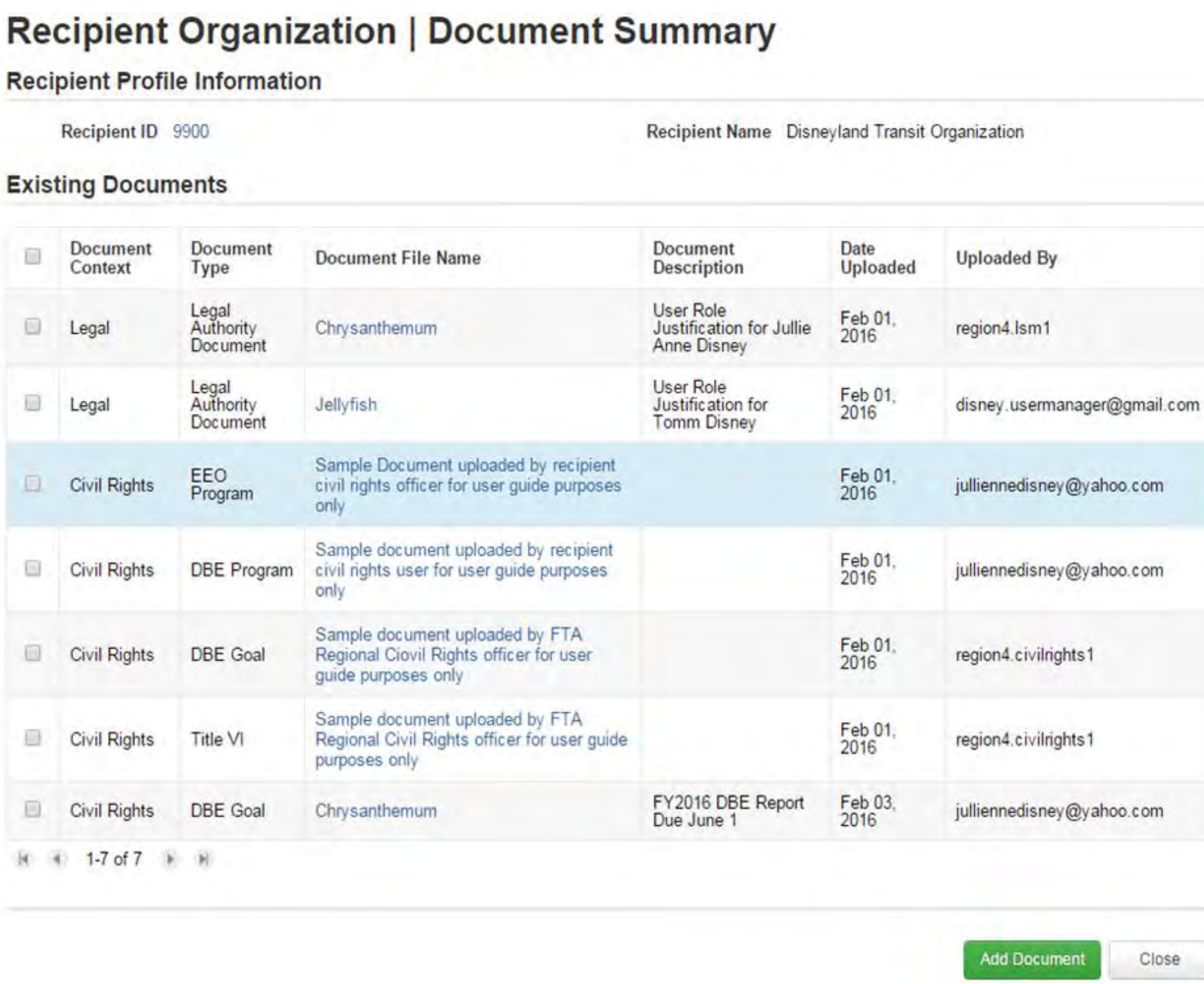
**Note:** All recipients may view and also may update recipient information, with the exception of ‘Civil Rights Information’ which must be submitted by users with the ‘Civil Rights’ user role, POC information is managed by users with the ‘User Manager’ role. ‘Certifications & Assurances’ must be pinned by user with the ‘Official’ and those with the ‘Attorney’ role.




### 4.3.2 Related Action: Recipient Documents

All recipient users have the ability to manage documentation for their organization. Users may add or view documentation from the ‘Recipient Documents’ related Action.  Documents may not be deleted by recipients once saved.

1) Click ‘Recipient Documents’.
2) The ‘Recipient Organization | Document Summary’ page will display.
3) Click ‘Add Document’ button to upload a document for your organization.



# Recipient Organization | Document Summary

## Recipient Profile Information

Recipient ID 9900 Recipient Name Disneyland Transit Organization

## Existing Documents

| | Document Context | Document Type | Document File Name | Document Description | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|---|
| ☐ | Legal | Legal Authority Document | Chrysanthemum | User Role Justification for Jullie Anne Disney | Feb 01, 2016 | region4.lsm1 |
| ☐ | Legal | Legal Authority Document | Jellyfish | User Role Justification for Tomm Disney | Feb 01, 2016 | disney.usermanager@gmail.com |
| ☐ | Civil Rights | EEO Program | Sample Document uploaded by recipient civil rights officer for user guide purposes only | | Feb 01, 2016 | julliennedisney@yahoo.com |
| ☐ | Civil Rights | DBE Program | Sample document uploaded by recipient civil rights user for user guide purposes only | | Feb 01, 2016 | julliennedisney@yahoo.com |
| ☐ | Civil Rights | DBE Goal | Sample document uploaded by FTA Regional Ciovil Rights officer for user guide purposes only | | Feb 01, 2016 | region4.civilrights1 |
| ☐ | Civil Rights | Title VI | Sample document uploaded by FTA Regional Civil Rights officer for user guide purposes only | | Feb 01, 2016 | region4.civilrights1 |
| ☐ | Civil Rights | DBE Goal | Chrysanthemum | FY2016 DBE Report Due June 1 | Feb 03, 2016 | julliennedisney@yahoo.com |

1-7 of 7

Add Document Close

5) The ‘Recipient Organization | Add Documents’ page will display.

a) Select the ‘Document Context’ from the drop down list of values.

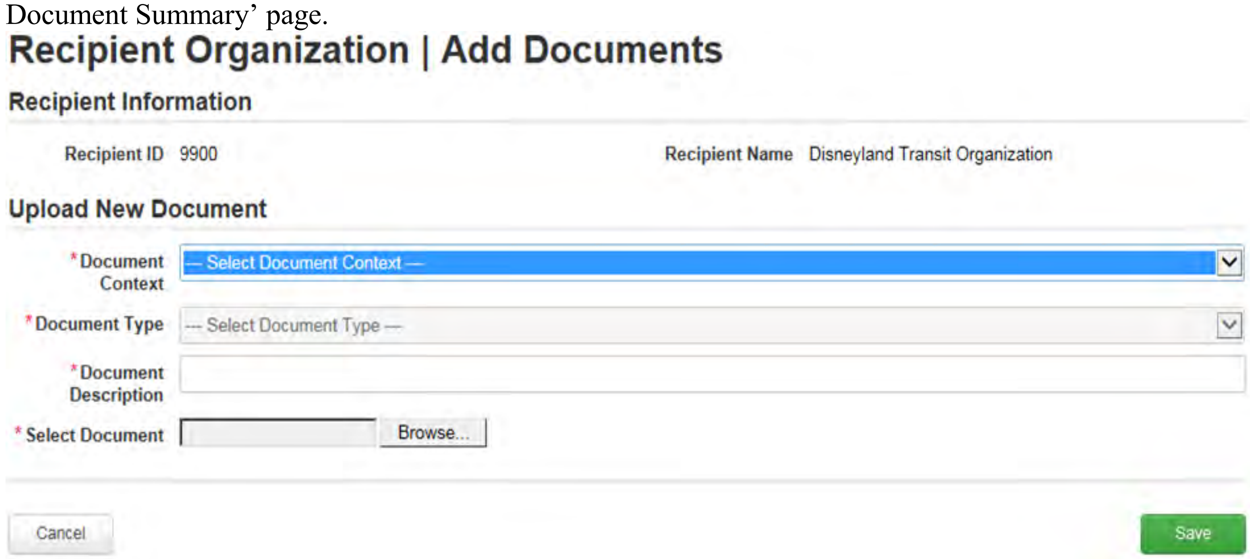
b) After selecting the ‘Document Context’ the ‘Document Type field will populate. Select a ‘Document Type’ value from the drop down.

c) Provide a description of the Document in the ‘Document Description’ field.

d) Use the ‘Browse’ button to select a document to upload from your local drive or server.

e) Use the ‘Save button to complete the document upload process

6) To delete a document that you just uploaded prior to the save, click the 'Remove' link associated with the newly uploaded document or select the 'Cancel' button to return to the 'Recipient Organization | Document Summary' page.




7) To view a previous uploaded document on the 'Recipient Organization | Document Summary' page, click on the 'Document File Name' hyperlink.

## Recipient Organization | Document Summary

**Recipient Profile Information**

**Recipient ID** 9900 **Recipient Name** Disneyland Transit Organization

**Existing Documents**

| | Document Context | Document Type | Document File Name | Document Description | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|---|
| ☐ | Legal | Legal Authority Document | Chrysanthemum | User Role Justification for Jullie Anne Disney | Feb 01, 2016 | region4.lsm1 |
| ☐ | Legal | Legal Authority Document | Jellyfish | User Role Justification for Tomm Disney | Feb 01, 2016 | disney.usermanager@gmail.com |
| ☐ | Civil Rights | EEO Program | Sample Document uploaded by recipient civil rights officer for user guide purposes only | | Feb 01, 2016 | julliennedisney@yahoo.com |
| ☐ | Civil Rights | DBE Program | Sample document uploaded by recipient civil rights user for user guide purposes only | | Feb 01, 2016 | julliennedisney@yahoo.com |
| ☐ | Civil Rights | DBE Goal | Sample document uploaded by FTA Regional Ciovil Rights officer for user guide purposes only | | Feb 01, 2016 | region4.civilrights1 |
| ☐ | Civil Rights | Title VI | Sample document uploaded by FTA Regional Civil Rights officer for user guide purposes only | | Feb 01, 2016 | region4.civilrights1 |
| ☐ | Civil Rights | DBE Goal | Chrysanthemum | FY2016 DBE Report Due June 1 | Feb 03, 2016 | julliennedisney@yahoo.com |

1-7 of 7

Add Document | Close

### 4.3.3 Related Action: Civil Rights Information

To be eligible for FTA program funds all recipients agree to comply with all civil rights statutes and regulations. Compliance is subject to FTA review prior to awarding of awards.

All recipient users are able to view their civil rights program status information. Users with the 'Civil Rights' role assigned to them will be responsible for updating their civil rights compliance information. Compliance information submitted to the FTA will undergo a review process prior to being accepted. Refer to the Civil Rights Management section for additional information.

To view civil rights compliance information for your recipient organization:

1) Click 'Civil Rights Information'.

2) The '[Recipient Name] | Civil Rights Compliance' form will be displayed for your recipient organization. The form will contain a grid that contains:

   a) The 4 programs that recipients must adhere to

   b) The current status each of the programs
   c) Submission of compliance information for each of the programs
   d) The date the FTA completed their review and concurred
   e) Due date for the next compliance submission
   f) Expiration date of the compliances.

3) To view additional information about each of the programs check the checkbox associated with the Program and the 'Continue button.

# Disneyland Transit Organization | Civil Rights Compliance

## Recipient Details

**Recipient ID**
9900

**Recipient Name**
Disneyland Transit Organization

## Status History

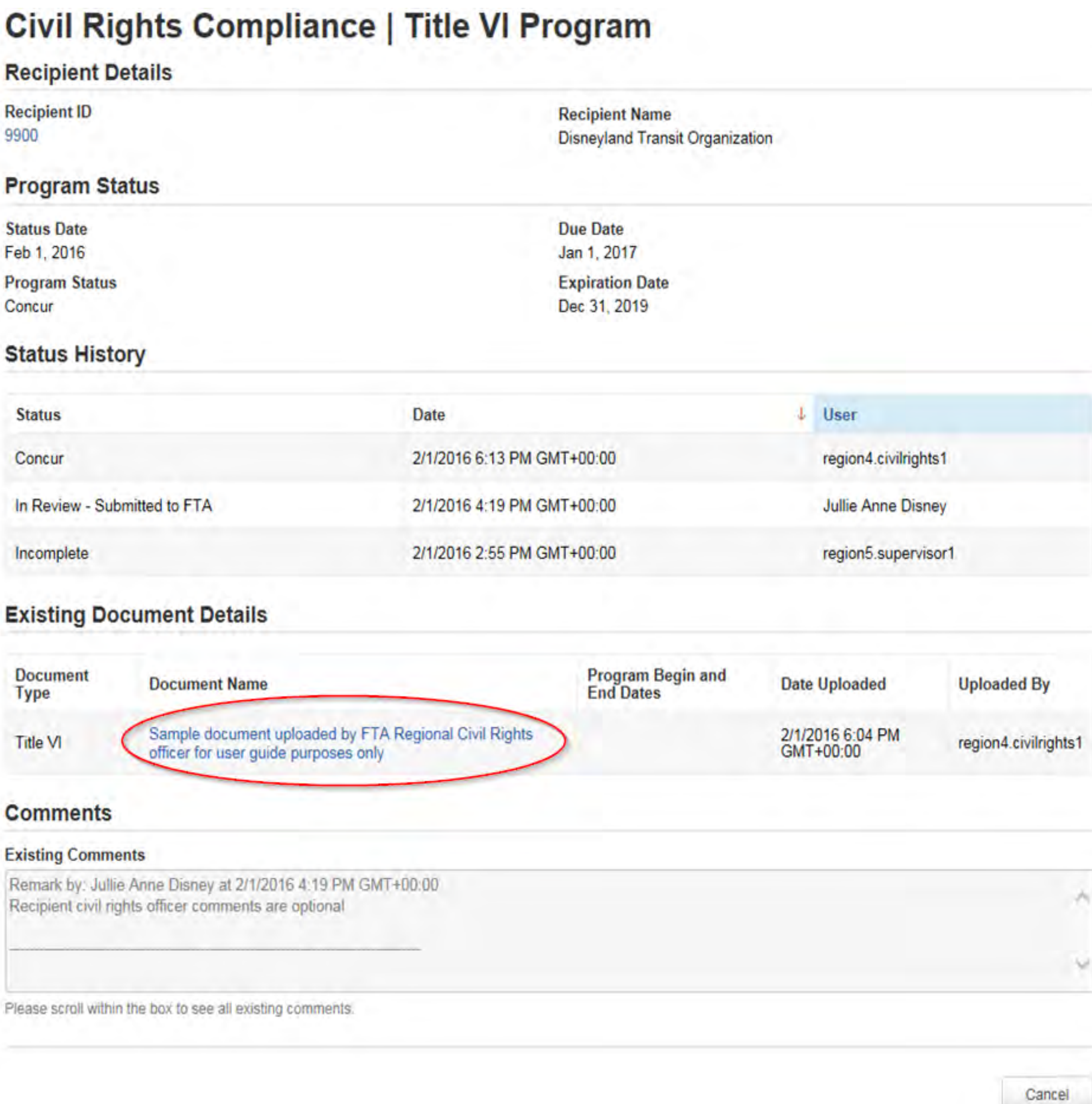
| ☐ | Program Name | Program Status | Submitted Date | Concur Date | Due Date | Expiration Date |
|---|---|---|---|---|---|---|
| ☐ | EEO Program | Concur | 2/1/2016 | 2/1/2016 | 1/1/2017 | 12/31/2020 |
| ☐ | DBE Program | Concur | 2/1/2016 | 2/1/2016 | | |
| ☐ | DBE Goal | Concur | 2/1/2016 | 2/1/2016 | 1/1/2017 | 12/31/2020 |
| ☐ | Title VI Program | Concur | 2/1/2016 | 2/1/2016 | 1/1/2017 | 12/31/2019 |

Cancel    Continue

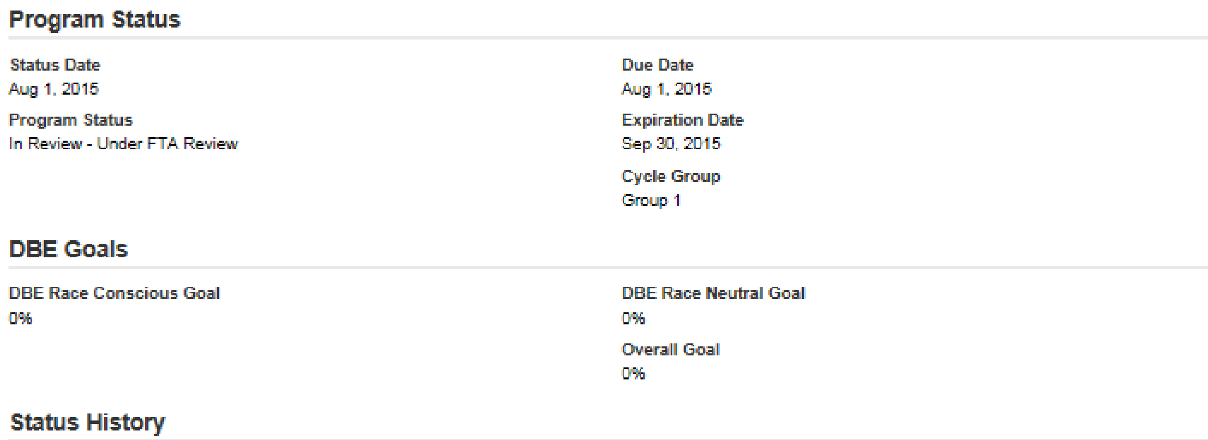
4) The 'Civil Rights Compliance | [Program Name]' form will be displayed showing the
   a) Current status of the Program
   b) History of the program Status
   c) Uploaded Documents
   d) Comments provided for the program.

5) Document contents may be viewed by clicking the 'Document Name' hyperlink.

6) Click the 'Cancel' button to return to the '[Recipient Name] | Civil Rights Compliance' page and select another program to view.




7) When the 'DBE Goals' program is selected an additional section listing the DBE Goals will be shown on the 'Civil Rights Compliance | [Program Name]' page.




### 4.3.4 Related Action: Certifications & Assurances

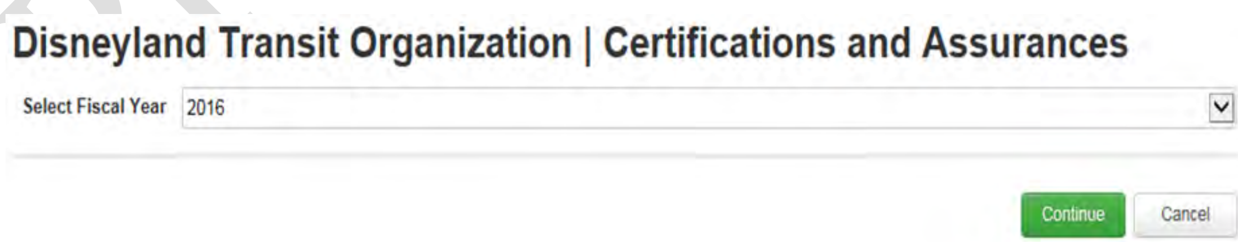
Recipients must annually certify that they are in compliance with Federal transit law as well as Federal cross cutting requirements. When the annual Certification & Assurances are made available by FTA, the system will send an email to the recipient's Grants Point of Contact (POC), as well as users with the 'Official' and 'Attorney' roles in the organization. Recipients have 90 days to review and sign to approve the Certification & Assurances. Reminder emails will be sent at 30, 10, and 5 days prior to the Certification & Assurances due date.

To select and approve the set of Certifications & Assurances applicable to your recipient organization for the current fiscal year:

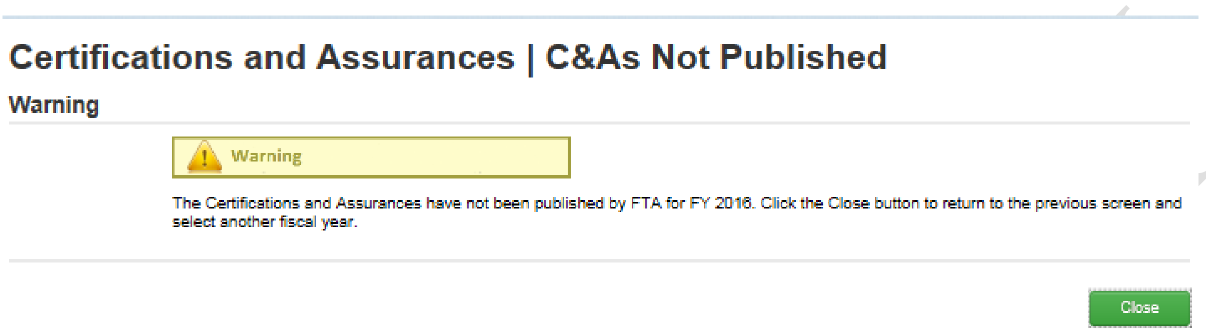
**Note:** Both the recipients official and the recipients attorney will need to perform this action in order for the Certifications & Assurances to be marked as approved. All other users may view.

1) Click 'Certifications & Assurances'.
2) The '[Recipient name] | Certifications and Assurances' form will be displayed for your recipient organization.
   a) Use the provided drop-down menu under 'Select Fiscal Year' to select the current fiscal year to approve or if viewing to select the appropriate year to view.

   b) Click the 'Continue' button.

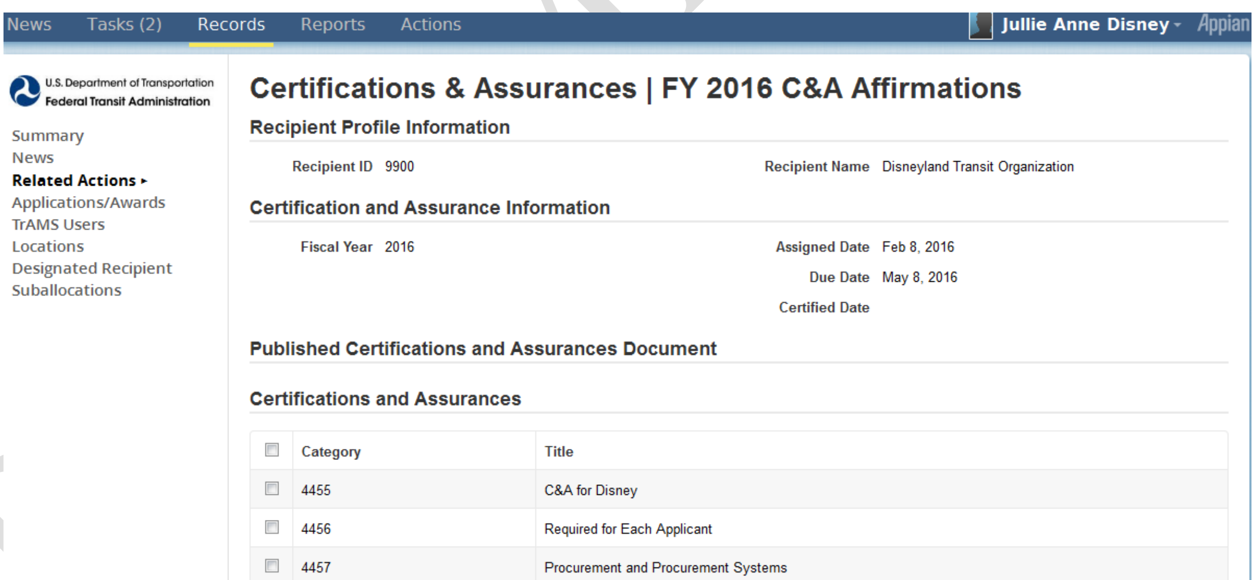


3) If the Certifications & Assurances have not yet been published for the year, you will receive a Warning message.




4) Otherwise you will be taken to the 'Certifications & Assurances | FY [current FY] C&A Affirmations' form for the selected fiscal year.

a) As the Official and the Attorney you will be able to select any check boxes for required certifications and assurances. To select all checkboxes at once check the checkbox next to 'Category'.



b) As the Official you will be able to insert your 4 digit PIN number to approve the Certificates and Assurances.

**Affirmation of Applicant**

Affirmation of Applicant: Done

Official's Name: NOT SIGNED

Certification Date: N/A

**Certify Affirmation**

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

Official's Name: Jullie Anne Disney

Title: None

Certification Date: 2/8/2016

PIN:

c) Click the 'Certify' button to officially sign the Certificates & Assurances.

**Affirmation of Applicant**

Affirmation of Applicant: Done

Official's Name: NOT SIGNED

Certification Date: N/A

**Certify Affirmation**

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

Official's Name: Jullie Anne Disney

Title: None

Certification Date: 2/8/2016

PIN: 0000

**Affirmation of Attorney**

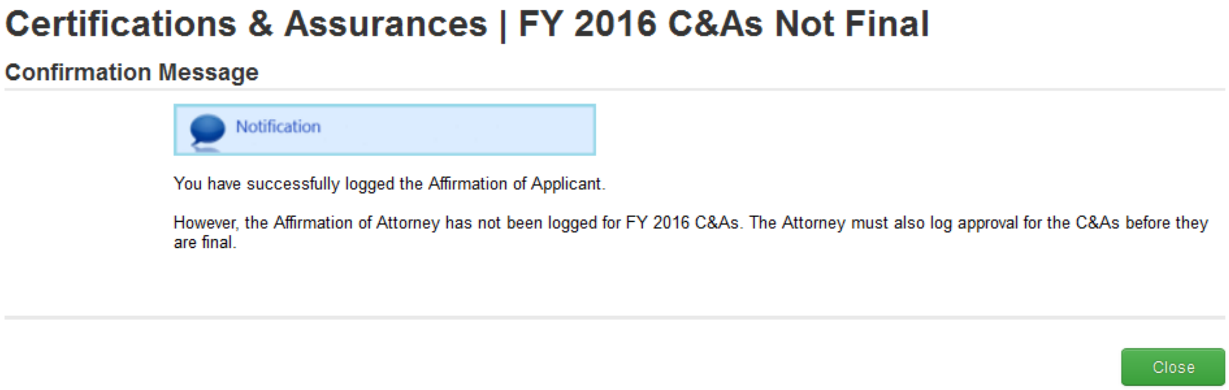
Affirmation of Applicant's Attorney: Done

Attorney's Name: NOT SIGNED

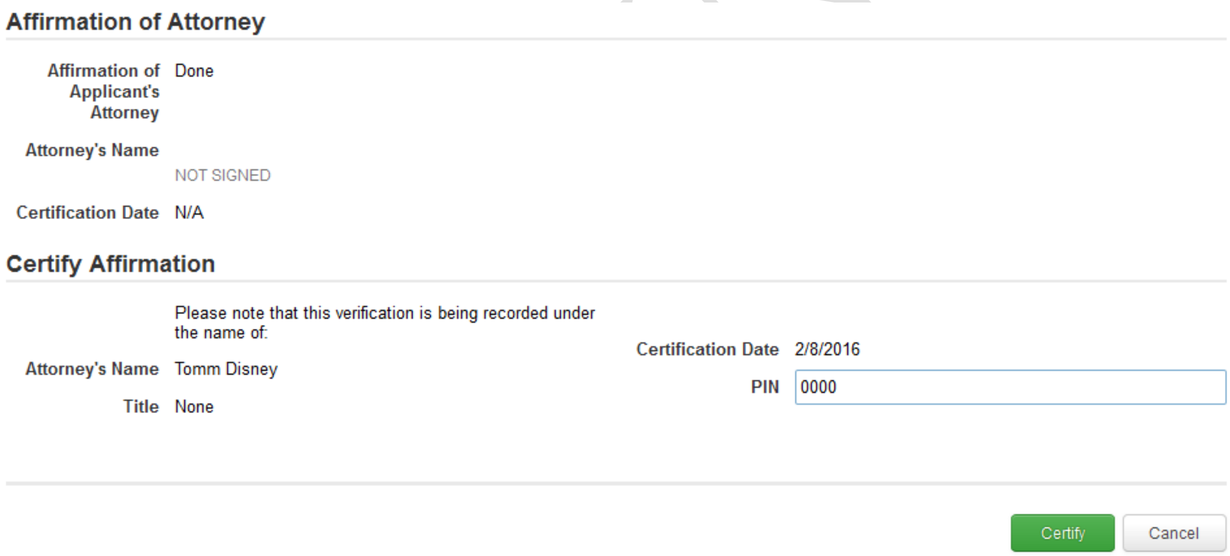
Certification Date: N/A

Certify | Cancel

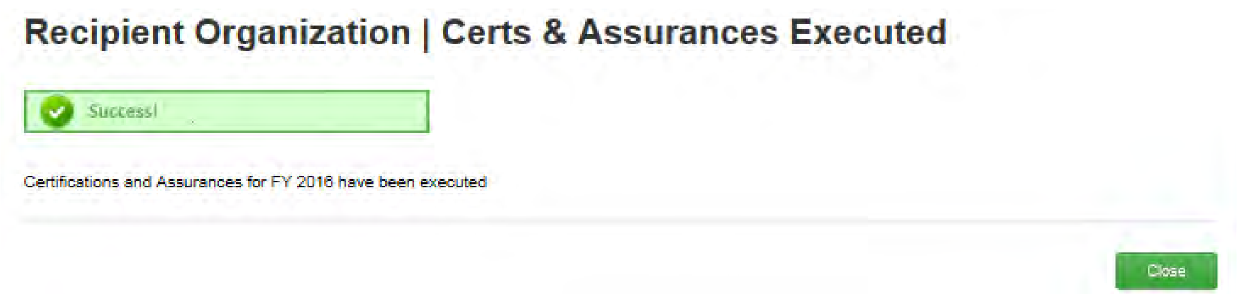
d) A confirmation message will display after the official has pinned the Certificates & Assurances indicating that the process is not complete until the Attorney has also logged his approval.




5) The attorney must repeat the above steps or if the attorney preceded the official then the official will need to repeat the above steps in order for the C&A's to be considered approved.




6) A success Message will be received when both the Attorney and the Official have successfully pinned the Certifications and Assurances.



Recipient Organization | Certs & Assurances Executed

Success!

Certifications and Assurances for FY 2016 have been executed

Close

### 4.3.5 Related Action: Fleet Status

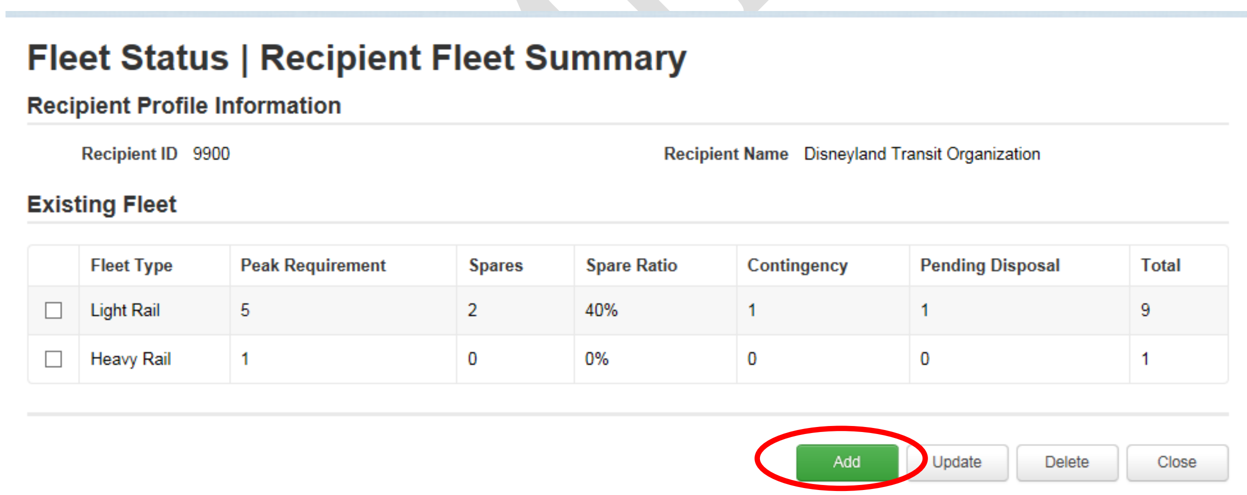
Fleet information associated with your organization may be managed from the ‘Fleet Status’ related action. Fleet Status may also be adjusted during the application transmission process when ‘Rolling Stock’ budget activity line items are included in the application. The fleet information associated with an organization at the time of award execution will be the fleet information associated with that award.

To view and manage fleet details applicable to your recipient organization:

1) Click ‘Fleet Status’.

2) The ‘Fleet Status | Recipient Fleet Summary’ form will be displayed.

3) Click the ‘Add’ button if you wish to add a new ‘Fleet Type’.



Fleet Status | Recipient Fleet Summary

Recipient Profile Information

Recipient ID 9900 Recipient Name Disneyland Transit Organization

Existing Fleet

| | Fleet Type | Peak Requirement | Spares | Spare Ratio | Contingency | Pending Disposal | Total |
|---|---|---|---|---|---|---|---|
| ☐ | Light Rail | 5 | 2 | 40% | 1 | 1 | 9 |
| ☐ | Heavy Rail | 1 | 0 | 0% | 0 | 0 | 1 |

Add Update Delete Close

4) The ‘Fleet Status | Recipient Fleet Summary’ form will be displayed. Complete the following under the ‘Update Fleet Details’ section:

a) Use the drop-down menu provided under the ‘Fleet Type’ field to select the appropriate fleet type. You will not be able to save more than one fleet type.

b) Enter a brief description of your fleet in the ‘Fleet Details’ field.

c) Enter a positive number in the ‘Peak Requirement’ field.

d) Enter a positive number in the ‘Spares field’.

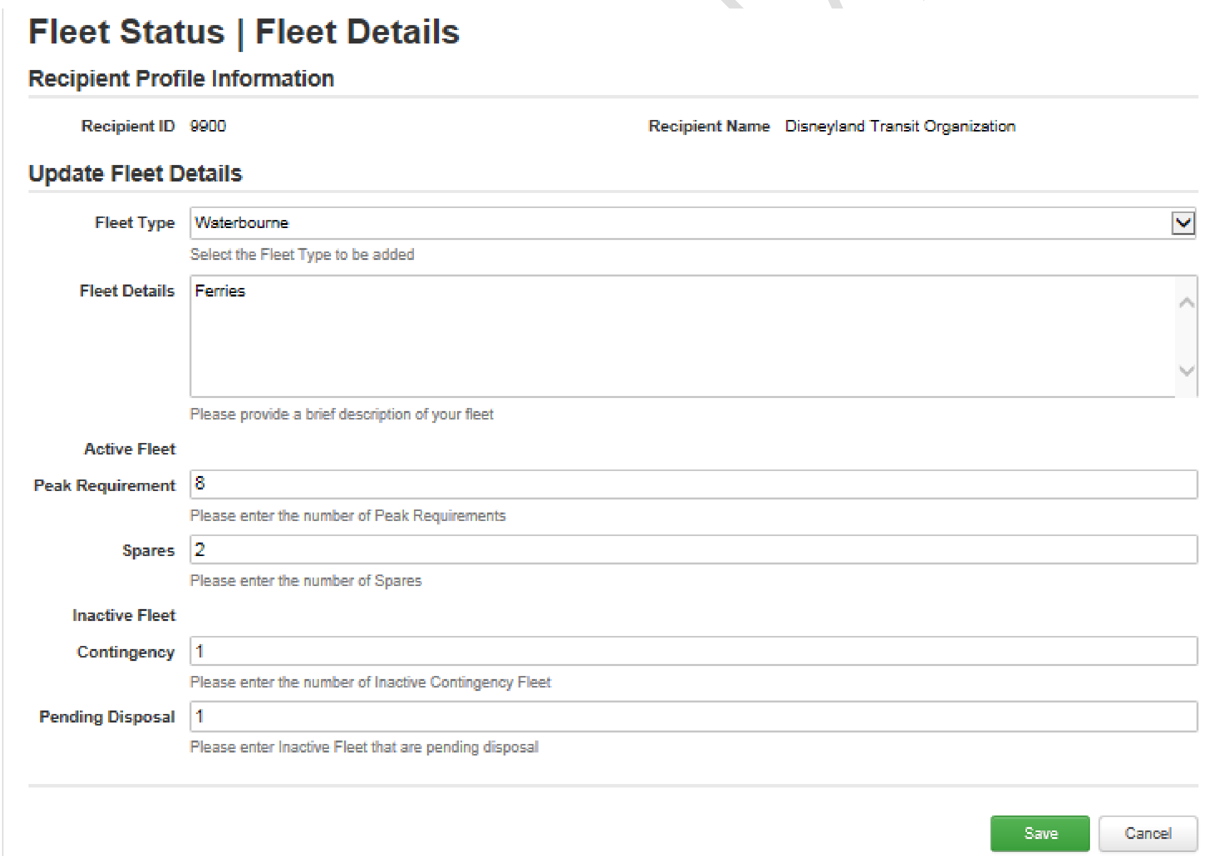
e) Enter a positive number in the ‘Contingency field’

f) Enter a positive number in the ‘Pending Disposal’ field’

5) Once all data has been entered.

a) Click the ‘Save’ button to return to the ‘Recipient Fleet Summary’ form. The new information should now display in the grid.

b) Or click ‘Cancel’ to return to the summary form without saving



Fleet Status | Fleet Details

Recipient Profile Information

Recipient ID 9900 Recipient Name Disneyland Transit Organization

Update Fleet Details

Fleet Type: Waterbourne
Select the Fleet Type to be added

Fleet Details: Ferries
Please provide a brief description of your fleet

Active Fleet

Peak Requirement: 8
Please enter the number of Peak Requirements

Spares: 2
Please enter the number of Spares

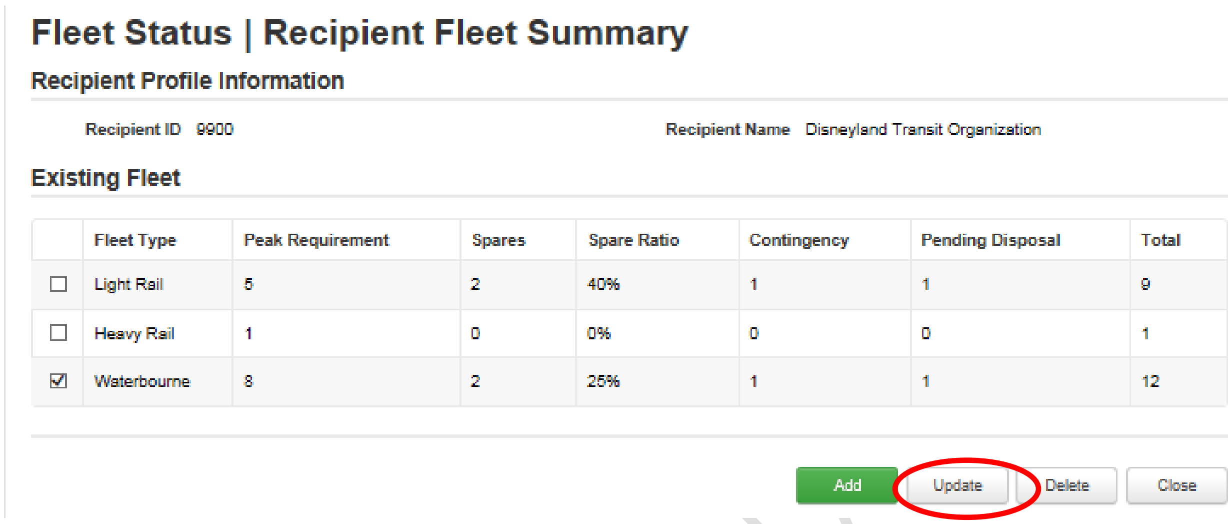
Inactive Fleet

Contingency: 1
Please enter the number of Inactive Contingency Fleet

Pending Disposal: 1
Please enter Inactive Fleet that are pending disposal

Save Cancel

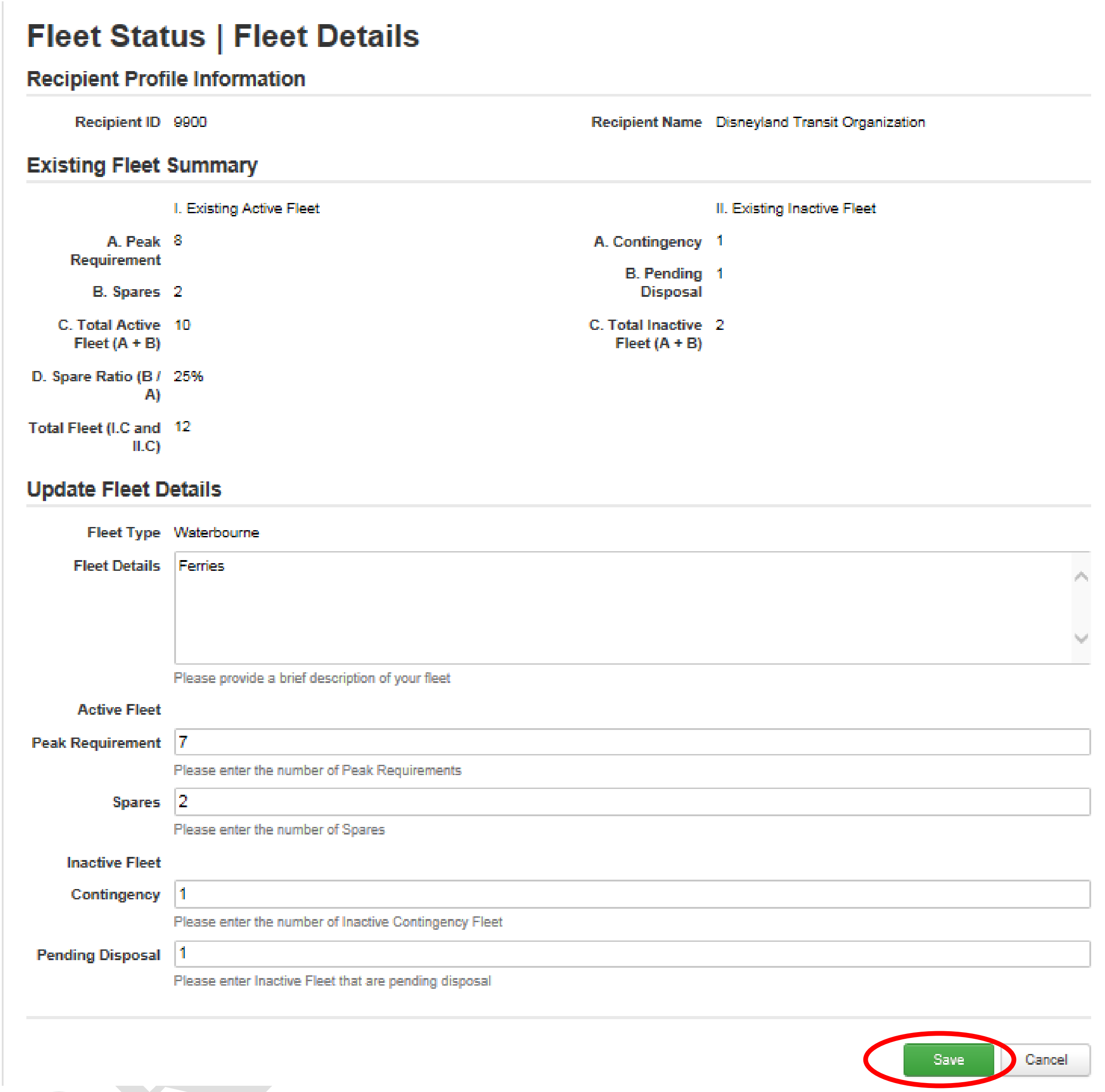
6) To make updates to fleet information displayed, select the checkbox next to the ‘Fleet Type’ and click the ‘Update’ button.




7) An editable ‘Fleet Status | Fleet Details’ form will be displayed. The form will display the existing fleet information for reference.

   a) Click the ‘Save’ button after you have finished making all changes or

   b) Click ‘Cancel’ to return to the Fleet Summary screen without making any changes.



# Fleet Status | Fleet Details

## Recipient Profile Information

**Recipient ID** 9900 **Recipient Name** Disneyland Transit Organization

## Existing Fleet Summary

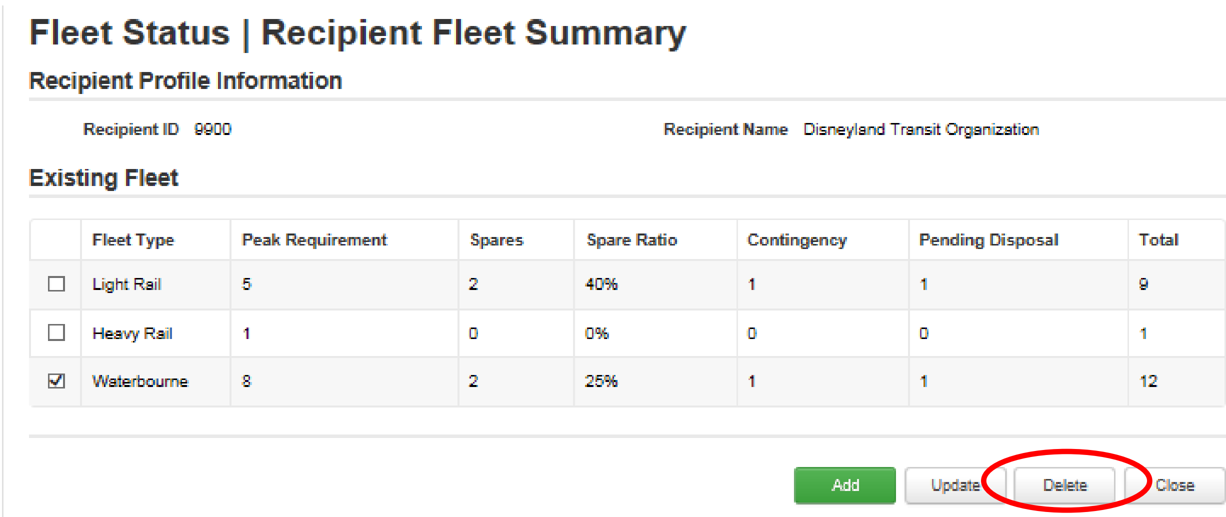
| | I. Existing Active Fleet | | II. Existing Inactive Fleet |
|---|---|---|---|
| **A. Peak Requirement** | 8 | **A. Contingency** | 1 |
| **B. Spares** | 2 | **B. Pending Disposal** | 1 |
| **C. Total Active Fleet (A + B)** | 10 | **C. Total Inactive Fleet (A + B)** | 2 |
| **D. Spare Ratio (B / A)** | 25% | | |
| **Total Fleet (I.C and II.C)** | 12 | | |

## Update Fleet Details

| | |
|---|---|
| **Fleet Type** | Waterbourne |
| **Fleet Details** | Ferries<br>Please provide a brief description of your fleet |
| **Active Fleet** | |
| **Peak Requirement** | 7<br>Please enter the number of Peak Requirements |
| **Spares** | 2<br>Please enter the number of Spares |
| **Inactive Fleet** | |
| **Contingency** | 1<br>Please enter the number of Inactive Contingency Fleet |
| **Pending Disposal** | 1<br>Please enter Inactive Fleet that are pending disposal |

Save Cancel

8) If you wish to delete an existing fleet type, select the check box for the fleet type from the ‘Existing Fleet’ grid and then click the ‘Delete’ button.



**Fleet Status | Recipient Fleet Summary**

**Recipient Profile Information**

Recipient ID 9900 Recipient Name Disneyland Transit Organization

**Existing Fleet**

| | Fleet Type | Peak Requirement | Spares | Spare Ratio | Contingency | Pending Disposal | Total |
|---|---|---|---|---|---|---|---|
| ☐ | Light Rail | 5 | 2 | 40% | 1 | 1 | 9 |
| ☐ | Heavy Rail | 1 | 0 | 0% | 0 | 0 | 1 |
| ☑ | Waterbourne | 8 | 2 | 25% | 1 | 1 | 12 |

Add Update Delete Close

9) Click on the ‘Close’ button to return to the ‘Related Actions’ menu.

### 4.3.6 Related Action: Congressional Districts

The Congressional District information associated with your recipient organization may be managed by users in the recipient organization. Users may add and delete congressional districts. To update existing district information, you will need to delete and add the district again.

To view and manage congressional districts applicable to your recipient organization:

1) Click ‘Congressional Districts’.

2) The ‘[Recipient Name] | Manage Congressional Districts’ form will be displayed. To add a new Congressional District:

   a) Use the provided drop-down menu under the ‘Congressional District’ field to select a congressional district number.

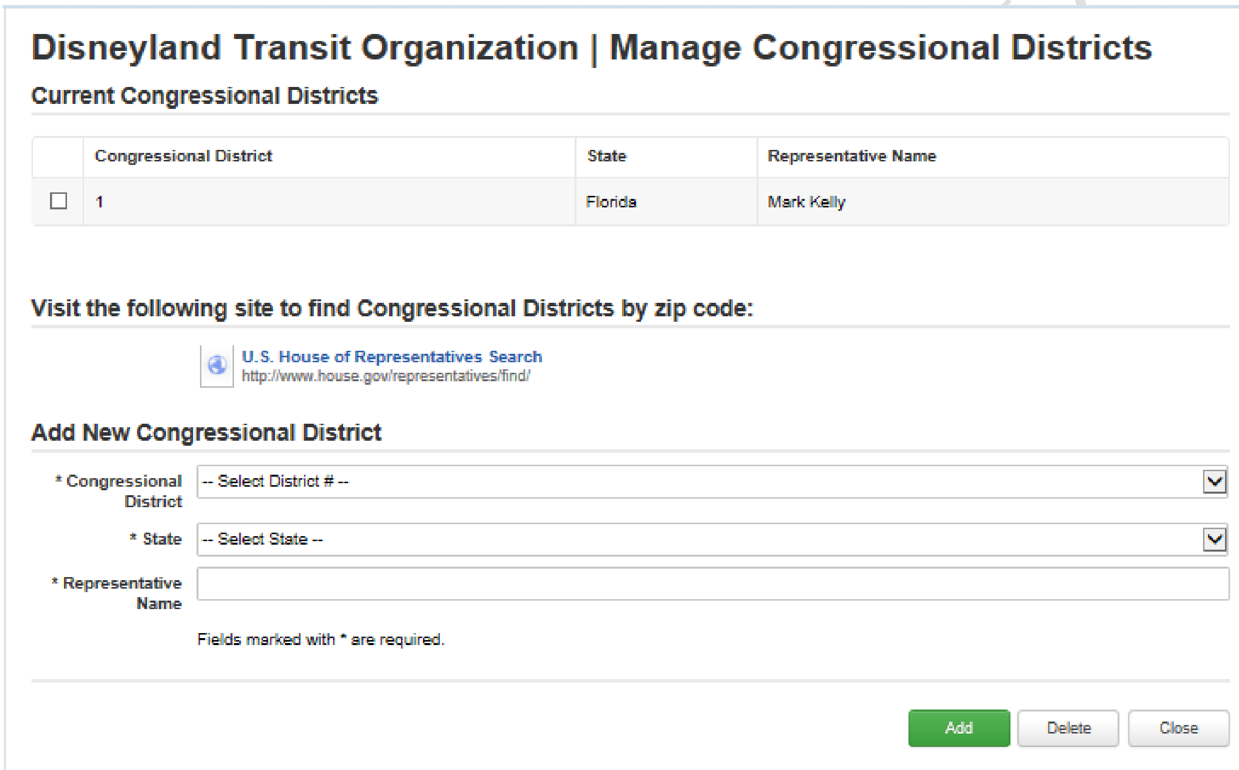
   b) Use the provided drop-down menu under the ‘State’ field to select the state that the congressional district is located in.

   c) Enter the appropriate representative name for the new congressional district into the ‘Representative Name’ field.

   d) Click the ‘Add’ button. The system will show the newly added district in the ‘Current Congressional Districts’ grid.

**Note:** You may click on the ‘U.S. House of Representatives Search’ link to find the appropriate representative for a given congressional district. The system will direct you to the search function on the U.S. House of Representatives website.

3) If you wish to delete a congressional district from the grid, select the check box for the congressional district you wish to remove and then click the ‘Delete’ button. The system will remove the congressional district from the grid.
4) Click on the ‘Close’ button to return to the ‘Related Actions’ menu.

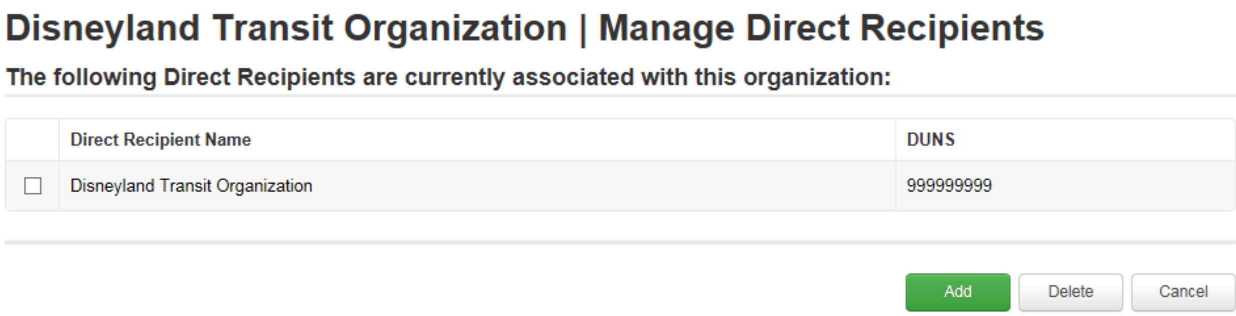



### 4.3.7 Related Action: Direct Recipients

For organizations that are Designated Recipients, recipient users can view and manage the Direct Recipients that are associated to the organization and available for apportionment suballocations.

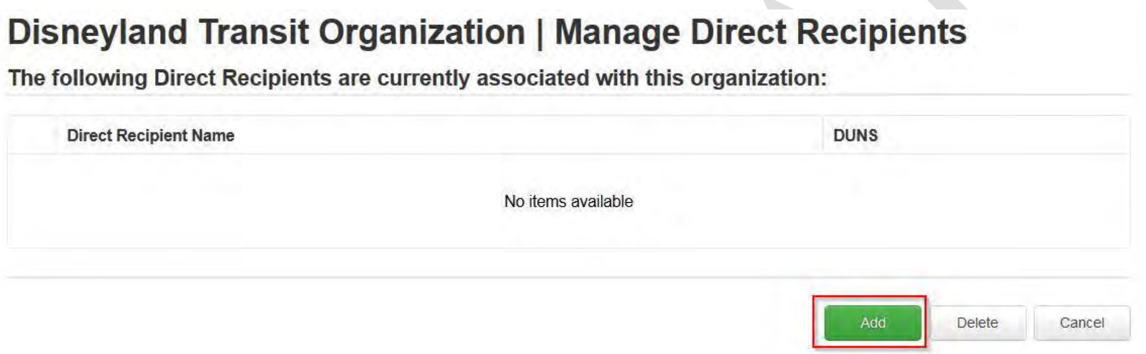
To view and manage direct recipients applicable to your recipient organization:

1) Click ‘Direct Recipients’.
2) You will be taken to the ‘[Recipient Name] | Manage Direct Recipients’ form for the selected recipient organization. The direct recipients associated with the recipient organization are listed and displayed in grid format.




3) If there are no direct recipients associated, the grid will be empty.

4) Click the ‘Add’ button if you wish to add a direct recipient.

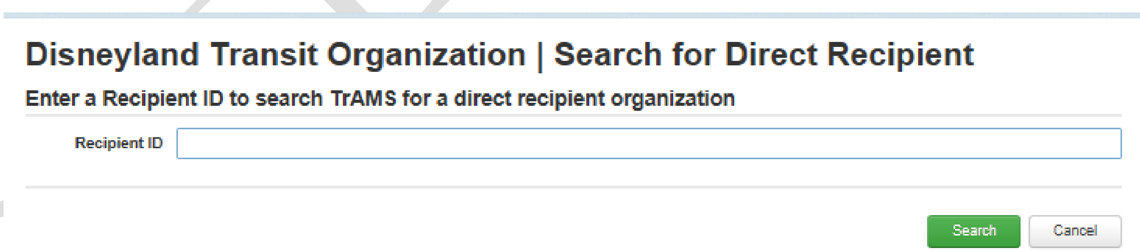



5) The ‘[Recipient Name] | Search for Direct Recipients’ form will be displayed.

   a) Enter an organization’s 4 digit recipient ID into the ‘Recipient ID’ field and then

   b) Click the ‘Search’ button.

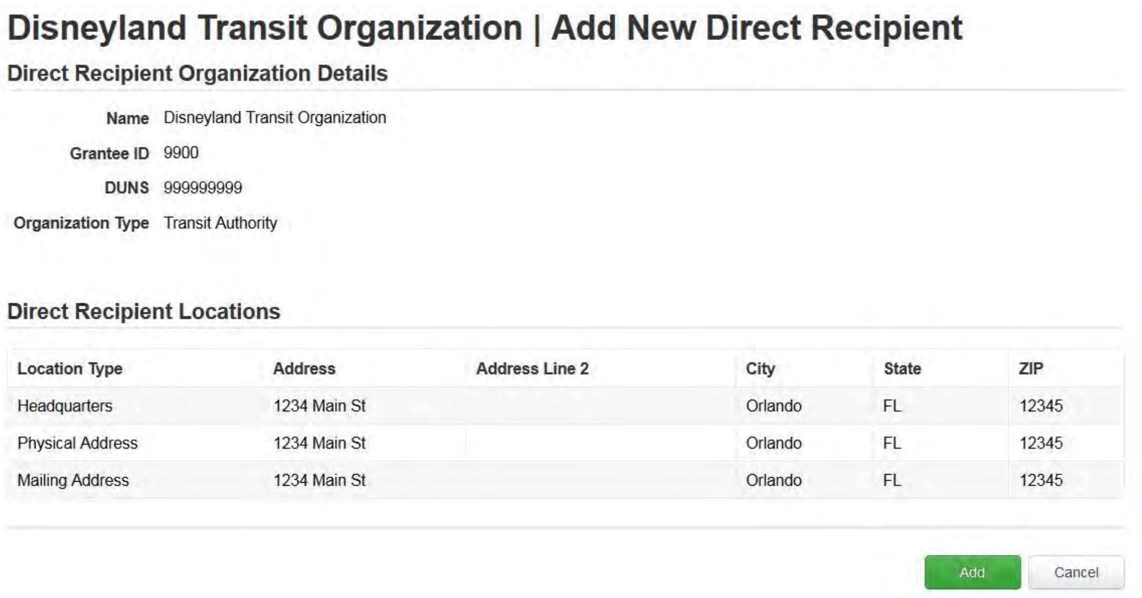
   c) Clicking the ‘Cancel’ button on this form returns you to the ‘[Recipient Name]| Manage Direct Recipients’ page.




6) The ‘[Recipient Name] | Add New Direct Recipient’ form will be displayed.

   a) Click the ‘Add’ button to add the recipient as a direct recipient.

   b) Click the ‘Cancel’ button to return to the ‘[Recipient Name]| Manage Direct Recipients’ page.



# Disneyland Transit Organization | Add New Direct Recipient

**Direct Recipient Organization Details**

| | |
|---|---|
| **Name** | Disneyland Transit Organization |
| **Grantee ID** | 9900 |
| **DUNS** | 999999999 |
| **Organization Type** | Transit Authority |

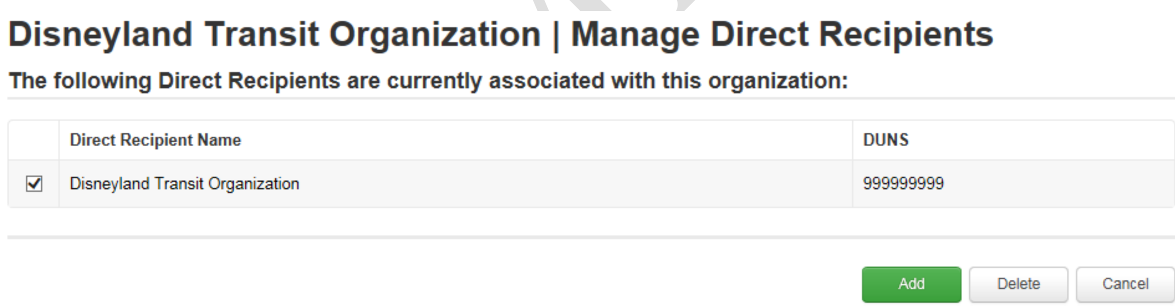
**Direct Recipient Locations**

| Location Type | Address | Address Line 2 | City | State | ZIP |
|---|---|---|---|---|---|
| Headquarters | 1234 Main St | | Orlando | FL | 12345 |
| Physical Address | 1234 Main St | | Orlando | FL | 12345 |
| Mailing Address | 1234 Main St | | Orlando | FL | 12345 |

Add Cancel

7) After adding the system will return you to the '[Recipient Name] | Manage Direct Recipients' form. The newly added direct recipient will be added to the direct recipients grid.

8) To remove an existing direct recipient from the grid, select the check box for the direct recipient you want to remove and then click the' Delete' button. The recipient will be removed from the grid.



# Disneyland Transit Organization | Manage Direct Recipients

**The following Direct Recipients are currently associated with this organization:**

| | Direct Recipient Name | DUNS |
|---|---|---|
| ☑ | Disneyland Transit Organization | 999999999 |

Add Delete Cancel

9) Click the 'Cancel' button to return to the 'Related Actions' menu.

### 4.3.8 Related Action: POC and Union Information

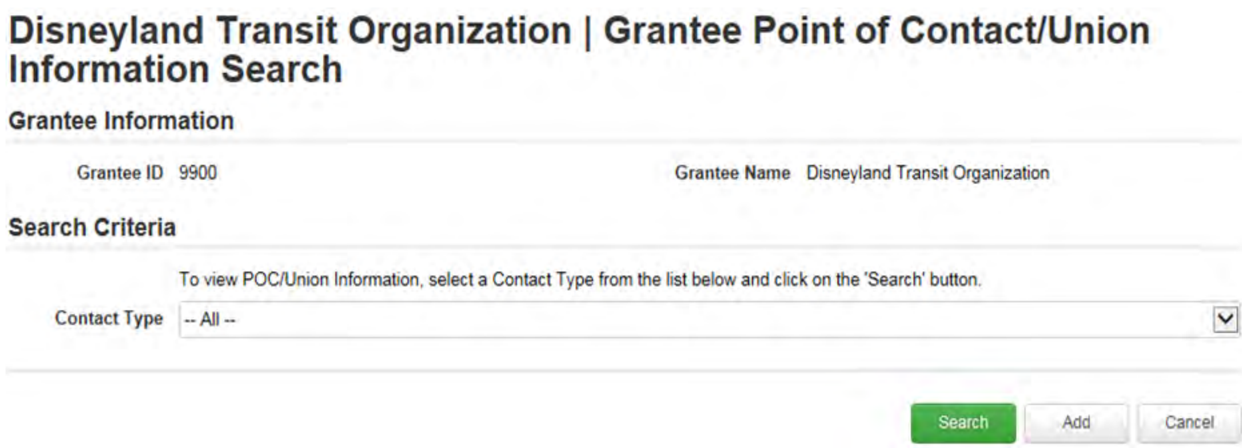
The Point of Contact and Union information for your organization will be used to populate award POC and Union information. The system also uses POC information to send email notifications about certain system activities (e.g. email reminders for C&A's or notifications of award execution tasks). All users of a recipient organization will have access to view POC and Union information.

Adding, updating, and the deletion of POC and Union information are limited to recipient users that have the 'User Manager' role.

To view and manage POC and union information applicable to your recipient organization:

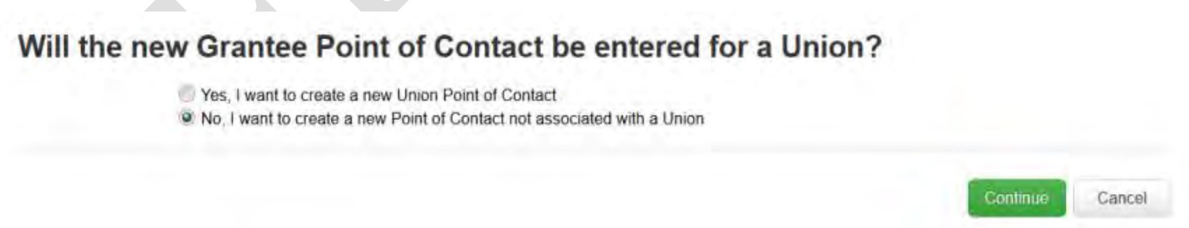
1) Click 'POC and Union Information'.

2) The '[Recipient Name] | Recipient Point of Contact/Union Information Search' form will be displayed for your recipient organization.
3) Click the 'Add' button to add a new point of contact.

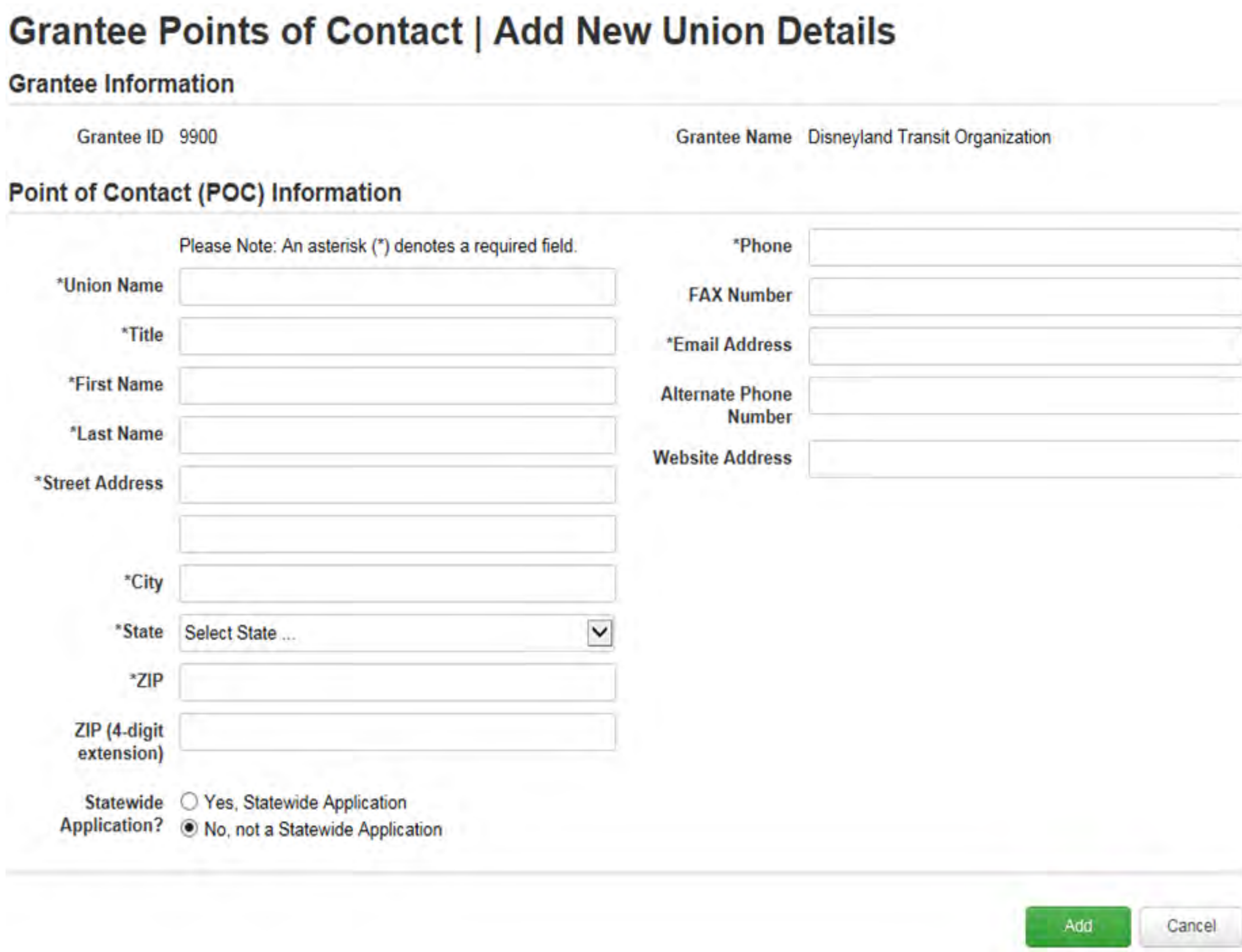



**Note:** You must be logged on as your recipient organization's User Manager to be able to add new POC as shown in the following steps. All other users will see a read-only view of the screens. If you are not a User Manager you will only see the 'Search' and 'Cancel' buttons.

4) The system will check to see if you are adding Union or POC not associated with a Union.
5) Select a radio button option:
   a) Select 'Yes, I want to create a new Union Point of Contact' for Union Contacts
   b) Select 'No, I want to create a new Point of Contact not associated with a Union', for all other type of Contacts.




6) If 'Yes, I want to create a new Union Point of Contact' was selected the system will direct you to the 'Recipient Points of Contact | Add New Union Details' form. Complete all required fields as indicated by the * and then click the 'Add' button.



Grantee Points of Contact | Add New Union Details

Grantee Information

Grantee ID 9900
Grantee Name Disneyland Transit Organization

Point of Contact (POC) Information

Please Note: An asterisk (*) denotes a required field.

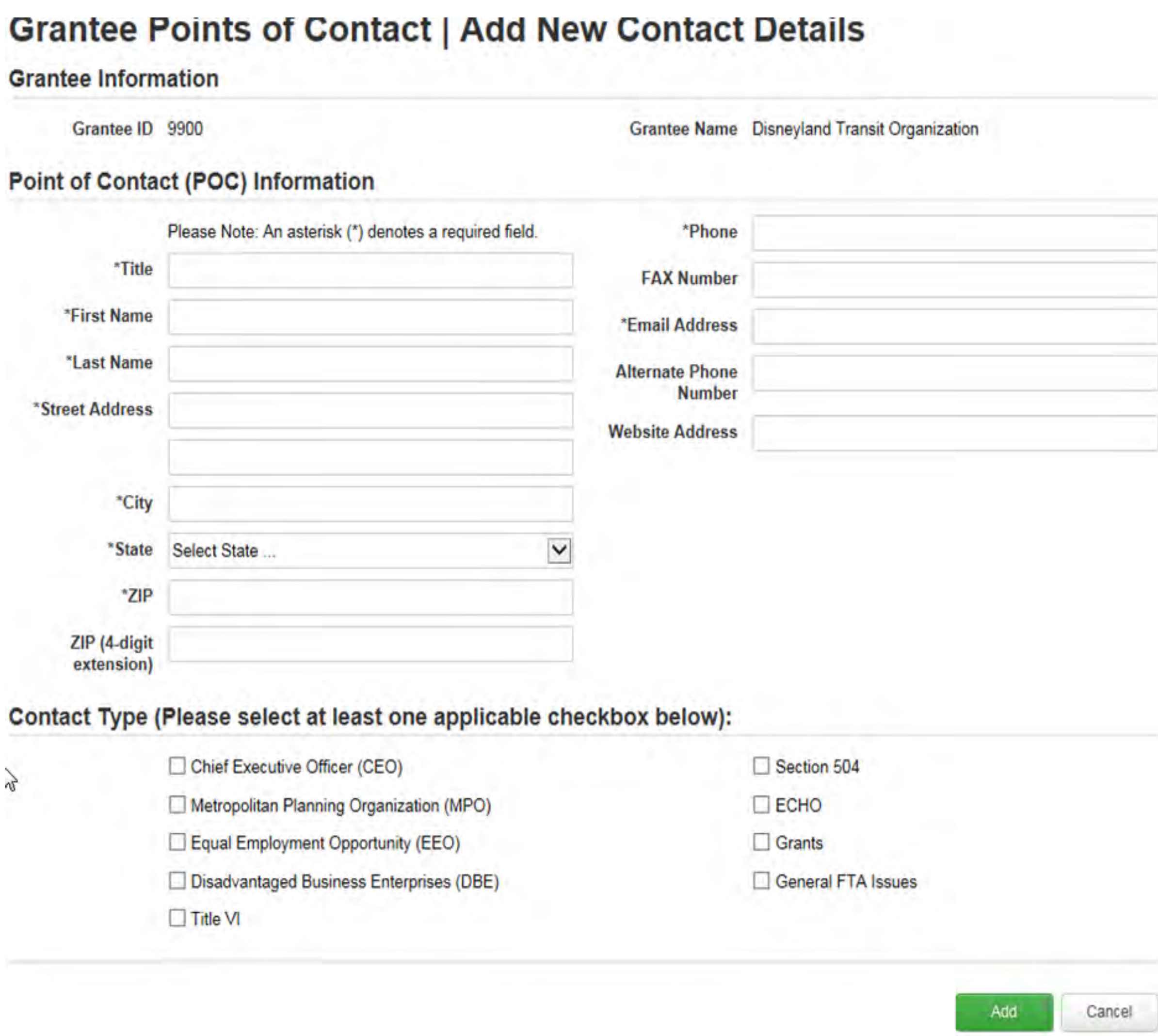
*Union Name
*Title
*First Name
*Last Name
*Street Address
*City
*State Select State ...
*ZIP
ZIP (4-digit extension)
Statewide Application? Yes, Statewide Application / No, not a Statewide Application

*Phone
FAX Number
*Email Address
Alternate Phone Number
Website Address

Add
Cancel

7) If 'No, I want to create a new Point of Contact not associated with a Union' is selected, the system will direct you to the 'Recipient Points of Contact | Add New Contact Details' form.

8) Complete all required fields as indicated by the asterisks (*). For non-union information select all 'Contact Types' that apply and then click the 'Add' button.



## Grantee Points of Contact | Add New Contact Details

### Grantee Information

Grantee ID 9900

Grantee Name Disneyland Transit Organization

### Point of Contact (POC) Information

Please Note: An asterisk (*) denotes a required field.

*Title

*First Name

*Last Name

*Street Address

*City

*State Select State ...

*ZIP

ZIP (4-digit extension)

*Phone

FAX Number

*Email Address

Alternate Phone Number

Website Address

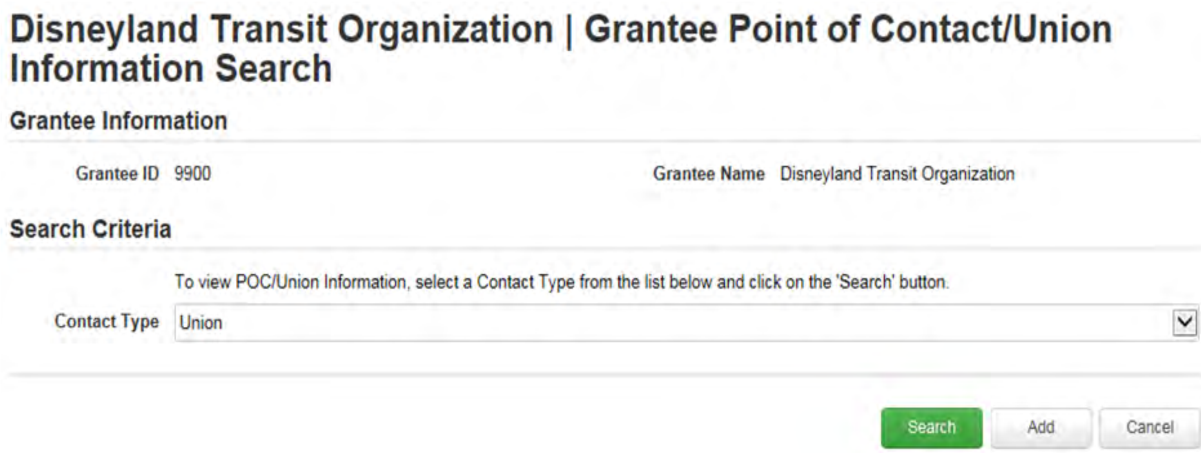
### Contact Type (Please select at least one applicable checkbox below):

- ☐ Chief Executive Officer (CEO)
- ☐ Metropolitan Planning Organization (MPO)
- ☐ Equal Employment Opportunity (EEO)
- ☐ Disadvantaged Business Enterprises (DBE)
- ☐ Title VI
- ☐ Section 504
- ☐ ECHO
- ☐ Grants
- ☐ General FTA Issues

Add Cancel

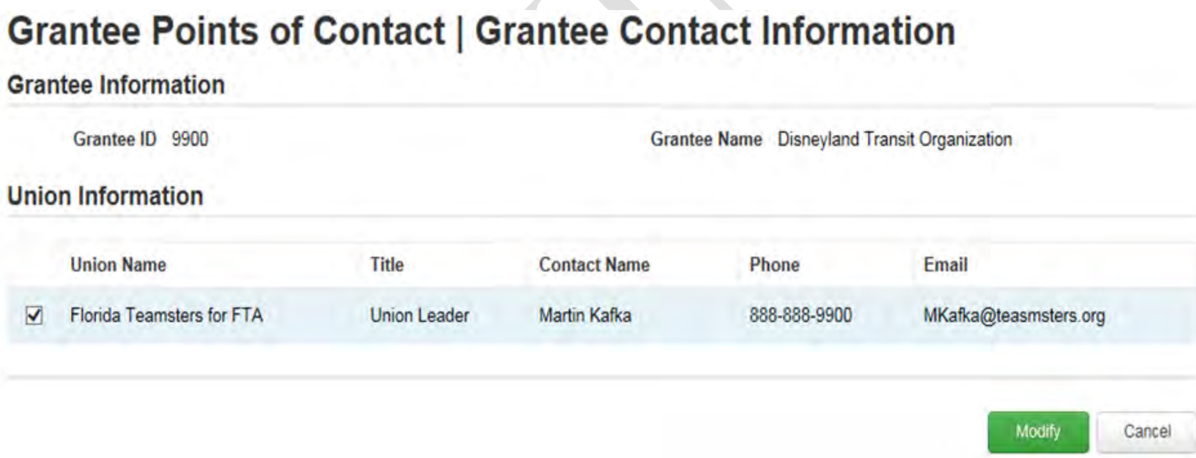
9) The system will save all details and return you to the ‘Recipient Name | Recipient Point of Contact/Union Information Search’ form.

10) To search for an existing recipient POC, select the appropriate contact type from the drop-down menu provided under the ‘Contact Type’ field and then click the ‘Search’ button.

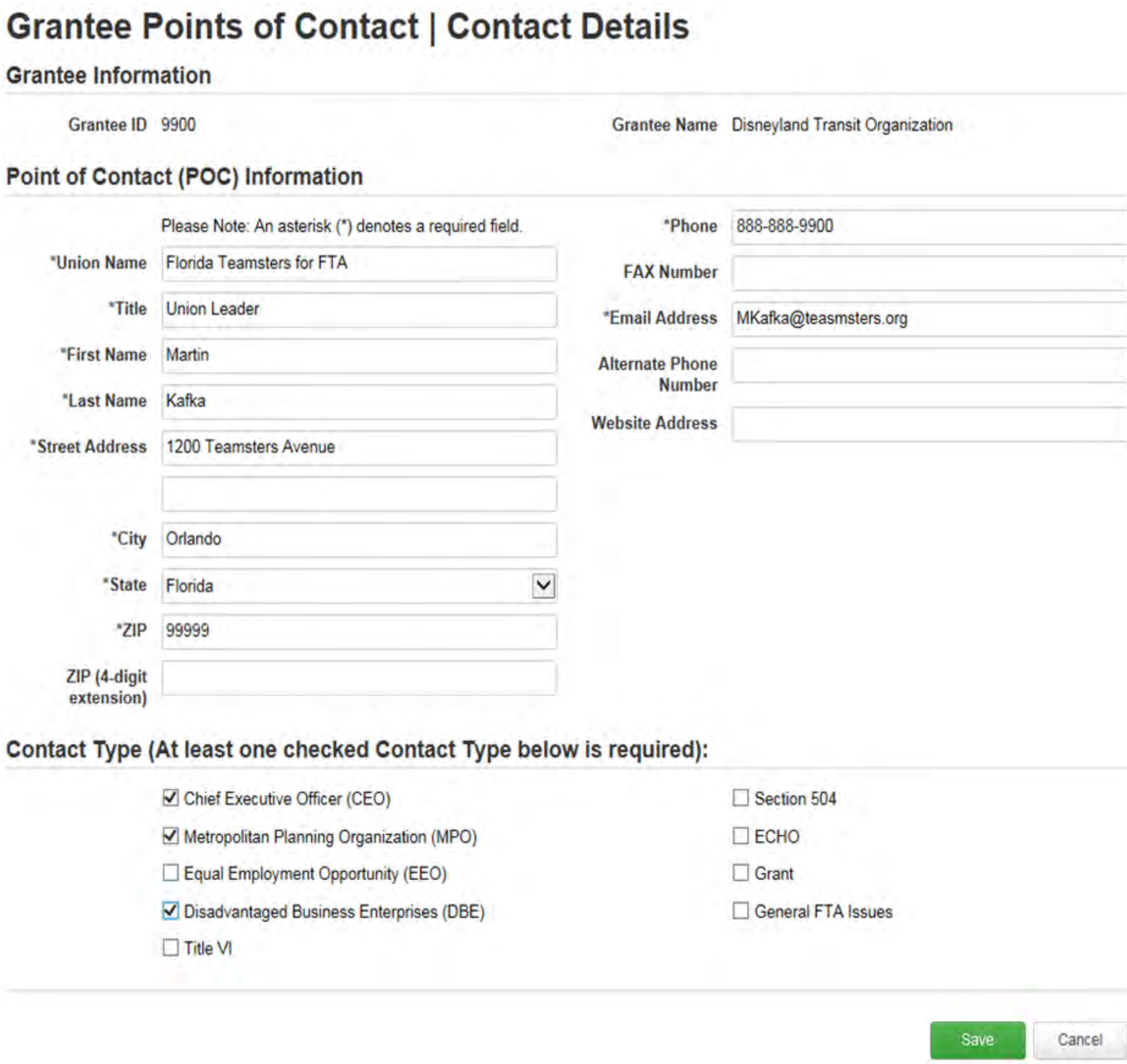



11) Depending on the ‘Contact Type’ selected, either the ‘Grantee Points of Contact | Recipient Contact information’ or the ‘Grantee Points of Contact | Grantee Union Information’ form will be displayed.

12) Select the checkbox for a POC in the list and then click the ‘Modify’ button if you wish to modify its details. Users without the ‘User Management’ role will see a ‘View’ button instead.




13) The ‘Grantee Points of Contact | Contact Details’ or the ‘Grantee Points of Contact | Union Details’ form will be displayed. Modify all applicable fields as needed and then click the ‘Save’ button. Users without the ‘User Manager’ role will see a read-only form and will need to click ‘Cancel’.



# Grantee Points of Contact | Contact Details

**Grantee Information**

Grantee ID 9900
Grantee Name Disneyland Transit Organization

**Point of Contact (POC) Information**

Please Note: An asterisk (*) denotes a required field.
*Union Name Florida Teamsters for FTA
*Title Union Leader
*First Name Martin
*Last Name Kafka
*Street Address 1200 Teamsters Avenue
*City Orlando
*State Florida
*ZIP 99999
ZIP (4-digit extension)
*Phone 888-888-9900
FAX Number
*Email Address MKafka@teasmsters.org
Alternate Phone Number
Website Address

**Contact Type (At least one checked Contact Type below is required):**

☑ Chief Executive Officer (CEO)
☑ Metropolitan Planning Organization (MPO)
☐ Equal Employment Opportunity (EEO)
☑ Disadvantaged Business Enterprises (DBE)
☐ Title VI
☐ Section 504
☐ ECHO
☐ Grant
☐ General FTA Issues

Save Cancel

14) The system will save the information entered and return you to ‘[Recipient Name] | Recipient Point of Contact/Union Information Search’ form.

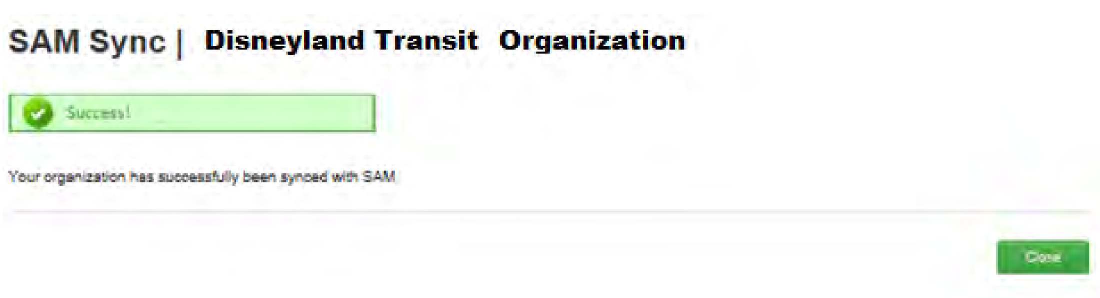
15) Click the ‘Cancel’ button to return to the ‘Related Actions’ menu.

### 4.3.9 Related Action: Sync Recipient Organization with SAM

Some recipient organization details, such as addresses and DUNS information, are brought into TrAMS via a nightly sync with SAM. If the recipient has updated organizational information in SAM, recipient users have the option to sync with SAM immediately or wait for the nightly sync to occur.

To sync your recipient organization’s system record with information in the SAM.gov website immediately:

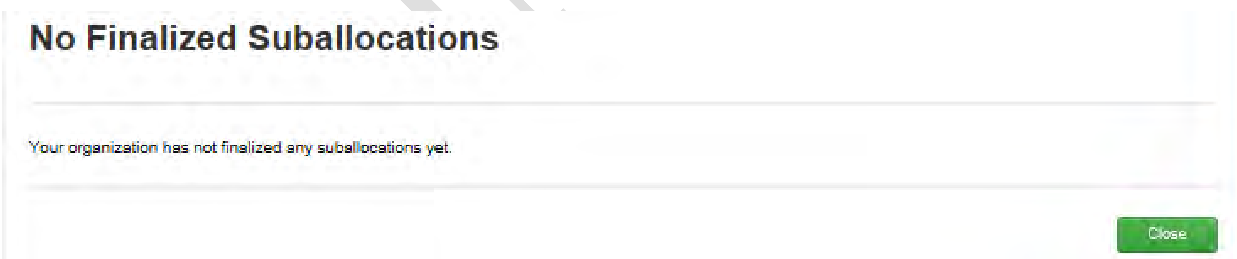
1) Click ‘Sync Recipient Organization with SAM’.
2) The system will update its information from SAM and show you a success message.
3) Click on the ’Close’ button to return to the ‘Related Actions’ menu.



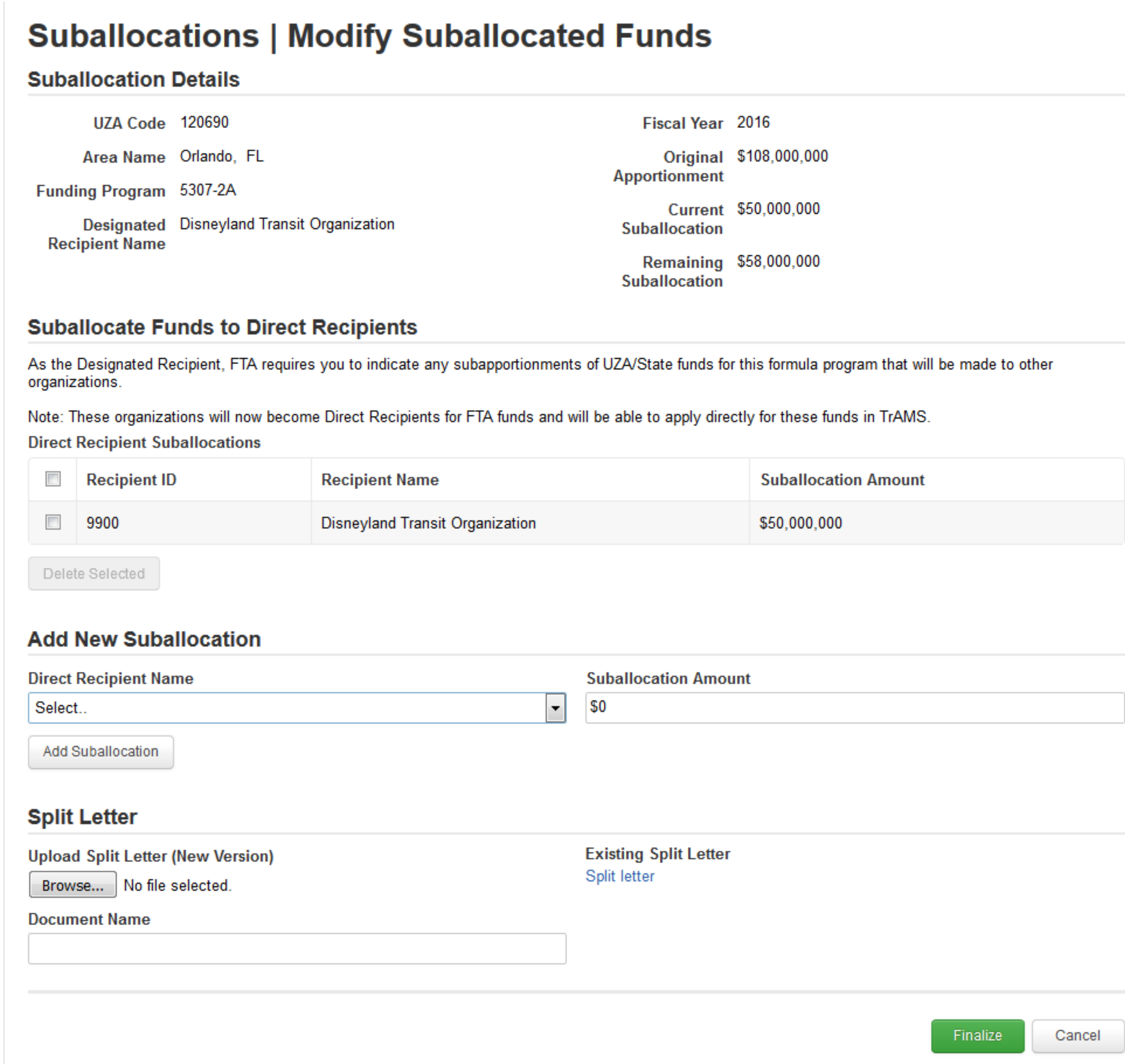

### 4.3.10 Related Action: Formula Suballocations

Suballocations allow designated recipient organizations to distribute formula funds among their direct recipients. After the formula apportionments are published by the FTA, designated recipient organizations will need to allocate the funds for a given state or UZA to direct recipients. Users with the ‘Submitter’ role for the designated recipient organizations will receive a task to perform the initial suballocation. The ‘Formula Suballocation’ related action may be used to view and make changes after the initial suballocation has been finalized.

1) Click ‘Formula Suballocations’.
   a) If no finalized suballocations exist for your recipient organization, the ‘No Finalized Suballocations’ form will be displayed with the following message: ‘Your organization has not finalized any suballocations yet.’




   b) If the ‘Submitter’ has finalized the suballocations, the ‘Modify Suballocated Funds’ form will be displayed.



# Suballocations | Modify Suballocated Funds

## Suballocation Details

UZA Code: 120690
Area Name: Orlando, FL
Funding Program: 5307-2A
Designated Recipient Name: Disneyland Transit Organization
Fiscal Year: 2016
Original Apportionment: $108,000,000
Current Suballocation: $50,000,000
Remaining Suballocation: $58,000,000

## Suballocate Funds to Direct Recipients

As the Designated Recipient, FTA requires you to indicate any subapportionments of UZA/State funds for this formula program that will be made to other organizations.

Note: These organizations will now become Direct Recipients for FTA funds and will be able to apply directly for these funds in TrAMS.

Direct Recipient Suballocations

| | Recipient ID | Recipient Name | Suballocation Amount |
|---|---|---|---|
| | 9900 | Disneyland Transit Organization | $50,000,000 |

Delete Selected

## Add New Suballocation

Direct Recipient Name: Select..
Suballocation Amount: $0

Add Suballocation

## Split Letter

Upload Split Letter (New Version)
Browse... No file selected.
Document Name

Existing Split Letter
Split letter

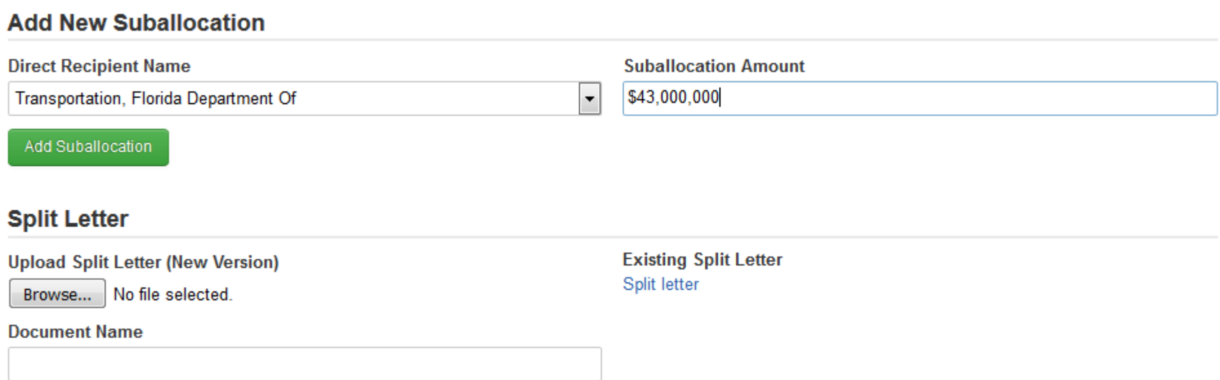
Finalize Cancel

2) To add a new suballocation:

   a) Use the drop-down menu provided under the ‘Direct Recipient Name’ field to select the recipient of the new suballocation.

   b) Enter the suballocation amount into the ‘Suballocation Amount’ field.

   c) Click the ‘Add Suballocation’ button. The new suballocation will be added to the grid.



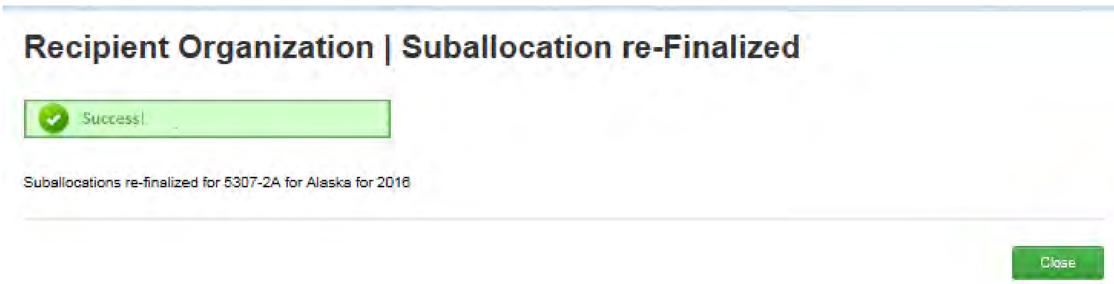

3) Click the ‘Browse...’ button under the ‘Upload Split Letter’ field to select a local file to upload as the split letter. The split letter uploaded will replace the previous uploaded split letter.

4) If you wish to delete an existing suballocation from the grid, select the check box for the suballocation to remove and then click the ‘Delete Selected’ button.


5) To modify the Suballocation amount for a direct recipient.
   a) Select the ‘Direct Recipient’ in the grid
   b) Delete the ‘Direct Recipient’ by clicking the ‘Delete Selected’ button.
   c) The ‘Direct Recipient ‘is removed from the grid and is now available from the ‘Direct Recipient Name’ drop down box. Select the recipient
   d) Allocate the new amount to the recipient and click ‘Add Suballocation’.

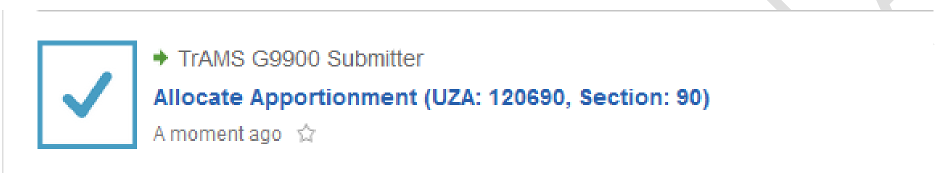
6) Click on the ‘Finalize’ button to accept the changes.

7) A success message is shown click the ‘Close’ button to return to the related actions menu.



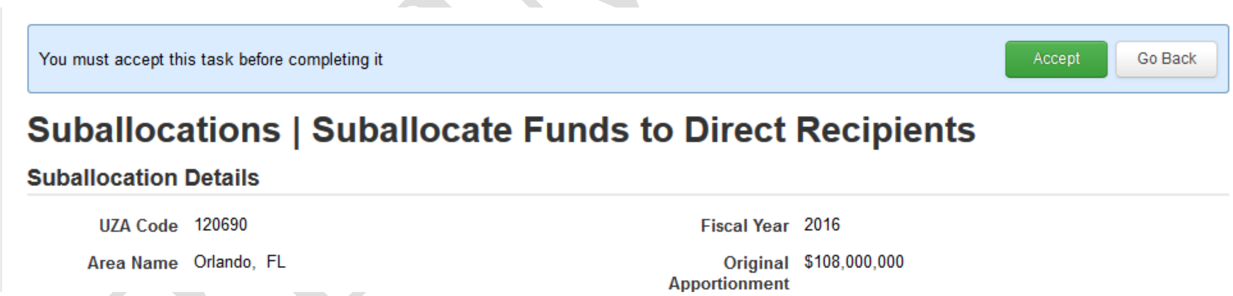

### 4.3.11 Task: Allocate Apportionments

If your organization is a Designated Recipient, after FTA has published the formula apportionments for the fiscal year, users with the role of ‘Submitter’ will receive a Task to ‘Allocate Apportionment’ for each funding program designated. This task will allow the designated recipient to finalize the initial suballocation for the given funding program.

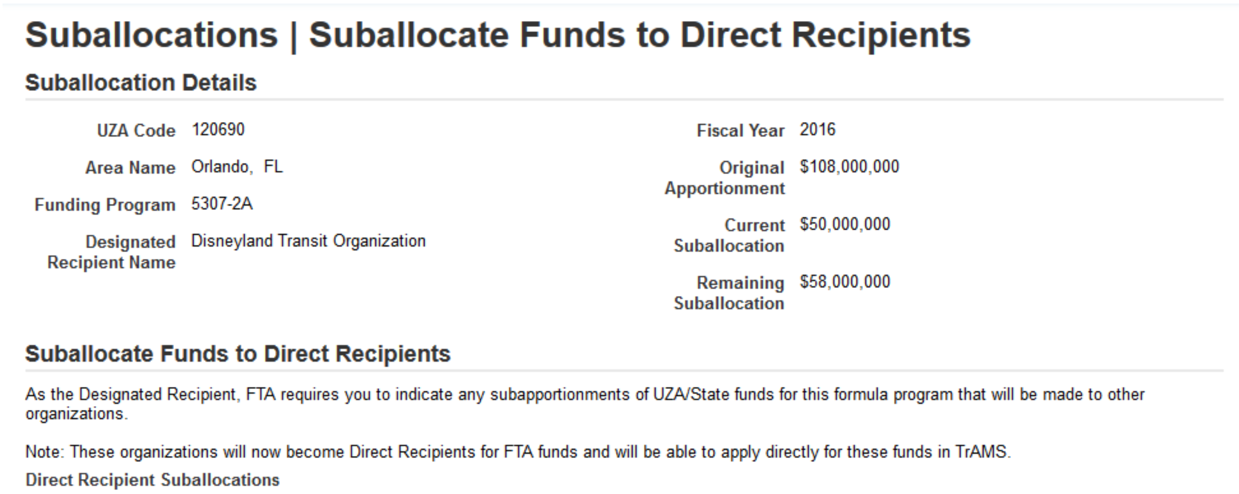



To finalize a suballocation as a Submitter:

1) Accept the Task.




2) The ‘Suballocate Funds to Direct Recipients’ form will be displayed.

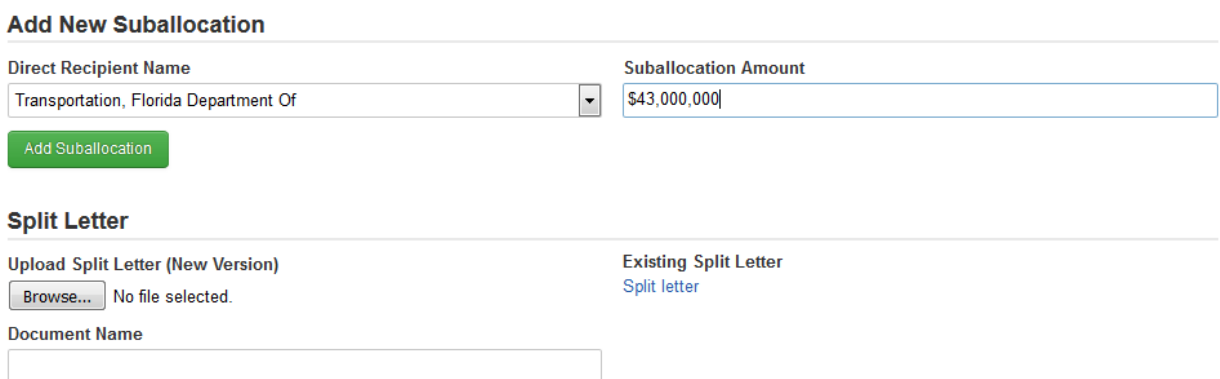



You may complete the ‘Task’ in part and return it to the ‘Task’ queue with your changes saved using the ‘Save and Continue Later’ button.

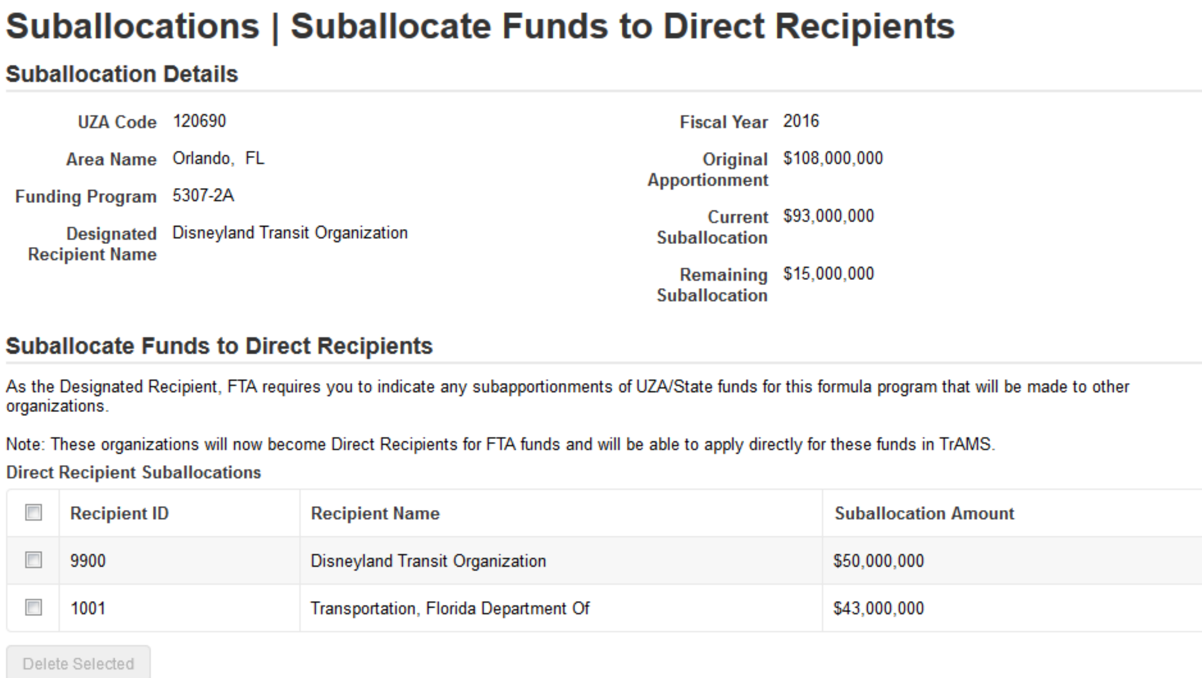
3) To add a new suballocation:

a) Use the drop-down menu provided under the ‘Direct Recipient Name’ field to select the recipient of the new suballocation.

b) Enter the suballocation amount into the ‘Suballocation Amount’ field.




c) Click the ‘Add Suballocation’ button. The new suballocation will be added to the grid.



## Suballocations | Suballocate Funds to Direct Recipients

### Suballocation Details

| | | | |
|---|---|---|---|
| UZA Code | 120690 | Fiscal Year | 2016 |
| Area Name | Orlando, FL | Original Apportionment | $108,000,000 |
| Funding Program | 5307-2A | Current Suballocation | $93,000,000 |
| Designated Recipient Name | Disneyland Transit Organization | Remaining Suballocation | $15,000,000 |

### Suballocate Funds to Direct Recipients

As the Designated Recipient, FTA requires you to indicate any subapportionments of UZA/State funds for this formula program that will be made to other organizations.

Note: These organizations will now become Direct Recipients for FTA funds and will be able to apply directly for these funds in TrAMS.

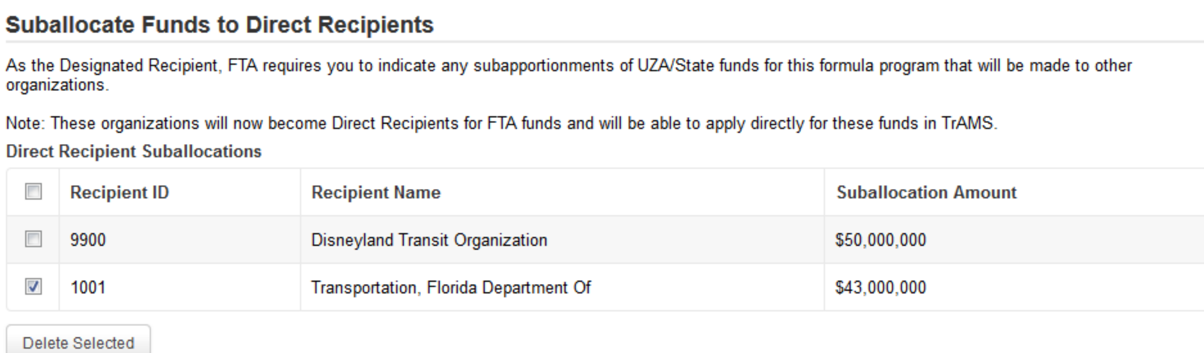
Direct Recipient Suballocations

| ☐ | Recipient ID | Recipient Name | Suballocation Amount |
|---|---|---|---|
| ☐ | 9900 | Disneyland Transit Organization | $50,000,000 |
| ☐ | 1001 | Transportation, Florida Department Of | $43,000,000 |

Delete Selected

4) Click the ‘Browse...’ button under the ‘Upload Split Letter’ field to select a local file to upload as the split letter. The split letter uploaded will replace the previous uploaded split letter.

5) If you wish to delete an existing suballocation from the grid, select the check box for the suballocation to remove and then click the ‘Delete Selected’ button.



### Suballocate Funds to Direct Recipients

As the Designated Recipient, FTA requires you to indicate any subapportionments of UZA/State funds for this formula program that will be made to other organizations.

Note: These organizations will now become Direct Recipients for FTA funds and will be able to apply directly for these funds in TrAMS.

Direct Recipient Suballocations

| ☐ | Recipient ID | Recipient Name | Suballocation Amount |
|---|---|---|---|
| ☐ | 9900 | Disneyland Transit Organization | $50,000,000 |
| ☑ | 1001 | Transportation, Florida Department Of | $43,000,000 |

Delete Selected

6) To modify the Suballocation amount for a direct recipient:

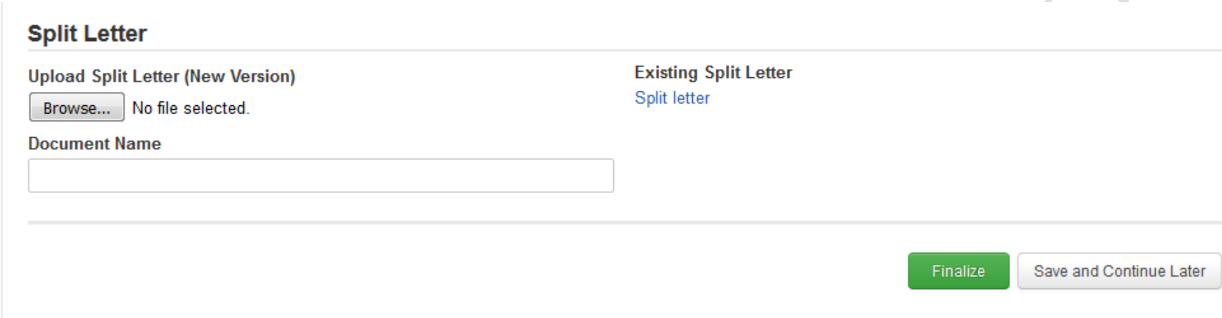
   a) Select the ‘Direct Recipient’ in the grid

   b) Delete the ‘Direct Recipient’ by clicking the ‘Delete Selected’ button.

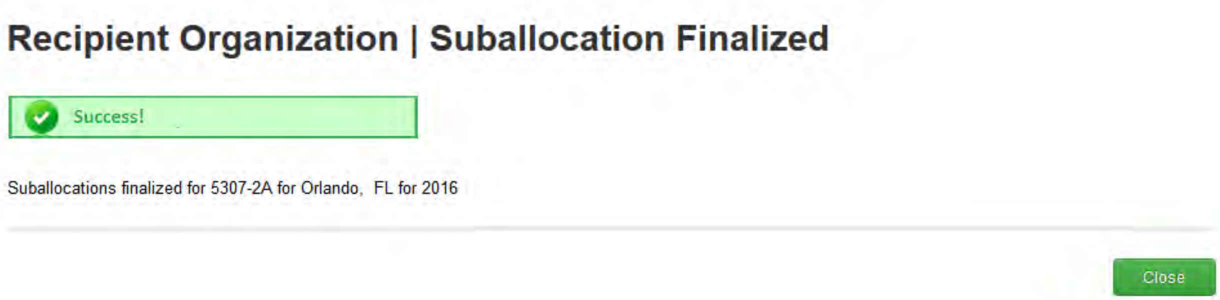
c) The ‘Direct Recipient ‘is removed from the grid and is now available from the ‘Direct Recipient Name’ drop down box. Select the recipient

d) Allocate the new amount to the recipient and click ‘Add Suballocation’.

7) Click on the ‘Finalize’ button to accept the changes and finish the suballocations task




8) A success message is shown. Click the ‘Close’ button to finish and return to the Tasks tab.



# 5 Civil Rights Management

## 5.1 Civil Rights Compliance Requirements

A recipient must maintain its compliance with FTA civil rights programs in order to remain in a fundable status. FTA will be responsible for ensuring that the required documentation and submissions concerning Civil Rights are completed by the recipient. If the FTA Regional Civil Rights Officer identifies a civil rights compliance issue, the recipient will be in non-fundable status, in which case FTA will work toward fixing the non-compliance through coordination with internal parties. FTA's determination that a recipient is in non-fundable status on the basis of non-compliance with civil rights requirements, including non-compliance in addressing any outstanding compliance deficiency findings or resolving any outstanding concerns, is made at the recipient level, not on the basis of a particular application. There is the chance that a particular application could raise new compliance issues, in which case FTA will work with the recipient to resolve them.

## 5.2 Overview of Programs

To ensure continued fundable status of recipients, the FTA Regional Civil Rights Officer will be responsible for ensuring that the required documentation and submissions concerning the four main Civil Rights programs are completed by recipients and recorded in TrAMS.

- Equal Employment Opportunity (EEO)
- Disadvantaged Business Enterprise (DBE) Program
- DBE Goal
- Title VI of the Civil Rights Act of 1964

Civil Rights information is viewable and updatable from the Recipient Records.

To update or view your civil rights information

1) Find your recipients Record and then click the 'Related Actions'.
2) Click 'Civil Rights Information'.


3) The 'Civil Rights Compliance' form will be displayed. The four civil rights programs with their current statuses for the selected recipient are listed and displayed in grid format under the 'Status History' section.

4) To view additional details or make updates select the program to view and click ‘Continue’

5) To leave the form and return to the ‘Related Actions’ menu, click the ‘Cancel’ button.

## Disneyland Transit Organization | Civil Rights Compliance

### Recipient Details

**Recipient ID**
9900

**Recipient Name**
Disneyland Transit Organization

### Status History

| | Program Name | Program Status | Submitted Date | Concur Date | Due Date | Expiration Date |
|---|---|---|---|---|---|---|
| ☐ | EEO Program | Concur | 2/1/2016 | 2/1/2016 | 1/1/2017 | 12/31/2020 |
| ☐ | DBE Program | Concur | 2/1/2016 | 2/1/2016 | | |
| ☐ | DBE Goal | Concur | 2/1/2016 | 2/1/2016 | 1/1/2017 | 12/31/2020 |
| ☐ | Title VI Program | Concur | 2/1/2016 | 2/1/2016 | 1/1/2017 | 12/31/2019 |

Cancel Continue

**Note**: Only recipient users with the Civil Rights role will be able to modify and submit civil rights information for their organization other user will have view only rights.

### 5.2.1 EEO Program

The Equal Employment Opportunity (EEO) provides that "no person in the United States shall on the grounds of race, color, religion, national origin, sex, or age be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any project, program or activity funded in whole or in part through financial assistance under this Act."  This applies to employment and business opportunities and is considered to be in addition to the provisions of Title VI of the Civil Rights Act of 1964.

Recipients must demonstrate that they have developed, implemented, and maintained an effective Equal Employment Opportunity Program to ensure that they do not discriminate against any employees or applicants for employment because of race, color, religion, sex, disability, age or national origin.

To update your organization’s Equal Employment Opportunity (EEO) program information:

1) From the ‘Civil Rights Compliance’ page select the check box for ‘EEO Program’ and then click the ‘Continue’ button.

2) The ‘Equal Employment Opportunity (EEO) Program’ form will be displayed.

   a) To discard any changes made,

   b) Click the ‘Cancel’ button to return to the ‘Civil Rights Compliance’ form.

   c) Click the ‘Save Changes’ button at any time to save all information entered on the form.

# Civil Rights Compliance | Equal Employment Opportunity (EEO) Program

## Recipient Details

**Recipient ID**
9900

**Recipient Name**
Disneyland Transit Organization

## Program Status

**Status Date**
Feb 12, 2016

**Due Date**
Jan 1, 2017

**Program Status**
In Review - Returned to Grantee

**Expiration Date**
Dec 31, 2020

## Status History

| Status | Date | User |
|---|---|---|
| In Review - Submitted to FTA | 2/12/2016 7:13 PM GMT+00:00 | Ursula Disney |
| Concur | 2/1/2016 4:47 PM GMT+00:00 | region4.civilrights1 |
| In Review - Submitted to FTA | 2/1/2016 4:06 PM GMT+00:00 | Jullie Anne Disney |
| Incomplete | 2/1/2016 2:55 PM GMT+00:00 | region5.supervisor1 |

## Existing Document Details

| Document Type | Document Name | Program Begin and End Dates | Date Uploaded | Uploaded By |
|---|---|---|---|---|
| EEO Program | Sample Document uploaded by recipient civil rights officer for user guide purposes only | | 2/1/2016 4:05 PM GMT+00:00 | Jullie Anne Disney |

Manage Documents

## Comments

**Civil Rights Program Comments**

**Existing Comments**

Remark by: Ursula Disney at 2/12/2016 7:13 PM GMT+00:00
sending to FTA for review

-----------------------------------------------------------------------------------

Please scroll within the box to see all existing comments.

Submit Save Changes Cancel

3) Click the ‘Manage Documents’ button to add or delete any related documents.

4) To delete any existing documents,

   a) Select the check box for the document from the 'Existing Document Details' grid and then click the 'Delete' button

**Existing Document Details**

| ☐ | Document Type | Document Name | Program Begin and End Dates | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|
| ☐ | EEO Program | Sample Document for USer Guide Purposes Only | | 1/29/2016 4:06 PM GMT+00:00 | Jullie Anne Disney |
| ☑ | EEO Program | Sample Document uploaded by FTA Civil Rights user for User Guide purposes only | | 1/29/2016 6:14 PM GMT+00:00 | John Smith |

Delete

5) To add a document,

   a) Use the drop-down menu provided under the 'Document Type' field to select a document type.

   b) Enter the name for the document into the 'Document Name' field.

   c) Enter the date range for the program's duration into the 'Program Begin and End Dates' field.

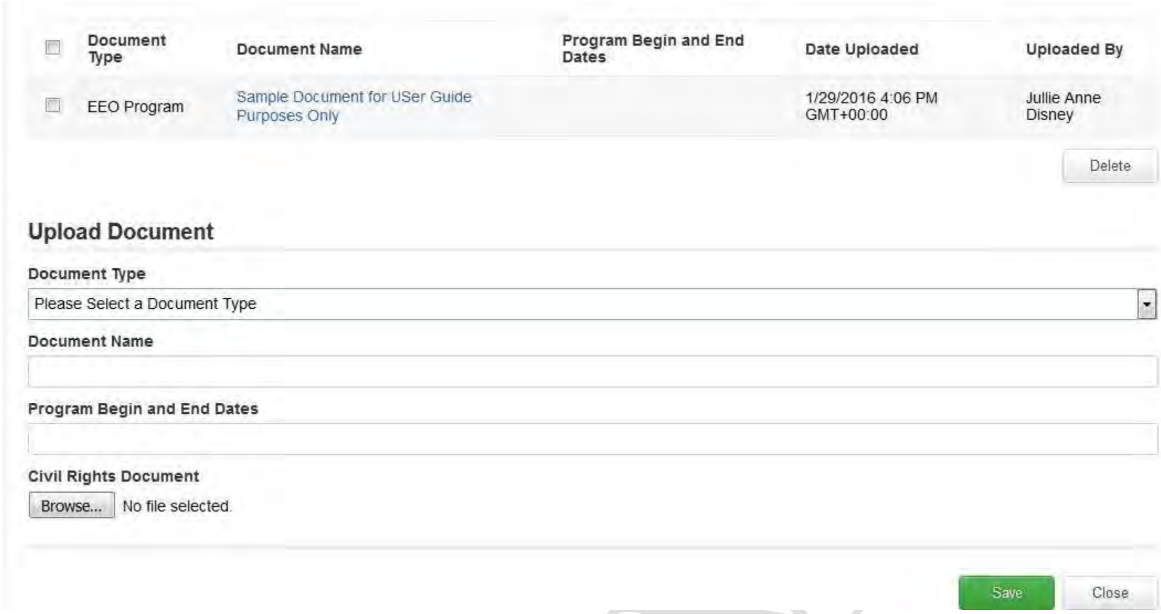
   d) Click the 'Browse...' button under the 'Civil Rights Document' field to select a local file to upload.

   e) Click the 'Remove' link which appears after upload if you wish to remove your uploaded file.

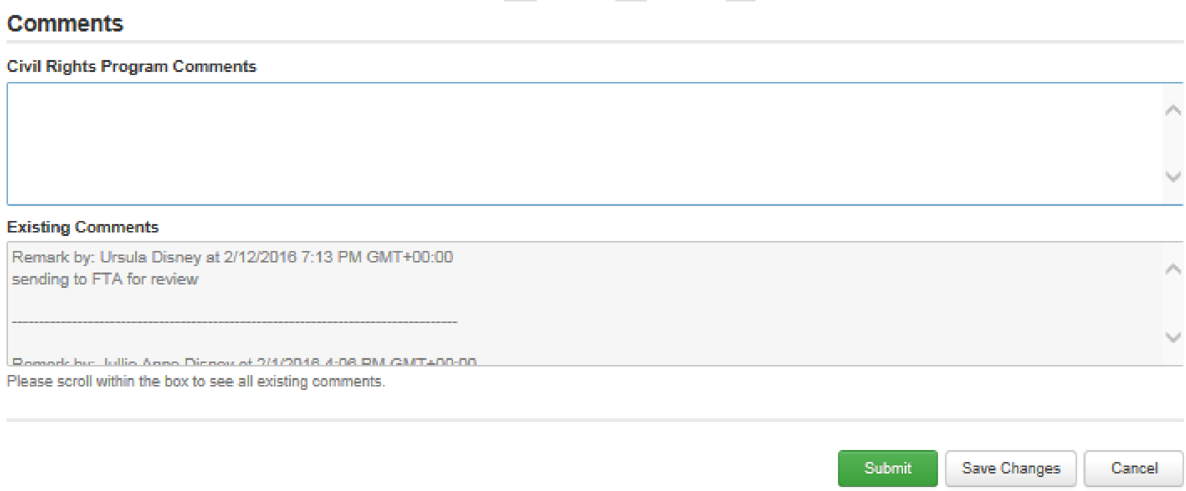
6) Once finished, click the 'Save' button to add the document. The document will be added to the grid under 'Existing Document Details'.

7) Click the 'Close' button to return to the 'EEO Program' form.

**Note:** At a minimum, the 'Document Type' field must be completed and a document must be uploaded in order to save a new document to the program.




8) Enter any comments into the optional ‘Civil Rights Program Comments’ field and then click the ‘Submit’ button to submit the program for FTA review.



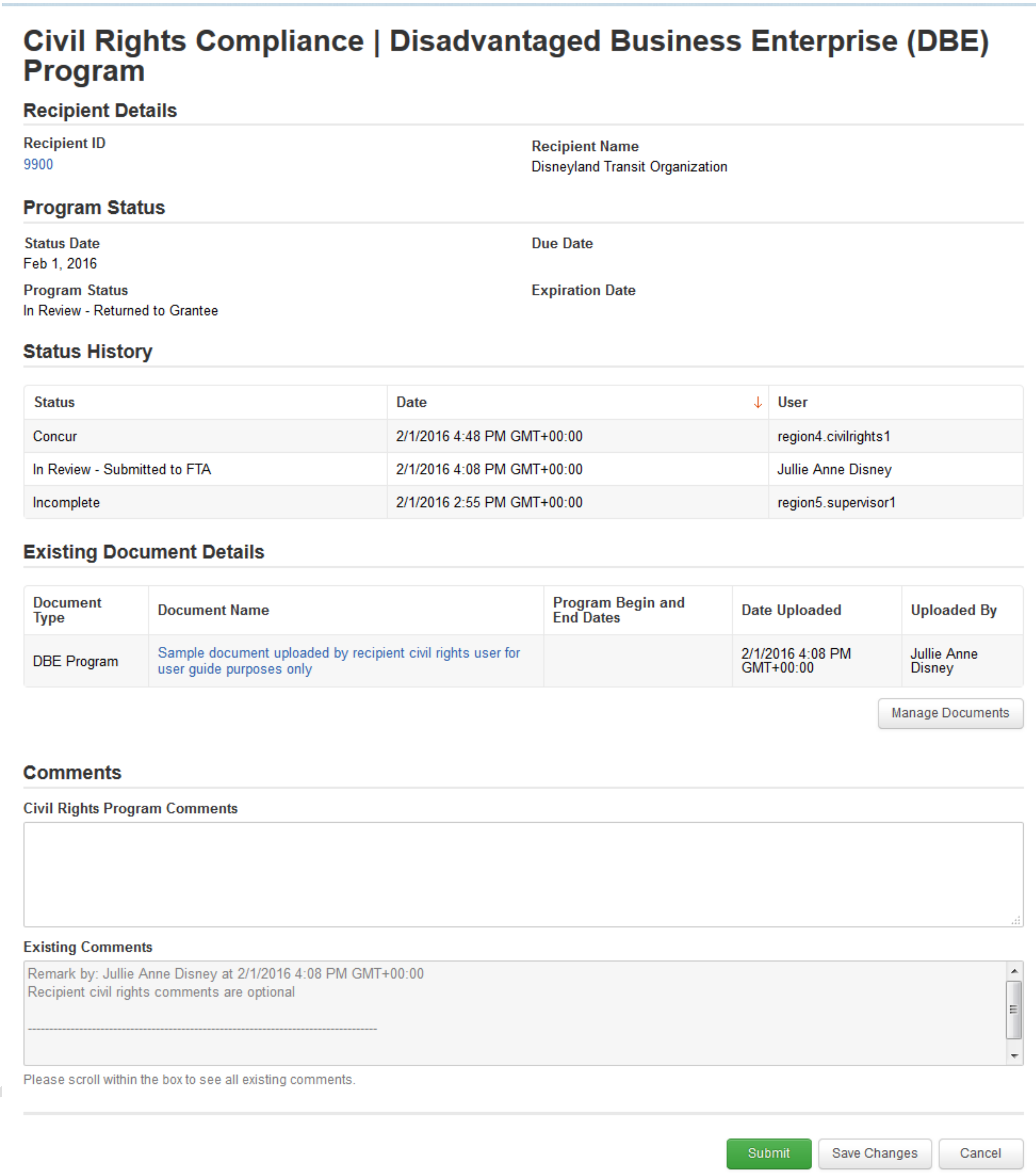

9) You will be returned to the ‘Civil Rights Compliance’ form and the submitted program will now show in the grid the updated status of ‘In Review - Submitted to FTA’ and an updated ‘Submitted Date’.

### 5.2.2 DBE Program

Disadvantaged Business Enterprise (DBE) Program is an affirmative action program designed to combat discrimination and its continuing effects by providing contracting opportunities on Federally-funded highway, transit, and airport projects for small businesses owned and controlled by socially and economically disadvantaged individuals. If required, the recipient must have an approved DBE program.

To update your organization's DBE Program information:

1) From the Civil Rights Compliance' page, select the check box for the 'DBE Program' and then click the 'Continue' button.
2) The 'Disadvantaged Business Enterprise (DBE) Program' form will be displayed.
   a) To discard any changes made, click the 'Cancel' button and return to the 'Civil Rights Compliance' form.
   b) Click the 'Save Changes' button at any time to save all information entered on the form.
3) Click the 'Manage Documents' button to add or delete any related documents.



# Civil Rights Compliance | Disadvantaged Business Enterprise (DBE) Program

## Recipient Details

**Recipient ID**
9900

**Recipient Name**
Disneyland Transit Organization

## Program Status

**Status Date**
Feb 1, 2016

**Due Date**

**Program Status**
In Review - Returned to Grantee

**Expiration Date**

## Status History

| Status | Date ↓ | User |
|---|---|---|
| Concur | 2/1/2016 4:48 PM GMT+00:00 | region4.civilrights1 |
| In Review - Submitted to FTA | 2/1/2016 4:08 PM GMT+00:00 | Jullie Anne Disney |
| Incomplete | 2/1/2016 2:55 PM GMT+00:00 | region5.supervisor1 |

## Existing Document Details

| Document Type | Document Name | Program Begin and End Dates | Date Uploaded | Uploaded By |
|---|---|---|---|---|
| DBE Program | Sample document uploaded by recipient civil rights user for user guide purposes only | | 2/1/2016 4:08 PM GMT+00:00 | Jullie Anne Disney |

Manage Documents

## Comments

**Civil Rights Program Comments**

**Existing Comments**

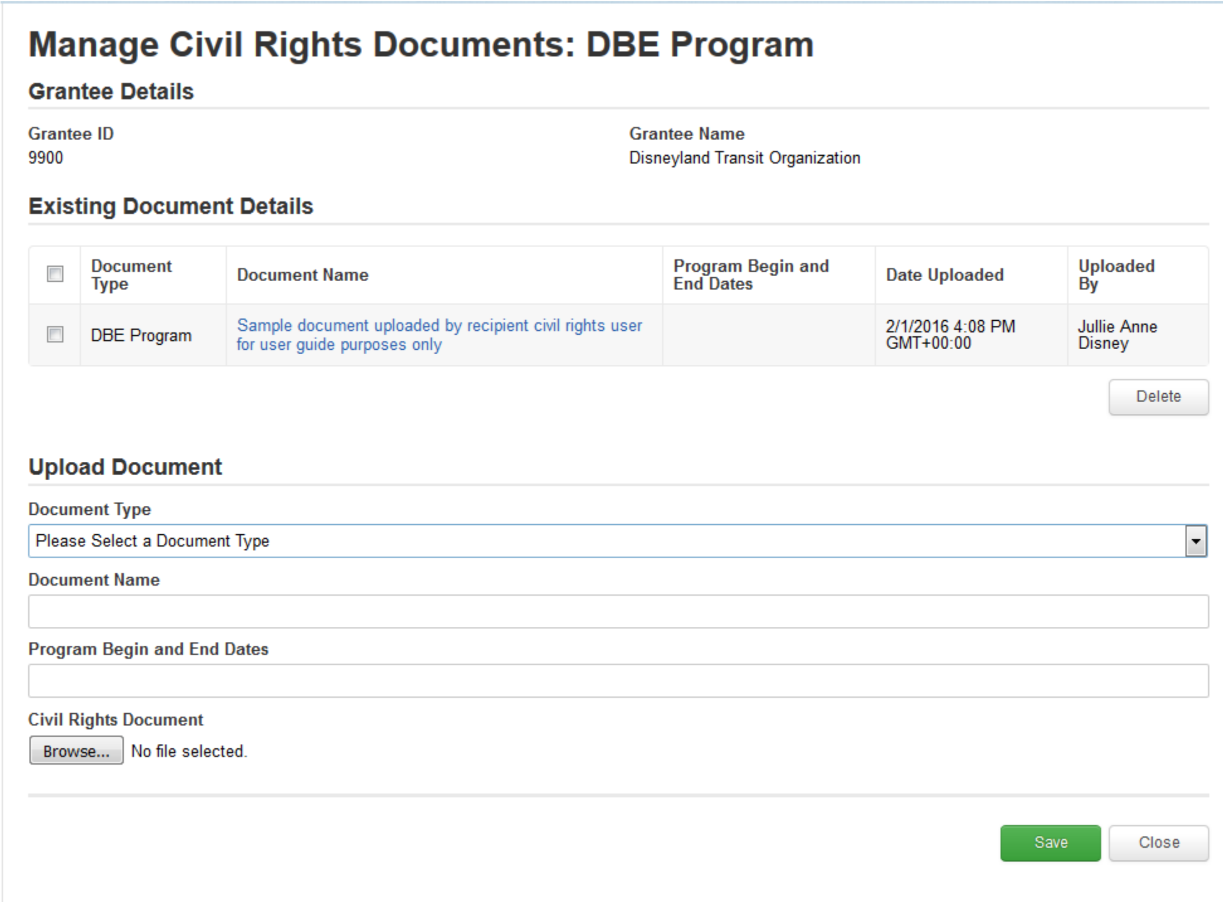
Remark by: Jullie Anne Disney at 2/1/2016 4:08 PM GMT+00:00
Recipient civil rights comments are optional

--------------------------------------------------------------------------------

Please scroll within the box to see all existing comments.

Submit Save Changes Cancel

4) The ‘Manage Civil Rights Documents: DBE Program’ form will be displayed.



## Manage Civil Rights Documents: DBE Program

### Grantee Details

| Grantee ID | Grantee Name |
|---|---|
| 9900 | Disneyland Transit Organization |

### Existing Document Details

| ☐ | Document Type | Document Name | Program Begin and End Dates | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|
| ☐ | DBE Program | Sample document uploaded by recipient civil rights user for user guide purposes only | | 2/1/2016 4:08 PM GMT+00:00 | Jullie Anne Disney |

Delete

### Upload Document

Document Type

Please Select a Document Type

Document Name

Program Begin and End Dates

Civil Rights Document

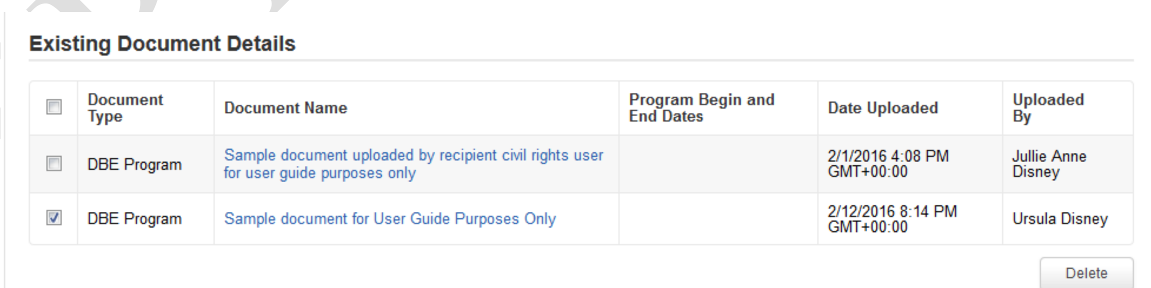
Browse... No file selected.

Save Close

5) To delete any existing documents,

a) Select the check box for the document from the ‘Existing Document Details’ grid and then click the ‘Delete’ button

b) To discard any changes made, click the ‘Close’ button to return to the ‘Disadvantaged Business Enterprise (DBE) Program’ form.



### Existing Document Details

| ☐ | Document Type | Document Name | Program Begin and End Dates | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|
| ☐ | DBE Program | Sample document uploaded by recipient civil rights user for user guide purposes only | | 2/1/2016 4:08 PM GMT+00:00 | Jullie Anne Disney |
| ☑ | DBE Program | Sample document for User Guide Purposes Only | | 2/12/2016 8:14 PM GMT+00:00 | Ursula Disney |

Delete

6) To add a document,

a) Use the drop-down menu provided under the ‘Document Type’ field to select a document type.

b) Enter the name for the document into the ‘Document Name’ field.

c) Enter the date range for the program’s duration into the ‘Program Begin and End Dates’ field.

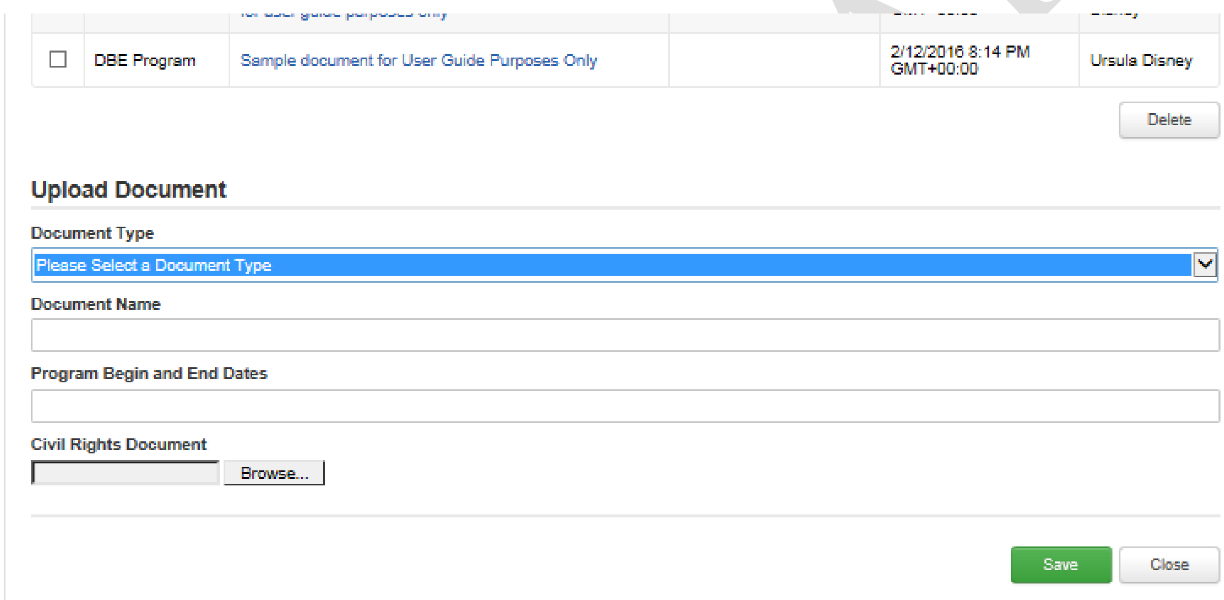
d) Click the ‘Browse...’ button under ‘Civil Rights Document’ field to select a local file to upload.

e) Click the ‘Remove’ link which appears after upload if you wish to remove your uploaded file.

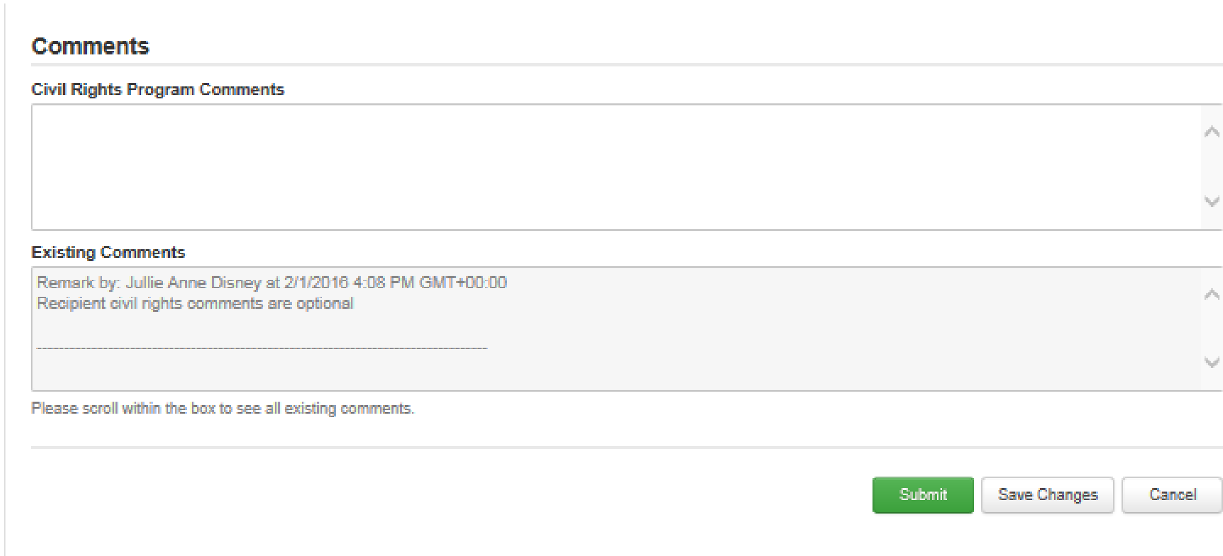
7) Once finished, click the ‘Save’ button to add the document. The document will be added to the grid under ‘Existing Document Details’.

8) Click the ‘Close’ button to return to the ‘Disadvantaged Business Enterprise (DBE)’ form.

**Note**: At a minimum, the ‘Document Type’ field must be completed and a document must be uploaded in order to save a new document to the program.




9) Enter any comments into the optional ‘Civil Rights Program Comments’ field and then click the ‘Submit’ button to submit the program for FTA review.




10) You will be returned to the ‘Civil Rights Compliance’ form and the submitted program will now show in the grid with an updated status of ‘In Review - Submitted to FTA’ and an updated ‘Submitted Date’.

### 5.2.3 DBE Goal

When recipients have a DBE program, recipients must set an overall goal for DBE participation in their DOT-assisted contracts. Goals must be based on demonstrable evidence of the availability of ready, willing and able DBEs relative to all businesses ready, willing and able to participate on the recipient’s DOT-assisted contracts. The goal must reflect the recipient’s determination of the level of DBE participation the organization would expect absent the effects of discrimination.

If your organization has a DBE program, you must ensure that annual goals have been submitted to FTA for review as required.

To update a recipient’s DBE Goal information:

1) From the ‘Civil Rights Compliance’ page, select the check box for ‘DBE Goal’ and then click the ‘Continue’ button.

2) The ‘Disadvantaged Business Enterprise (DBE) Goal’ form will be displayed.

   a) To discard any changes made, click the ‘Cancel’ button to return to the ‘Civil Rights Compliance’ form.

   b) Click the ‘Save Changes’ button at any time to save all information entered on the form.

3) Enter a Percentage value for your DBE Goals

   a) DBE Race Conscious Goal

   b) DBE Race Neutral Goal

4) The Overall Goal will be automatically calculated by combining the DBE Race Conscious Goal and the Race Neutral Goals.
5) Click the 'Manage Documents' button to add or delete any related documents.

# Civil Rights Compliance | Disadvantaged Business Enterprise (DBE) Goal

## Recipient Details

**Recipient ID**
9900

**Recipient Name**
Disneyland Transit Organization

## Program Status

**Status Date**
Feb 1, 2016

**Program Status**
In Review - Returned to Grantee

**Due Date**
Jan 1, 2017

**Expiration Date**
Dec 31, 2020

**Cycle Group**
Group A

## DBE Goals

**DBE Race Conscious Goal**
8.91%

**DBE Race Neutral Goal**
15.09%

**Overall Goal**
24%

## Status History

| Status | Date | User |
|---|---|---|
| Concur | 2/1/2016 5:43 PM GMT+00:00 | region4.civilrights1 |
| In Review - Submitted to FTA | 2/1/2016 4:18 PM GMT+00:00 | Jullie Anne Disney |
| Incomplete | 2/1/2016 2:55 PM GMT+00:00 | region5.supervisor1 |

## Existing Document Details

| Document Type | Document Name | Program Begin and End Dates | Date Uploaded | Uploaded By |
|---|---|---|---|---|
| DBE Goal | Sample document uploaded by FTA Regional Ciovil Rights officer for user guide purposes only | | 2/1/2016 5:33 PM GMT+00:00 | region4.civilrights1 |
| DBE Goal | Sample document for User Guide Purposes Only | | 2/12/2016 9:50 PM GMT+00:00 | Ursula Disney |

Manage Documents

## Comments

**Civil Rights Program Comments**

**Existing Comments**

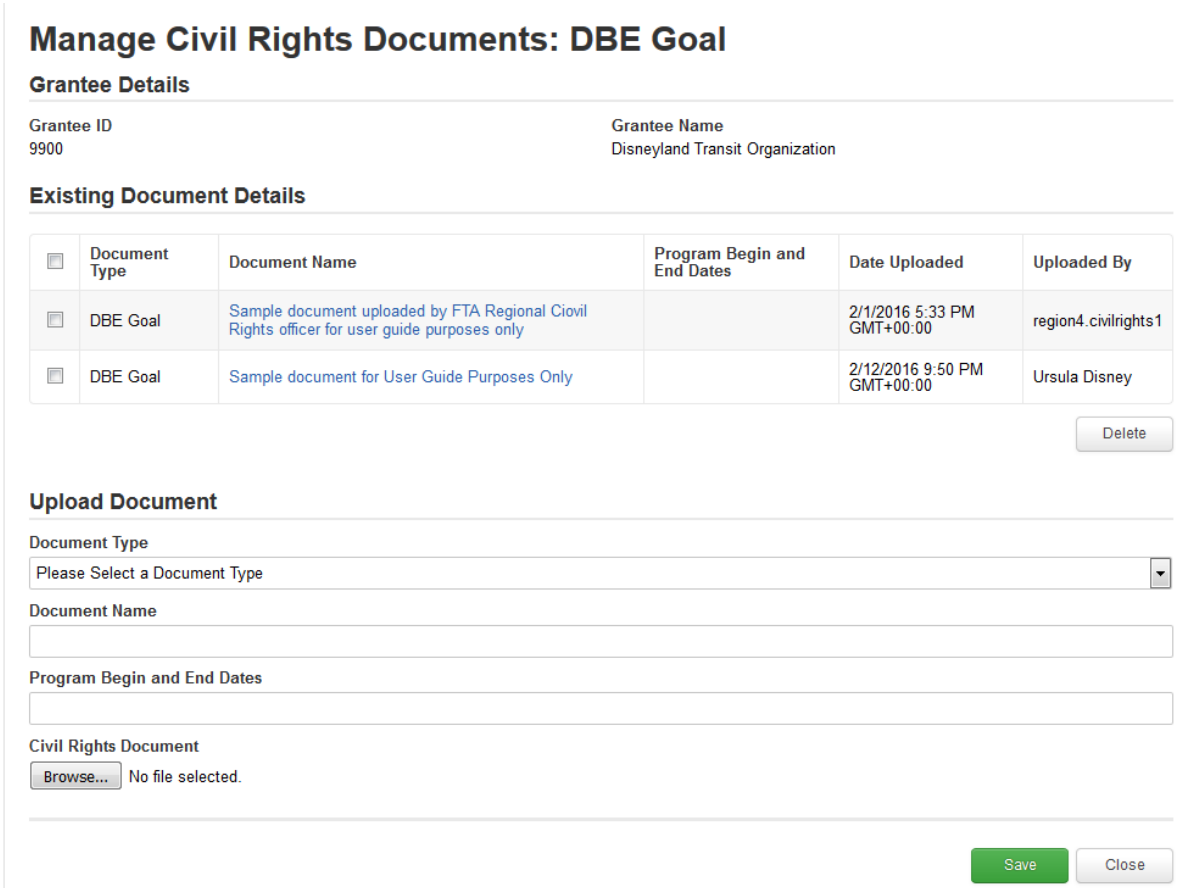
Remark by: Jullie Anne Disney at 2/1/2016 4:18 PM GMT+00:00
Recipient civil rights comments are optional

------------------------------------------------------------------------

Please scroll within the box to see all existing comments.

Submit | Save Changes | Cancel

6) The 'Manage Civil Rights Documents: DBE Goal' page will be displayed



# Manage Civil Rights Documents: DBE Goal

## Grantee Details

Grantee ID
9900

Grantee Name
Disneyland Transit Organization

## Existing Document Details

| ☐ | Document Type | Document Name | Program Begin and End Dates | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|
| ☐ | DBE Goal | Sample document uploaded by FTA Regional Ciovil Rights officer for user guide purposes only | | 2/1/2016 5:33 PM GMT+00:00 | region4.civilrights1 |
| ☐ | DBE Goal | Sample document for User Guide Purposes Only | | 2/12/2016 9:50 PM GMT+00:00 | Ursula Disney |

Delete

## Upload Document

Document Type
Please Select a Document Type

Document Name

Program Begin and End Dates

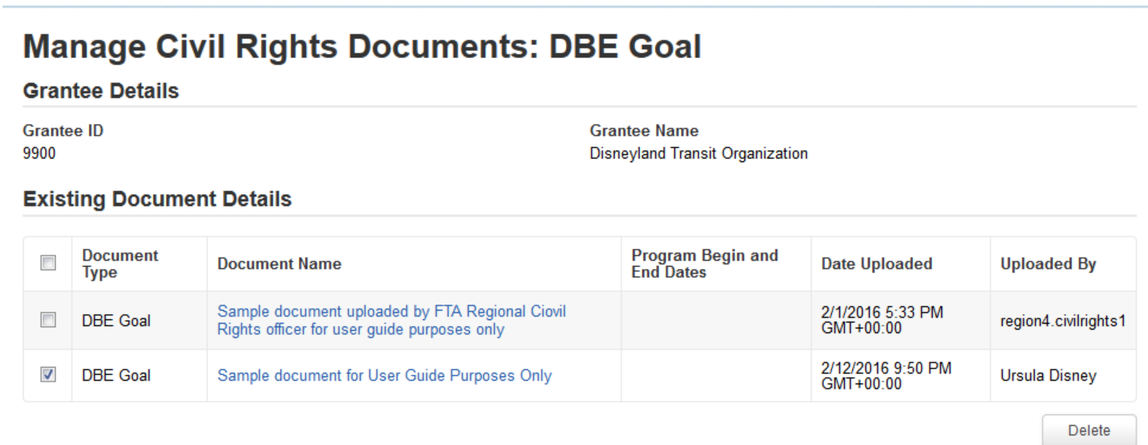
Civil Rights Document
Browse... No file selected.

Save Close

7) To delete any existing documents,

a) Select the check box for the document from the 'Existing Document Details' grid and then click the 'Delete' button

b) To discard any changes made, click the 'Close' button to return to the 'Disadvantaged Business Enterprise (DBE) Program' form.



## Manage Civil Rights Documents: DBE Goal

### Grantee Details

Grantee ID
9900

Grantee Name
Disneyland Transit Organization

### Existing Document Details

| ☐ | Document Type | Document Name | Program Begin and End Dates | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|
| ☐ | DBE Goal | Sample document uploaded by FTA Regional Ciovil Rights officer for user guide purposes only | | 2/1/2016 5:33 PM GMT+00:00 | region4.civilrights1 |
| ☑ | DBE Goal | Sample document for User Guide Purposes Only | | 2/12/2016 9:50 PM GMT+00:00 | Ursula Disney |

Delete

8) To add a document,
   a) Use the drop-down menu provided under the ‘Document Type’ field to select a document type.
   b) Enter the name for the document into the ‘Document Name’ field.
   c) Enter the date range for the program’s duration into the ‘Program Begin and End Dates’ field.
   d) Click the ‘Browse...’ button under ‘Civil Rights Document’ field to select a local file to upload.
   e) Click the ‘Remove’ link which appears after upload if you wish to remove your uploaded file.
9) Once finished, click the ‘Save’ button to add the document. The document will be added to the grid under ‘Existing Document Details’.
10) Click the ‘Close’ button to return to the ‘Disadvantaged Business Enterprise (DBE) Goal’ form.

**Note**: At a minimum, the ‘Document Type’ field must be completed and a document must be uploaded in order to save a new document to the program.

### Upload Document

Document Type
Please Select a Document Type

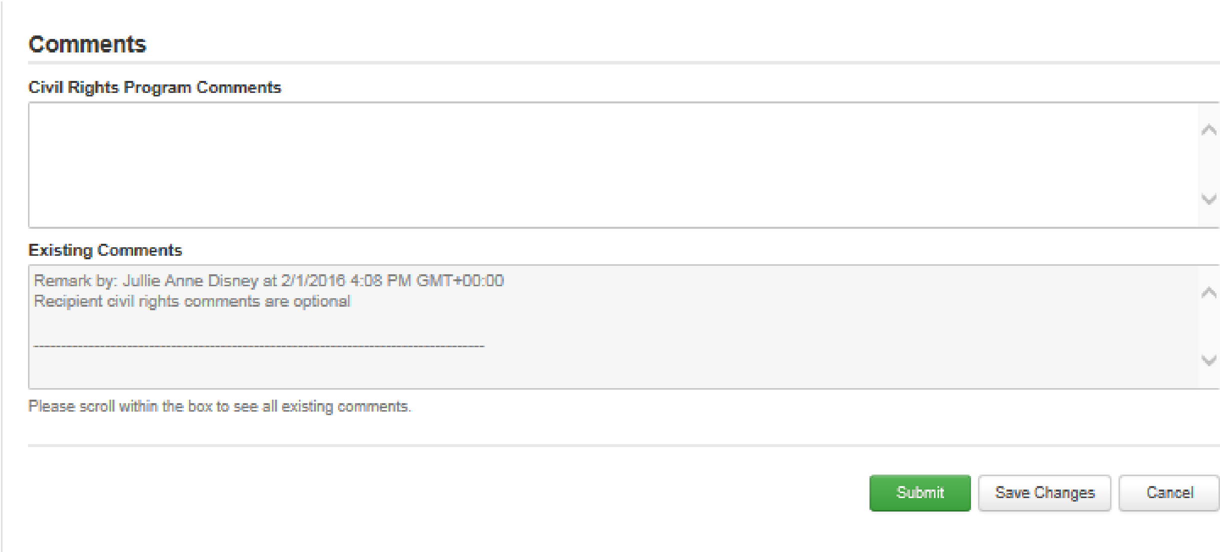
Document Name

Program Begin and End Dates

Civil Rights Document
Browse...

Save Close

11) Enter any comments into the optional ‘Civil Rights Program Comments’ field and then click the ‘Submit’ button to submit the program for FTA review.




12) You will be returned to the ‘Civil Rights Compliance’ form and the submitted program will now show in the grid with an updated status of ‘In Review - Submitted to FTA’ and an updated ‘Submitted Date’.

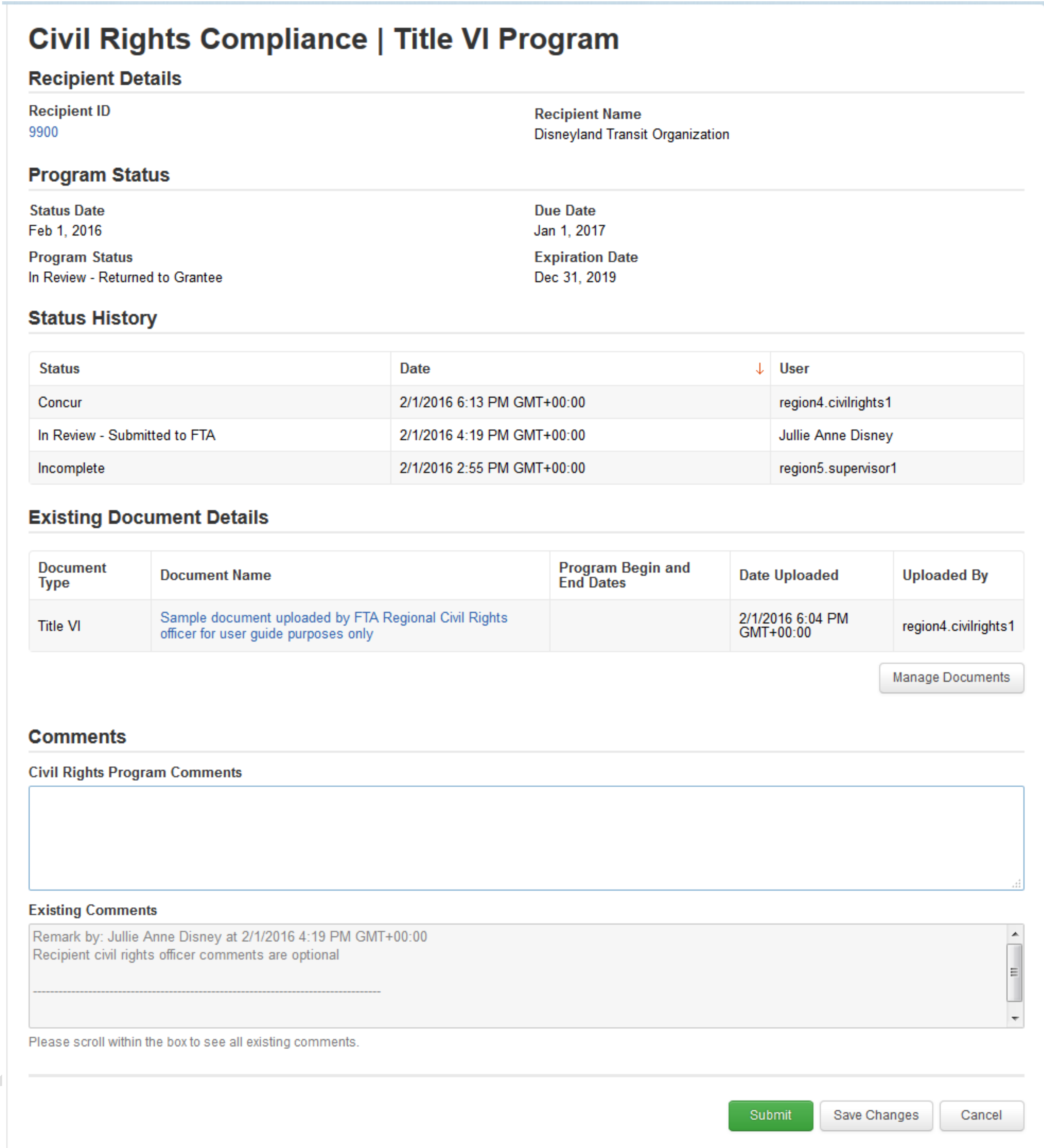
### 5.2.4 Title VI

Title VI of the Civil Rights Act of 1964: Title VI is a Federal statute and provides that no person shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

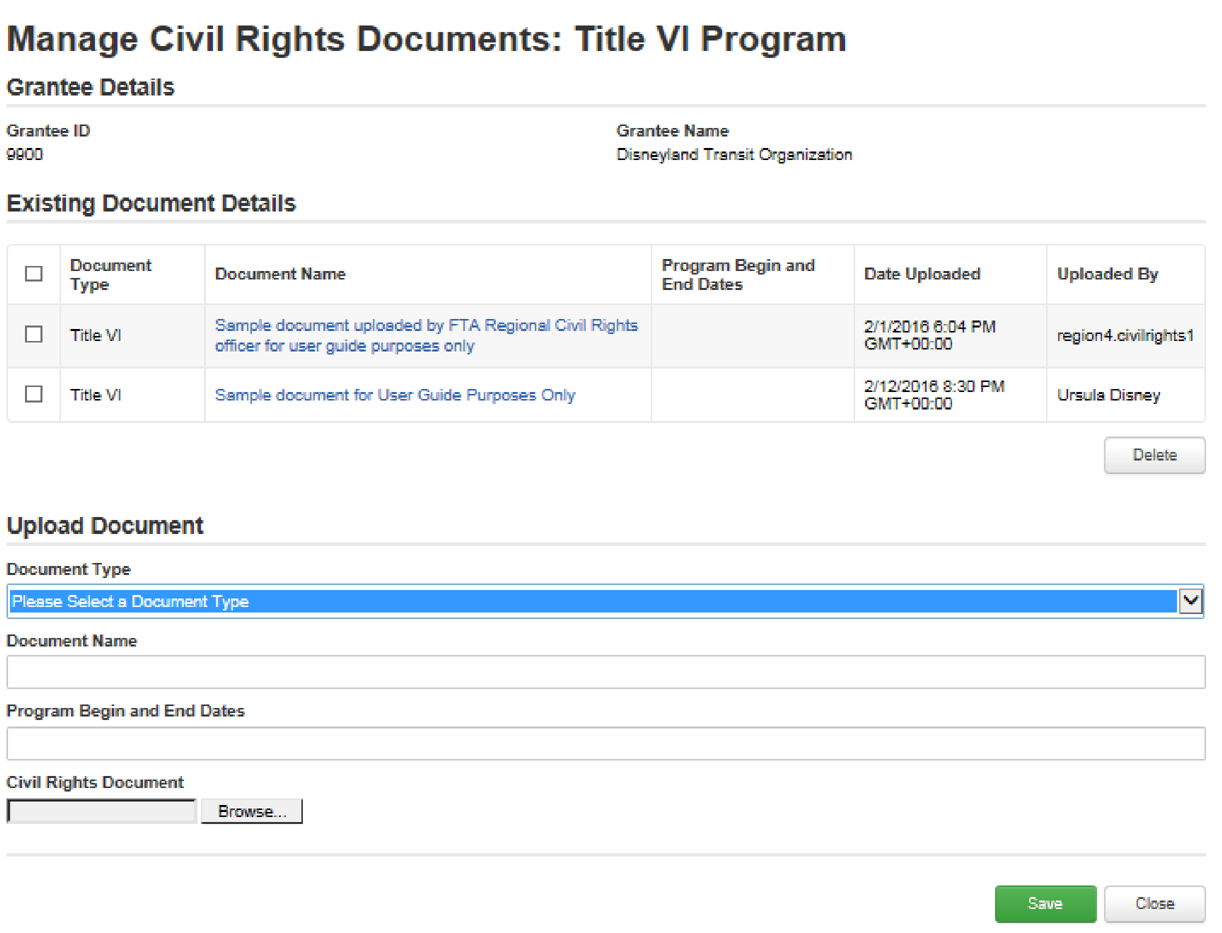
The recipient must maintain the status of its Title VI program.

To update your organization’s Title VI program information:

1) From the ‘Civil Rights Compliance’ page, select the check box for ‘Title VI Program’ and then click the ‘Continue’ button.
2) The ‘Title VI Program’ form will be displayed.
   a) To discard any changes made, click the ‘Cancel’ button to return to the ‘Civil Rights Compliance’ form.
   b) Click the ‘Save Changes’ button at any time to save all information entered on the form.
3) Click the ‘Manage Documents’ button to add or delete any related documents.




4) The 'Manage Civil Rights Documents: Title VI Program' form will be displayed.



# Manage Civil Rights Documents: Title VI Program

## Grantee Details

Grantee ID
9900

Grantee Name
Disneyland Transit Organization

## Existing Document Details

| ☐ | Document Type | Document Name | Program Begin and End Dates | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|
| ☐ | Title VI | Sample document uploaded by FTA Regional Civil Rights officer for user guide purposes only | | 2/1/2016 6:04 PM GMT+00:00 | region4.civilrights1 |
| ☐ | Title VI | Sample document for User Guide Purposes Only | | 2/12/2016 8:30 PM GMT+00:00 | Ursula Disney |

Delete

## Upload Document

Document Type
Please Select a Document Type

Document Name

Program Begin and End Dates

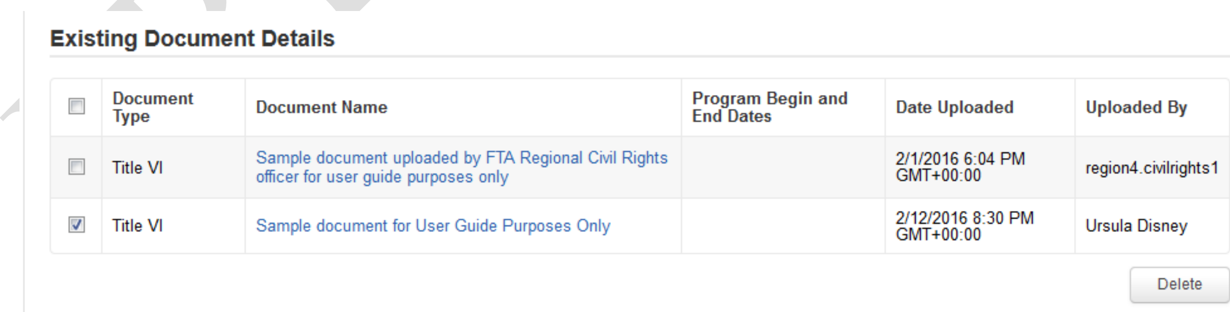
Civil Rights Document
Browse...

Save Close

5) To delete any existing documents,

a) Select the check box for the document from the 'Existing Document Details' grid and then click the 'Delete' button

b) To discard any changes made, click the 'Close' button to return to the 'Disadvantaged Business Enterprise (DBE) Program' form.



## Existing Document Details

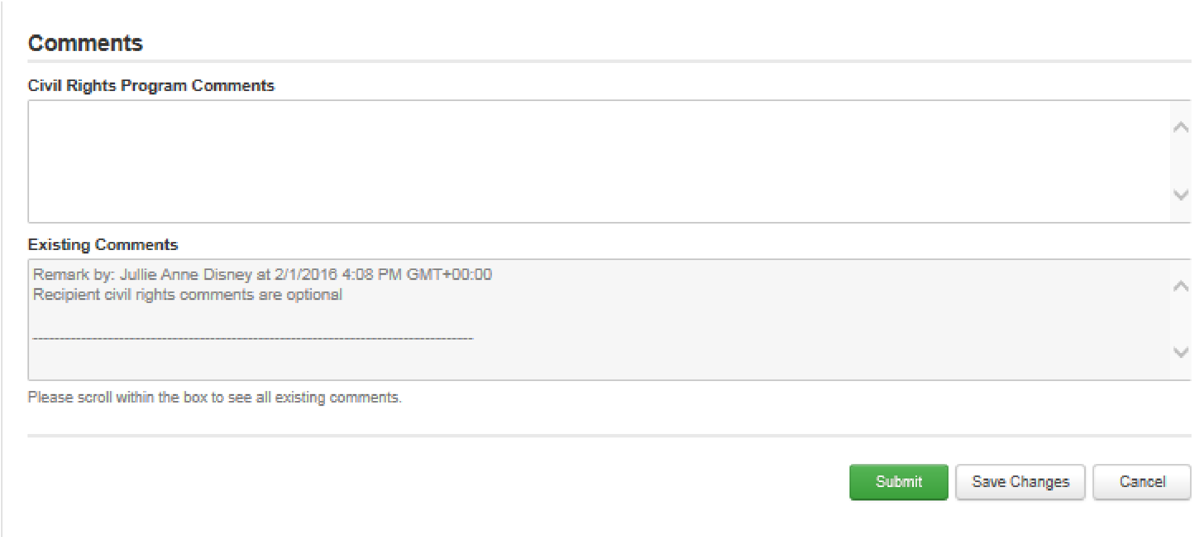
| ☐ | Document Type | Document Name | Program Begin and End Dates | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|
| ☐ | Title VI | Sample document uploaded by FTA Regional Civil Rights officer for user guide purposes only | | 2/1/2016 6:04 PM GMT+00:00 | region4.civilrights1 |
| ☑ | Title VI | Sample document for User Guide Purposes Only | | 2/12/2016 8:30 PM GMT+00:00 | Ursula Disney |

Delete

6) To add a document,
   a) Use the drop-down menu provided under the ‘Document Type’ field to select a document type.
   b) Enter the name for the document into the ‘Document Name’ field.
   c) Enter the date range for the program’s duration into the ‘Program Begin and End Dates’ field.
   d) Click the ‘Browse...’ button under the ‘Civil Rights Document’ field to select a local file to upload.
   e) Click the ‘Remove’ link which appears after upload if you wish to remove your uploaded file.
7) Once finished, click the ‘Save’ button to add the document. The document will be added to the grid under ‘Existing Document Details’.
8) Click the ‘Close’ button to return to the ‘Title VI Program’ form.

**Note**: At a minimum, the ‘Document Type’ field must be completed and a document must be uploaded in order to save a new document to the program.


9) Enter any comments into the optional ‘Civil Rights Program Comments’ field and then click the ‘Submit’ button to submit the program for FTA review.




10) You will be returned to the ‘Civil Rights Compliance’ form and the submitted program will now show in the grid with an updated status of ‘In Review - Submitted to FTA’ and an updated ‘Submitted Date’.

## 5.3 Submitting to the FTA

Once you have submitted each of the programs to the FTA for review the submitted the Civil Rights program will have the status of ‘In Review – Submitted to FTA’ and may not be modified until the review is complete. The FTA Regional Civil Rights Officer will review and update civil rights information for recipient within their region. Each of the statuses that the Civil Rights Officer will be able to set for a recipient’s civil rights program represents a stage of the review process that the program is currently in.

### 5.3.1 Overview of Statuses

#### 5.3.1.1 In Review - Under FTA Review

The FTA Regional Civil Rights Officer can set the ‘Program Status’ of a civil rights program to the ‘In Review - Under FTA Review’ status to indicate that the FTA Regional Civil Rights Officer is currently reviewing the recipient’s submission of a civil rights program. While the civil rights program is under this status, the recipient’s Civil Rights user will be unable to modify any details for the program.

#### 5.3.1.2 In Review - Returned to Grantee

The FTA Regional Civil Rights Officer can set the ‘Program Status’ of a civil rights program to the ‘In Review – Returned to Grantee’ status to return the civil rights program to the recipient for updates. During this status, the recipient Civil Rights user can make edits to the returned program.

#### 5.3.1.3 Concur

The FTA Regional Civil Rights Officer can set the ‘Program Status’ of a civil rights program to the ‘Concur’ status to signify that the program has been reviewed and approved by FTA.

When setting the ‘Concur’ status for the very first time for the DBE Goal, Title VI and EEO programs, FTA will enter a ‘New Due Date’ and ‘New Expiration Date’.

If the Due Date and Expiration Date had been set previously, the dates will automatically move forward three years from the previous dates that were saved to the civil rights program. The FTA Regional Civil Rights Officer can change the due date and expiration date if needed.

#### 5.3.1.4 Expired

The FTA Regional Civil Rights Officer can set the program status of a civil rights program to the ‘Expired’ status to signify that the validity of a civil rights program has expired and that the recipient’s Civil Rights user needs to resubmit the corresponding program to FTA.

#### 5.3.1.5 N/A

This status is a default status set for a new recipient. The FTA Regional Civil Rights Officer can set this status after review of any civil rights program if the program does not apply to a recipient organization.

# 6 Application / Award Overview and Application Development

Application detail records include both applications that are in progress and applications that have been awarded. Available application record details will be displayed in the left navigation menu after selecting an application record. The Related Actions menu will display actions relevant to the selected application. Actions displayed will vary based on the user's role and the current status of the application.

Refer to the Working with Applications/Awards section for more detailed information on common application / award details and actions. Refer Application Development section for information on how to create applications and projects. Additional actions may be found in the Post award section (Refer to Managing Existing Awards - Post-Award Management).

## 6.1 Application / Award Status

The status of an application / award reflects the different phases within the grant lifecycle. Recipients may view an application at any time however the actions that they may perform on an application will vary depending on the application award status. Both FTA and the recipient may view the application at any time but modification of the application will be restricted depending on the status. Only users with the Submitter or Developer role will be able to edit the application, other user roles will see a read-only version of the forms.

The following table lists available statuses of applications prior to award:

| TrAMS Pre-Award Status | Description |
|---|---|
| In-Progress | Initial application creation by the recipient or returned to recipient prior to FAIN assignment. Developers, Submitters, and FTA (pre-award manager) may edit. |
| In-Progress / Returned to Grantee | Application has been returned to the recipient from FTA after FAIN assignment. Developers, Submitters, and FTA may edit. Funding source for existing line items cannot be updated. |
| Transmitted / Ready for FTA Review | Application has been transmitted to the FTA, reviews have not yet begun. Only FTA may edit the application. |
| Initial Review / Concurrence | FTA initial review in progress. Only FTA may edit the application. FTA inputs congressional details if needed. |
| Review Complete / Ready for FAIN | FTA has completed their review. Only FTA may edit the application. |
| FAIN Assigned / Ready for Submission | The FAIN number has been assigned and the application has been returned to the recipient. Submitter will have a Task to submit the application but will not be allowed to edit may |

| | |
|---|---|
| | return to FTA for editing. |
| Application Submitted | Application has been submitted to the FTA by the recipient. FTA may edit the application, except for ALI. |
| Final Concurrence / Reservation | The application undergoing final concurrence reviews. FTA completes reservation and adds discretionary allocations. FTA sends application to DOL if required for certification or review. FTA may edit the application, except for ALI. |
| Ready for RA Concurrence / Award | Final concurrences are complete and application is awaiting concurrence by the RA and the awarding of the application. Application sent for Congressional release if required. Editing not available. |
| Obligated / Ready for Execution | Application has been sent back to the recipient and is waiting for execution by the Recipient Official. Editing not available. |

The following statuses are applicable post award.

| **TrAMS Post-Award Status** | **Description** |
|---|---|
| Active (Executed) | Active award or Active Amendment. Budget revisions, Amendments, Closeouts may be initiated by Developers and Submitters. FTA may initiate Administrative Amendments or Closeouts. |
| Active / Budget Revision In-Progress | A budget request has been initiated however it has not yet been sent to FTA for review. May edit project narratives and line items. |
| Active / Budget Revision Under Review | FTA is reviewing the budget revision and reserves funds if necessary. |
| In-Progress / Admin Amendment | FTA has initiated an amendment on this award. |
| Active Award / Inactive Amendment | The award is active however there is a newer active amendment for this award. All information is read-only. |
| Active Award / Ready for Closeout | Closeout in amendment in progress. |
| Active Award / Closeout Requested | Closeout request has been forwarded to the FTA for approval. |

| | |
|---|---|
| Closed | Award is complete and has been closed, all information is read-only no additional actions can be taken on the award. |

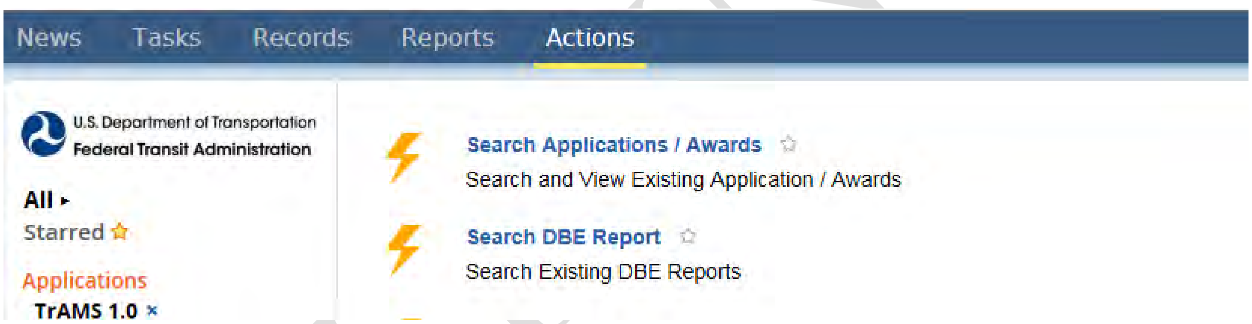
## 6.2 Searching for Applications/Awards

Users may find specific applications or awards to either view or work with by either searching for them from the ‘Records’ Tab or by searching for them from application search action available from the ‘Actions’ Tab. Projects associated with applications, may be searched on independently from the application using the ‘Records’ tab.

### 6.2.1 Action: Search Application/Awards

You can navigate to an Application or an Award by using the search option that is available under the Actions tab.

1) Navigate to the ‘Actions’ tab and choose the ‘Search Applications / Awards’ option.




2) Click ‘Search Applications/Awards’.
3) The ‘Application | Search Applications’ form will be displayed with search criteria fields. You may choose to complete any combination of the following fields:
   a) Select a fiscal year from the drop-down menu provided under the ‘Fiscal Year’ field.
   b) Enter an application number into the ‘Federal Award ID Number (FAIN)’ field. Entering only the first part of an application number will yield search results for all applications that begin with the partial number that is entered.
   c) A two digit section code for the application funding source of the application / award.
   d) The name or partial name of the application.
   e) The state abbreviation for the application.

f) Select an application status from the drop-down menu provided under the ‘Application Status’ field.

4) Once all search criteria have been entered, click the ‘Search’ button.

## Application | Search Applications

Enter one or more of the following search criteria to find an existing application.

### Application Search Criteria

Fiscal Year: Any
Select obligation fiscal year for application

Application Name:
Enter all or part of an application name

Federal Award ID Number (FAIN):
Enter federal award ID number

Application State:
Enter state abbreviation for application

Section Code:
Enter two-digit section code for application funding source

Application Status: Any
Select application status

Search | Cancel

**Note**: None of the search criteria fields on this form are required. Search results will be limited to applications and awards for the recipient organization.

5) A grid containing the awards and applications that meet the selected search criteria will be provided in the ‘Application Search Results’ screen.

6) Click on the FAIN of the application, which is a hyperlink that will take you directly to the application record ‘Summary’, where you can then view or manage the record.

## Disneyland Transit Organization | Application Search Results

### Applications

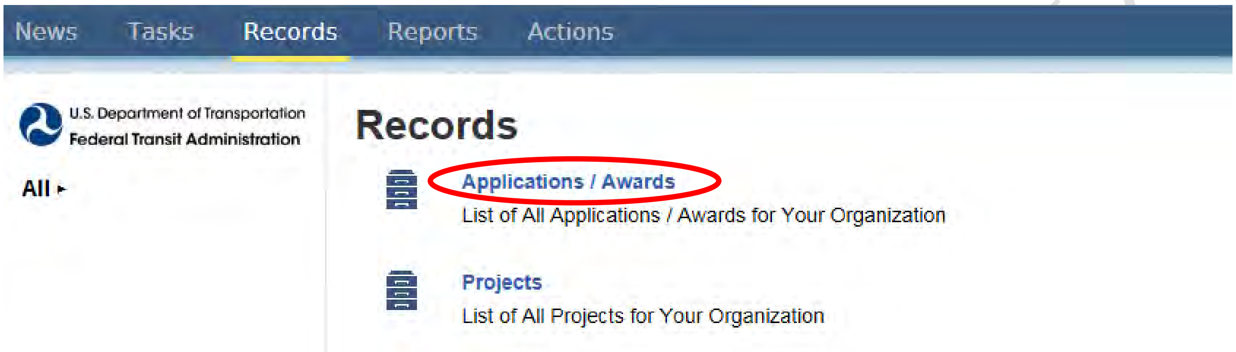
| FAIN | Application Name | Last Updated By | Last Updated Date | Status |
|---|---|---|---|---|
| FL-2016-002-00 | Sample TrAMS Application for User Guide Purposes Only | tommdisney@yahoo.com | 1/22/2016 9:41 PM GMT+00:00 | Application Submitted |
| 7312-2016-4 | Sample TrAMS Application for User Guide Purposes only | tommdisney@yahoo.com | 1/26/2016 12:45 AM GMT+00:00 | In-Progress |
| FL-2016-004-00 | Sample TrAMS Application - Closeout for User Guide Purposes Only | julliennedisney@yahoo.com | 1/27/2016 12:31 AM GMT+00:00 | Active (Executed) |
| FL-2016-004-01 | Sample TrAMS Application - Closeout for User Guide Purposes Only | region4.postawardmanager1 | 1/27/2016 4:21 PM GMT+00:00 | Active Award / Ready for Closeout |

Search Again | Close

### 6.2.2 Records: Searching for Applications/Awards

Application records are available from the 'Records' tab.

1) Click on the 'Applications/Awards' record type to view a listing of application records in the system. A list of applications and awards (including closed awards) that are associated with your organization will be displayed.

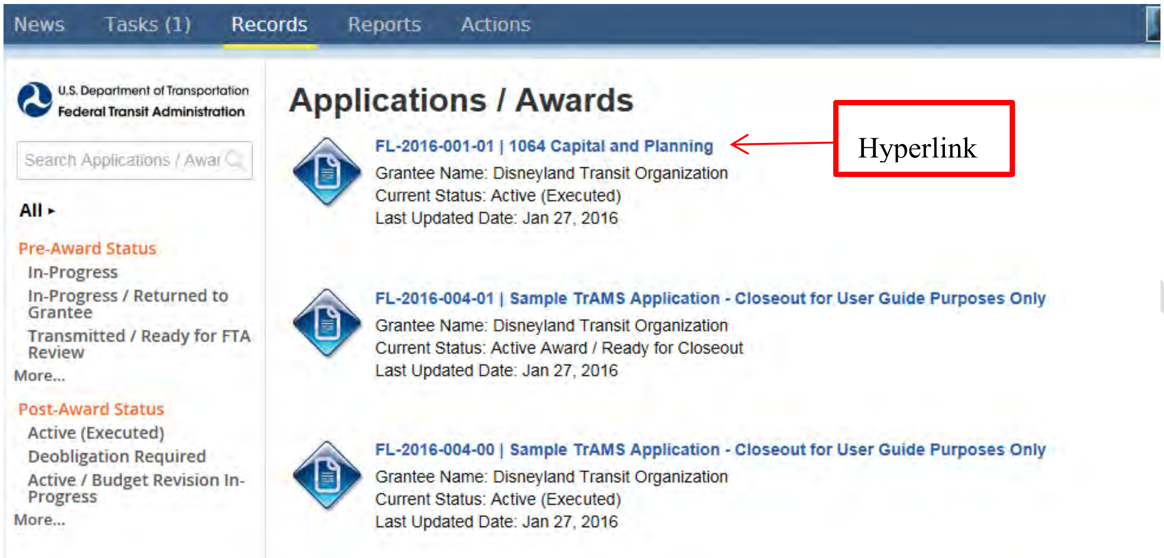



2) You may use either the search box or filters from the left navigation menu to narrow down the list and find the application you want to select.

    a) Use the 'Left Hand Navigation' to narrow the presented list to a smaller subset. Application /Awards may be filtered by the application or awards status. By selecting one or more Pre-Award statuses or Post-Award statuses the list will be shortened to only include those awards or applications that currently have that status.

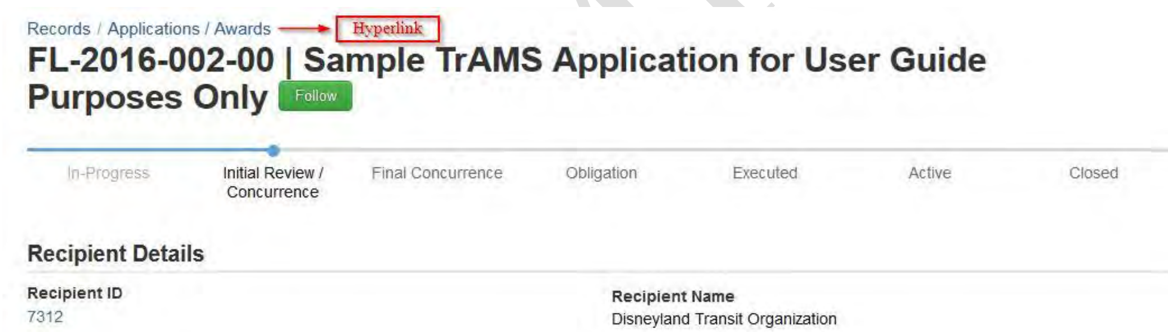
    b) The search box on the left hand side may be used to directly type in an award or application number in order to find a specific award or application. Searches may be performed on partial award or application numbers including temporary application numbers and also by typing in the Application /Award name in whole or in part.

3) Click on the name of the application, which is a hyperlink that will take you directly to the application record's 'Summary' dashboard. The hyperlink includes either the temporary or final FAIN and application name.




4) The Applications/Awards Summary page will be displayed.

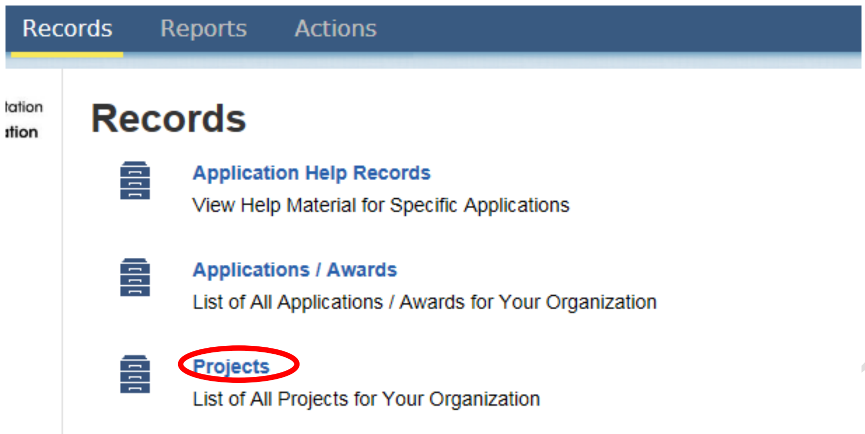
5) To navigate back to the previous application/award list click the 'Application /Award' hyperlink on the top of the page.




### 6.2.3 Records: Searching for Projects

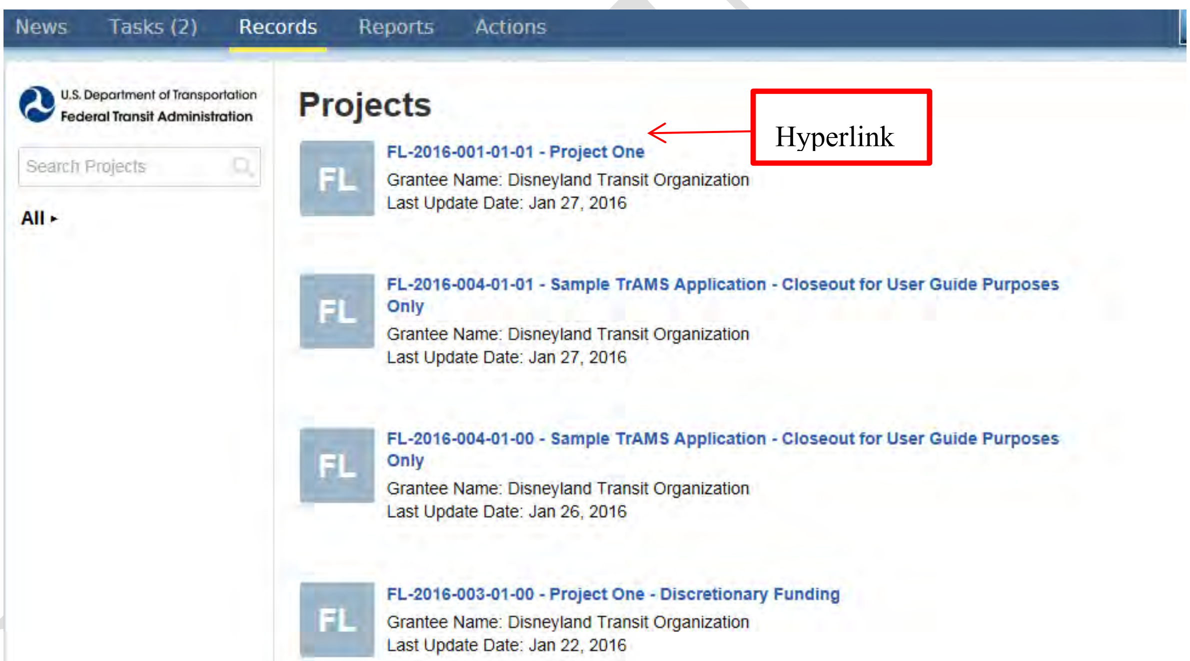
You may find Project records directly from the 'Records' tab.

1) Click on the 'Projects' record type to view a listing of projects.

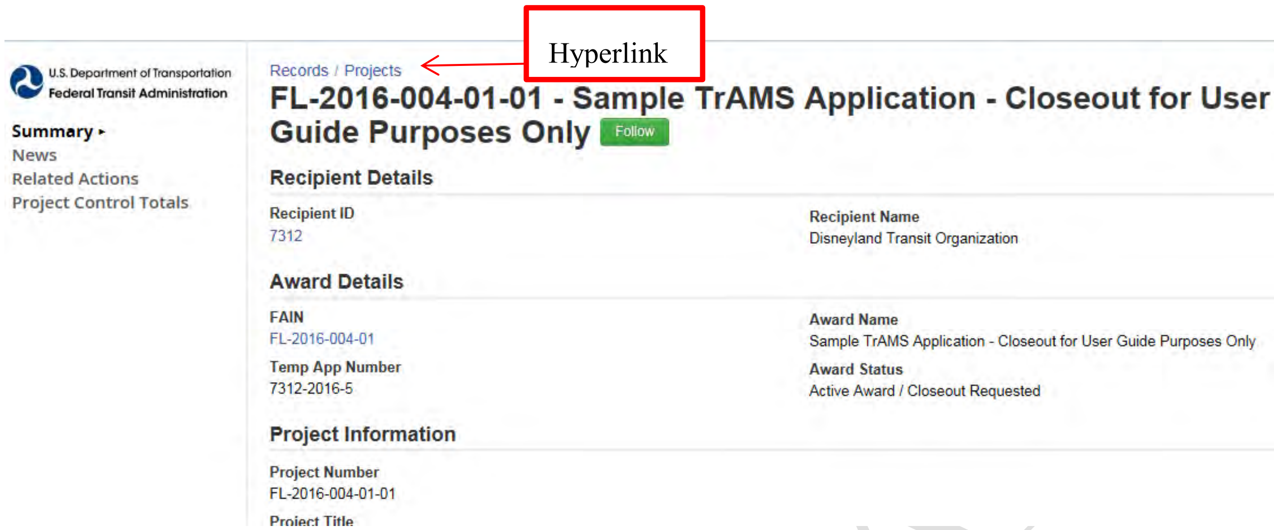



2) To filter the list of displayed projects, use the search box in the left hand navigation to type in either a project number or project name in full or in part.

3) Click on the name of the desired project record from the list to view the 'Summary' page for the project.




6) To navigate back to the project list click the 'Projects' hyperlink on the top of the page.




## 6.3 Working with Applications/Awards

Once an Application/Award has been selected from one of the search options, the ‘Summary’ page will be displayed. The left hand navigation will contain more options to select and view additional application/award information. Available options will vary depending on your user role and the current status of the application/award.

The following left hand navigation options are available to all user roles and for all application/award statuses.

- Summary
- News
- Related Actions
- Points of Contact
- Application Control Totals
- Application Projects

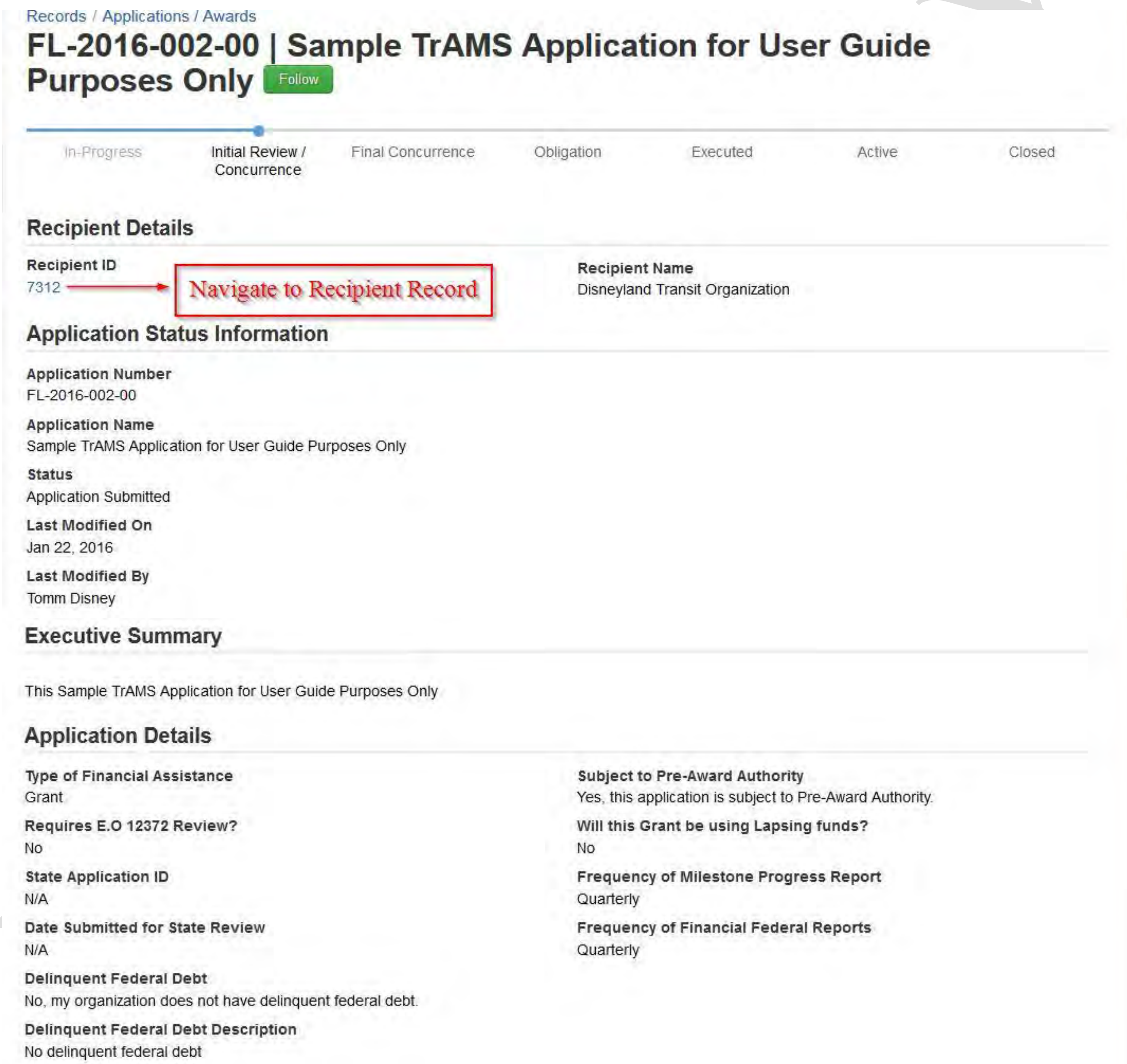
### 6.3.1 Summary

The Summary page of an application will be the landing page after selecting a specific application /award to view or work with. It contains high level information about the application/award including,

- A timeline showing the current status of the application/award,
- Basic recipient information with a hyperlink to the recipient record,
- Application/Award status information,
- The executive summary of the application/award,
- Application details.

The ‘Summary’ page is in read-only format for all users at all times, the ‘Executive Summary’ and the ‘Application Details’ information can be edited from the ‘Related Action’ Application Details.

1) Click the ‘Recipient ID’ hyperlink to move to the recipient record to see or edit detailed recipient information.
2) Click on the ‘Application/Award’ hyperlink to navigate back to list of application records.



### 6.3.2 News

This feature has not yet been implemented. In the future users will use this feature to see news feeds that are related to the Application.

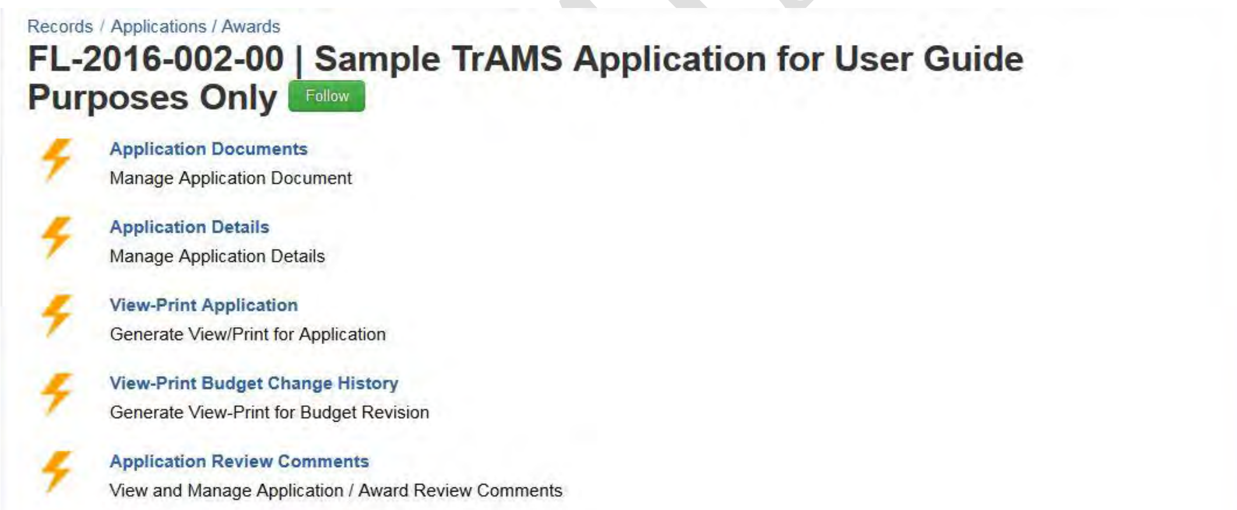
### 6.3.3 Related Actions

By selecting the ‘Related Actions’ from Application records the user will be shown a menu of options that are associated to the Application record. These will include additional details about the application/award that may be viewed and actions that may be taken on the record. The menu items shown depend on the logged in users’ role and the status of the application/award.

The following detailed ‘Related Actions’ are visible regardless of the user role or status of the application.

- Application Documents
- Application Details
- View-Print Application
- View-Print Budget Change History
- Application Review Comments

These actions are described in the following sections. Additional related actions that are available are described under Application Development and the Post-Award Management section.




#### 6.3.3.1 Related Action: Application Documents

The ‘Application Documents’ action allows users to add, delete, or view documents associated with the application.

To add, delete, or view documents for an application record:

1) Click ‘Application Documents’. You will be taken to the "[Application ID] | Manage Application Documents" form for the selected application. You will be able to upload a new document or delete existing ones displayed in the grid.

2) Click the ‘Add Document’ button to upload a new document for the application.

## FL-2016-002-00 | Manage Application Documents

### Recipient Details

**Recipient ID** 7312 **Recipient Name** Disneyland Transit Organization

### Application Details

**Application ID** FL-2016-002-00 **Application Name** Sample TrAMS Application for User Guide Purposes Only

### Existing Documents

| ☐ | Document Context | Document Type | Document File Name | Document Description | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|---|
| ☐ | Environmental Finding | Class II(c) - Categorical Exclusions (C-List) | Chrysanthemum | | Jan 21, 2016 | tommdisney@yahoo.com |
| ☐ | Project Budget | In-Kind Funding | Chrysanthemum | | Jan 21, 2016 | |
| ☐ | Project Budget | Activity Line Item Details | Chrysanthemum | | Jan 21, 2016 | |
| ☐ | Program Plan | General | Chrysanthemum.jpg | Sample Document for User Guide Purposes Only | Jan 22, 2016 | tommdisney@yahoo.com |

Add Document | Remove Document | Close

3) You will be taken to the "Application | Add New Documents" form.

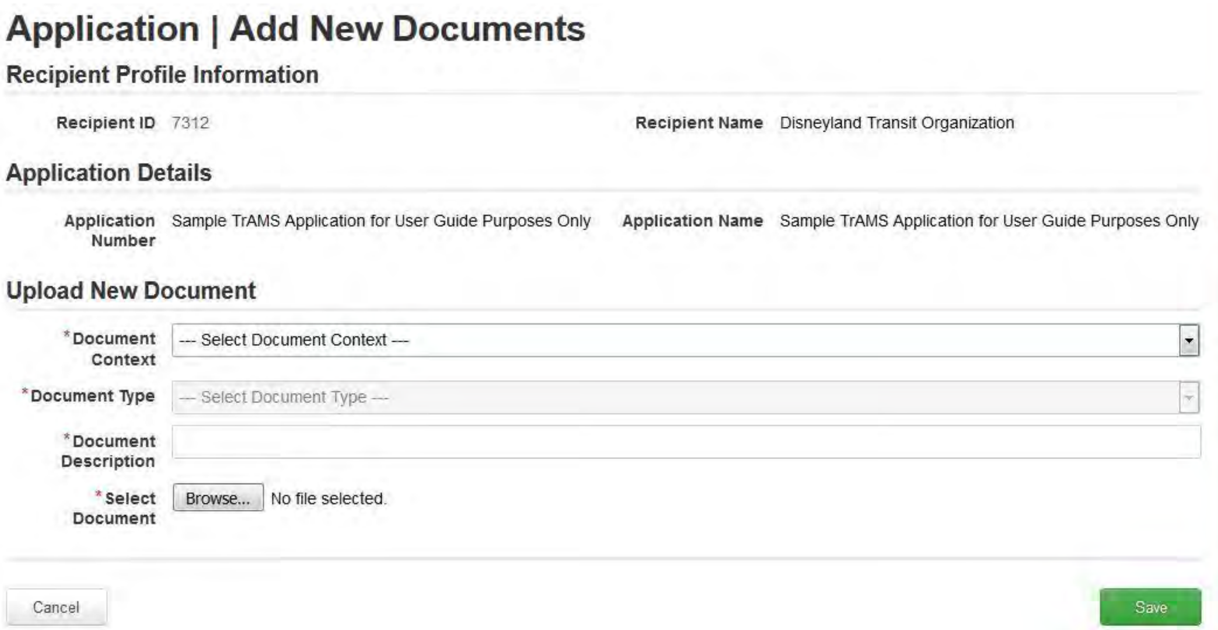
a) Use the provided drop-down menu under the ‘Document Context’ field to select from one of the predefined context types.

b) Use the provided drop-down menu under the ‘Document Type’ field to select from one of the predefined document types.

c) Enter a description for the document into the ‘Document Description’ field.

d) Click the ‘Browse...’ button under the “Select File” field to select a local file for upload. You may upload only one file at a time. Click the ‘Remove’ link which appears after upload if you wish to remove your uploaded file.

e) Click the ‘Save’ button once all details are complete and a file has been uploaded.



## Application | Add New Documents

### Recipient Profile Information

**Recipient ID** 7312 **Recipient Name** Disneyland Transit Organization

### Application Details

**Application Number** Sample TrAMS Application for User Guide Purposes Only **Application Name** Sample TrAMS Application for User Guide Purposes Only

### Upload New Document

*Document Context --- Select Document Context ---

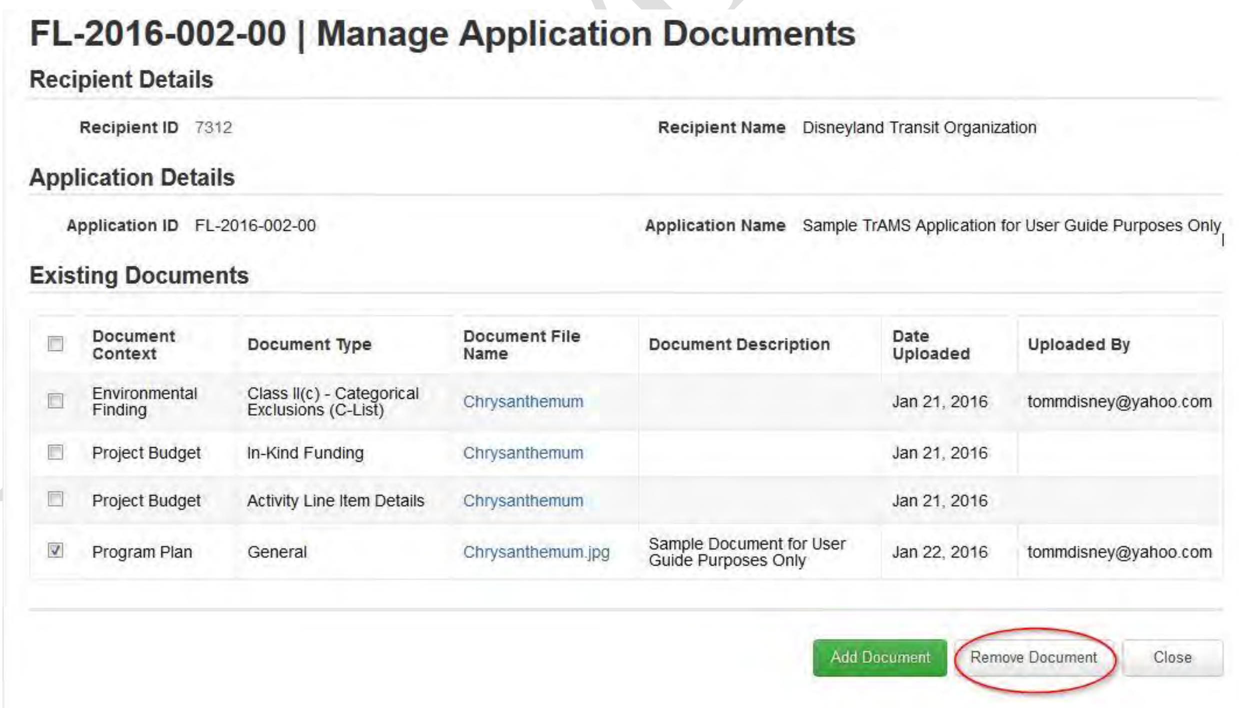
*Document Type --- Select Document Type ---

*Document Description

*Select Document Browse... No file selected.

Cancel Save

4) To delete any existing documents, select the check box for one or more documents in the grid and then click the ‘Remove Document’ button.



## FL-2016-002-00 | Manage Application Documents

### Recipient Details

**Recipient ID** 7312 **Recipient Name** Disneyland Transit Organization

### Application Details

**Application ID** FL-2016-002-00 **Application Name** Sample TrAMS Application for User Guide Purposes Only

### Existing Documents

| ☐ | Document Context | Document Type | Document File Name | Document Description | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|---|
| ☐ | Environmental Finding | Class II(c) - Categorical Exclusions (C-List) | Chrysanthemum | | Jan 21, 2016 | tommdisney@yahoo.com |
| ☐ | Project Budget | In-Kind Funding | Chrysanthemum | | Jan 21, 2016 | |
| ☐ | Project Budget | Activity Line Item Details | Chrysanthemum | | Jan 21, 2016 | |
| ☑ | Program Plan | General | Chrysanthemum.jpg | Sample Document for User Guide Purposes Only | Jan 22, 2016 | tommdisney@yahoo.com |

Add Document Remove Document Close

5) To view documents simply click on the ‘Document File Name’ for the document that you want to view.

**Existing Documents**

| ☐ | Document Context | Document Type | Document File Name | Document Description | Date Uploaded | Uploaded By |
|---|---|---|---|---|---|---|
| ☐ | Fleet | Light Rail Fleet Details | Lighthouse.jpg | New Light Rail Fleet Brochure | Dec 03, 2015 | anchorage.developer1 |
| ☐ | Federal Financial Report | General | Tulips.jpg | Additional documents | Dec 03, 2015 | anchorage.developer1 |

Add Document | Remove Document | Close

#### 6.3.3.2 Related Action: Application Details

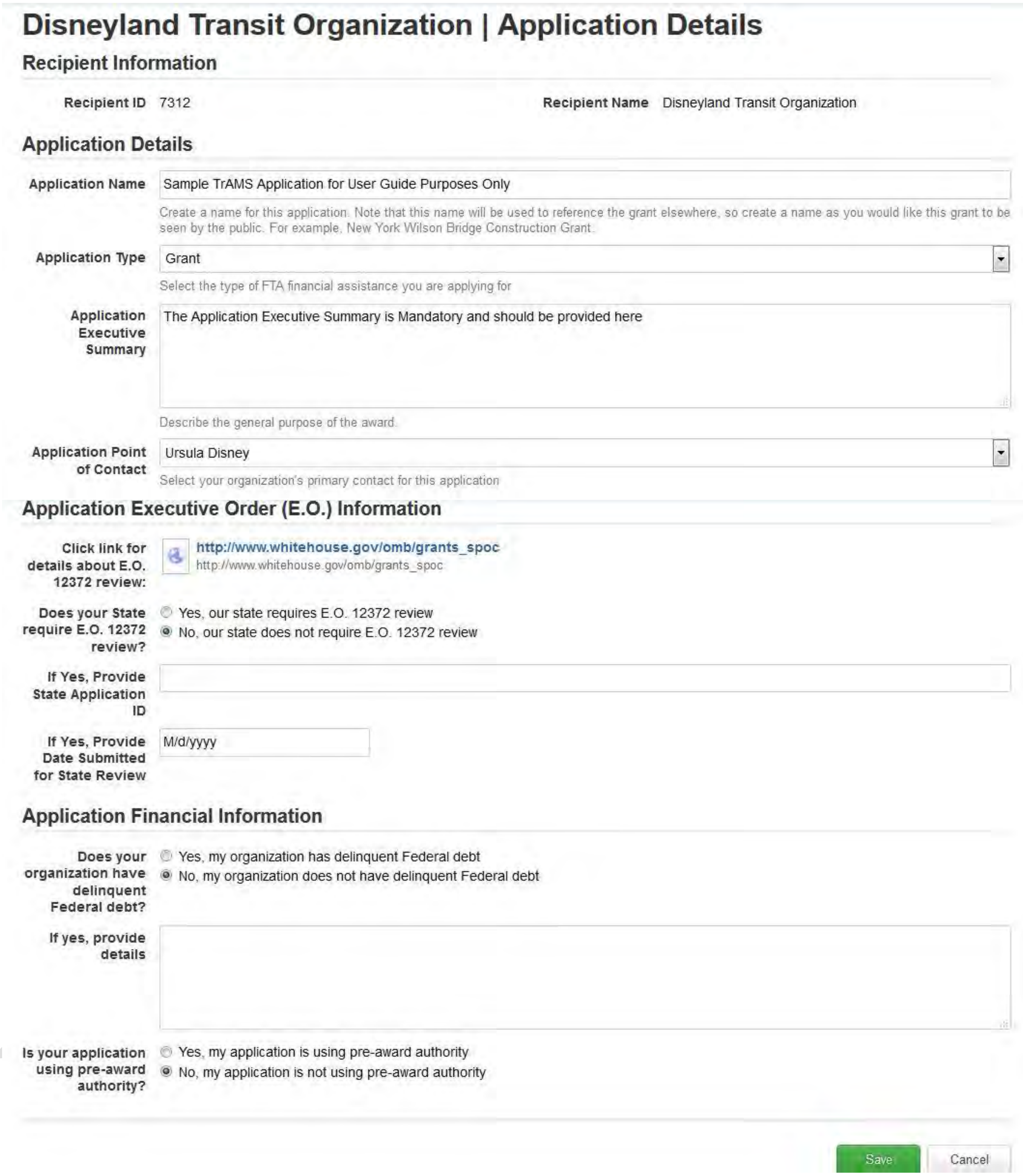
The ‘Application Details’ will allow users with the roles of ‘Submitters’ or ‘Developers’ to edit high level application information during initial application creation and during post-award modifications. This information will be read-only for all other recipient users and during other phases of a grants life cycle.

To edit an application record:

1) Click ‘Application Details’.

2) You will be taken to the ‘Application Name | Application Details’ form for the selected application. You will be able to edit text saved in fields and change the values saved for drop-down menus. Refer to Action: Create Application for information that will be expected for each field.

3) Once you have completed your changes, click the ‘Save’ button. All changes will be saved and you will be returned to the ‘Related Actions’ menu. You can verify changes by clicking the ‘Summary’ dashboard to view application details.



# Disneyland Transit Organization | Application Details

## Recipient Information

**Recipient ID** 7312

**Recipient Name** Disneyland Transit Organization

## Application Details

**Application Name** Sample TrAMS Application for User Guide Purposes Only

Create a name for this application. Note that this name will be used to reference the grant elsewhere, so create a name as you would like this grant to be seen by the public. For example, New York Wilson Bridge Construction Grant.

**Application Type** Grant

Select the type of FTA financial assistance you are applying for

**Application Executive Summary** The Application Executive Summary is Mandatory and should be provided here

Describe the general purpose of the award.

**Application Point of Contact** Ursula Disney

Select your organization's primary contact for this application

## Application Executive Order (E.O.) Information

**Click link for details about E.O. 12372 review:** http://www.whitehouse.gov/omb/grants_spoc

http://www.whitehouse.gov/omb/grants_spoc

**Does your State require E.O. 12372 review?**

- Yes, our state requires E.O. 12372 review
- No, our state does not require E.O. 12372 review

**If Yes, Provide State Application ID**

**If Yes, Provide Date Submitted for State Review** M/d/yyyy

## Application Financial Information

**Does your organization have delinquent Federal debt?**

- Yes, my organization has delinquent Federal debt
- No, my organization does not have delinquent Federal debt

**If yes, provide details**

**Is your application using pre-award authority?**

- Yes, my application is using pre-award authority
- No, my application is not using pre-award authority

Save Cancel

#### 6.3.3.3 Related Action: View-Print Application

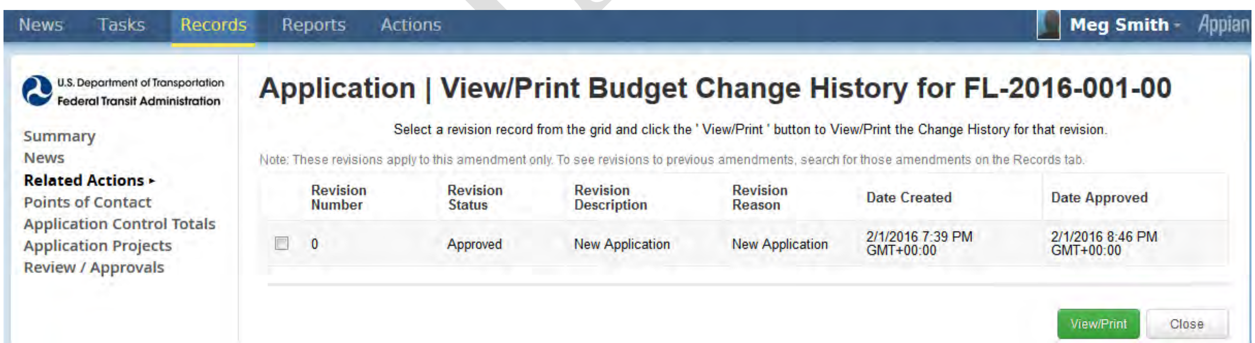
To view or print the application as a document use the ‘View-Print Application’ related action. This will generate a document in html format that may be viewed, saved, and/or printed.

1) Click ‘View-Print’ Application.
2) The ‘View/Print Application’ form will be displayed. Click on the provided ‘View Print Application [Application number] link to open or save application details in html format.
3) Click the ‘Close’ button to return to the ‘Related Actions’ menu.


#### 6.3.3.4 Related Action: View-Print Budget Change History

To view or print budget changes that were made to the application during a budget revision select the ‘View-Print Budget Change History’ related action. This will generate a document in RTF format that shows changes for a selected revision number that may be viewed, saved, and/or printed.

1) Click ‘View-Print Budget Change History’
2) The ‘View/Print Budget Change History for [FAIN #]’ form will be displayed.
3) Select the checkbox for a revision to view, and then click the ‘View/Print’ button.




Note: Revision number 0 indicates that it is the budget for the initial award for this amendment and revision numbers are incremented by 1 for each subsequent budget revision in the amendment.

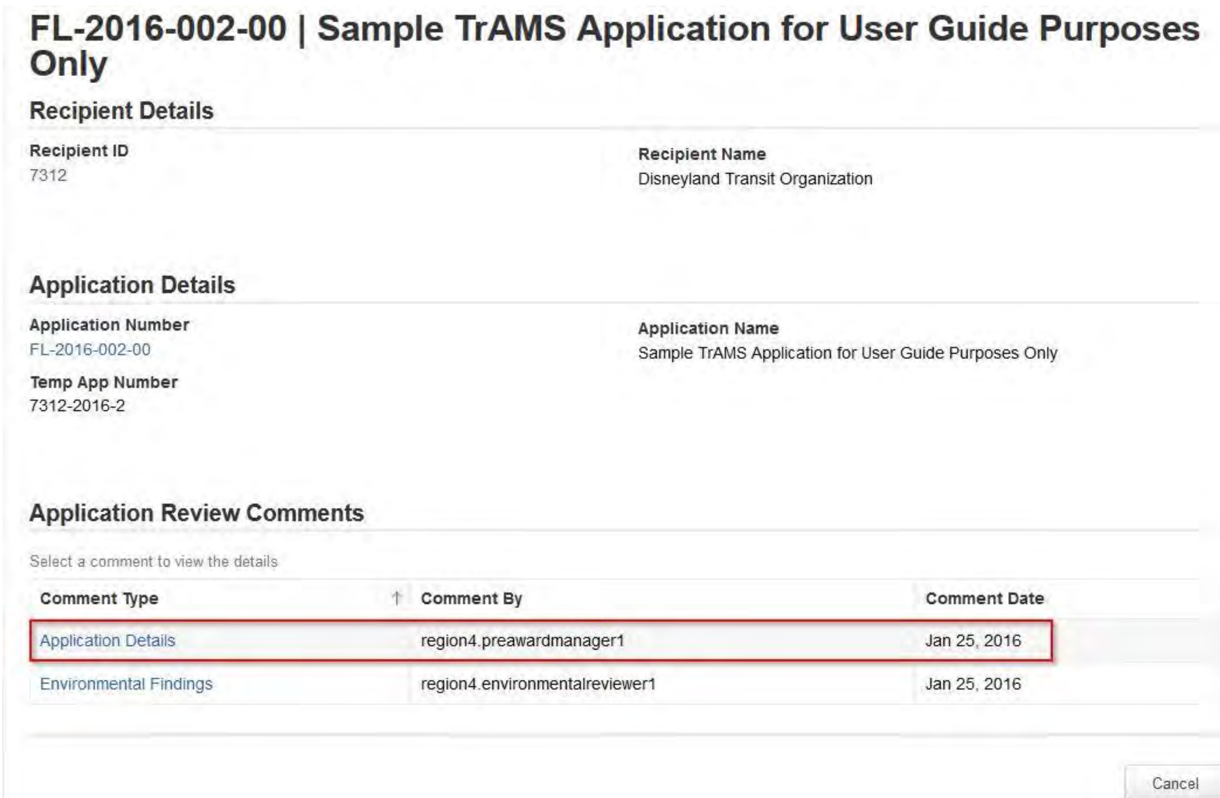
4) The ‘View/Print Budget Revision’ form will be displayed. Click on the provided link to view or save budget revision details.


5) Click the 'Close' button to return to the 'View/Print Budget Change History for [FAIN #]' form.
6) Click the 'Close' button on the form to return to the 'Related Actions' menu.

#### 6.3.3.5 Related Action: Application Review Comments

The 'Application Review Comments' related action allows recipients to view FTA comments logged for the application and to add comments to the application as it is going through development and reviews. FTA personnel will be able to add review comments to an application or any of its post-award modifications as they progress toward execution, while recipient users may only add review comments when the application has statuses of 'In-Progress', 'In-Progress / Returned to Grantee' or 'FAIN Assigned / Ready for Submission'. All recipient roles may view the comments added. The roles of 'Submitter' and 'Developer' have the option to add comments.

1) To add or view a history of all review comments made on an application:Click 'Application Review Comments'.
2) The "[Application ID] | [Application Name]" form will be displayed. Comments logged are show in a grid format and include
   - Comment Type
   - The name of the user who made the comment
   - The date the comment was made



# FL-2016-002-00 | Sample TrAMS Application for User Guide Purposes Only

## Recipient Details

**Recipient ID**
7312

**Recipient Name**
Disneyland Transit Organization

## Application Details

**Application Number**
FL-2016-002-00

**Temp App Number**
7312-2016-2

**Application Name**
Sample TrAMS Application for User Guide Purposes Only

## Application Review Comments

Select a comment to view the details

| Comment Type | Comment By | Comment Date |
|---|---|---|
| Application Details | region4.preawardmanager1 | Jan 25, 2016 |
| Environmental Findings | region4.environmentalreviewer1 | Jan 25, 2016 |

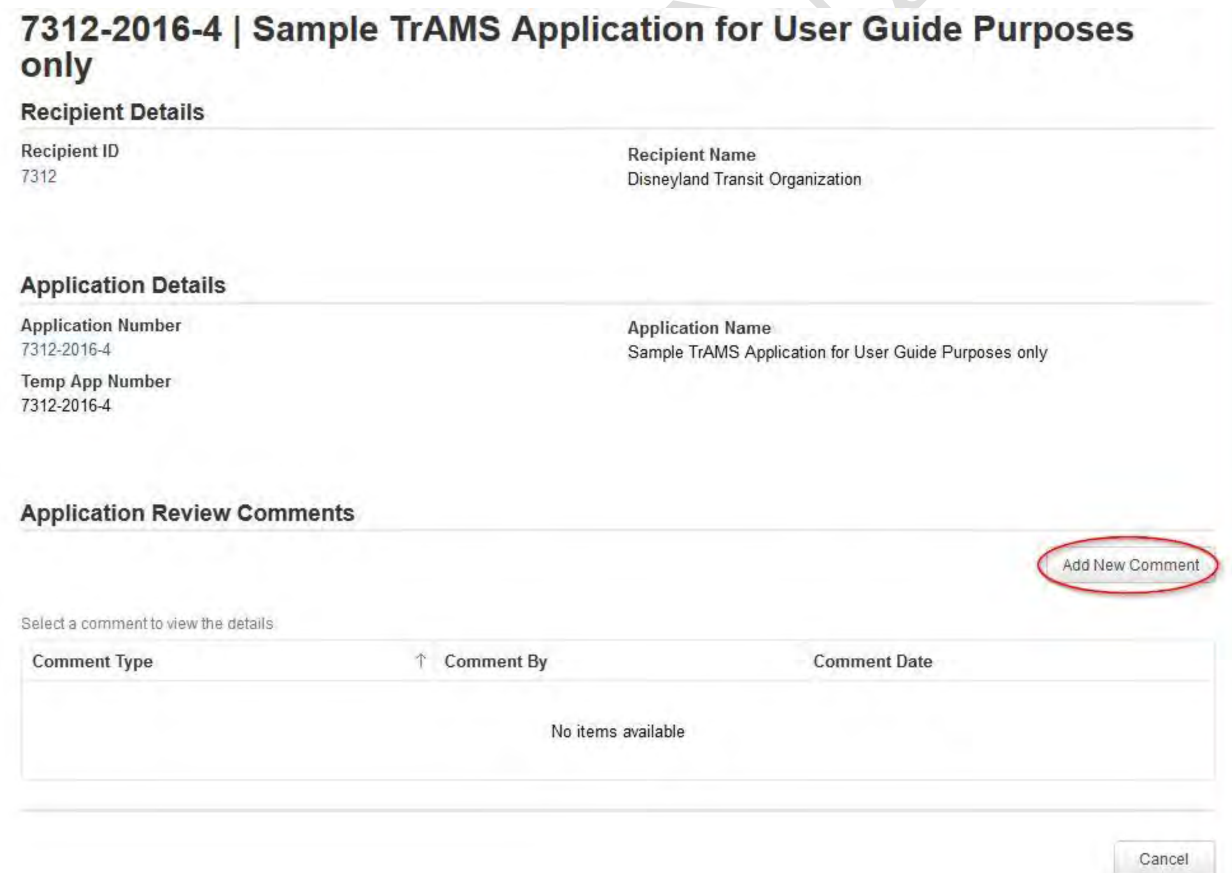
Cancel

3) Click on the ‘Comment Type’ link of a comment to expand and see the details.


4) Click the ‘Cancel’ button to return to the ‘Related Action’ menu.

If you are a ‘Submitter’ and/or ‘Developer’, you have the option to add comments for FTA to review during the application development and post-award modification phases. The ‘Add New Comment’ button will appear above the ‘Application Review Comments’ grid.

5) Click ‘Add New Comment’ button and a new section of the form will be displayed to allow comments.



6) Select a ‘Comment Type’ from the drop down menu and provide your comments in the ‘Comment Text’ box.
7) Click the ‘Save’ button to save your comments or the ‘Cancel’ button next to the ‘Save’ button to close the comment box without saving.
8) Use the ‘Cancel’ button on the bottom of the form to return to the ‘Related Actions’ menu without saving.

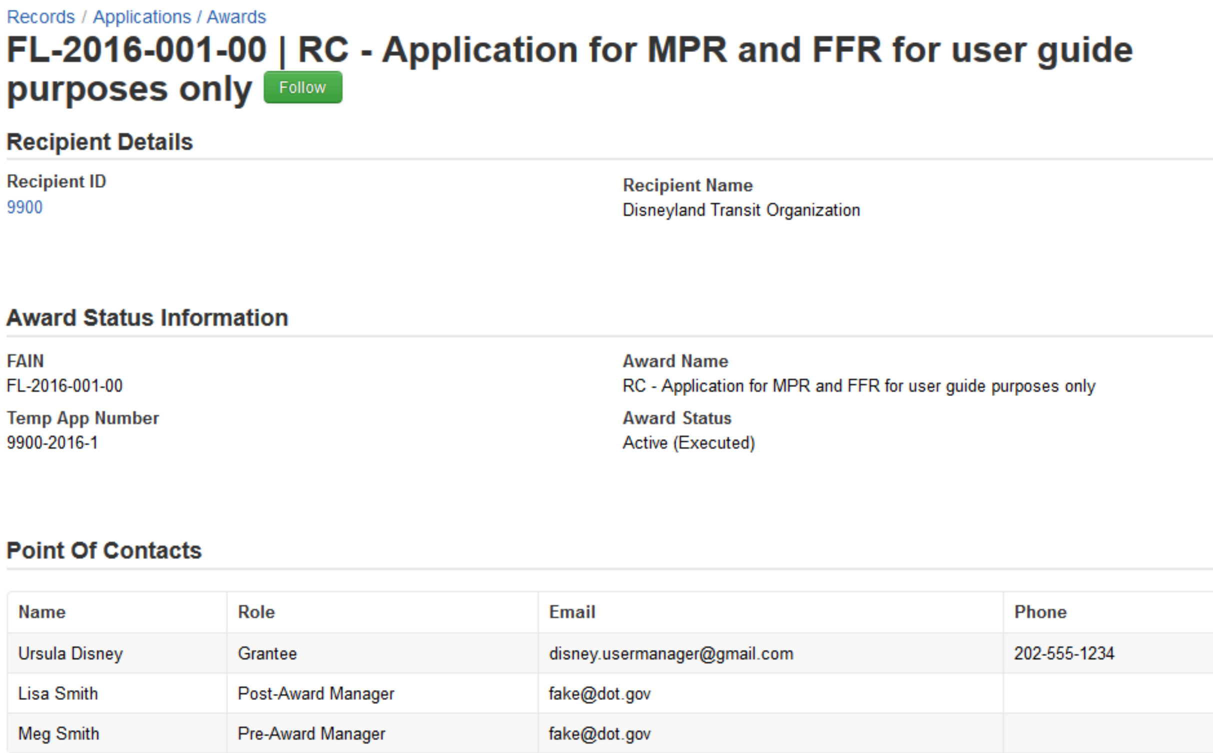

### 6.3.4 Points of Contact

The ‘Points of Contact’ dashboard displays FTA points of contacts and the recipient point of contact for the application/award. The recipient point of contact is set during the initial application development and may be updated on the ‘Application Details’ screen. The FTA points of contacts will be established after initial transmission of an application (Transmitted / Ready for FTA Review phase). The point of contacts name, user role, email, and phone number will be displayed. Updates to names, roles, and phone numbers must be done from the users profile page.

To view the “Points of Contact” for an application/award:

1) Click on the ‘Points of Contact’ from the left-side navigation to view points of contact associated with the application/award. The points of contact associated to the application are listed and displayed in grid format. If there are no points of contact associated, the grid will be empty.

2) To move away from the 'Points of Contact' dashboard simply click on another item from the left hand navigation or select a new tab.



Records / Applications / Awards

**FL-2016-001-00 | RC - Application for MPR and FFR for user guide purposes only** Follow

**Recipient Details**

| Recipient ID | Recipient Name |
|---|---|
| 9900 | Disneyland Transit Organization |

**Award Status Information**

| FAIN | Award Name |
|---|---|
| FL-2016-001-00 | RC - Application for MPR and FFR for user guide purposes only |
| **Temp App Number** | **Award Status** |
| 9900-2016-1 | Active (Executed) |

**Point Of Contacts**

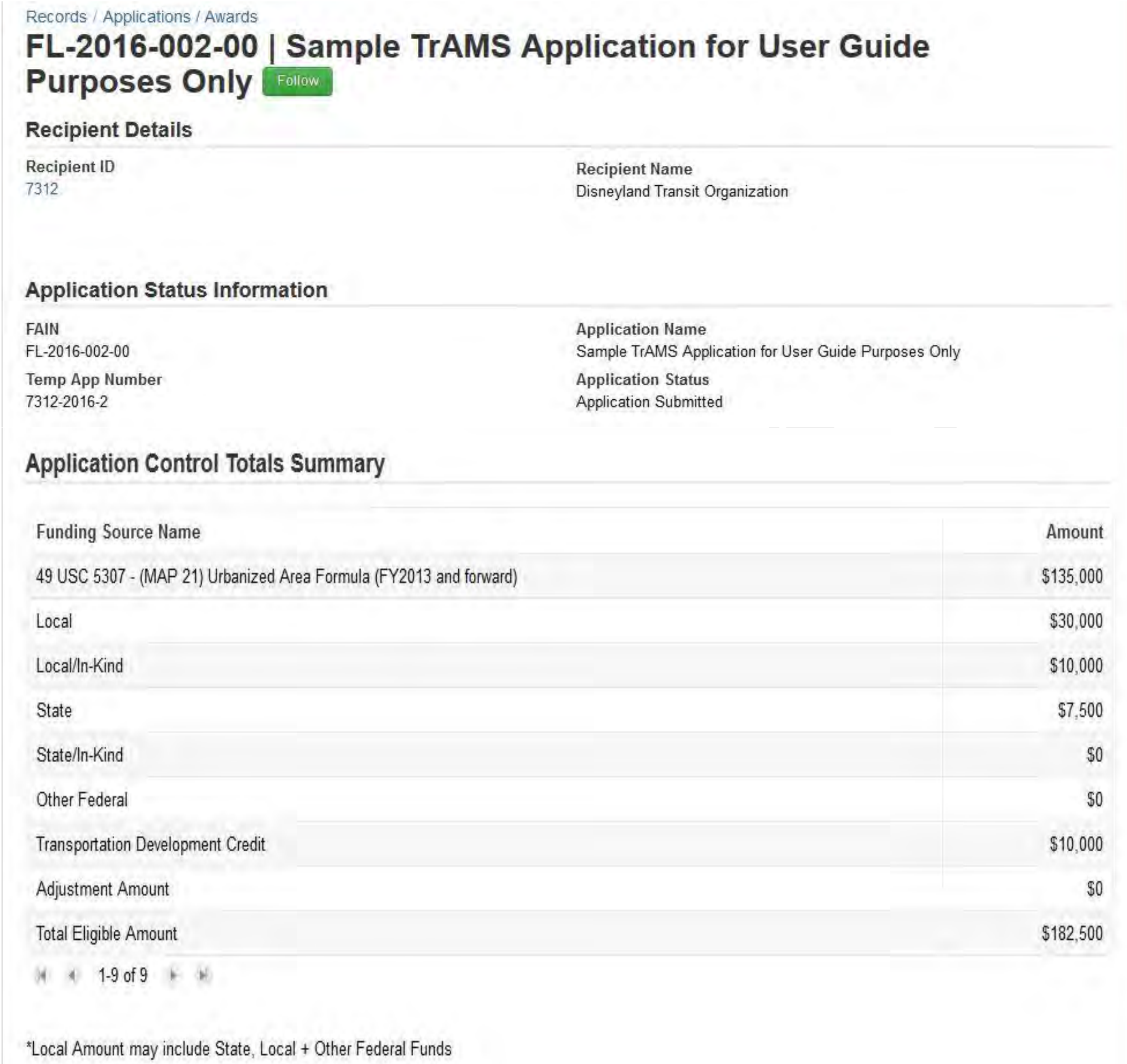
| Name | Role | Email | Phone |
|---|---|---|---|
| Ursula Disney | Grantee | disney.usermanager@gmail.com | 202-555-1234 |
| Lisa Smith | Post-Award Manager | fake@dot.gov | |
| Meg Smith | Pre-Award Manager | fake@dot.gov | |

### 6.3.5 Application Control Totals

The 'Application Control Totals' displays the total funding associated with an application/award.

To view the 'Application Control Totals' for an application/award:

1) Click on the 'Application Control Totals' from the left-side navigation to view the dollar totals associated with the application/award. The application/award totals are listed in a grid and itemized by their funding source name. If no funding sources have been defined for an application the grid will not be displayed.
2) To move away from the 'Application Control Totals' simply click on another item from the left hand navigation or select a new tab.



Records / Applications / Awards

**FL-2016-002-00 | Sample TrAMS Application for User Guide Purposes Only** Follow

**Recipient Details**

**Recipient ID**
7312

**Recipient Name**
Disneyland Transit Organization

**Application Status Information**

**FAIN**
FL-2016-002-00

**Temp App Number**
7312-2016-2

**Application Name**
Sample TrAMS Application for User Guide Purposes Only

**Application Status**
Application Submitted

**Application Control Totals Summary**

| Funding Source Name | Amount |
|---|---|
| 49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward) | $135,000 |
| Local | $30,000 |
| Local/In-Kind | $10,000 |
| State | $7,500 |
| State/In-Kind | $0 |
| Other Federal | $0 |
| Transportation Development Credit | $10,000 |
| Adjustment Amount | $0 |
| Total Eligible Amount | $182,500 |

1-9 of 9

*Local Amount may include State, Local + Other Federal Funds

### 6.3.6 Application Projects

The ‘Application Projects’ dashboard displays the list of projects associated with an application/award. Projects contain the details associated with each grant including

- Scope of  work to be performed
- Location where work will be performed
- Funding sources and associated amounts
- Project milestones

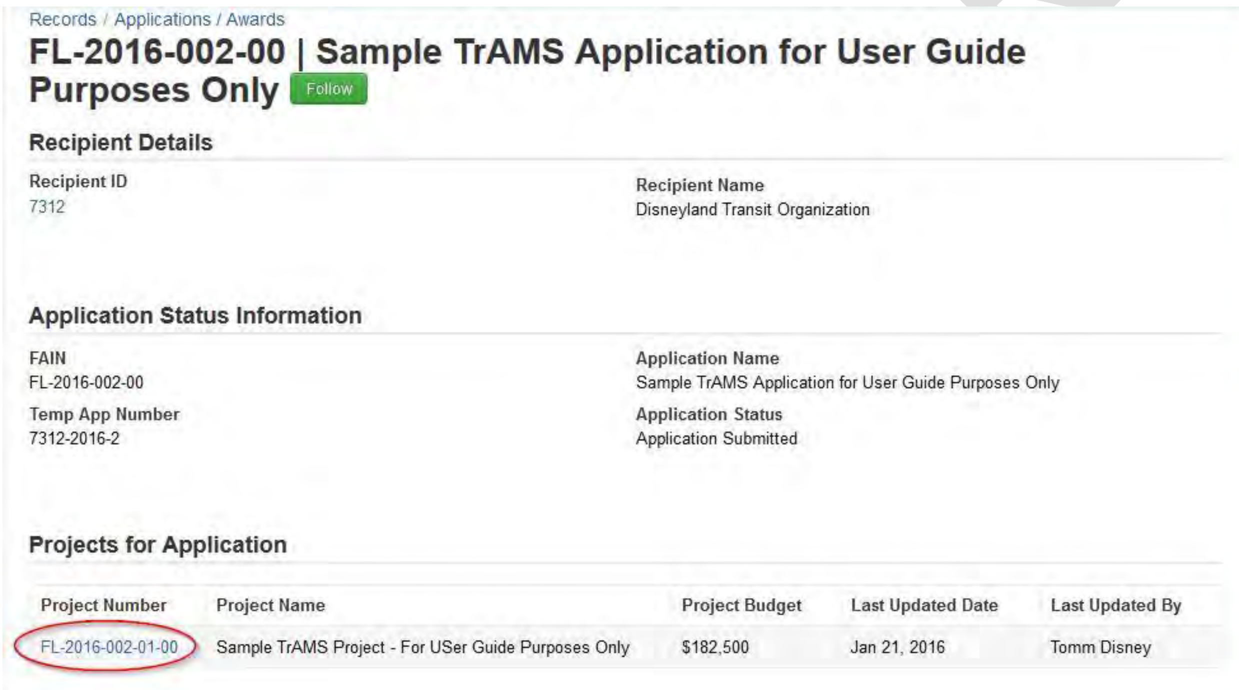
- Environmental findings
- Specific project documentation

Projects allow the overall application/award to be divided into multiple pieces. Each application/award must have at least one project associated with it. Awards migrated from TEAM will only have one.

To view Projects associated with an application/award:

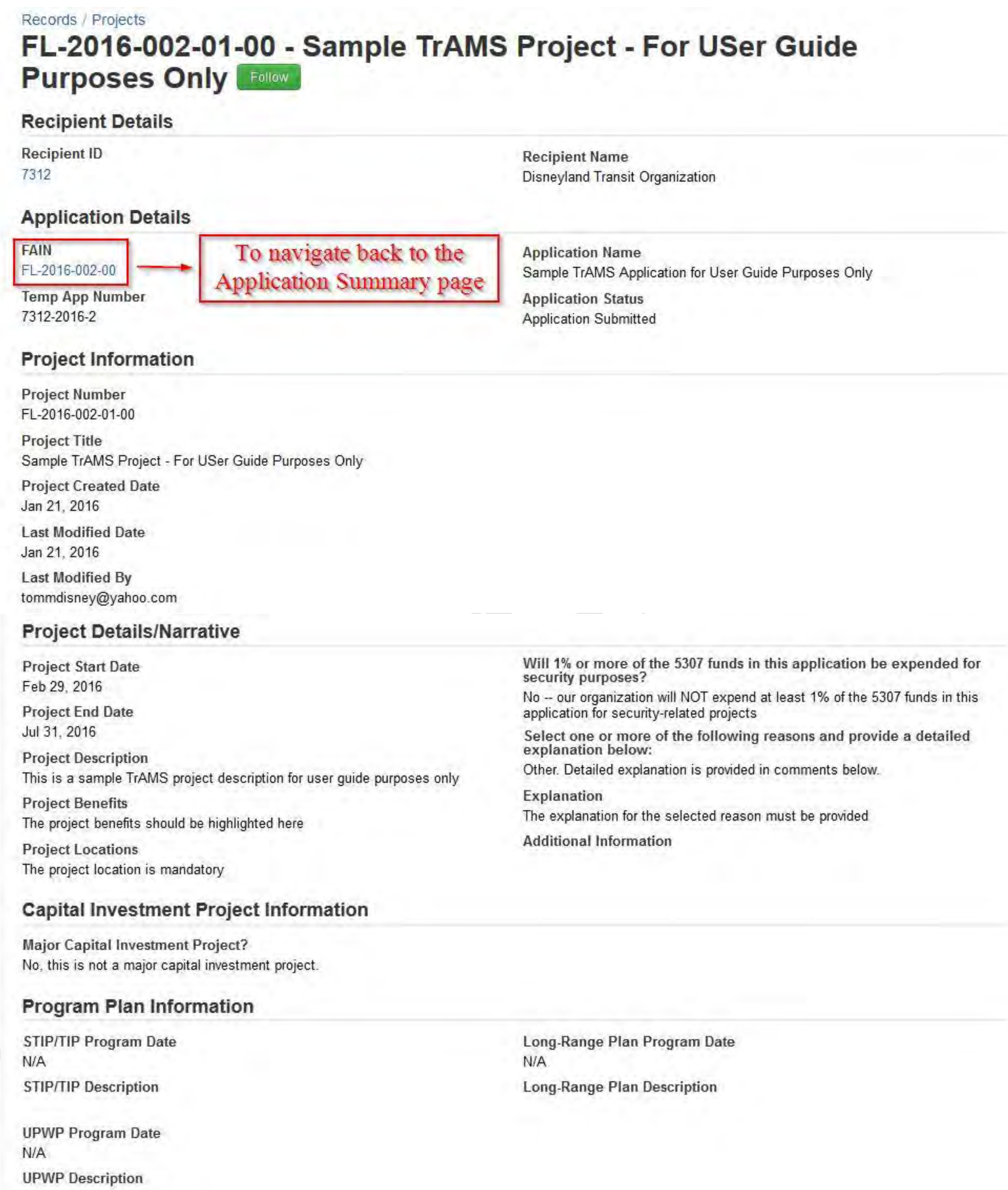
1) Click on select ‘Application Projects’ from the left hand navigation. The list of projects associated with the application/award will be displayed in a grid.

2) Click on the ‘Project Number’ for the project information that you want to view.




3) The project ‘Summary’ page will be displayed.

4) To return to the application ‘Summary’ page click on the application ‘FAIN’ hyperlink.



Records / Projects

# FL-2016-002-01-00 - Sample TrAMS Project - For USer Guide Purposes Only

Follow

## Recipient Details

**Recipient ID**
7312

**Recipient Name**
Disneyland Transit Organization

## Application Details

**FAIN**
FL-2016-002-00

To navigate back to the Application Summary page

**Temp App Number**
7312-2016-2

**Application Name**
Sample TrAMS Application for User Guide Purposes Only

**Application Status**
Application Submitted

## Project Information

**Project Number**
FL-2016-002-01-00

**Project Title**
Sample TrAMS Project - For USer Guide Purposes Only

**Project Created Date**
Jan 21, 2016

**Last Modified Date**
Jan 21, 2016

**Last Modified By**
tommdisney@yahoo.com

## Project Details/Narrative

**Project Start Date**
Feb 29, 2016

**Project End Date**
Jul 31, 2016

**Project Description**
This is a sample TrAMS project description for user guide purposes only

**Project Benefits**
The project benefits should be highlighted here

**Project Locations**
The project location is mandatory

**Will 1% or more of the 5307 funds in this application be expended for security purposes?**
No -- our organization will NOT expend at least 1% of the 5307 funds in this application for security-related projects

**Select one or more of the following reasons and provide a detailed explanation below:**
Other. Detailed explanation is provided in comments below.

**Explanation**
The explanation for the selected reason must be provided

**Additional Information**

## Capital Investment Project Information

**Major Capital Investment Project?**
No, this is not a major capital investment project.

## Program Plan Information

**STIP/TIP Program Date**
N/A

**STIP/TIP Description**

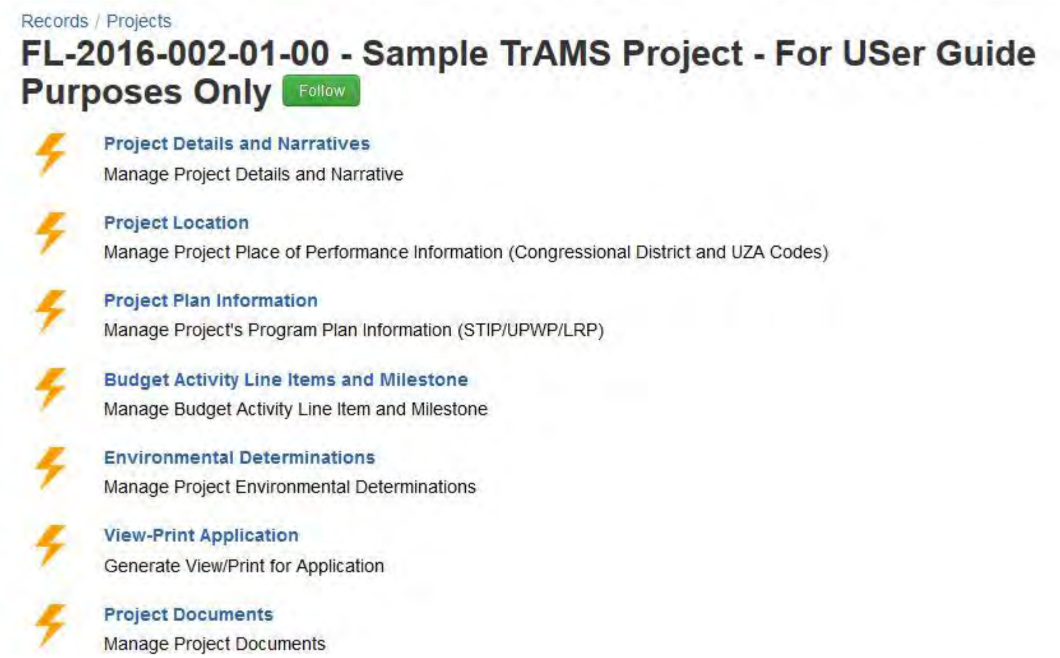
**Long-Range Plan Program Date**
N/A

**Long-Range Plan Description**

**UPWP Program Date**
N/A

**UPWP Description**

5) To see additional information about the project select the ‘Related Actions’ from the left hand navigation.




For additional information on ‘Related Actions’ for projects, refer to the Projects section under ‘Application Development’.

## 6.4 Application Development

The processes outlined under this section include the steps leading up to the submission of a formal application and the subsequent awarding of an award. These processes are designed to ensure that once an application is transmitted it can be processed by the FTA Regional Office in a timely manner for a formal submission by the recipient.

To Create an Application a user within the Submitter or Developer group will need to:

- Complete Application Details
- Add one of more projects to the application by:
    - Adding project details and narratives, project locations, and project plan information.
    - Adding budget line items and milestones
    - Adding environmental findings
    - Validating the project
- Validate and Transmit Application

Once the application has been transmitted to the FTA, the FTA's Pre-award Manager will review the application for completeness. The Pre-award Manager will have the option to return the application to the recipient or assign reviewers (civil rights, environmental, and technical reviewers). If no changes are necessary the Pre-Award manager will assign the FAIN and the application will be returned to the recipient for formal submission of the application. After submission the FTA will conduct any additional reviews and then reserve and award the grant. The Recipient will receive a Task and will have 90 days to execute the award.


This section will cover the additional 'Related Actions' available during the application development phases in order to complete the above steps.

The following related actions will only be seen by users with the Developer or Submitter roles.

- Add Project to Application
- Validate and Transmit Application
- Delete Project

Additionally this section includes the project records and related actions associated with projects.

## 6.5 Action: Create Application

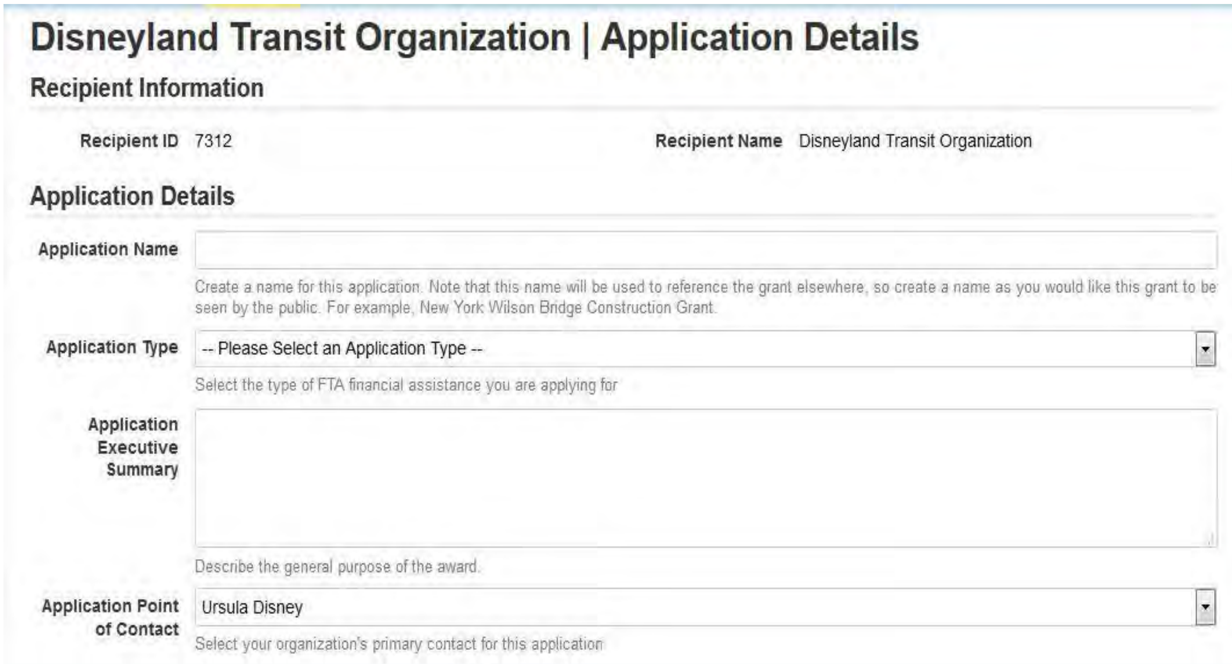
**Note:** Only your recipient organization's Submitter or Developer roles will be able to access this action.

To create a new application:

1) Click the 'Actions' tab to display a list of available user actions.

2) Click ‘Create Application’


3) Once selected, an editable ‘Application Details’ form will be displayed. You will need to complete the following fields under the ‘Application Details’ section:
   a) Enter a name to associate with the application and future award in the ‘Application Name’ field.
   b) Select the type for the new application from the drop-down menu provided under the ‘Application Type’ field.  Choose one of the following:
      i) Grant
      ii) Cooperative Agreement
   c) Enter an executive summary for the new application in the ‘Application Executive Summary’ field.
   d) Select a point of contact from the drop-down menu provided under the ‘Application Point of Contact’ field.




4) You will need to complete the following fields under the ‘Application Executive Order (E.O.) Information’ section:

a) Select either the Yes or No option as applicable to respond to the question, ‘Does your State require E.O.12372 review?’ If you select the Yes option, complete the next two fields:

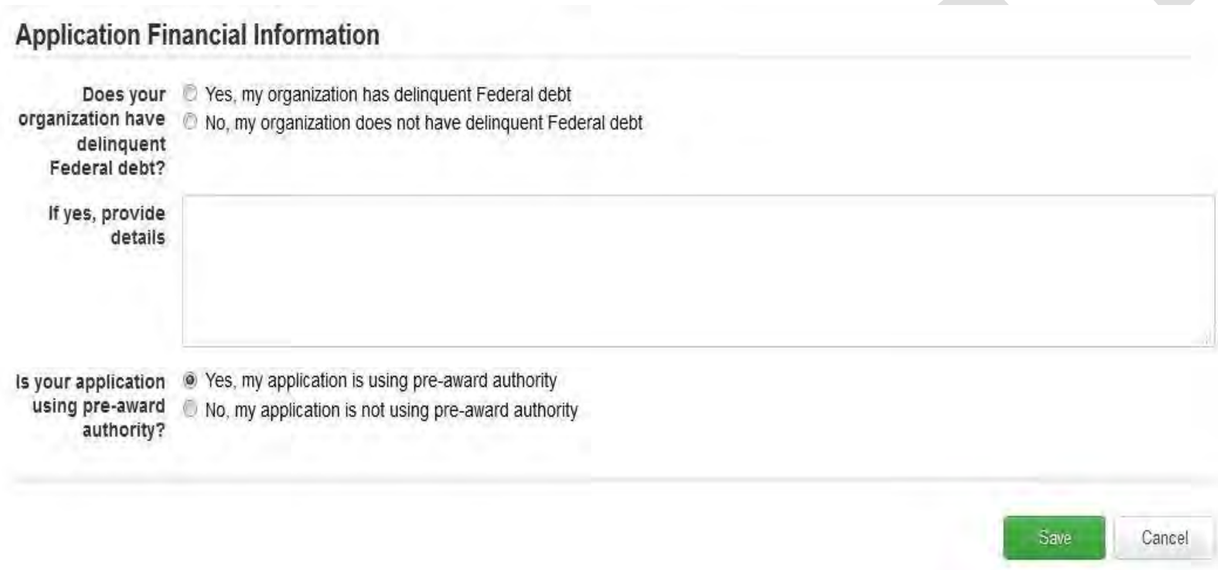
b) Enter the state application ID in the ‘If Yes, Provide State Application ID’ field, when the answer was ‘Yes’ to ‘Does your State require E.O 12372 review?’

c) Click on the ‘If Yes, Provide Date Submitted for State Review’ field to either type in a date or to select a date from the calendar presented.

5) You will need to complete the following fields under the 'Application Financial Information' section:

   a) Select either the Yes or No option to respond to the question, 'Does your organization have delinquent Federal debt?' If you selected the 'Yes' option, provide an explanation into the 'If yes, provide details' field.

   b) Select either the Yes or No option to respond to the question, 'Is your application subject to pre-award authority?' Selecting 'Yes, my application is subject to pre-award authority' will generate a task for an initial Federal Financial Report (FFR) to be completed by your recipient organization's FFR Reporter.




6) Once all details have been entered for the new application, click the 'Save' button. Click the 'Cancel' button to discard the application.

7) The new application record will be created and saved. A confirmation message will be displayed: 'Click on the link below to view the new Application record.' You may either click on this hyperlink to automatically be redirected to the new application record and continue developing your application, or

8) Return to the record later by clicking the 'Close' button to return to the 'Actions' tab.

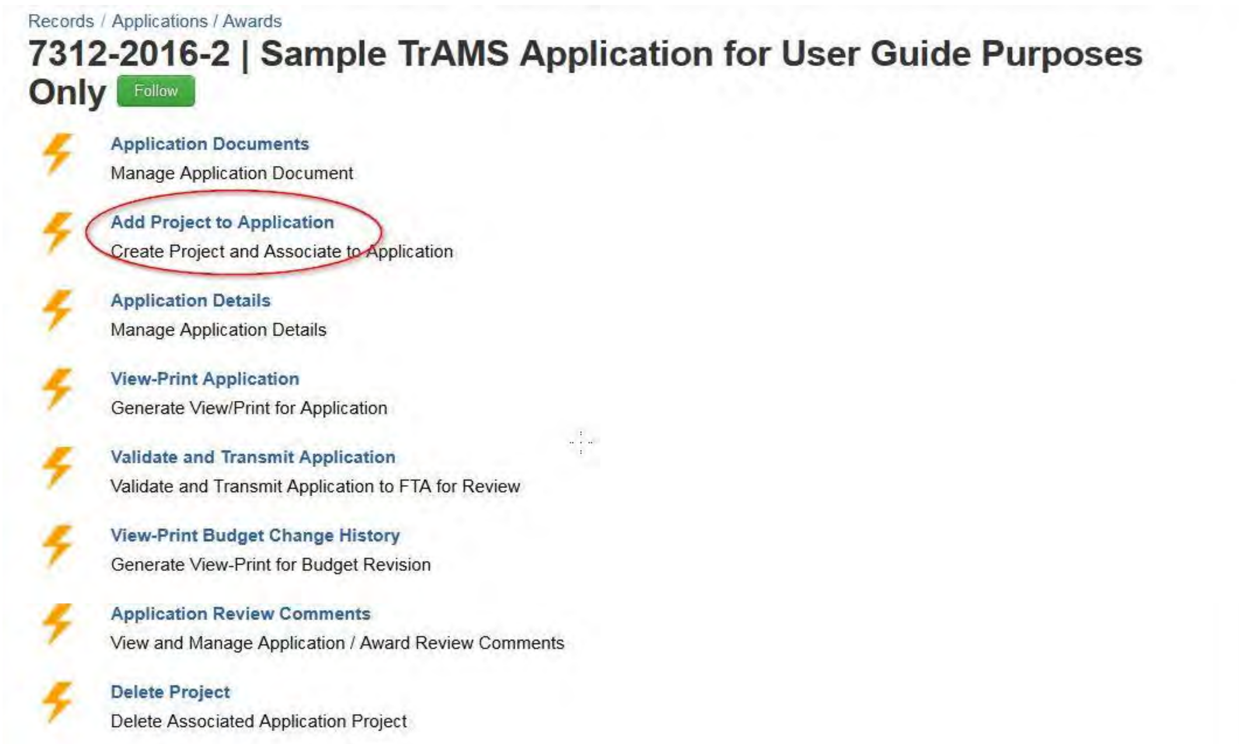

## 6.6 Related Action - Add Project to Application

Each application/award will be comprised of one or more projects (all previous TEAM applications are limited to one project). The related action 'Add Project to Application' will be visible to developers and submitters when an application or award is in the status of 'In-Progress'.

Once the initial application has been created using the action 'Create Application' the user will need to add projects to provide the details.

To add a new project to an application, find the application and select the 'Related Actions'.

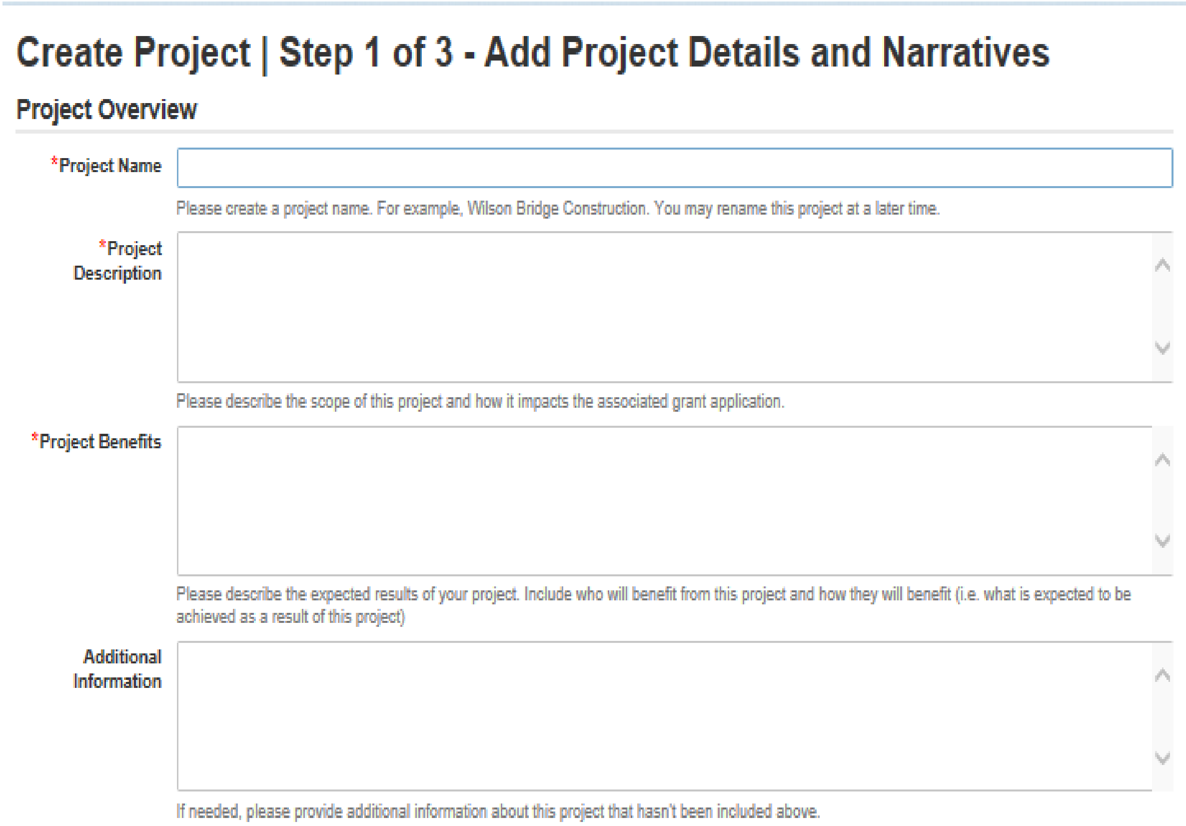
1) Click 'Add Project to Application'.




The system will direct you to an editable form titled 'Create Project | Step 1 of 3 - Add Project Details and Narratives.'

- This is the first step of a three-step wizard and will prompt you for the project's description, benefits, any additional notes, and capital investment project details.
- Step 2 will prompt for project location (State/UZA and Congressional Districts).
- Step 3 will allow you to upload any project documents (STIP/TIP, UPWP, and Long-Range Plan). For initial transmission of the project's application, you will be required to complete fields in the wizard's Steps 1 and 2.

2) For Step 1 you will need to complete the following fields under the 'Project Overview' section:
   a) Enter the project's name into the 'Project Name' field. This is a required field.
   b) Enter a project description into the 'Project Description' field. This is a required field.
   c) Enter the project's benefits into the 'Project Benefits' field. This is a required field.
   d) Enter any additional notes into the 'Additional Information' field (optional).

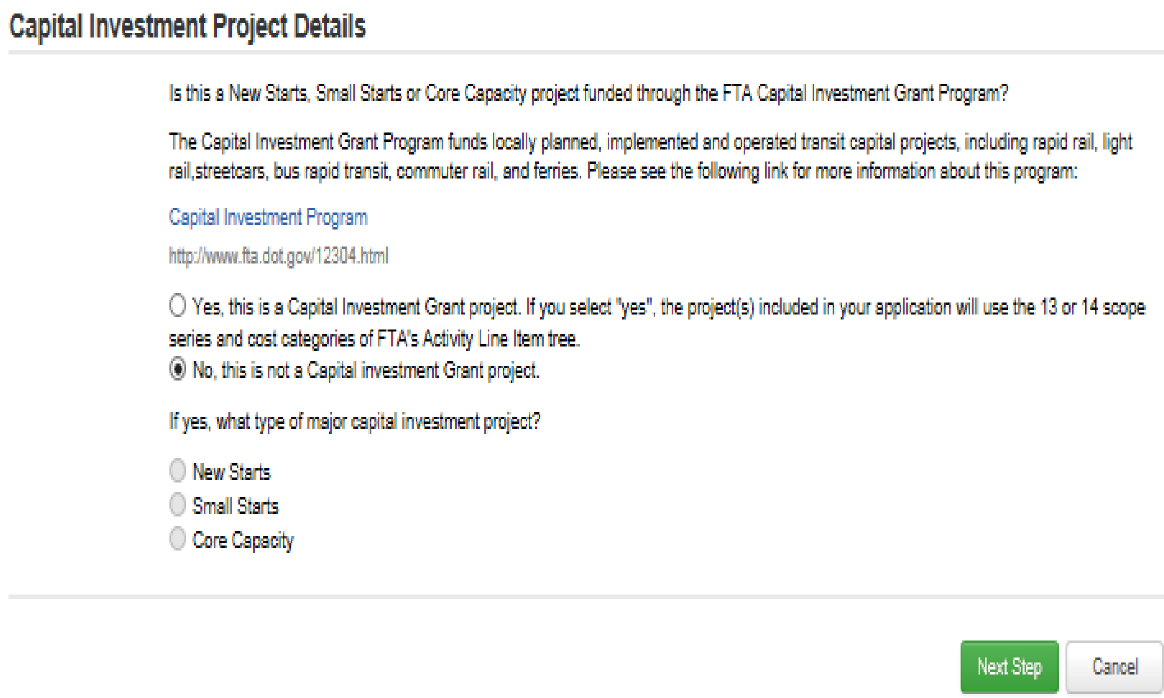



3) You will need to complete the following fields under the 'Capital Investment Project Details' section:

a) Select either the Yes or No option to respond to the question, 'Is this a New Starts, Small Starts, or Core Capacity project funded through the FTA Capital Investment Grant Program?' The 'No, this is not a Capital Investment Grant project' response will be initially selected by default.

b) If you select the Yes option, select an option to identify the program and respond to the question, 'If yes, what type of major capital investment project?' Your options will consist of the following:

- New Starts
- Small Starts
- Core Capacity




4) Once all required project details have been entered, click the ‘Next Step’ button.

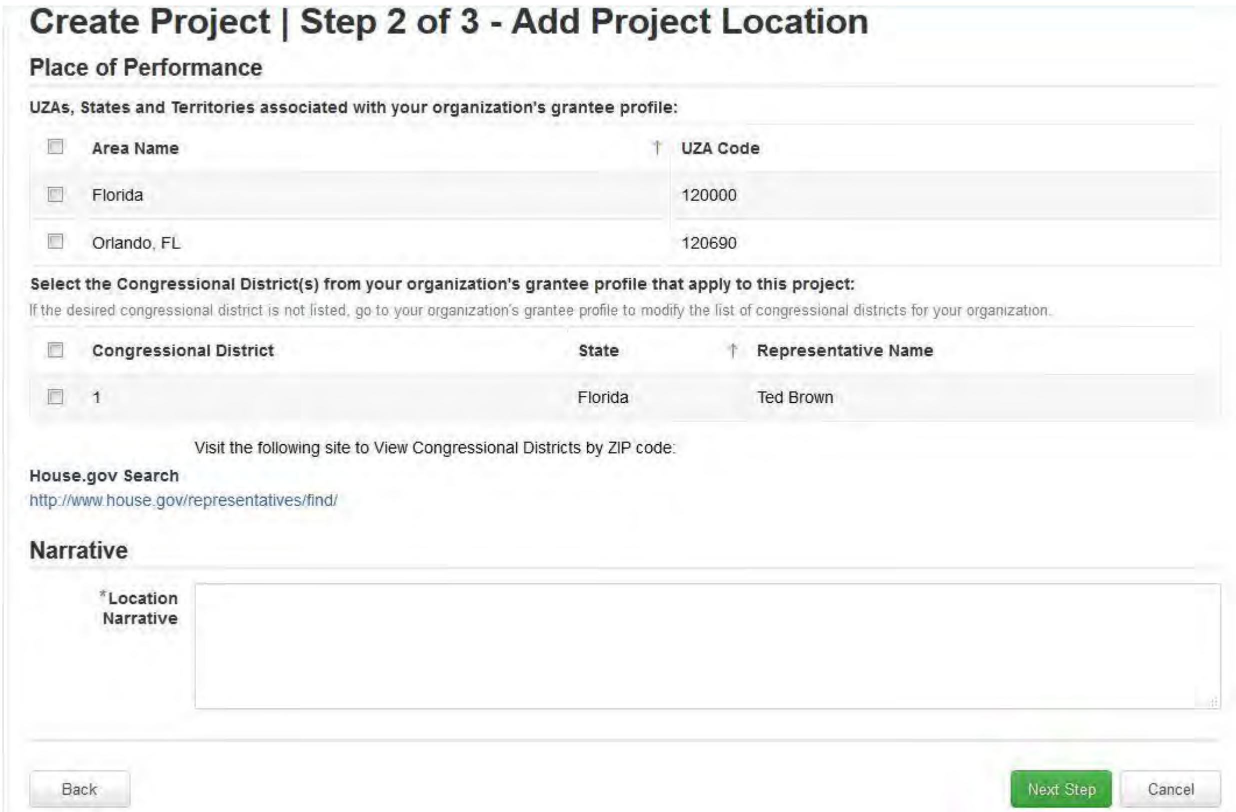
5) The system will take you to an editable form titled ‘Create Project | Step 2 of 3 - Add Project Location’.

   a) Select one or more checkboxes from the grid for the Area Name.

   b) Select one or more Congressional District that will be applicable to the project.

**Note:** Although the selection of Area Name and a Congressional District are not enforced on this form, they are required for the project to be successfully validated.

   c) Enter a location narrative into the ‘Location Narrative’ field, which is a required field, and then click the ‘Next Step’ button.




**Note:** Clicking the 'Back' button returns you to the previous steps of the project wizard. Any input entered or selections made by the user before clicking this button will be saved to the form.

6) The system will take you to an editable form titled 'Create Project | Step 3 of 3' to complete related program plan information. Depending on the funding program(s) associated with the project, you can include your approved STIP/TIP, Unified Work Program, or Long-Range Plan information.

   In each section, you may perform the following:

   a) You may add documents by clicking on the 'Browse' button under the respective program and then selecting a document to upload from your computer. Once you have selected a document, click the 'Open' button to upload.

   b) Click on the date field to either type in a date or display a date picker to select dates from.

7) Once all details have been entered for the new project, click the 'Finish' button.

   a) Enter a description into the document description field.


Create Project | Step 3 of 3
STIP/TIP Documents
Upload STIP/TIP Document
Browse... No file selected.
STIP/TIP Date
M/d/yyyy
STIP/TIP Document Description
Provide details about the uploaded STIP document (e.g., page number where the project is mentioned in the document)
UPWP Documents
Upload UPWP Document
Browse... No file selected.
UPWP Date
M/d/yyyy
UPWP Document Description
Provide details about the uploaded UPWP document (e.g., page number where the project is mentioned in the document)
Long-Range Plan Documents
Upload Long-Range Plan Document
Browse... No file selected.
Long-Range Plan Date
M/d/yyyy
Long-Range Plan Document Description
Provide details about the uploaded Long-Range Plan document (e.g., page number where the project is mentioned in the document)
Finish
Back
Cancel

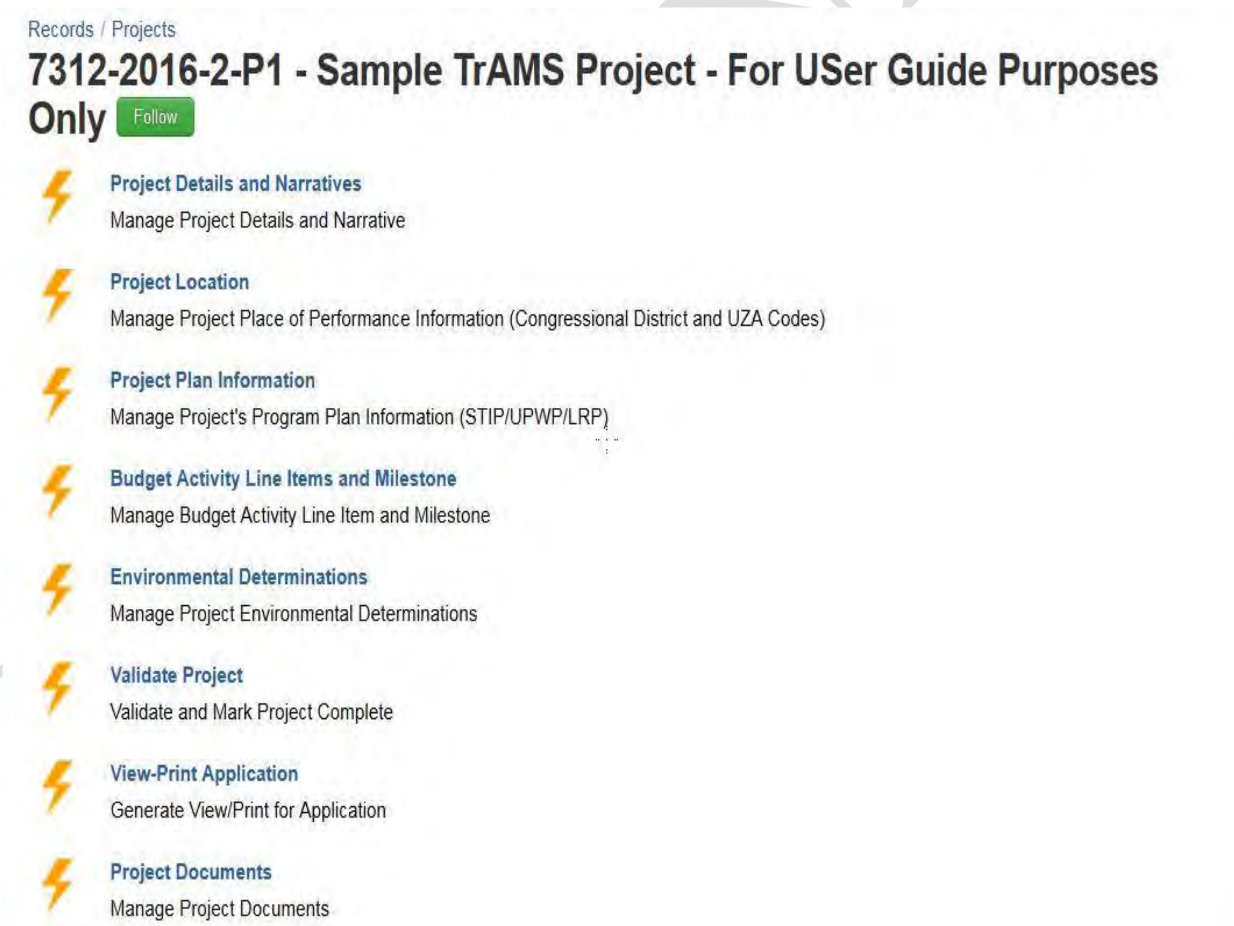
8) The new project record will be created and saved. A confirmation message will be displayed: with a hyperlink to the project record. You may either click on this hyperlink to automatically be redirected to the new project record and continue developing your project, or
9) Return to the record later by clicking the ‘Close’ button to return to the ‘Related Actions’ tab.

## 6.7 Projects

The following related actions are available from the project dashboard related actions and editable for Developers and Submitters while an application has a status of 'In Progress'. With the exception of 'Validate Project' these actions are also available to other user roles in a read-only format and available during other project statuses in the read-only format.

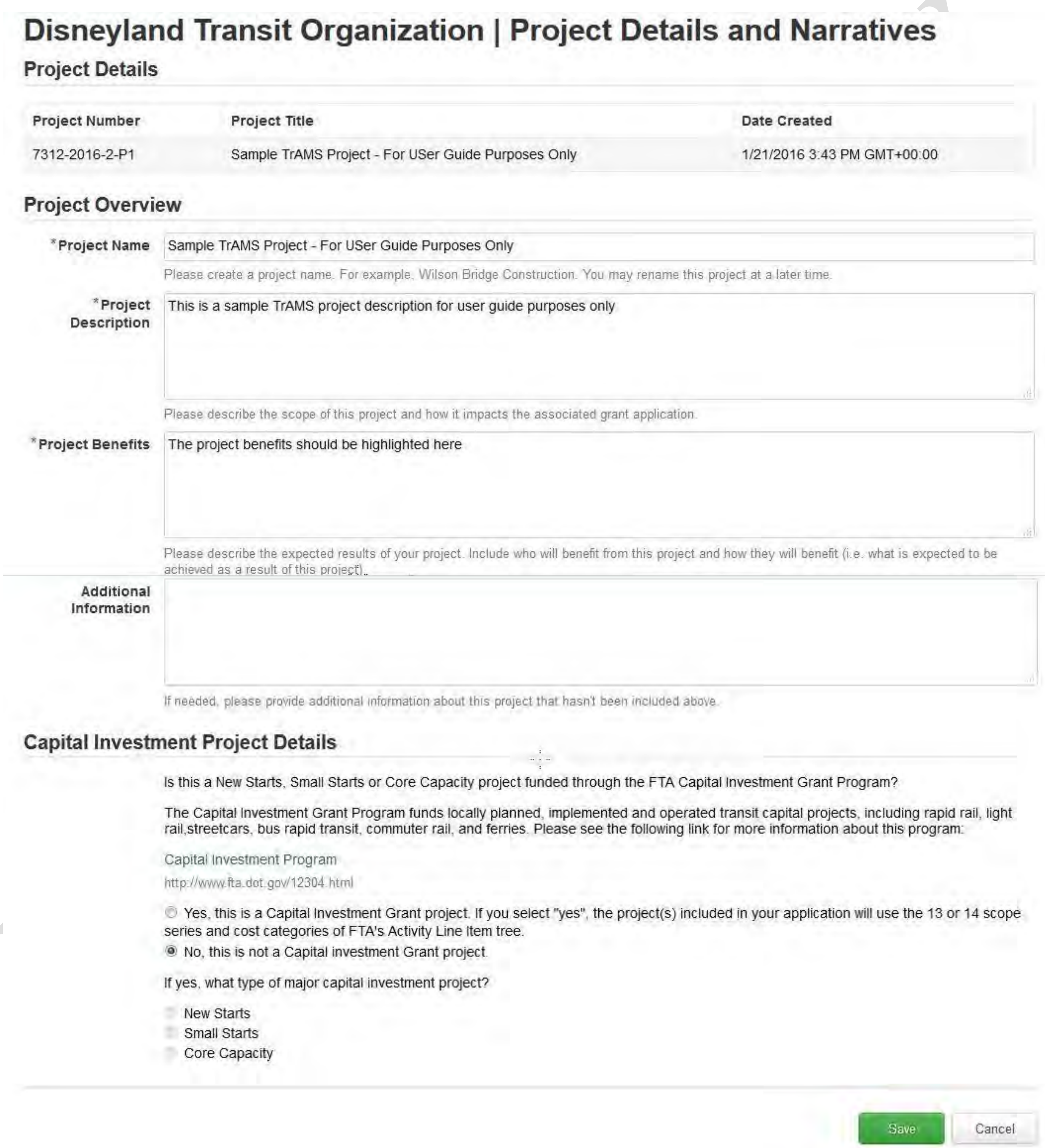
- Project Details and Narratives
- Project Location
- Project Plan Information
- Budget Activity Line Items and Milestone
- Environmental Determinations
- Validate Project
- View-Print Application
- Project Documents

Refer to Records: Searching for Projects and 'Application Projects' to find previously created Projects.



### 6.7.1 Project Details and Narratives

The ‘Project Details and Narratives’ form allows the user to update the information initially entered during step 1 of the ‘Add Project to Application’ wizard.



## Disneyland Transit Organization | Project Details and Narratives

### Project Details

| Project Number | Project Title | Date Created |
|---|---|---|
| 7312-2016-2-P1 | Sample TrAMS Project - For USer Guide Purposes Only | 1/21/2016 3:43 PM GMT+00:00 |

### Project Overview

*Project Name: Sample TrAMS Project - For USer Guide Purposes Only

Please create a project name. For example, Wilson Bridge Construction. You may rename this project at a later time.

*Project Description: This is a sample TrAMS project description for user guide purposes only

Please describe the scope of this project and how it impacts the associated grant application.

*Project Benefits: The project benefits should be highlighted here

Please describe the expected results of your project. Include who will benefit from this project and how they will benefit (i.e. what is expected to be achieved as a result of this project).

Additional Information:

If needed, please provide additional information about this project that hasn't been included above.

### Capital Investment Project Details

Is this a New Starts, Small Starts or Core Capacity project funded through the FTA Capital Investment Grant Program?

The Capital Investment Grant Program funds locally planned, implemented and operated transit capital projects, including rapid rail, light rail,streetcars, bus rapid transit, commuter rail, and ferries. Please see the following link for more information about this program:

Capital Investment Program

http://www.fta.dot.gov/12304.html

- Yes, this is a Capital Investment Grant project. If you select "yes", the project(s) included in your application will use the 13 or 14 scope series and cost categories of FTA's Activity Line Item tree.
- No, this is not a Capital investment Grant project

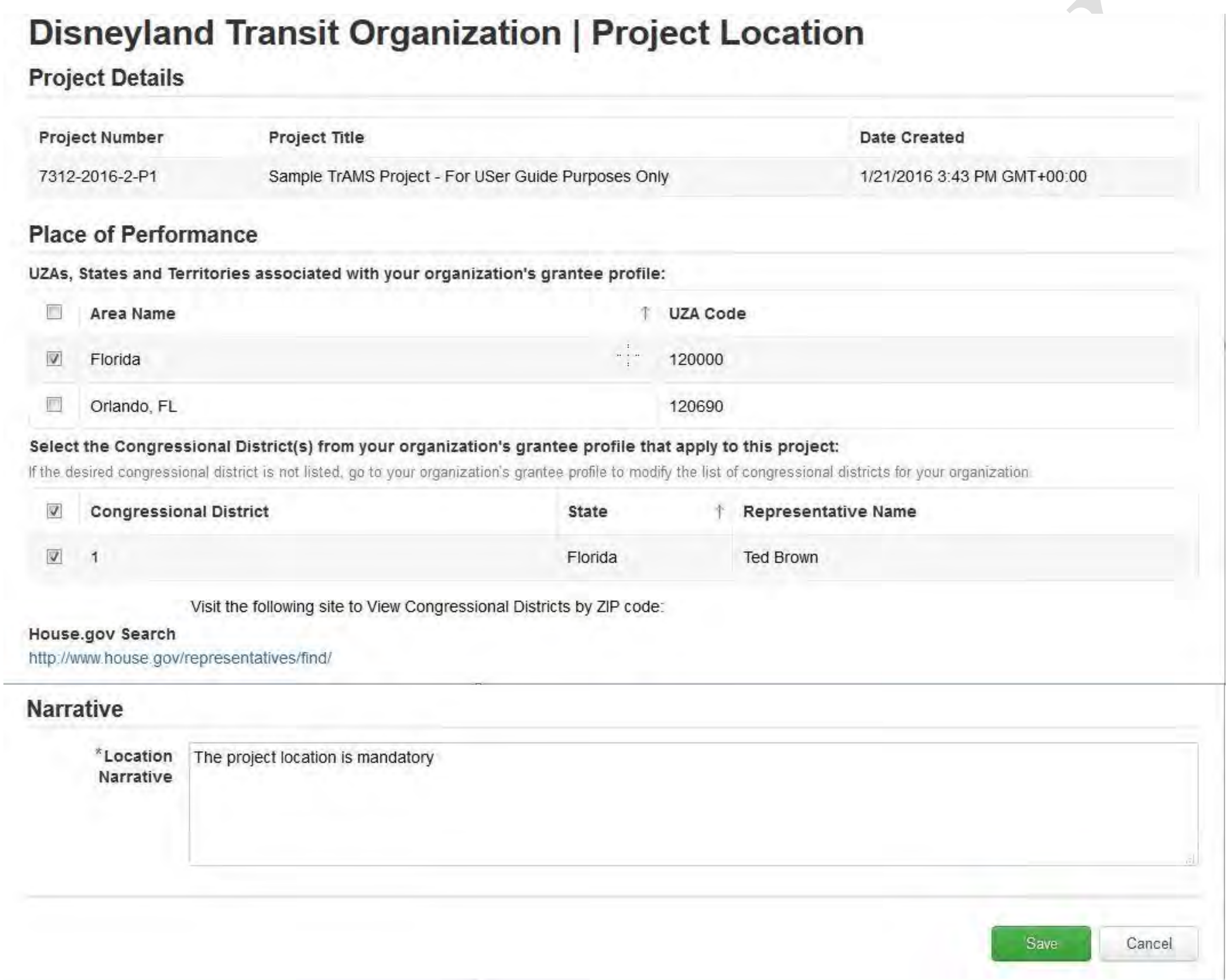
If yes, what type of major capital investment project?

- New Starts
- Small Starts
- Core Capacity

Save | Cancel

### 6.7.2 Project Location

The 'Project Location' form allows the user to update the information initially entered during step 2 of the 'Add Project to Application' wizard.


# Disneyland Transit Organization | Project Location

## Project Details

| Project Number | Project Title | Date Created |
|---|---|---|
| 7312-2016-2-P1 | Sample TrAMS Project - For USer Guide Purposes Only | 1/21/2016 3:43 PM GMT+00:00 |

## Place of Performance

UZAs, States and Territories associated with your organization's grantee profile:

| ☐ | Area Name | UZA Code |
|---|---|---|
| ☑ | Florida | 120000 |
| ☐ | Orlando, FL | 120690 |

Select the Congressional District(s) from your organization's grantee profile that apply to this project:

If the desired congressional district is not listed, go to your organization's grantee profile to modify the list of congressional districts for your organization.

| ☑ | Congressional District | State | Representative Name |
|---|---|---|---|
| ☑ | 1 | Florida | Ted Brown |

Visit the following site to View Congressional Districts by ZIP code:

House.gov Search
http://www.house.gov/representatives/find/

## Narrative

*Location Narrative: The project location is mandatory

Save Cancel

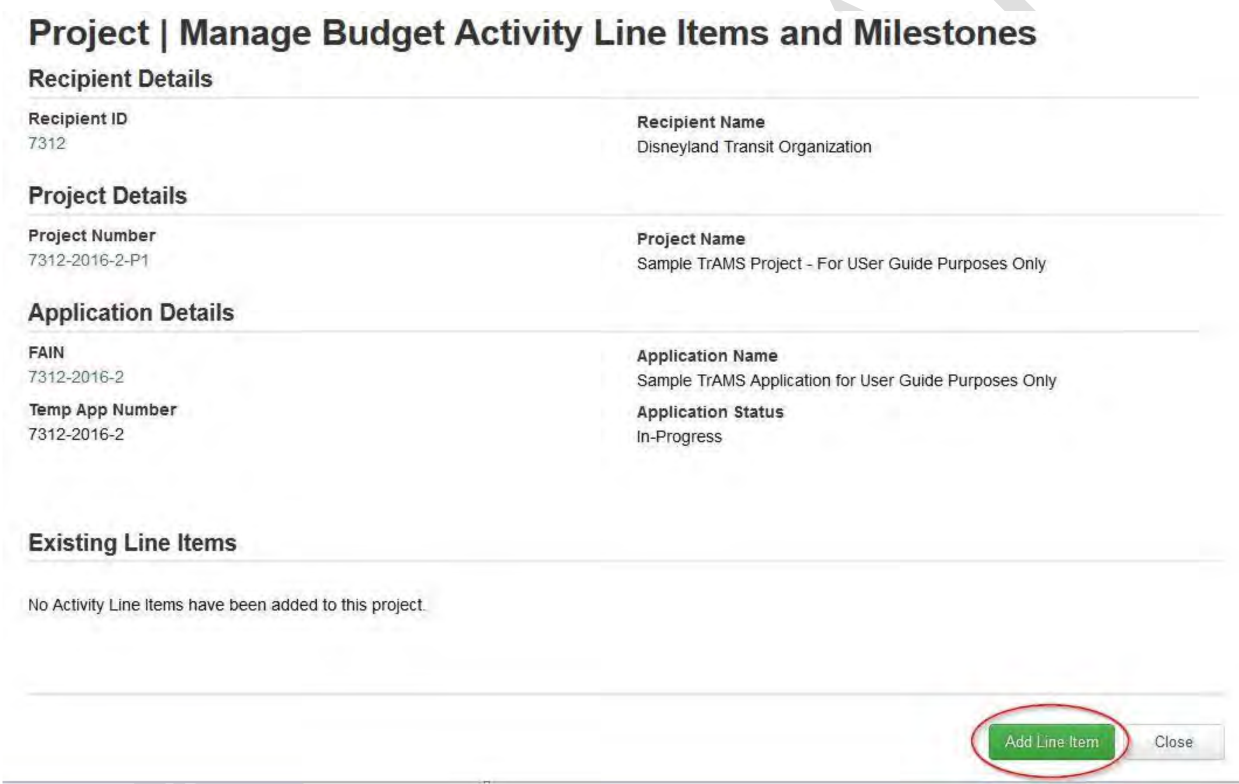
### 6.7.3 Project Plan Information

The ‘Program Plan Information’ form allows the user to update the STIP/TIP, UPWP or Long-Range Plan information initially entered during step 3 of the ‘Add Project to Application’ wizard.

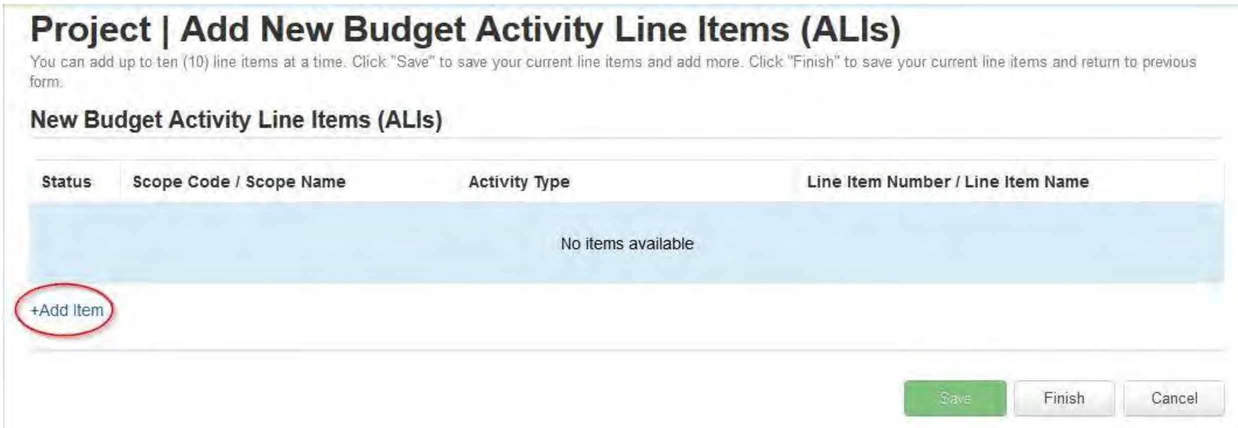
### 6.7.4 Budget Activity Line Items and Milestones

The Application and Project Budgets are formulated by adding scopes and budget activity line items (ALIs) to a project. To create and update ALIs for a project, complete the following:

1) Click on the link ‘Budget Activity Line Items and Milestone’ related action to update the budget activity line items.
2) The ALIs associated to the project are listed and displayed in grid format under the ‘Existing Line Item’ section.  If there are no ALIs associated, the grid will be empty.
3) Click on the ‘Add Line Items’ button to add the ALIs to this project. Click on ‘Close’ to leave the form without saving any changes. If you selected this, you are navigated back to the related actions dashboard.

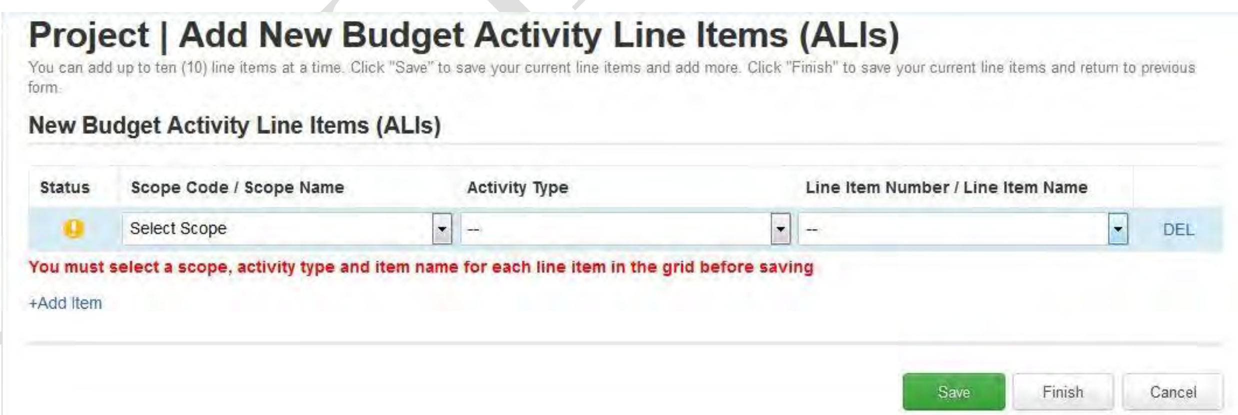



4) Click on ‘Add Item’ for each ALI that will be required for the Project.




5) After choosing 'Add Item', select values from the drop-down menu provided for each line item in the grid. For each ALI select:
   a) Scope Code/Scope Name
   b) Activity Type
   c) Line Item Number / Line Item Name
6) Click 'Save' to add the desired ALI or 'Cancel' to exit without saving the changes and return to ALI summary page.

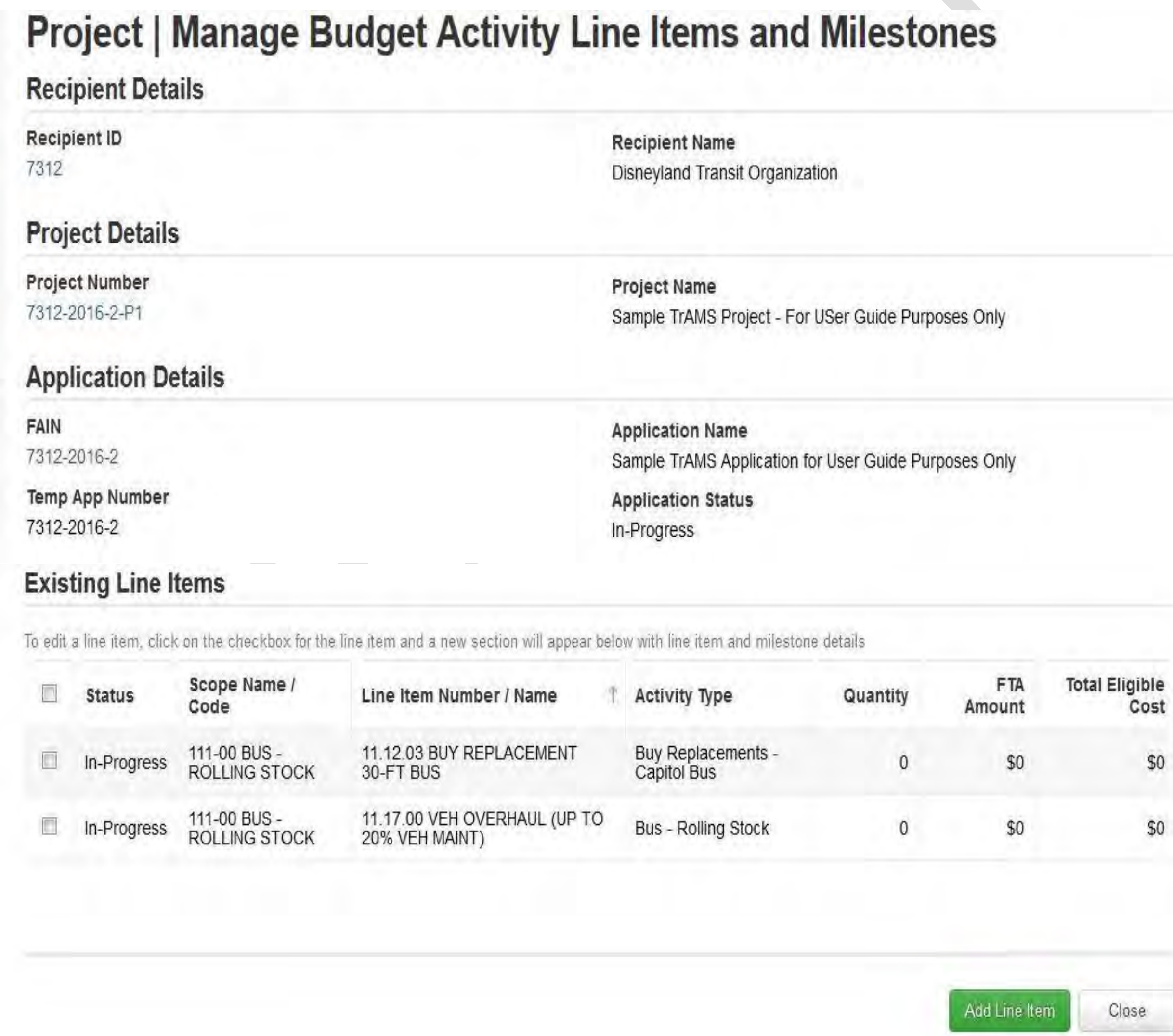
7) After saving, you may continue to add additional ALI's.  Select 'Add Item' to add additional items.
8) Click 'Finish' to exit once all ALIs have been entered and return to the ALI summary page.




**Note:** The 'Activity Type' drop down list will be populated based on the 'Scope Code/Scope Name' selected.  The 'Line Item Number / Line Item Name' will be populated based on the 'Activity Type' selected.

9) To add detail information for each line item, select the check box against the desired ALI from the grid. The form will expand below the existing line items grid to include the following sections for the selected line item.

- Line Item Scope,
- Line Item Details,
- FTA Funding Information,
- Non-FTA Funding Information,
- Rolling Stock Information, when the scope code of 'Rolling Stock' has been selected,
- Milestone Information.



# Project | Manage Budget Activity Line Items and Milestones

## Recipient Details

**Recipient ID**
7312

**Recipient Name**
Disneyland Transit Organization

## Project Details

**Project Number**
7312-2016-2-P1

**Project Name**
Sample TrAMS Project - For USer Guide Purposes Only

## Application Details

**FAIN**
7312-2016-2

**Temp App Number**
7312-2016-2

**Application Name**
Sample TrAMS Application for User Guide Purposes Only

**Application Status**
In-Progress

## Existing Line Items

To edit a line item, click on the checkbox for the line item and a new section will appear below with line item and milestone details

| | Status | Scope Name / Code | Line Item Number / Name | Activity Type | Quantity | FTA Amount | Total Eligible Cost |
|---|---|---|---|---|---|---|---|
| ☐ | In-Progress | 111-00 BUS - ROLLING STOCK | 11.12.03 BUY REPLACEMENT 30-FT BUS | Buy Replacements - Capitol Bus | 0 | $0 | $0 |
| ☐ | In-Progress | 111-00 BUS - ROLLING STOCK | 11.17.00 VEH OVERHAUL (UP TO 20% VEH MAINT) | Bus - Rolling Stock | 0 | $0 | $0 |

Add Line Item | Close

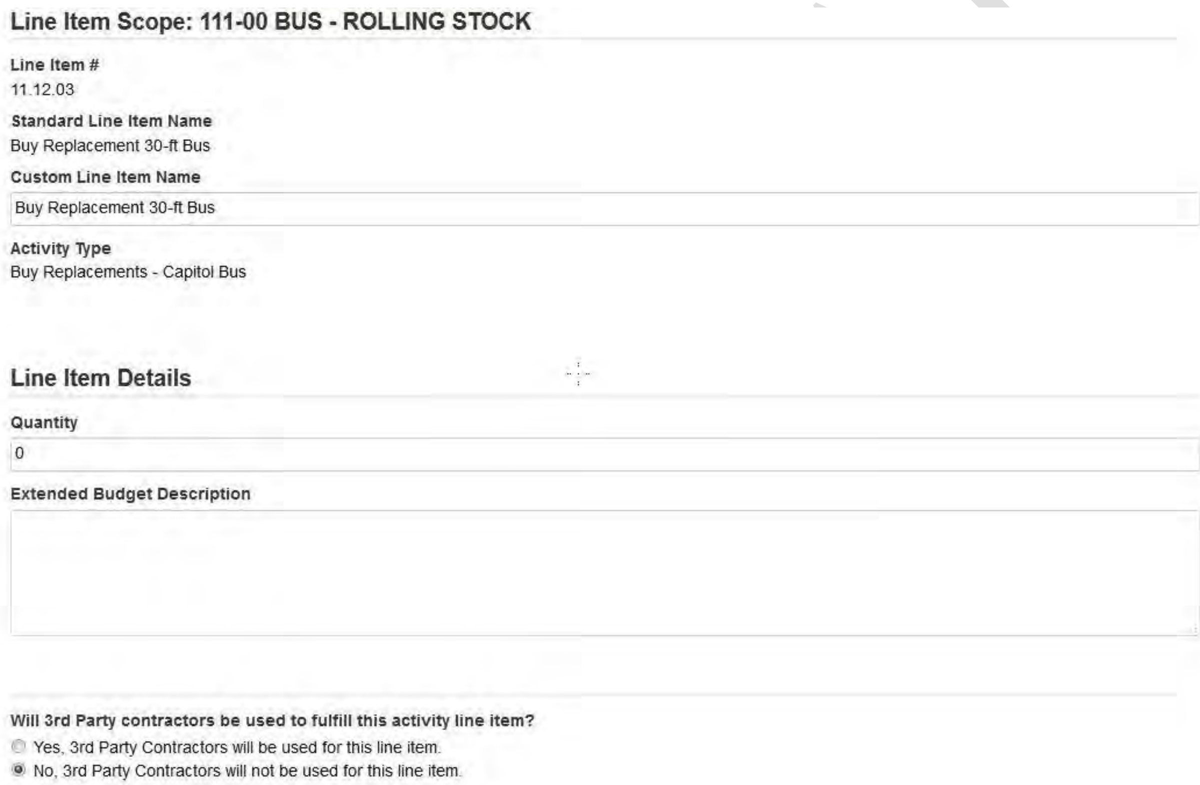
10) You may provide a customized name for the line item in the 'Line Item Scope' details section by updating the 'Custom Line Items Name' field or you may choose to keep the standard line item name.

11) Update the line item details section

    a) Provide the Quantity of items that this ALI will cover in the 'Quantity' field. This field must be a whole number.

    b) Provide description of the ALI in the 'Extended Budget Description'.

    c) Update the 3rd party contractor question with the correct answer. Click on the radio button next to the 'Yes, 3rd Party Contractors will be used for this line item.' or 'No, 3rd Party Contractors will not be used for this line item'.



12) Update the FTA Funding Information Section with the requested amount to be provided by the grant or cooperative agreement.

   a) Select a value from the drop-down menu provided under the 'FTA Funding Source' field.

   b) Update the FTA Funding Amount field with the desired amount of funding.


13) Non-FTA Funding Information Section – provide information concerning additional local, state or other federal funding that will be provided for this ALI.

   a) If applicable update the 'Local Share Amount' field with the amount the local government will be contributing.

   b) If applicable update the 'Local/In-Kind Share Amount' with the value of any local in-kind funding.

   c) If applicable update the 'State Share Amount' field with the amount the state will be contributing.

   d) If applicable update the 'State/In-Kind Share Amount' field with the desired amount.

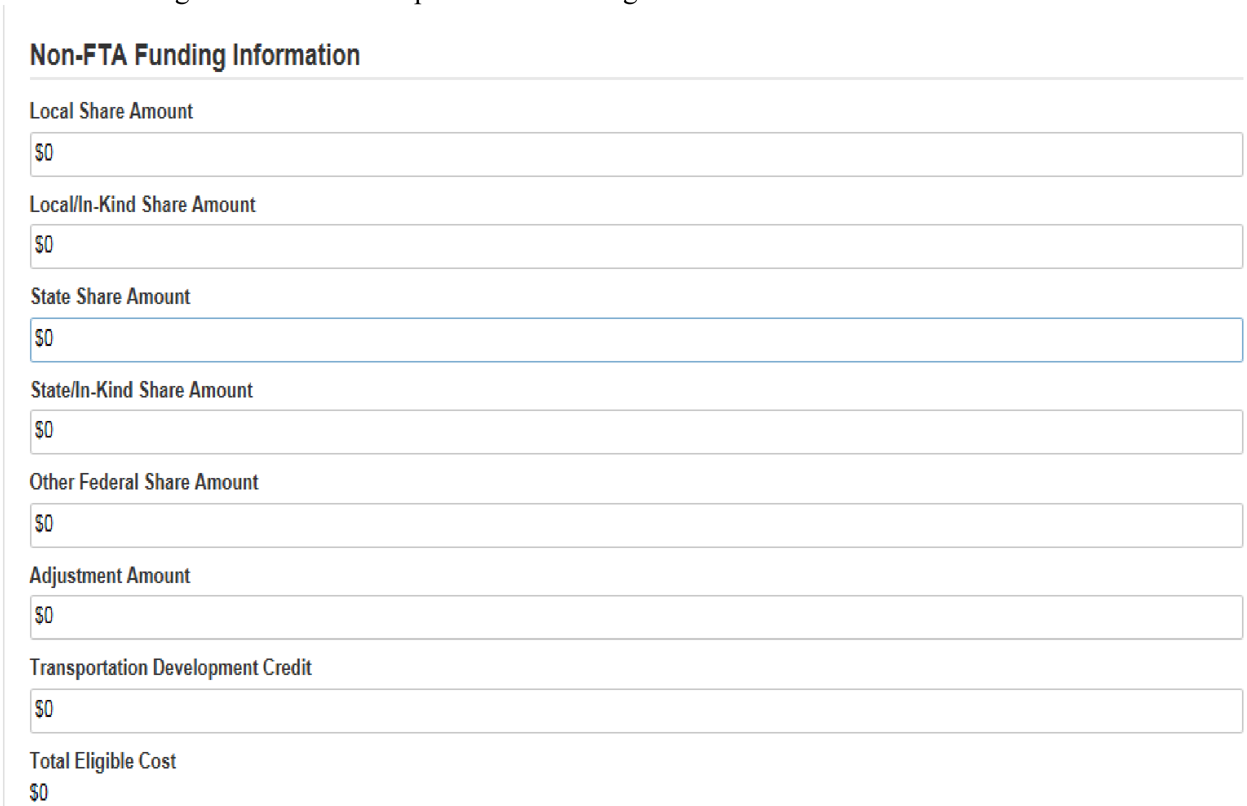
   e) If applicable update the 'Other Federal Share Amount' field with the desired amount.

   f) If applicable update the 'Adjustment Amount field' with the desired amount.

   g) If applicable update the 'Transportation Development Credit' field with the desired amount.

**Note:** All amount fields reflect whole dollars and must be entered as a whole number.

The 'Total Eligible Cost' will be updated after saving.



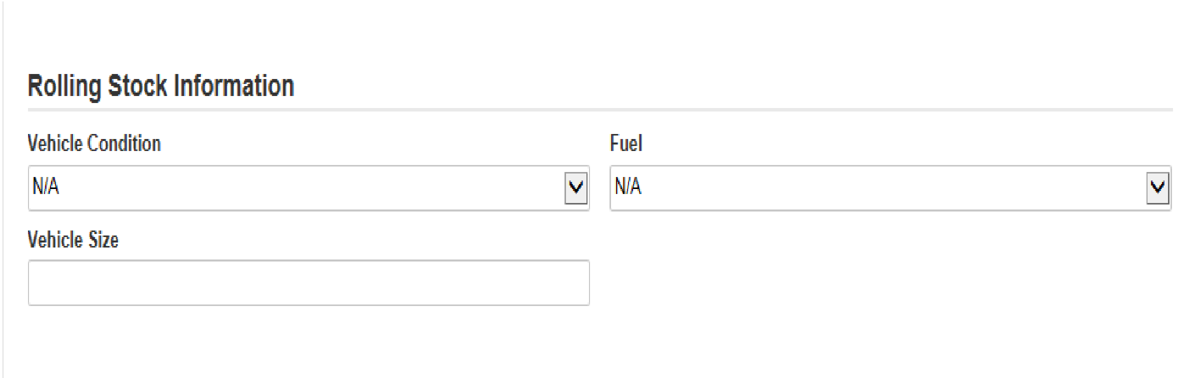

**Note:** Transportation Development Credit and Adjustment Amount will not be additive in the Total Eligible Cost

14) When the scope code 'Rolling Stock' is selected the Rolling Stock Information Section will display.

    a) Select a value from the drop down 'Vehicle Condition' field indicating whether the vehicles are new or used.

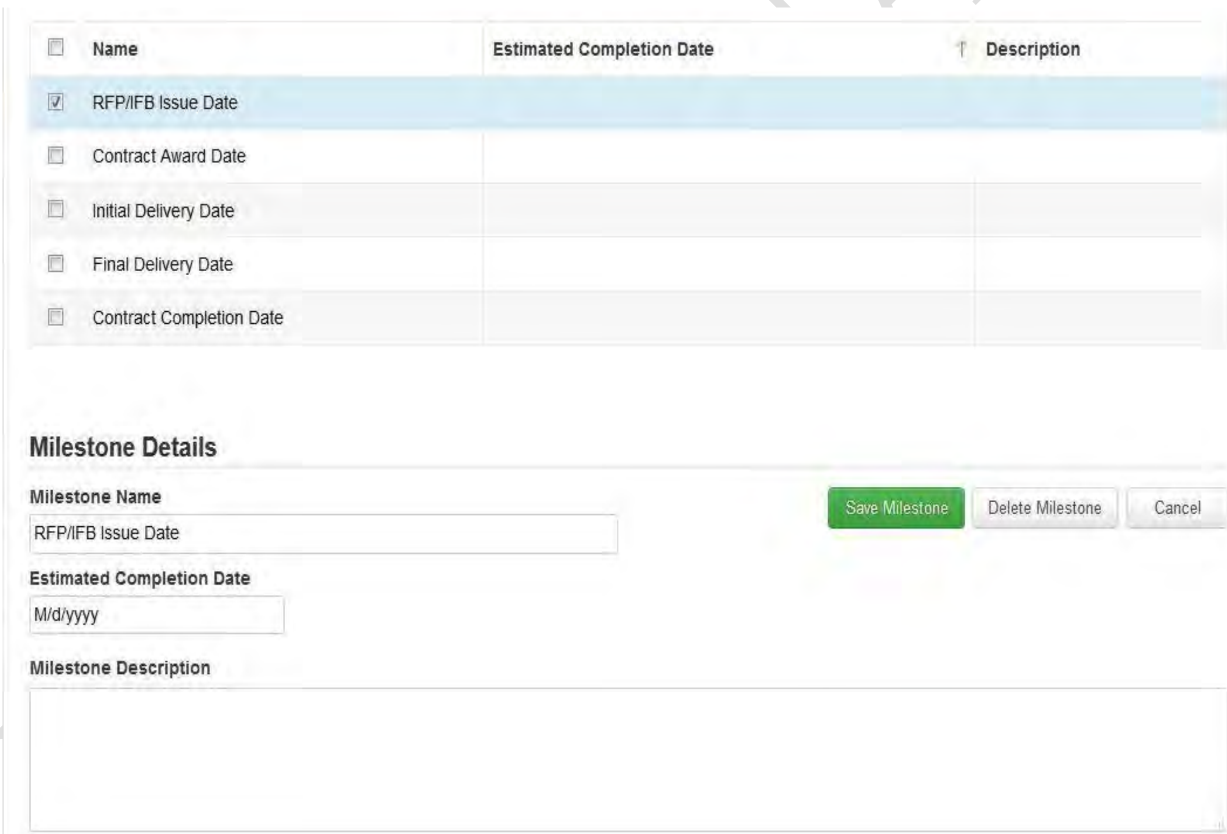
    b) Select a value from the drop down 'Fuel' field indicating the type of fuel that the vehicles will use.

    c) Provide a short text describing of the size of the vehicle in the 'Vehicle Size' field.

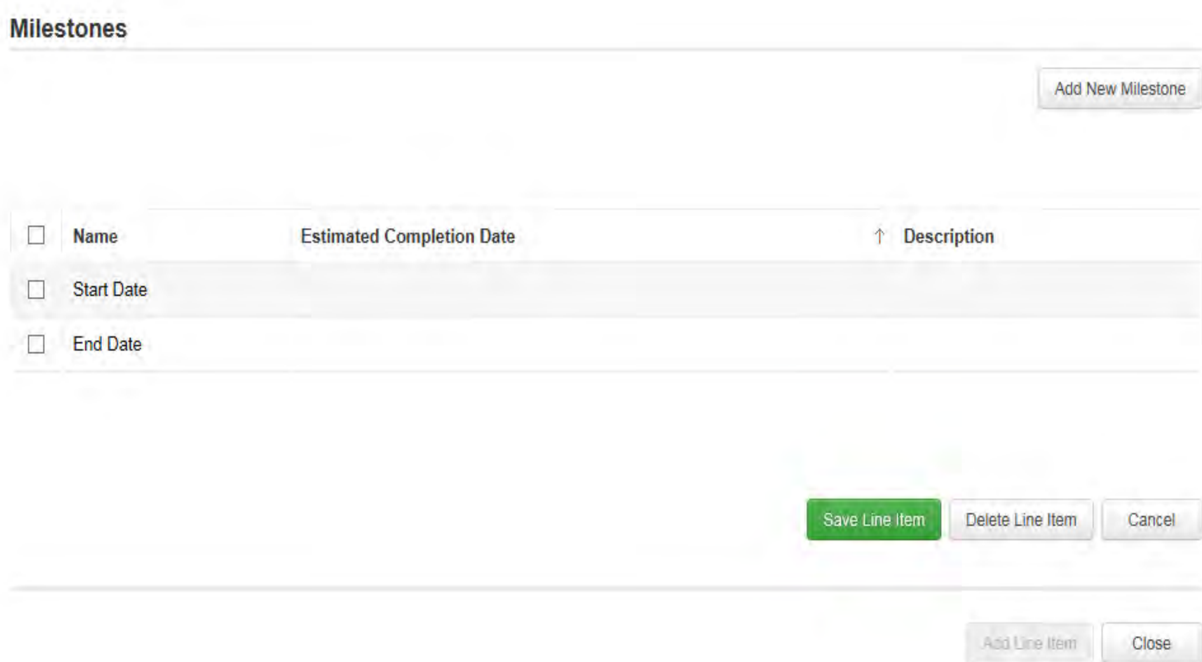



15) Update the Milestone section - A grid will be displayed with all applicable milestones.

**Note**: A ‘Rolling Stock’ line item will have five standard milestones as shown below.



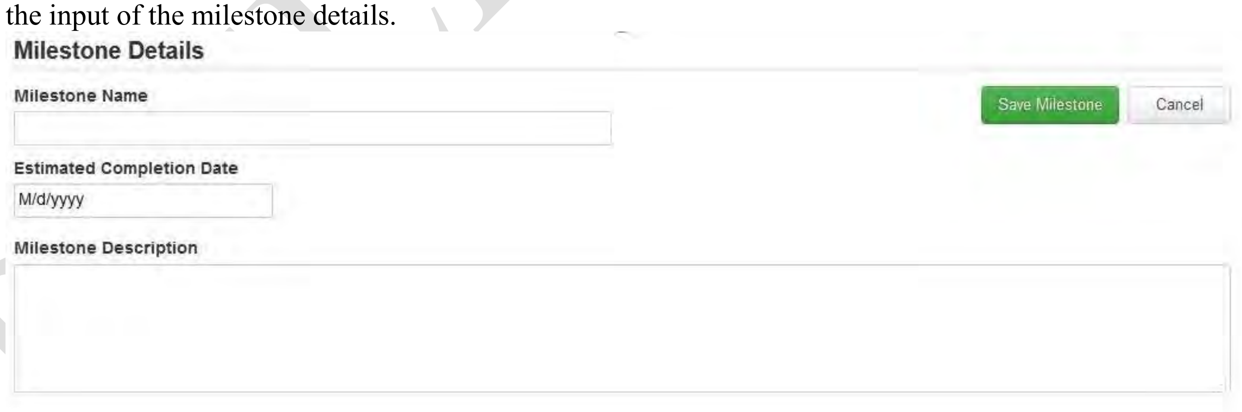
**Note**: A non ‘Rolling Stock’ line item will have twostandard milestones as shown below.




16) You may select to update the listed milestones, delete selected milestones, or add additional milestones.  Details for each milestone in the grid must be provided for the ALI to be marked as complete. Milestones that are not applicable should be deleted.

**Note**: A minimum of 2 milestones are required for an ALI to be complete.

17) To add new milestones click the ‘Add New Milestone’ button and the form will expand to allow for the input of the milestone details.




18) To update or delete a milestone from the grid, select the checkbox associated with the desired milestone and the form will expand to display the milestone details.

19) Once the form has expanded you can choose to update the details associated with the milestone selected or choose to delete the milestone.

a) Update the ‘Milestone Name’ with a name of your own choosing or keep the provided name.

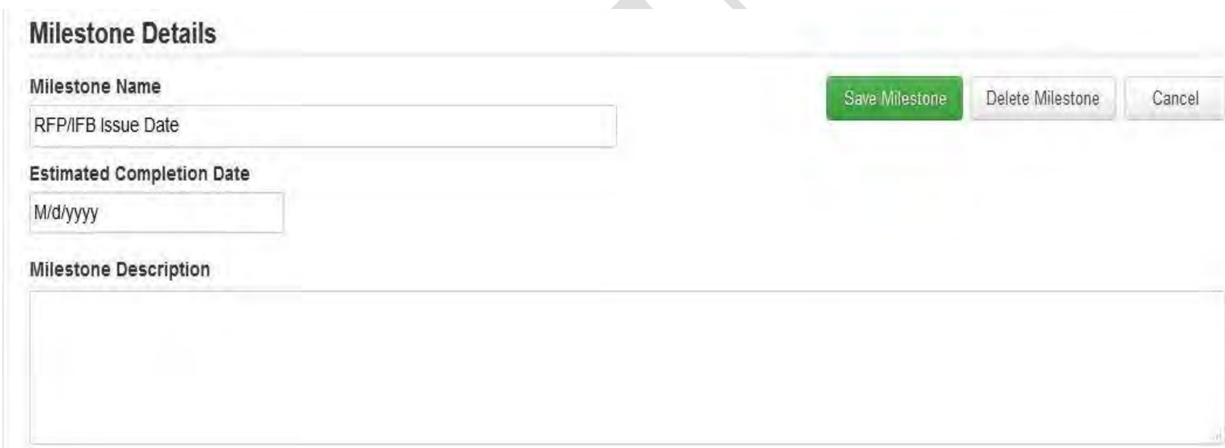
b) Click on the ‘Estimated Completion Date’ field to either type in a date or select a date from the date picker.

c) Optionally, provide additional information concerning the milestone in the ‘Milestone Description’ field.

d) Click on ‘Save Milestone’ to save all information for the selected milestone and collapse the form to hide the selected milestone details.

e) Click on the ‘Delete Milestone’ button to delete the milestone, and collapse the form, or

f) Click on ‘Cancel’ to exit out of the milestone details form without saving any changes made to the milestone and collapse the form to hide the milestone details.

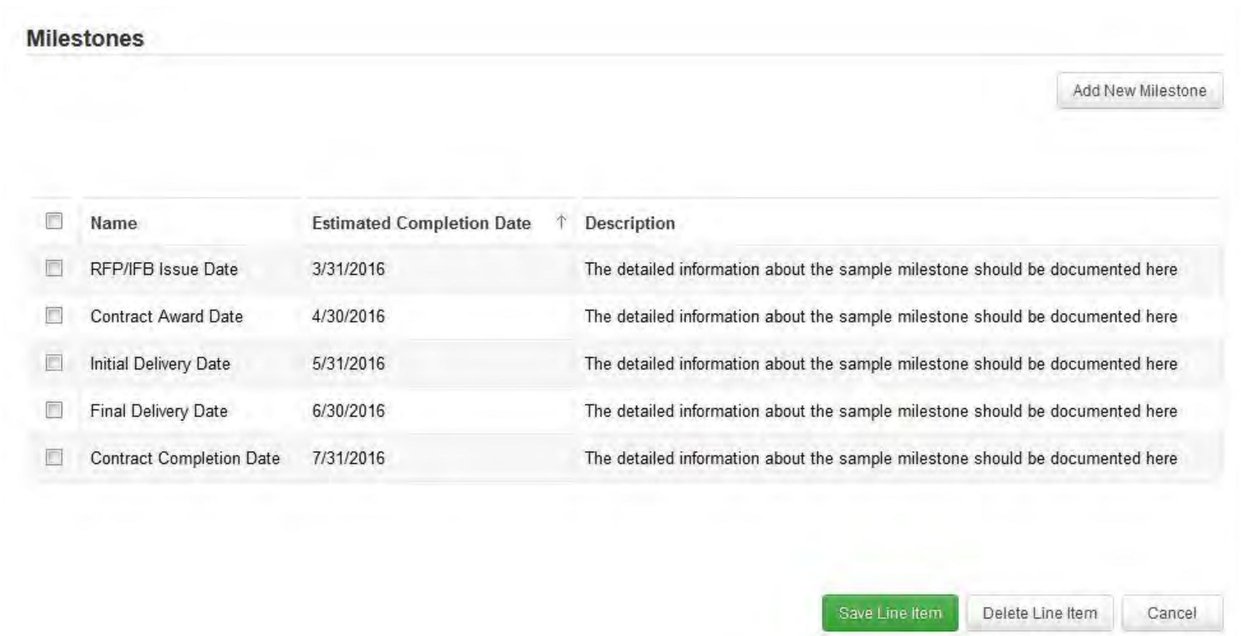



20) Once all the sections related to the selected line item have been completed, you have the following option. The buttons can be found below the ‘Existing Line Items’ grid.

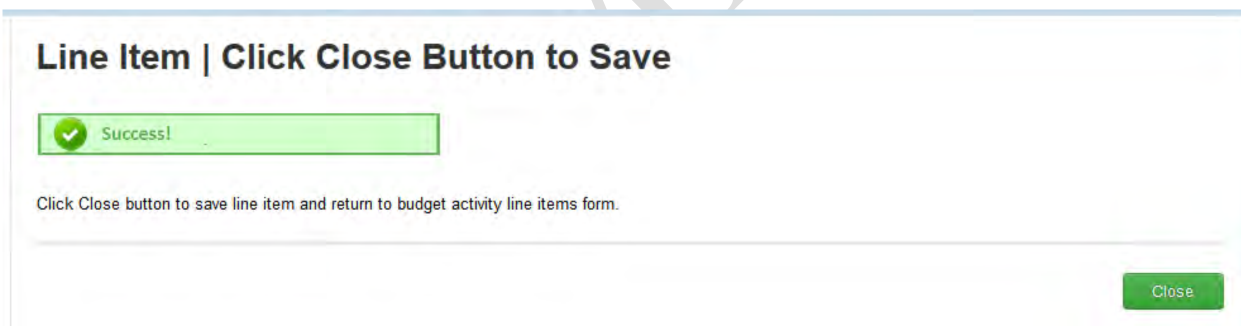
a) Click on ‘Save Line Item’ to save all information for the selected line item and collapse the form to hide the line item sections, or

b) Click on ‘Delete Line Item’ button to delete the selected line item from the project, or

c) Click on ‘Cancel’ to exit out of the form without saving changes for the selected line item and collapse the form to exclude the line item sections.




21) Click on the ‘Save Line Item’ button to save changes to your ALI and milestones. The ‘Click Close Button to Save’ form will appear.




22) Click the ‘Close’ button to finish saving the line item and return to the ‘Budget Activity Line Items’ form

23) The status for each line item will change from ‘In-progress’ to ‘Complete’ after all sections have been filled out and saved.

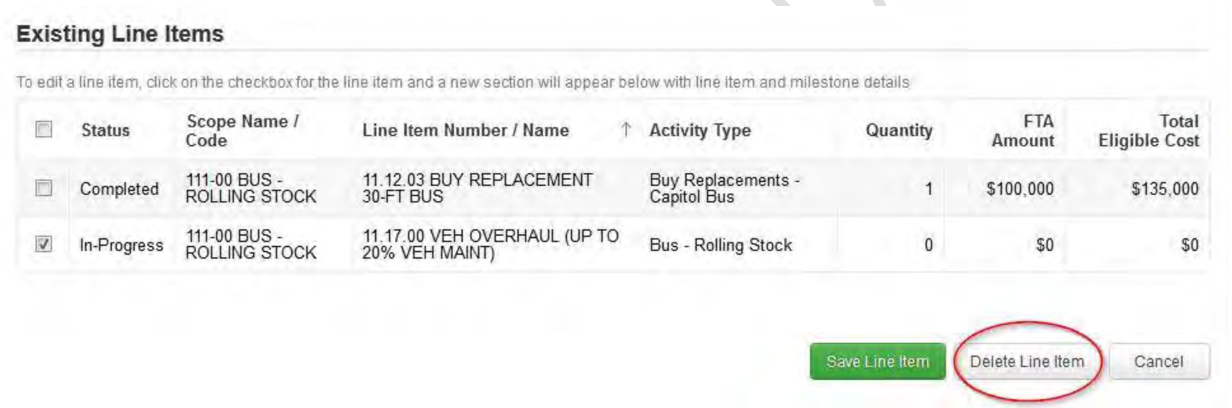
**Note:** All line items must have a 'Complete' status in order to successfully validate the project.

## Existing Line Items

To edit a line item, click on the checkbox for the line item and a new section will appear below with line item and milestone details

| Status | Scope Name / Code | Line Item Number / Name ↑ | Activity Type | Quantity | FTA Amount | Total Eligible Cost |
|---|---|---|---|---|---|---|
| Completed | 111-00 BUS - ROLLING STOCK | 11.12.03 BUY REPLACEMENT 30-FT BUS | Buy Replacements - Capitol Bus | 1 | $100,000 | $135,000 |
| In-Progress | 111-00 BUS - ROLLING STOCK | 11.17.00 VEH OVERHAUL (UP TO 20% VEH MAINT) | Bus - Rolling Stock | 0 | $0 | $0 |

24) To delete select the line item to be deleted and click on the 'Delete Line Item' button.



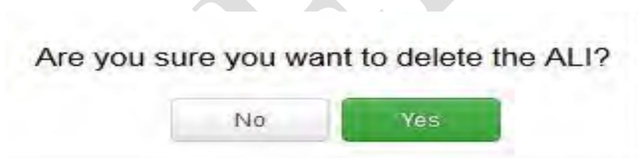
## Existing Line Items

To edit a line item, click on the checkbox for the line item and a new section will appear below with line item and milestone details

| Status | Scope Name / Code | Line Item Number / Name ↑ | Activity Type | Quantity | FTA Amount | Total Eligible Cost |
|---|---|---|---|---|---|---|
| Completed | 111-00 BUS - ROLLING STOCK | 11.12.03 BUY REPLACEMENT 30-FT BUS | Buy Replacements - Capitol Bus | 1 | $100,000 | $135,000 |
| In-Progress | 111-00 BUS - ROLLING STOCK | 11.17.00 VEH OVERHAUL (UP TO 20% VEH MAINT) | Bus - Rolling Stock | 0 | $0 | $0 |



25) The system will display a message asking to confirm the deletion of the line item.




26) Once a line item is deleted the existing line items grid will no longer display the deleted line item.

**Existing Line Items**

To edit a line item, click on the checkbox for the line item and a new section will appear below with line item and milestone details

| | Status | Scope Name / Code | Line Item Number / Name ↑ | Activity Type | Quantity | FTA Amount | Total Eligible Cost |
|---|---|---|---|---|---|---|---|
| ☐ | Completed | 111-00 BUS - ROLLING STOCK | 11.12.03 BUY REPLACEMENT 30-FT BUS | Buy Replacements - Capitol Bus | 1 | $100,000 | $135,000 |

27) Click the 'Close' button to return to the Projects Related Actions menu.

### 6.7.5 Environmental Determination

Environmental findings must be provided for each Project. You may select to have one environmental finding apply to all ALI or select individual findings for each ALI.

To update Environmental Determination, complete the following:

1) Click on the link 'Environmental Determination' related action to update environmental findings details.

Records / Projects

**FL-2016-002-01-00 - Sample TrAMS Project - For USer Guide Purposes Only** Follow

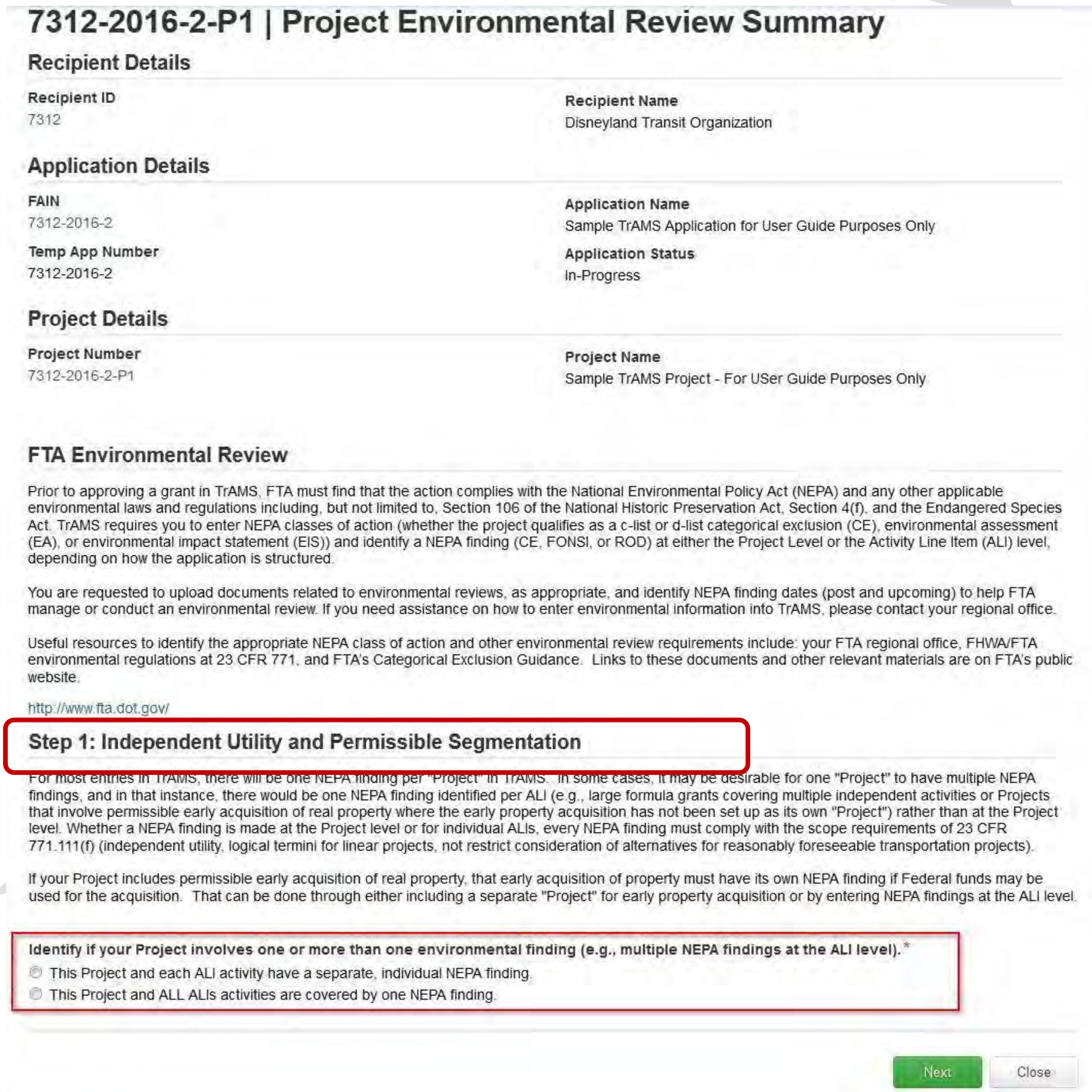
- **Project Details and Narratives**
  Manage Project Details and Narrative
- **Project Location**
  Manage Project Place of Performance Information (Congressional District and UZA Codes)
- **Project Plan Information**
  Manage Project's Program Plan Information (STIP/UPWP/LRP)
- **Budget Activity Line Items and Milestone**
  Manage Budget Activity Line Item and Milestone
- **Environmental Determinations**
  Manage Project Environmental Determinations
- **View-Print Application**
  Generate View/Print for Application
- **Project Documents**
  Manage Project Documents

2) Update 'Step 1' the project 'Independent Utility and Permissible Segmentation' section by identifying if your project involves one or more environmental findings by either selecting:

   a) 'This Project and each ALI activity have a separate, individual NEPA finding' when there are multiple environmental findings, or

b) 'This Project and ALL ALIs activities are covered by one NEPA finding', when there is only one environmental finding.

3) Click on the 'Next' button to move the next form or 'Close' to close the form without saving changes and return to the project 'Related Actions' menu.



# 7312-2016-2-P1 | Project Environmental Review Summary

## Recipient Details

**Recipient ID**
7312

**Recipient Name**
Disneyland Transit Organization

## Application Details

**FAIN**
7312-2016-2

**Temp App Number**
7312-2016-2

**Application Name**
Sample TrAMS Application for User Guide Purposes Only

**Application Status**
In-Progress

## Project Details

**Project Number**
7312-2016-2-P1

**Project Name**
Sample TrAMS Project - For USer Guide Purposes Only

## FTA Environmental Review

Prior to approving a grant in TrAMS, FTA must find that the action complies with the National Environmental Policy Act (NEPA) and any other applicable environmental laws and regulations including, but not limited to, Section 106 of the National Historic Preservation Act, Section 4(f), and the Endangered Species Act. TrAMS requires you to enter NEPA classes of action (whether the project qualifies as a c-list or d-list categorical exclusion (CE), environmental assessment (EA), or environmental impact statement (EIS)) and identify a NEPA finding (CE, FONSI, or ROD) at either the Project Level or the Activity Line Item (ALI) level, depending on how the application is structured.

You are requested to upload documents related to environmental reviews, as appropriate, and identify NEPA finding dates (post and upcoming) to help FTA manage or conduct an environmental review. If you need assistance on how to enter environmental information into TrAMS, please contact your regional office.

Useful resources to identify the appropriate NEPA class of action and other environmental review requirements include: your FTA regional office, FHWA/FTA environmental regulations at 23 CFR 771, and FTA's Categorical Exclusion Guidance. Links to these documents and other relevant materials are on FTA's public website.

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

## Step 1: Independent Utility and Permissible Segmentation

For most entries in TrAMS, there will be one NEPA finding per "Project" in TrAMS. In some cases, it may be desirable for one "Project" to have multiple NEPA findings, and in that instance, there would be one NEPA finding identified per ALI (e.g., large formula grants covering multiple independent activities or Projects that involve permissible early acquisition of real property where the early property acquisition has not been set up as its own "Project") rather than at the Project level. Whether a NEPA finding is made at the Project level or for individual ALIs, every NEPA finding must comply with the scope requirements of 23 CFR 771.111(f) (independent utility, logical termini for linear projects, not restrict consideration of alternatives for reasonably foreseeable transportation projects).

If your Project includes permissible early acquisition of real property, that early acquisition of property must have its own NEPA finding if Federal funds may be used for the acquisition. That can be done through either including a separate "Project" for early property acquisition or by entering NEPA findings at the ALI level.

**Identify if your Project involves one or more than one environmental finding (e.g., multiple NEPA findings at the ALI level).***

- This Project and each ALI activity have a separate, individual NEPA finding.
- This Project and ALL ALIs activities are covered by one NEPA finding.

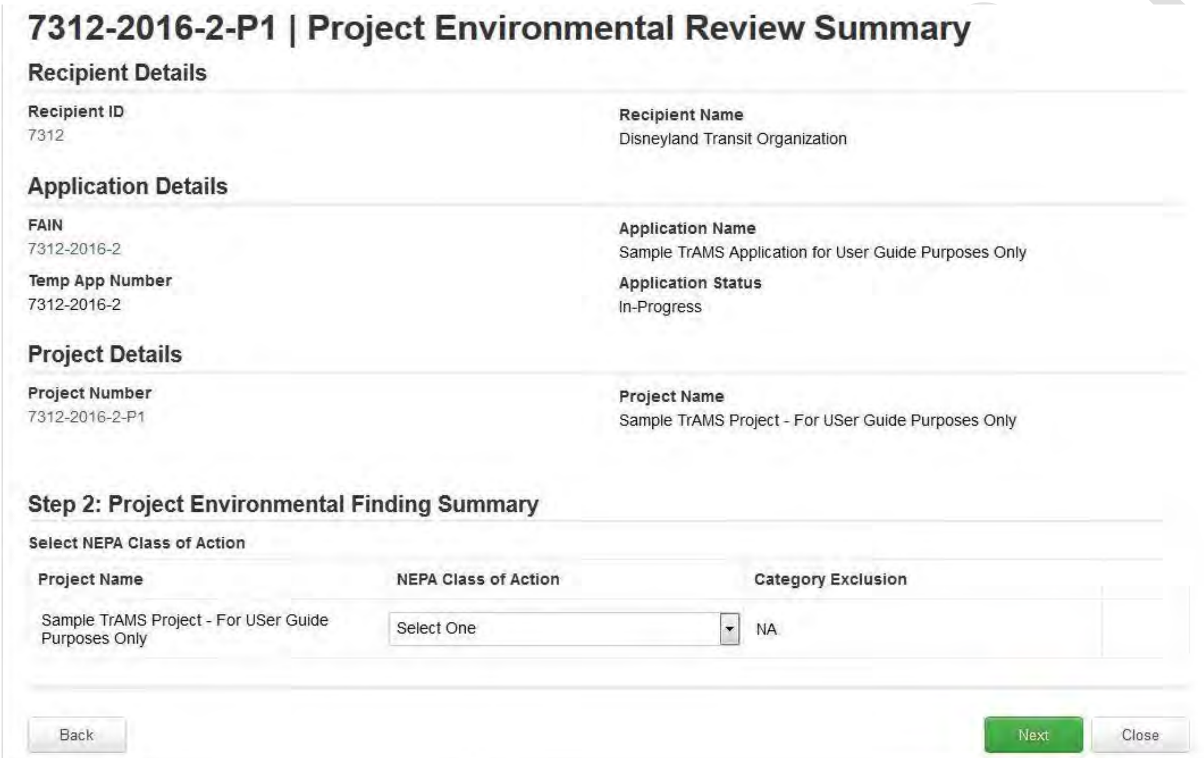
Next Close

4) Step 2 the ‘Project Environmental Finding Summary’ section:

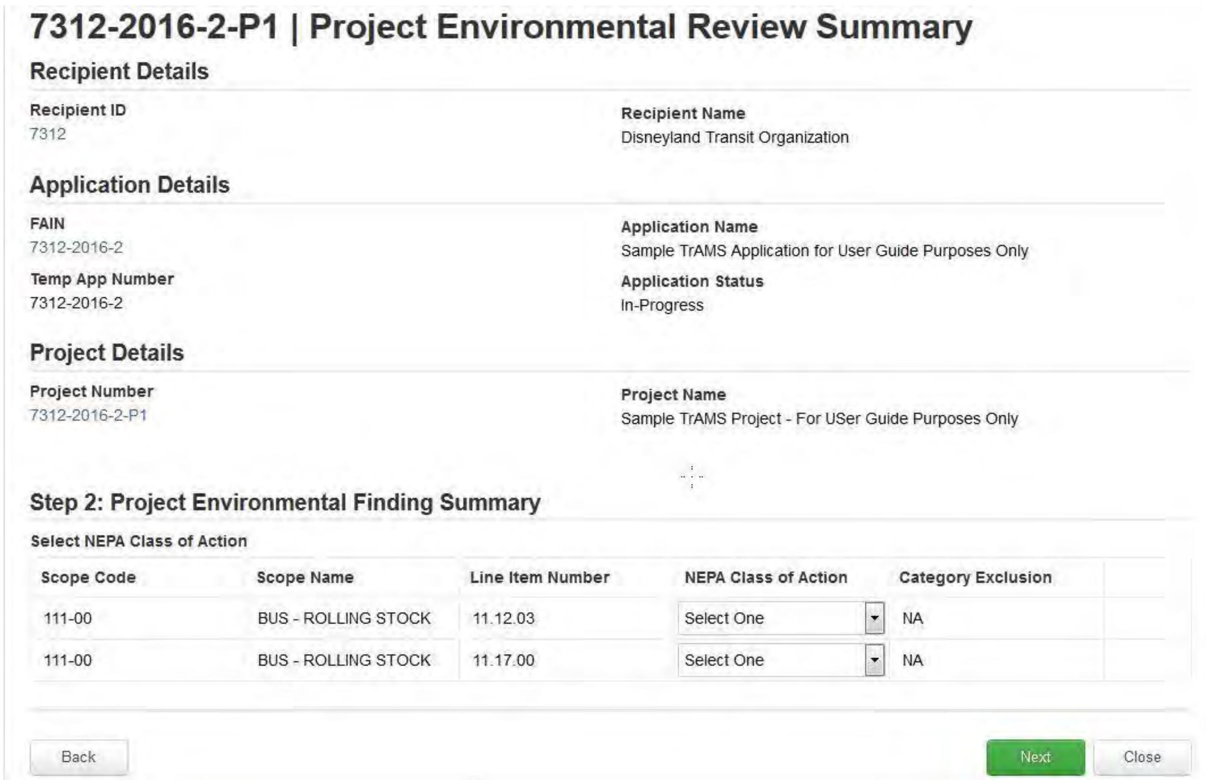
   a) Select a value from the drop-down menu provided under the ‘NEPA Class of Actions’ field.

   b) Once you select a class of action from the drop-down  the ‘Category Exclusion’ field will populate with appropriate values.  Applicable  for ‘Class II(c) – Categorical Exclusion (C-List)’ and ‘Class II(d) – Categorical Exclusion (D-List)’, otherwise the value of NA will populate.

If the value ‘This Project and ALL ALIs activities are covered by one NEPA finding’ was selected, only one NEPA Class of Action may be selected.




If ‘This Project and each ALI activity have a separate, individual NEPA finding.’ is selected then, a grid will display with each ALI associated to the project,  a ‘NEPA Class of Action’ and its corresponding ‘Category Exclusion’ will need to be chosen for each ALI.




5) To modify the answer selected as to the number of environmental findings associated with the project click on the ‘Back’ button. The following validation message will be displayed.


6) Repeat steps 2 through 4.
7) Click on the ‘Next’ button to move to the next page to provide detail information on the Environmental Findings.
8) Click on ‘Close’ to close the form without saving and return to the project ‘Related Actions’ menu.

9) Step 3 update the ‘Budget Activity Line Items Associated to NEPA Class of Action’ section
10) When multiple findings have been selected you will be presented with a grid to select the ALI to be updated. Select an ALI by checking the box associated with the ALI and the form will expand to allow the entry of the details. If only one finding was selected for the project, selecting an ALI will not be required and the expanded form will automatically be displayed.

## 7312-2016-2-P1 | Project Environmental Review Summary

### Recipient Details

**Recipient ID**
7312

**Recipient Name**
Disneyland Transit Organization

### Application Details

**FAIN**
7312-2016-2

**Application Name**
Sample TrAMS Application for User Guide Purposes Only

**Temp App Number**
7312-2016-2

**Application Status**
In-Progress

### Project Details

**Project Number**
7312-2016-2-P1

**Project Name**
Sample TrAMS Project - For USer Guide Purposes Only

### Step 3: Budget Activity Line Items Associated to NEPA Class of Action

| ☐ | Scope Code | Scope Name | Line Item Number | Line Item Name | FTA Amount | Total Eligible Cost | NEPA Class | Categorical Exclusion |
|---|---|---|---|---|---|---|---|---|
| ☑ | 111-00 | BUS - ROLLING STOCK | 11.12.03 | BUY REPLACEMENT 30-FT BUS | $100,000.00 | $135,000.00 | Class II(c) - Categorical Exclusions (C-List) | Type 07: Acquisition, Maintenance of Vehicles / Equipment |
| ☐ | 111-00 | BUS - ROLLING STOCK | 11.17.00 | VEH OVERHAUL (UP TO 20% VEH MAINT) | $0 | $0 | Class II(d) - Categorical Exclusions (D-List) | Type 09: Other |

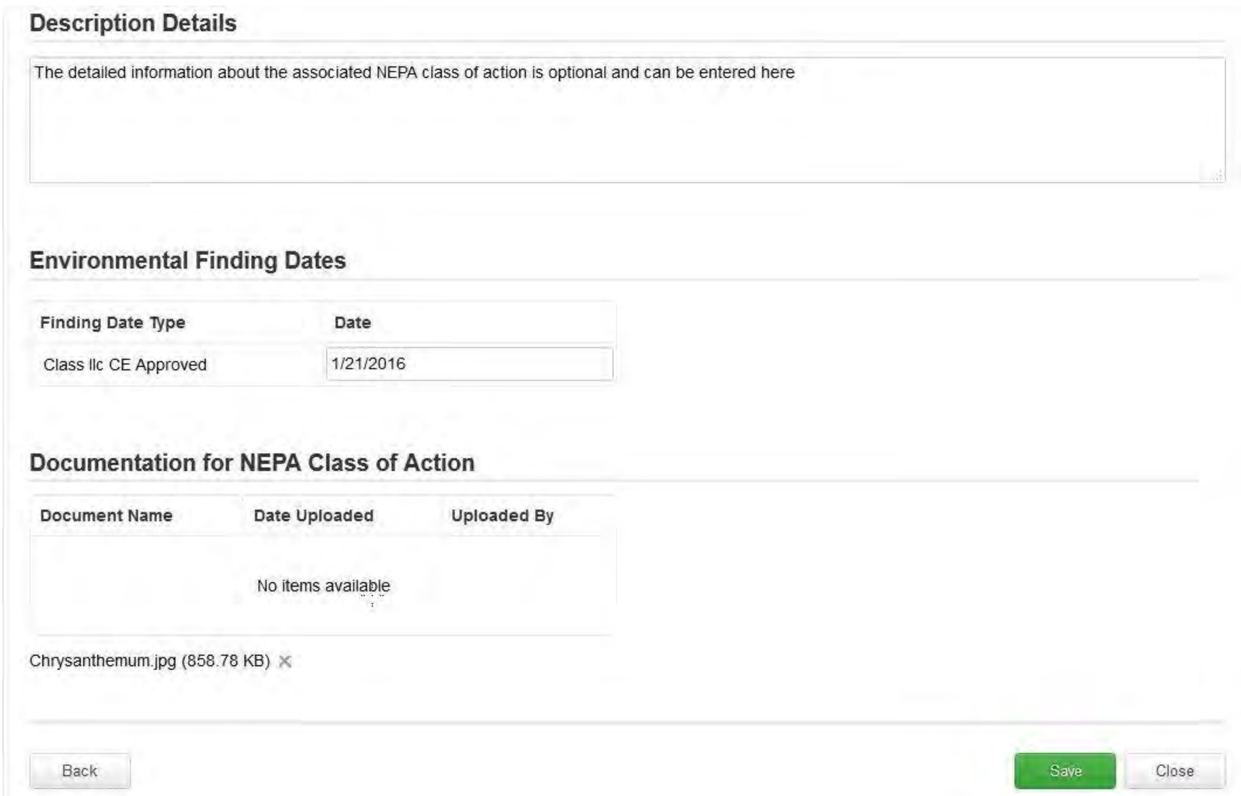
Class II(c) - Categorical Exclusions (C-List) - Type 07: Acquisition, installation, rehabilitation, replacement, and maintenance of vehicles or equipment, within or accommodated by existing facilities, that does not result in a change in functional use of the facilities, such as: equipment to be located within existing facilities and with no substantial off-site impacts; and vehicles, including buses, rail cars, trolley cars, ferry boats and people movers that can be accommodated by existing facilities or by new facilities that qualify for a categorical exclusion.

11) For each NEPA Class of Action selected the user will be able to:

a) Provide a description of the findings in the 'Description Details' field.

b) Click on each finding date type 'Date' field to either type in a date or select a date from the date picker. Date fields listed will depend on the NEPA Class of Action selected.

c) Click on the 'Browse' button to upload a document that is associated with the NEPA Class of Action.



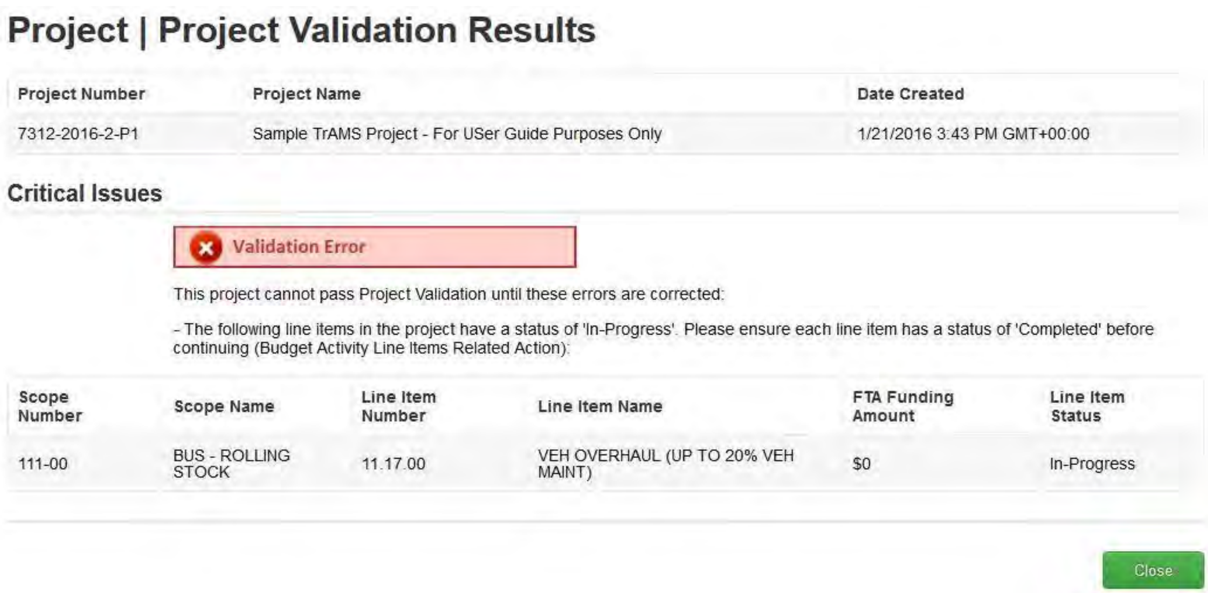

12) Click on ‘Save’ to save all information for the selected NEPA Class of Action and collapse the form. Click on ‘Back’ to return to the previous form and modify the NEPA Class of Action or Categorical Exclusions selected. Click on ‘Close’ to close the form and return to the project ‘Related Actions’ menu without saving.

### 6.7.6 Related Action: Validate Project

All projects must be validated before transmitting an application to FTA for review. To validate a project, complete the following:

1) Click on the ‘Validate Project’ related action to verify that the project is complete.

2) The system will run validation on your project to ensure all required elements for the project are present and will provide a summary of critical issues and warnings. If the validation results in critical issues, you will need to address them individually before the project will pass validation.



## Project | Project Validation Results

| Project Number | Project Name | Date Created |
|---|---|---|
| 7312-2016-2-P1 | Sample TrAMS Project - For USer Guide Purposes Only | 1/21/2016 3:43 PM GMT+00:00 |

### Critical Issues

Validation Error

This project cannot pass Project Validation until these errors are corrected:

- The following line items in the project have a status of 'In-Progress'. Please ensure each line item has a status of 'Completed' before continuing (Budget Activity Line Items Related Action):

| Scope Number | Scope Name | Line Item Number | Line Item Name | FTA Funding Amount | Line Item Status |
|---|---|---|---|---|---|
| 111-00 | BUS - ROLLING STOCK | 11.17.00 | VEH OVERHAUL (UP TO 20% VEH MAINT) | $0 | In-Progress |

Close

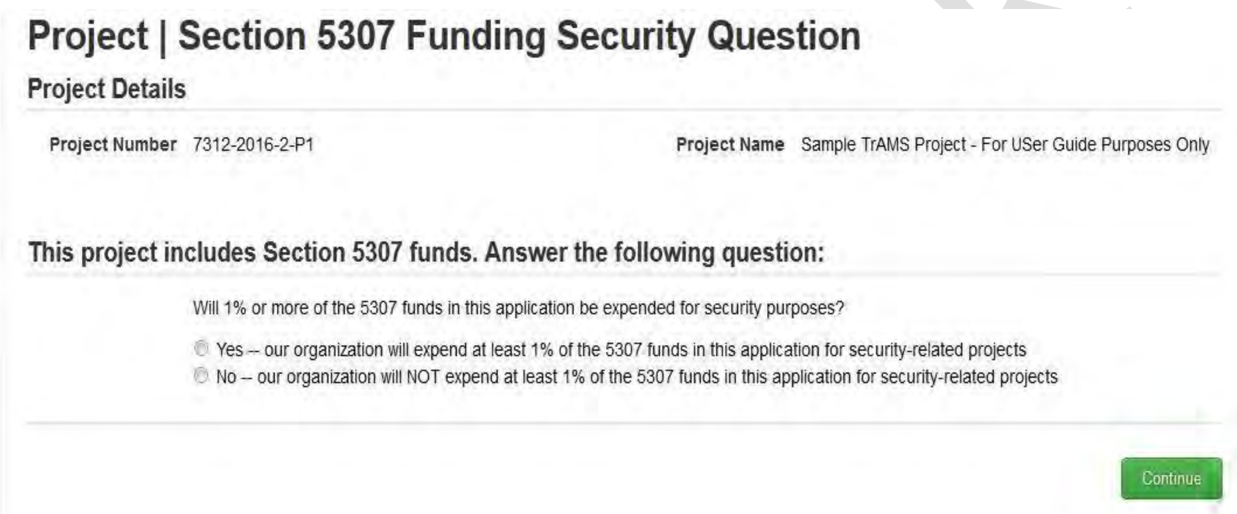
3) Click on 'Close' button to return back to the available related actions for the project and update the project as necessary.

If the project passes initial validation, you will be taken through a series of questions/forms based on the ALIs in your project:

- Section 5307 Funding Security Question
- Transportation Development Credit or In-Kind Funding Document Upload
- Fleet Status Update for Rolling Stock ALIs

The forms will only appear if the criteria apply to your project.

4) Update the Section 5307 Funding Security Question. This question will only appear if you have selected 5307 funding for this application
   a) Click on the desired radio button next to the ‘Yes’ and ‘No’ choices.
   b) If you selected ‘Yes, our organization will expend at least 1% of the 5307 funds in this application for security related projects,’ then you be confirmation screen after you complete the step d below.
   c) If you selected ‘No, our organization will NOT expend at least 1% of the 5307 funds in this application for security related projects,’ then you will need to explain why on the next form.
   d) Click on ‘Continue’ to save the information.

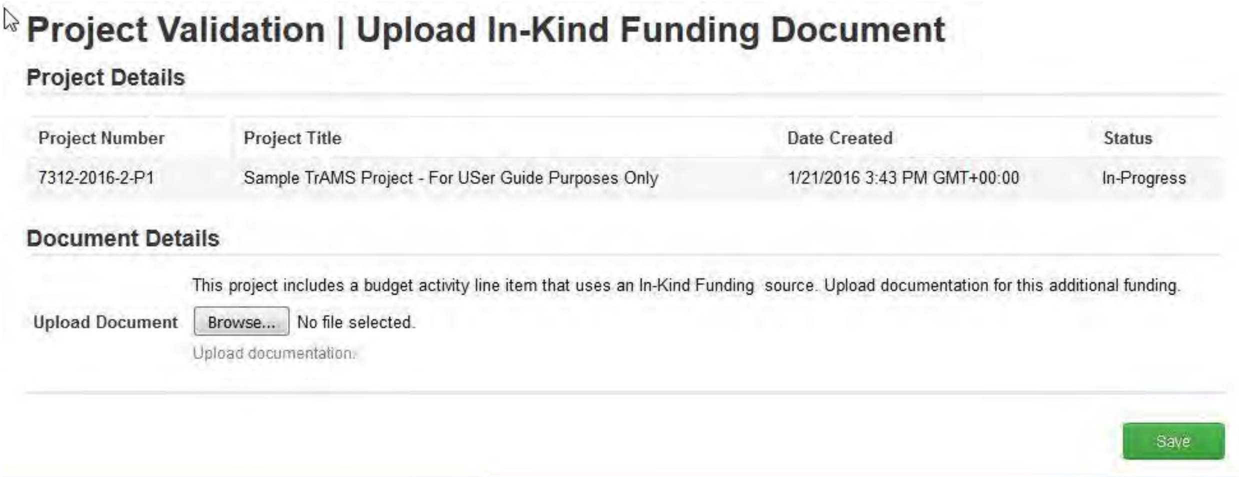



5) Update Security Question Details. This will only appear if you have selected ‘No’ to the 5307 funding security question in step 3.a.
   a) Click on desired reason. This is a multi-select choices
   b) Update the ‘Explanation’ field with the desired text. This is a long paragraph text field.
   c) Click on ‘Continue’ to save the information.

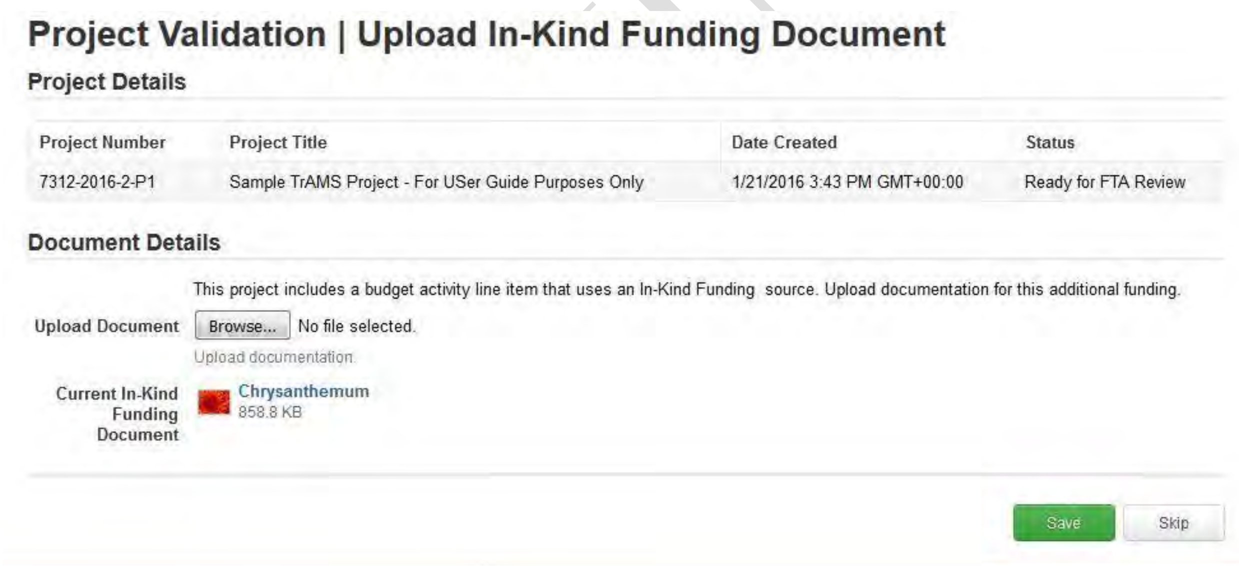

6) When one or more of the ALI has an In-Kind funding source, documentation will be required. The 'Upload In-Kind Funding Document' page will be displayed when a budget ALI contains In-Kind funding.

   a) Click on the 'Browse' button and select a document to upload.

b) Click on the ‘Save’ button to continue.



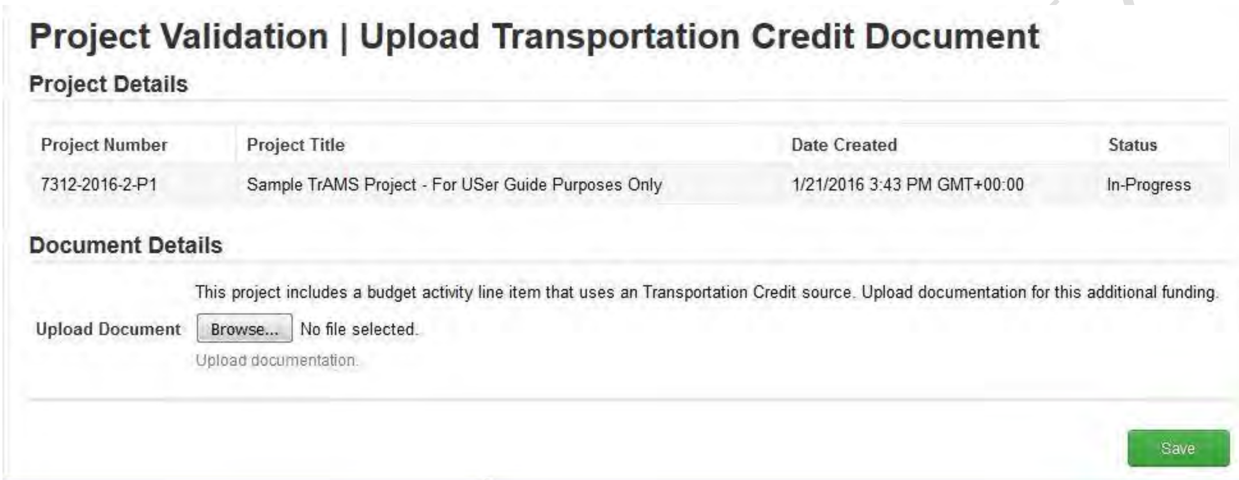

c) If In-Kind documentation has already been uploaded during previous validations of a project, you may skip uploading a document by clicking on the ‘Skip’ button.



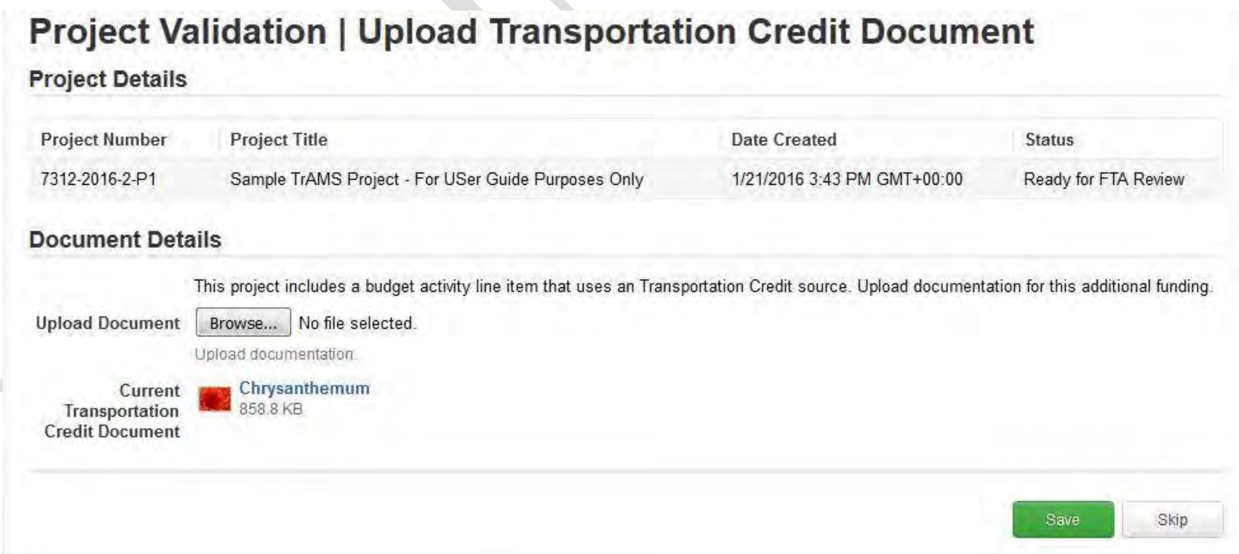
7) When one or more of the ALI's contain Transportation Development Credits as a Non-FTA funding source, you will be required to upload documentation. The 'Upload Transportation Credit Document' page will be displayed.

   a) Click on the 'Browse' button and select a document to upload.

   b) Click on the 'Save' button to continue.

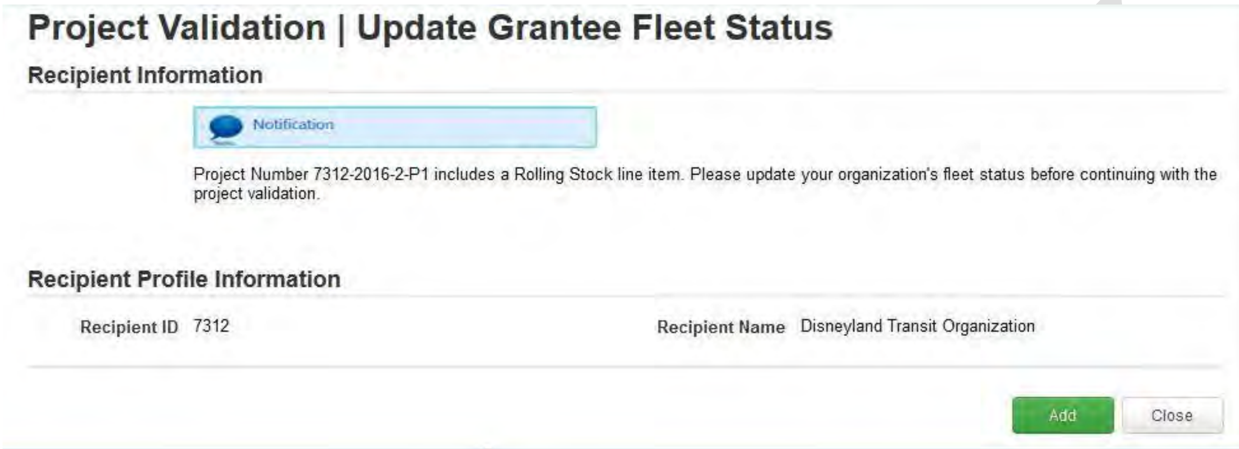



   c) If Transportation Credit Documentation has already been uploaded during previous validations of a project, you may skip uploading a document by clicking on the 'Skip' button.



8) When one or more of the ALI's contain rolling stock, the current fleet status associated to the recipient organization is shown. You may add new fleet types, update the current fleet items, delete fleet items, or bypass making any changes to the rolling stock by clicking the 'Close' button.

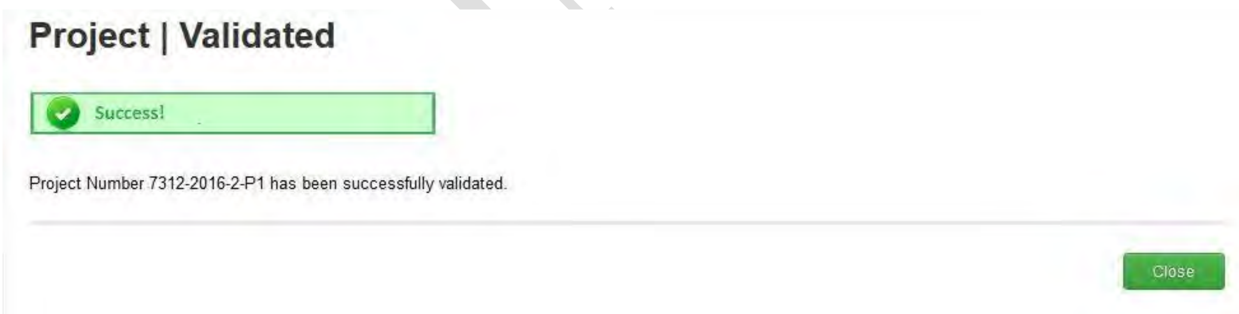
Refer to Related Action: Fleet Status for additional information regarding updates to fleet status.




**Note:** The fleet status associated with the application will be the fleet status in effect for the recipient organization at the time of application award.

9) Once all validations have passed, the confirmation screen 'Project Validated' will be displayed with the following message: 'Project Number [project #] has been successfully validated'

   a) Click the Close button to return to the 'Related Actions' menu.



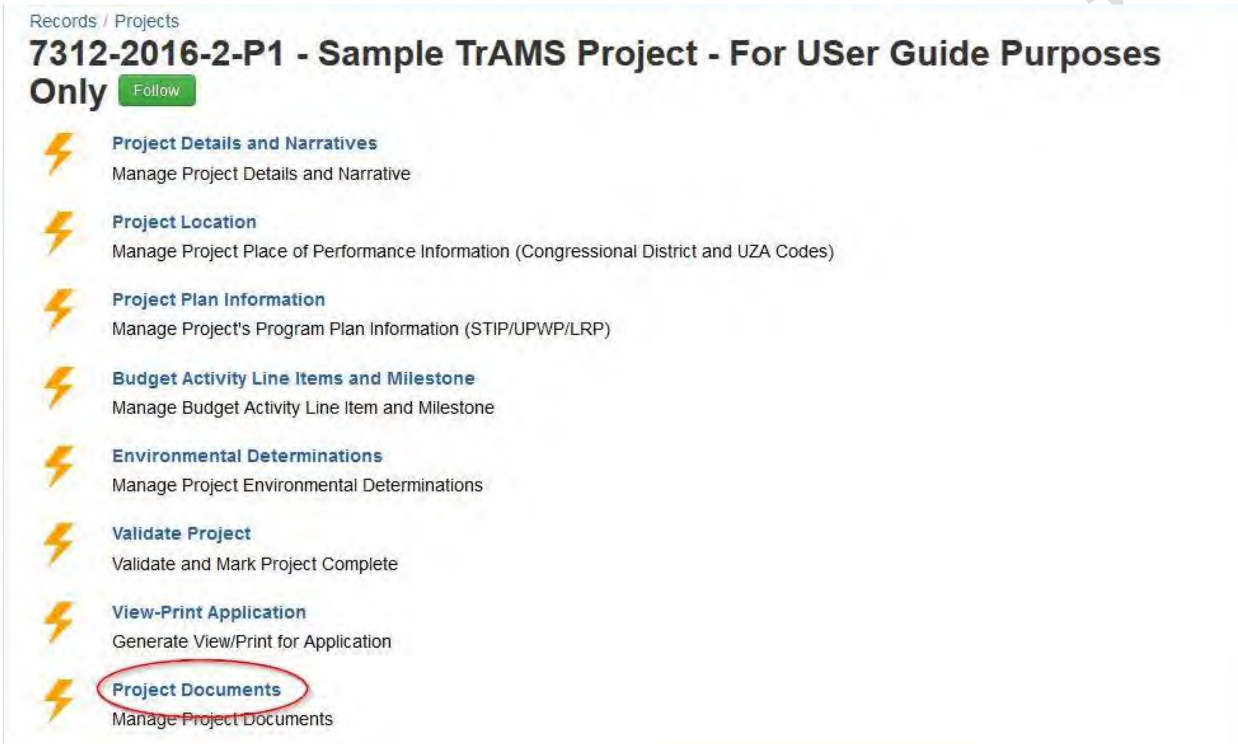

### 6.7.7 View-Print Application

Users may access the View-Print Application functionality from either the application record or the project record. Refer to View-Print Application for information regarding this action.

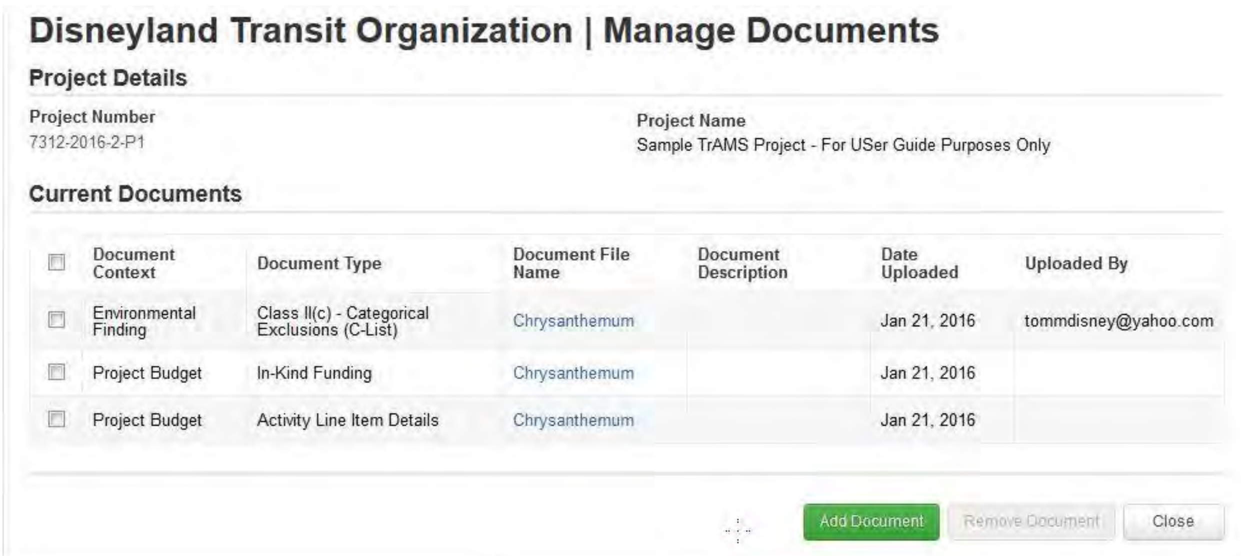
### 6.7.8 Project Documents

To add, view, or delete documents associated with the project.

1) Click on the ‘Project Documents’ from the project related actions to display the ‘Manage Documents’ page.




2) Documents previously uploaded and associated with the project will be displayed in a grid. To view a document click on the hyperlink in the ‘Document File Name’ field.




3) Select the ‘Add Document’ button to upload additional documentation for the project. The ‘Add New Document’ form will display. To add a new document you will need to:

   a) Select the ‘Document Context’ from the drop down list.

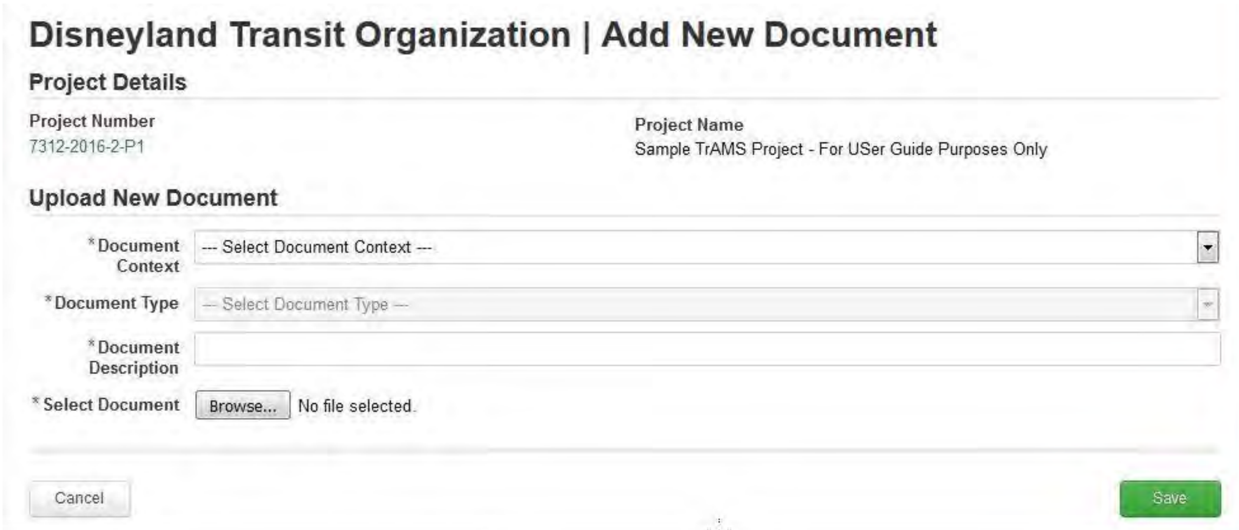
   b) After the document context has been selected the ‘Document Type’ will be available and will be populated based on the document context selected.

   c) Provide a description of the document that will be uploaded in the ‘Document Description’ field.

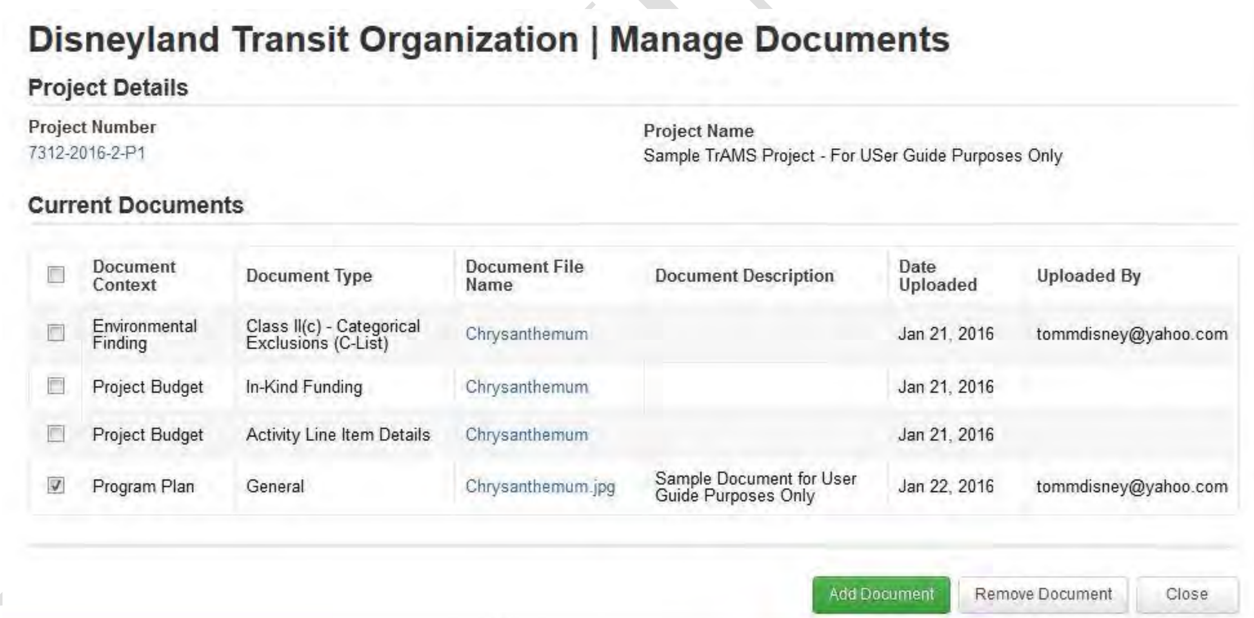
   d) Click the ‘Browse’ button to select a document to be uploaded.

   e) Click the ‘Save’ button to complete the process.

   f) To discard the uploaded document, click the ‘Cancel’ button.



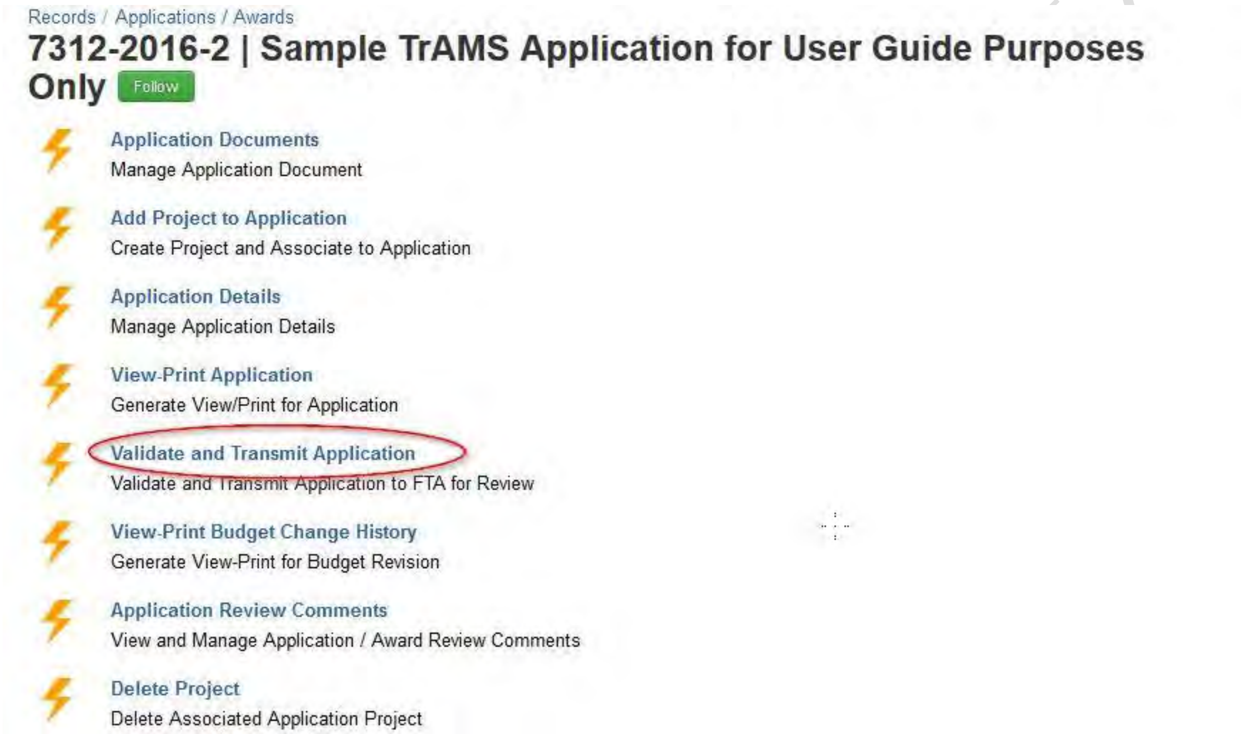

2) To remove a document, click on the checkbox associated with the document on the 'Manage Documents' page. Click on the 'Remove Document' button.



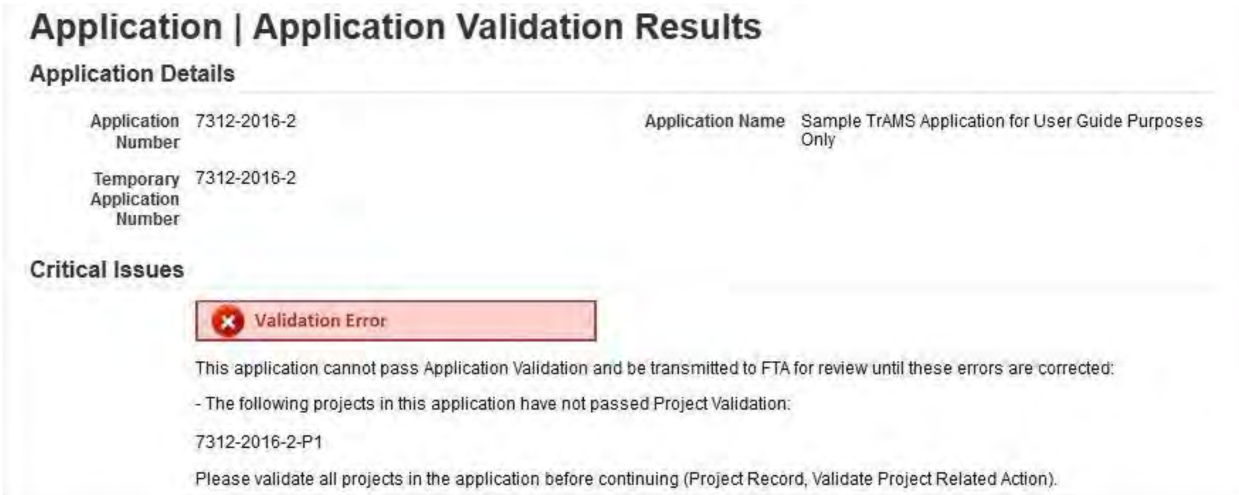

## 6.8 Related Action: Validate and Transmit Application

Once all projects for an application have been completed and have been successfully validated you will be ready to send the application to the FTA for their initial review to take place. You will need to return to the 'Related Actions' associated with the application.

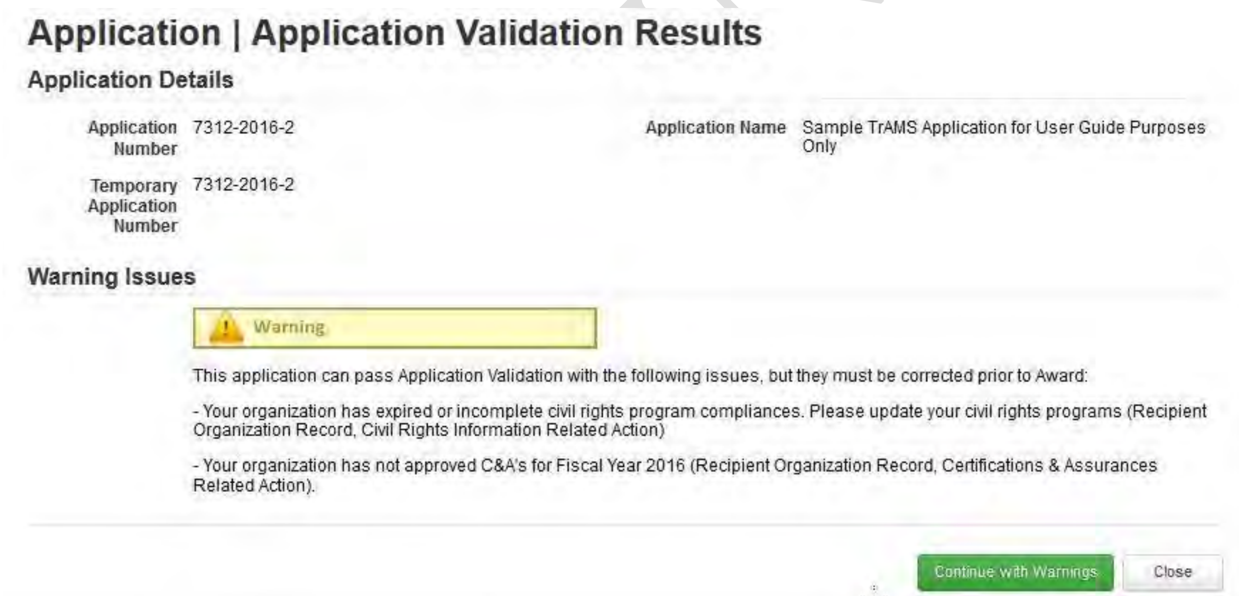
1) If on the Project select the ‘Summary’ from the left hand navigation and click on the FAIN hyperlink to return to the Application ‘Summary’.
2) Click ‘Related Actions’ on the left-hand side of the screen.
3) Click ‘Validate and Transmit Application to FTA’. The system directs you to the ‘Application Validation Results’ screen.




4) The system will display a form with project validation results. You must resolve any critical issues that are displayed before attempting to proceed.




5) If the system displays a warning for the application, you may disregard the message and continue validating the application by clicking the ‘Continue with Warnings’ button.

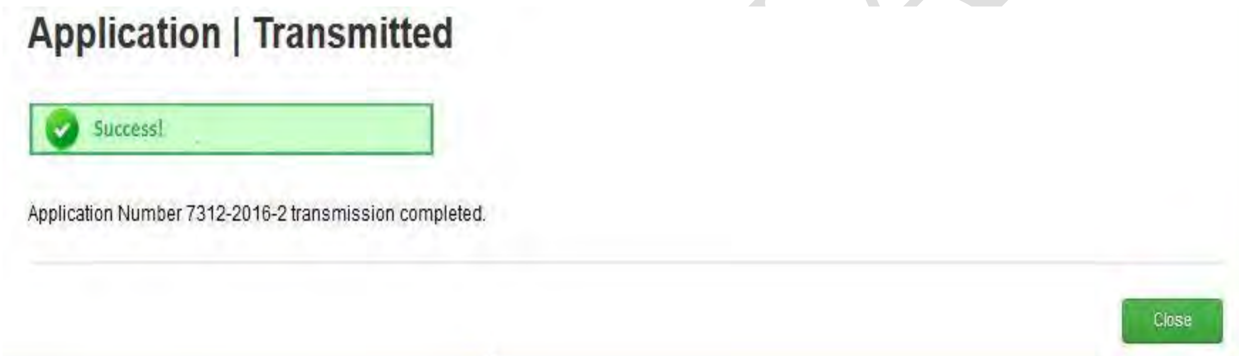



6) The ‘Application | Validated’ screen will be displayed.

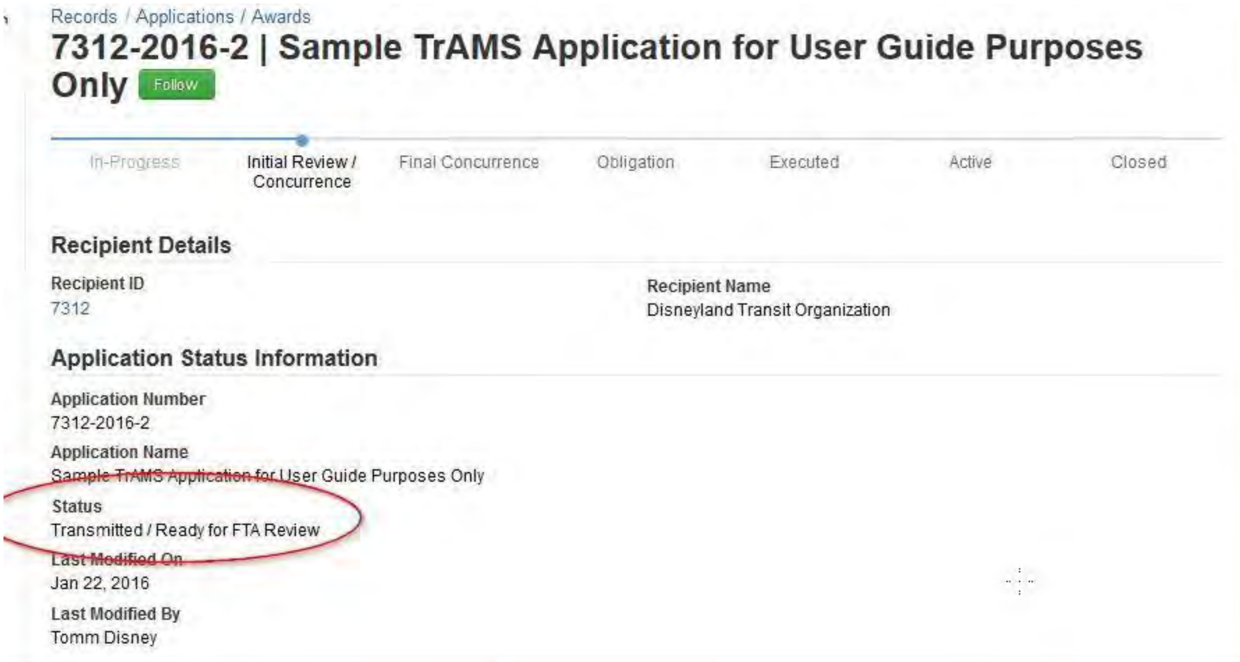
7) Click the ‘Continue with Transmission’ button. The ‘application | Transmitted’ screen will be displayed.

8) Click the ‘Close’ button to return to the ‘Related Actions’ menu without transmitting.


9) The ‘Application | Transmitted’ success screen will be displayed. Click the ‘Close’ button to return to the ‘Related Actions’ menu.




10) Click ‘Summary’ on the left-hand side of the screen if you wish to confirm that the application’s status has been updated. The application’s status will have changed from ‘In-Progress’ to ‘Transmitted/Ready for FTA Review’.




### 6.8.1 Validate and Retransmit Application to FTA

If deficiencies are identified in the application through any of the reviews conducted during initial review, initial concurrence, or final concurrence, an email will be sent to users in the recipients indicating that the application has been returned. The status of the application will return to the 'In-Progress' status or to 'In-Progress / Returned to the Grantee' when returned following FAIN assignment.

When the application has been returned to the recipient, you may:

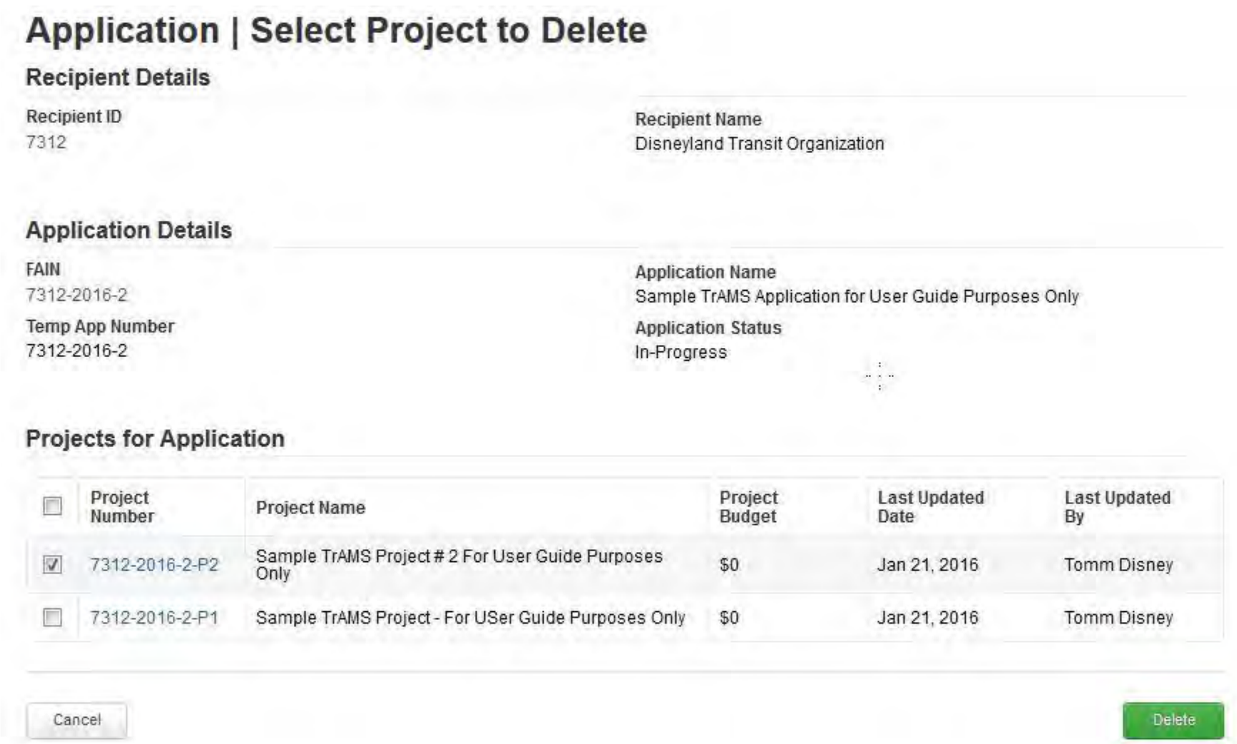
- View FTA comments from the Application Related Actions menu 'Application Review Comments'. Refer to Related Action: Application Review Comments.
- Respond to FTA comments.
- Submitters and Developers will be able to edit the application. All actions available and editable during drafting of the application will be available. Scope changes to existing ALI will not be permitted once the FAIN has been generated (In-Progress/Returned to Grantee).
- Changes made to projects will require project validation prior to resubmission.
- After correcting the application deficiencies you will need to retransmit the application using the 'Validate and Transmit Application to FTA' related action.

### 6.8.2 Related Action: Delete Project

To delete one or more projects from an application, select the 'Delete Project' from the applications 'Related Action' menu:

1) Click 'Delete Project'.

2) The ‘Application | Select Project to Delete’ form will be displayed. Select the check box for a project you wish to delete from the application and then click the ‘Delete’ button which appears.



**Application | Select Project to Delete**

**Recipient Details**

Recipient ID
7312

Recipient Name
Disneyland Transit Organization

**Application Details**

FAIN
7312-2016-2

Temp App Number
7312-2016-2

Application Name
Sample TrAMS Application for User Guide Purposes Only

Application Status
In-Progress

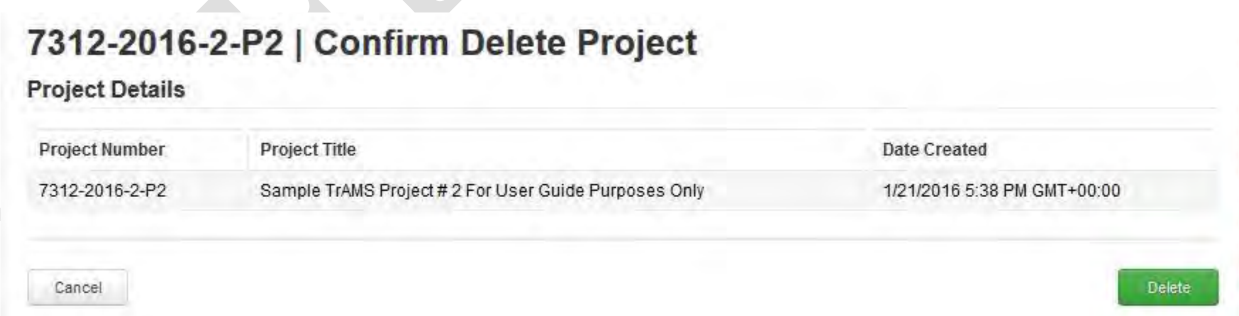
**Projects for Application**

| ☐ | Project Number | Project Name | Project Budget | Last Updated Date | Last Updated By |
|---|---|---|---|---|---|
| ☑ | 7312-2016-2-P2 | Sample TrAMS Project # 2 For User Guide Purposes Only | $0 | Jan 21, 2016 | Tomm Disney |
| ☐ | 7312-2016-2-P1 | Sample TrAMS Project - For USer Guide Purposes Only | $0 | Jan 21, 2016 | Tomm Disney |

Cancel    Delete

**Note**: You may only select one project at a time.

3) The ‘[Application ID] | Confirm Delete Project’ form will be displayed. Click the ‘Delete’ button to confirm project deletion or click ‘Cancel’ to return to the application ‘Related Actions’ menu without deleting the project.



**7312-2016-2-P2 | Confirm Delete Project**

**Project Details**

| Project Number | Project Title | Date Created |
|---|---|---|
| 7312-2016-2-P2 | Sample TrAMS Project # 2 For User Guide Purposes Only | 1/21/2016 5:38 PM GMT+00:00 |

Cancel    Delete

4) Click the ‘Yes’ button on the additional prompt message, ‘Are you sure you want to delete this project?’ to confirm the deletion.

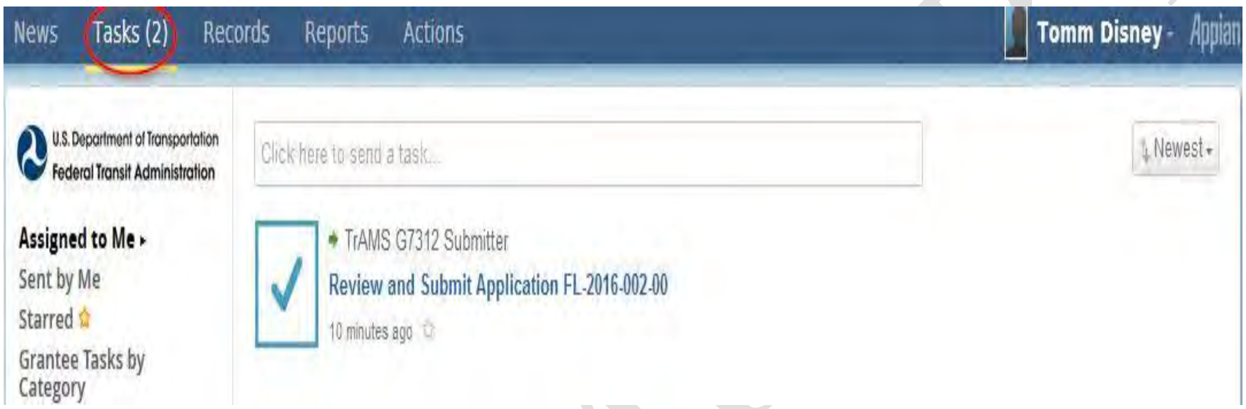

**Note:** Deleted projects are not recoverable.

5) The ‘Project | Deleted’ success message will be displayed with the following confirmation message: ‘[Project ID] has been successfully deleted’. Click the ‘Close’ button to return to the ‘Related Actions’ menu.

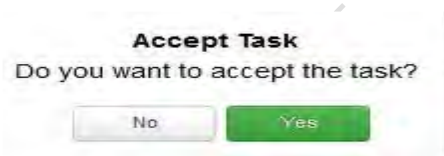
### 6.8.3 Submit Application to FTA

After the FTA has completed their initial review of the application and they have assigned a FAIN number, FTA will return the application for formal submission. A 'Task' will be assigned to users with the Submitter role. The Submitter will receive an email notice indicating that a task has been assigned.

1) Click the 'Tasks' tab to view a list of tasks for the logged on user.
2) Select the 'Review and Submit Application' task. The system provides you with an 'Accept Task' window that inquires 'Do you want to accept the task?'




3) Click the 'Yes' button. The system directs you to the 'Application | Submit Application to FTA' screen. Clicking the 'No' button will return the task to the group.

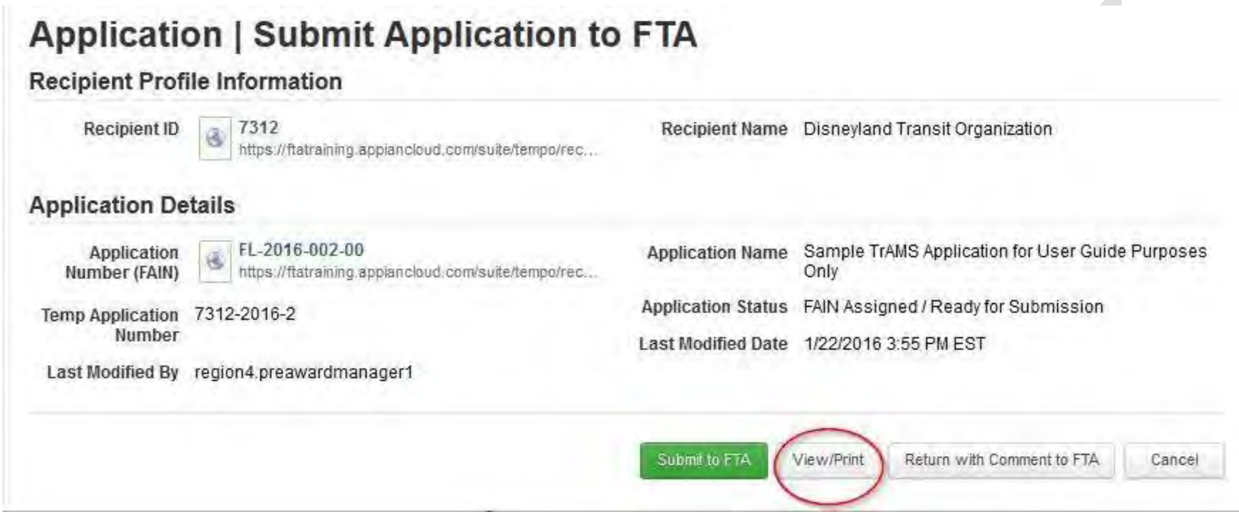



4) After accepting the submission task the you will be able to:

- Submit the application to FTA
- Review the application prior to submission
- Provide comments to FTA without submitting the task
- Return the task for later action.

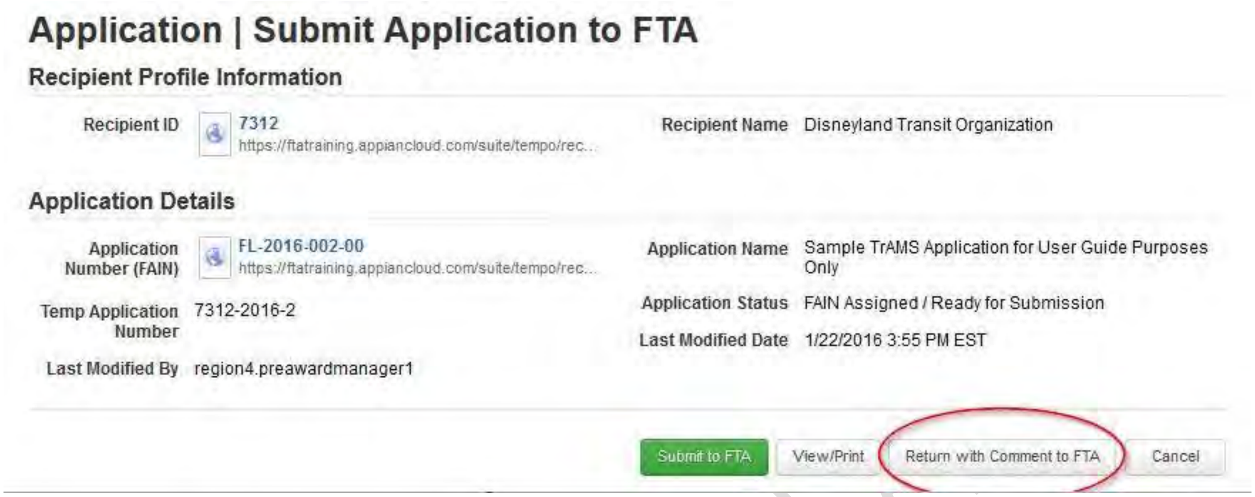
**Note:** Only the Submitter role is able to submit application to FTA

5) To review the Application prior to submission, click the 'View/Print' button. The 'View/Print' Application' form will be displayed. Click on the 'View Print Application – [Application Number]' to view the application.

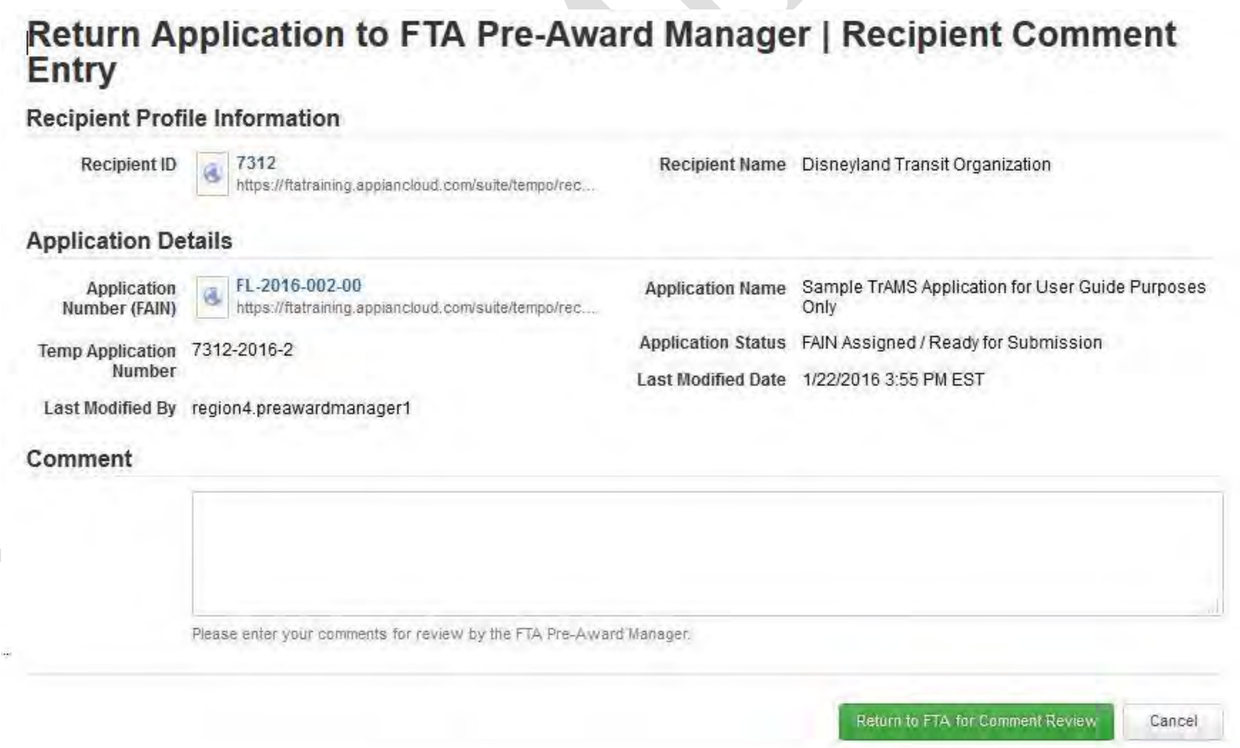



6) The application will be displayed when the 'View Print Application' link is clicked.

7) To provide the FTA with a comment click ‘Return with Comment to FTA’.

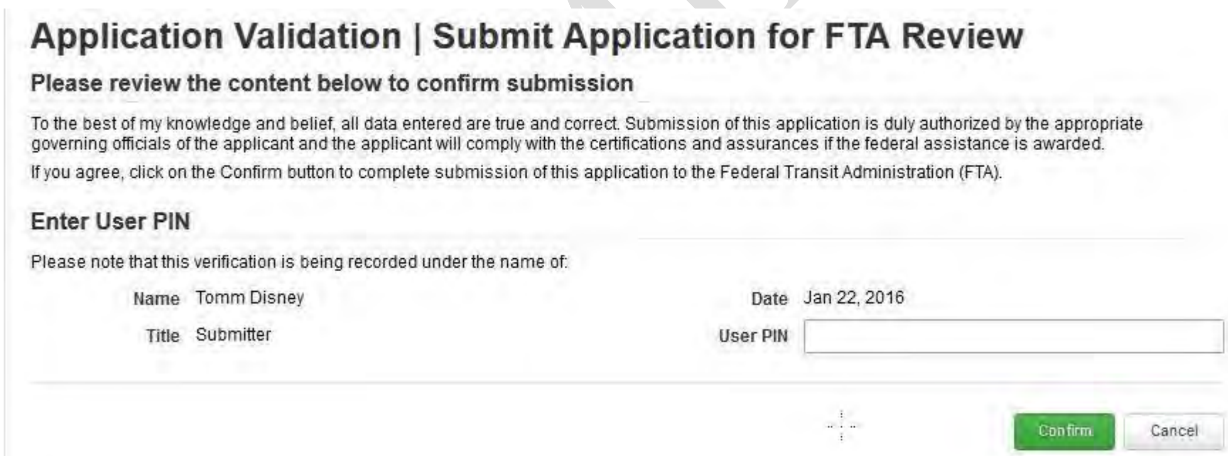



a) The ‘Return Application to FTA Pre-Award Manager | Recipient Comment Entry’ form will be displayed. Enter your comment in the ‘Comment’ field and click ‘Return to FTA for Comment Review’.

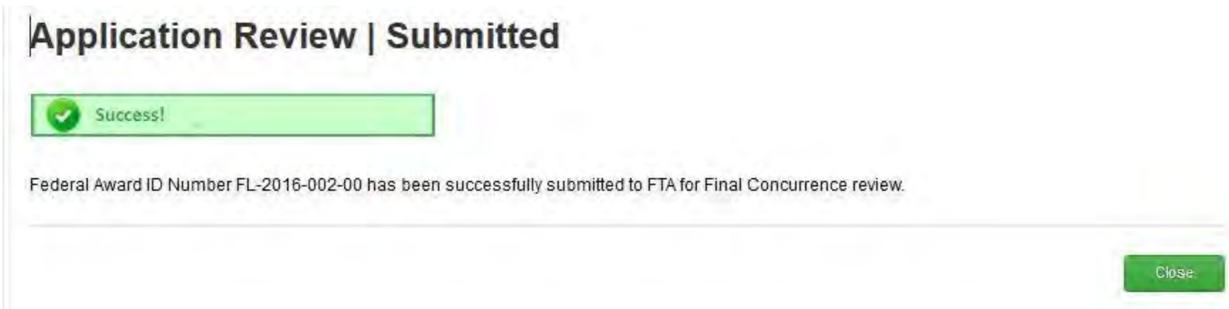


8) Click the ‘Close’ button to return to the application to the ‘Tasks’ tab, and submit the application at a later time. The system will display a confirmation message that the task has been returned. If the task does not immediately reappear in the ‘Task’ tab, click the tab again to refresh the list.


9) To submit the application, click the ‘Submit to FTA’ button. The ‘Application Validation | Submit Application for FTA Review’ Screen will be shown.
   a) You will need to provide your 4 digit User PIN number in the ‘User PIN’ field. Refer to Related Actions: TrAMS Manage User PIN, if you do not know your PIN number.
   b) Click ‘Confirm’ to continue to submit, or ‘Cancel’ to return the submission task to the ‘Task’ tab.




10) Click the ‘Confirm’ button. The following message will be displayed: ‘Federal Award Number has been successfully submitted to the FTA for Final Concurrence review’.




11) Click the ‘Close’ button. The system returns you to the ‘Tasks’ tab and the review link will now be removed from the task list.

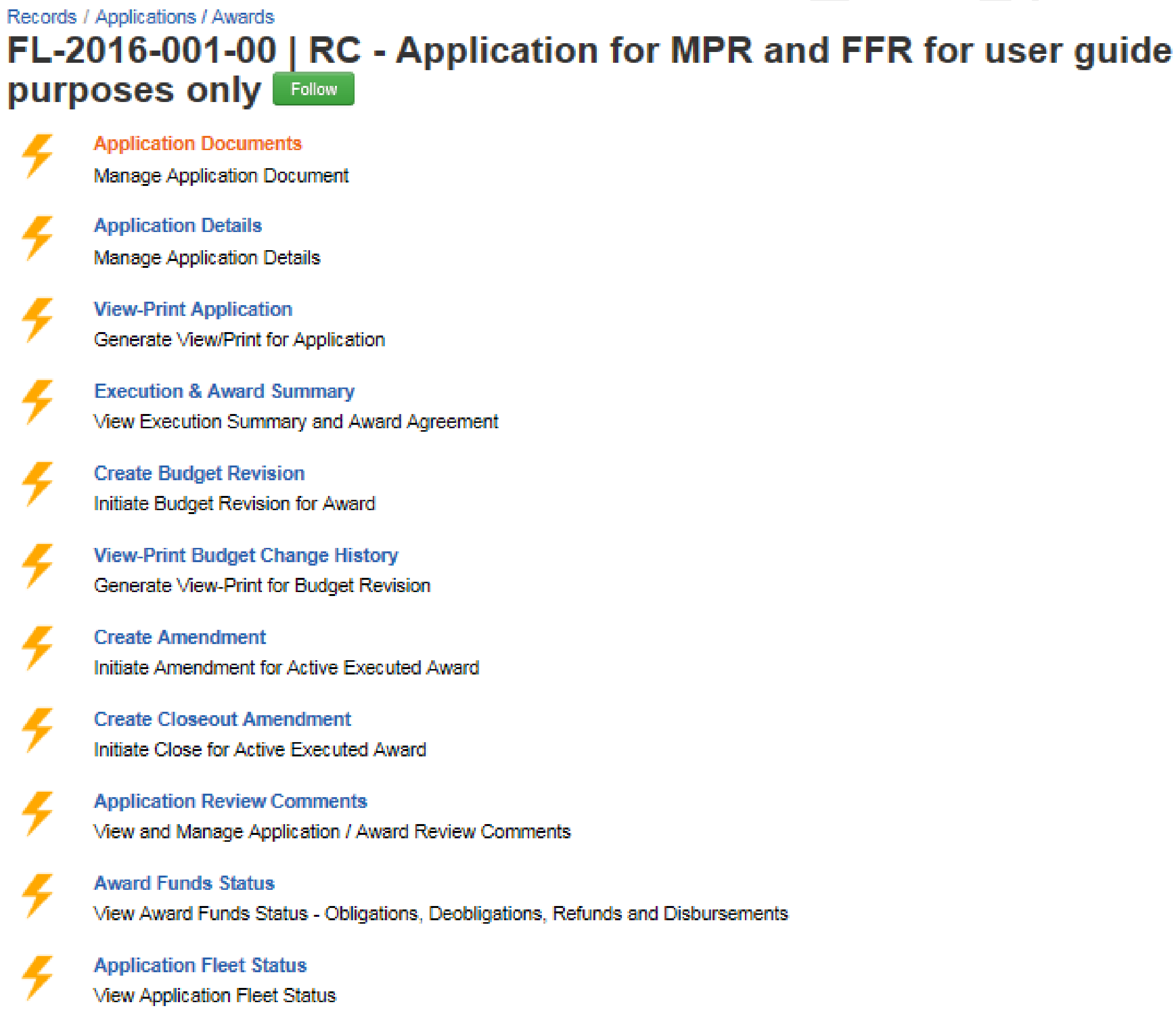
# 7 Managing Existing Awards - Post-Award Management

## 7.1 Existing Awards

Once an award is executed recipient users will have access to additional 'Related Actions' available from the awards record, this includes:

1) Viewing execution details and the Award Letter
2) Viewing of Funds status on both the award level and the on a project level
3) Viewing of Fleet status of the award

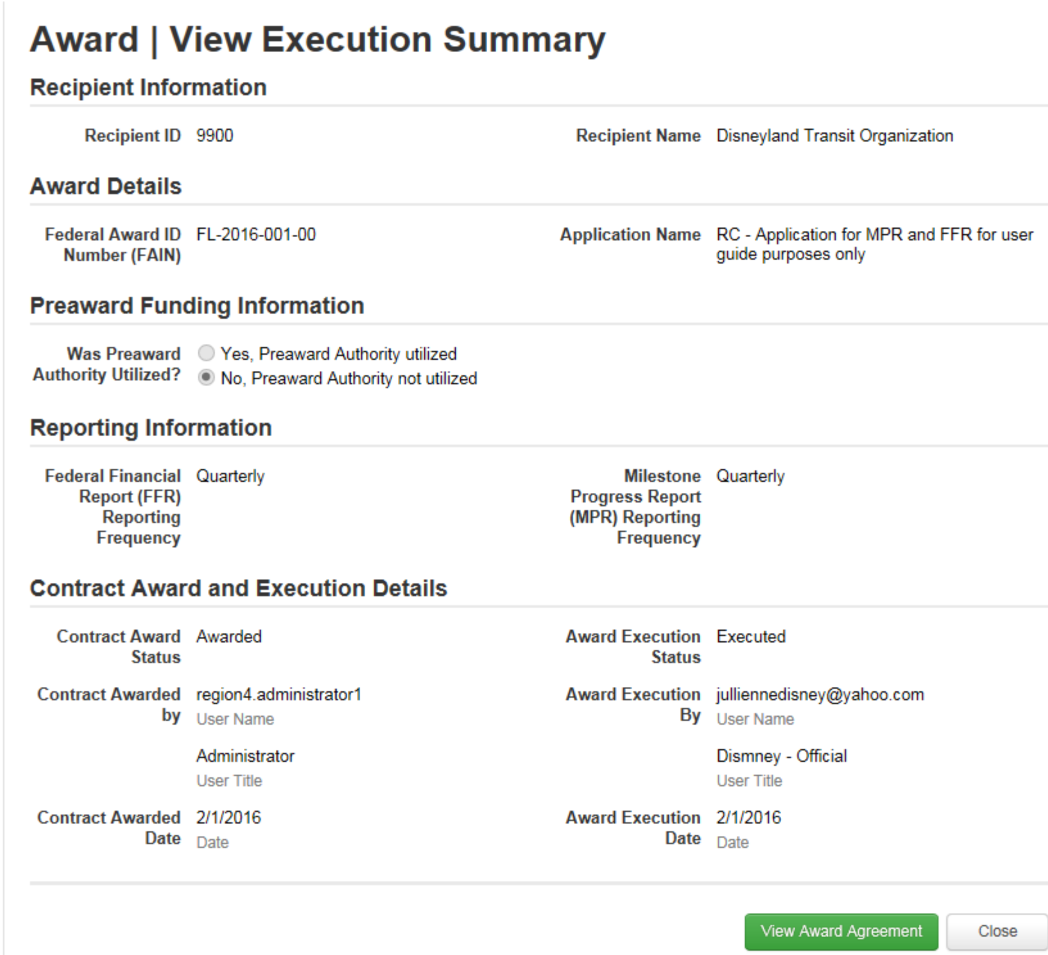
Additionally, recipients with the appropriate user roles may initiate 'Budget Revisions', 'Amendments' and 'Closeouts' from the 'Related Actions' menu.



### 7.1.1 Related Action: Execution & Award Summary

Recipient Users may view Execution Details and the Award Summary Letter by selecting the 'Related Action' 'Execution & Award Summary'. This information is only available after an application has been awarded.

1) From the awards Record, select the 'Related Action' menu.
2) Select 'Execution & Award Summary'
3) The 'Award | View Execution Summary' page will be displayed with
   a) Recipient section
   b) Award Details section
   c) Pre-Award Funding Information section
   d) Reporting Information section
   e) Contract Award and Execution Details
4) Click the 'Close' button at any time to return to the 'Related Actions' menu.


## Award | View Execution Summary

**Recipient Information**

| | | | |
|---|---|---|---|
| Recipient ID | 9900 | Recipient Name | Disneyland Transit Organization |

**Award Details**

| | | | |
|---|---|---|---|
| Federal Award ID Number (FAIN) | FL-2016-001-00 | Application Name | RC - Application for MPR and FFR for user guide purposes only |

**Preaward Funding Information**

Was Preaward Authority Utilized? ○ Yes, Preaward Authority utilized ◉ No, Preaward Authority not utilized

**Reporting Information**

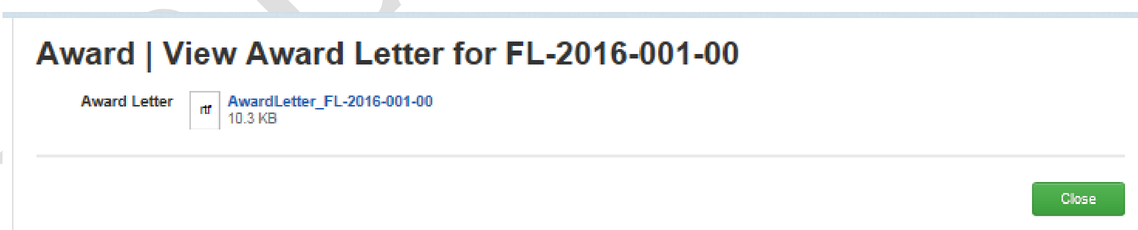
| | | | |
|---|---|---|---|
| Federal Financial Report (FFR) Reporting Frequency | Quarterly | Milestone Progress Report (MPR) Reporting Frequency | Quarterly |

**Contract Award and Execution Details**

| | | | |
|---|---|---|---|
| Contract Award Status | Awarded | Award Execution Status | Executed |
| Contract Awarded by | region4.administrator1 User Name<br>Administrator User Title | Award Execution By | julliennedisney@yahoo.com User Name<br>Dismney - Official User Title |
| Contract Awarded Date | 2/1/2016 Date | Award Execution Date | 2/1/2016 Date |

View Award Agreement | Close

5) Click the ‘View Award Agreement’ button
6) The ‘Award| View Award Letter for [FAIN]’ page will be displayed.
7) Click on the ‘AwardLetter_[FAIN]’ hyperlink to view the Award Letter.


## Award | View Award Letter for FL-2016-001-00

Award Letter rtf AwardLetter_FL-2016-001-00 10.3 KB

Close

### 7.1.2 Related Action: Award Fund Status

The Related Action ‘Award Fund Status’ allows recipients to view the status of their awards including Obligations, Deobligations, Refunds, and Disbursements that have been made. All recipients’ user roles may view this action and during all post-award statuses. The ‘Award Fund Status’ page is read-only for all users.

To view ‘Award Fund Status’ information:

1) Click the ‘Award Funds Status’ from the ‘Related Actions’ menu.
2) The ‘[FAIN]| [Application Name]’ page will display and includes
   a) Recipient Details information
   b) Award Details information
   c) Award Funding Summary grid
   d) Award Funding – Account Class Code grid
   e) Application Transaction History grid

**Note:** Each grid will only display a small number of rows at a time, use the arrow keys on the bottom of the grid to view additional records. Arrows only appear when there are additional rows.

## FL-2016-001-00 | RC - Application for MPR and FFR for user guide purposes only

### Recipient Details

**Recipient ID**
9900

**Recipient Name**
Disneyland Transit Organization

### Award Details

**FAIN**
FL-2016-001-00

**Temp App Number**
9900-2016-1

**Award Name**
RC - Application for MPR and FFR for user guide purposes only

**Award Status**
Active (Executed)

### Award Funding Summary

| PO Number | Funding Source | Obligation | Deobligation | Disbursements | Refund | Unliquidated Balance |
|---|---|---|---|---|---|---|
| FL-90-0077 | 49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward) | $210,679.00 | $0.00 | $0.00 | $0.00 | $210,679.00 |

### Award Funding - Financial Purpose Code (FPC)

| PO Number | FPC | FPC Description | Obligation | Deobligation | Disbursement | Refund | Unliquidated Balance |
|---|---|---|---|---|---|---|---|
| FL-90-0077 | 00 | CAPITAL | $210,679.00 | $0.00 | $0.00 | $0.00 | $210,679.00 |

### Award Funding - Account Class Code

| PO Number | Project Number | Cost Center | Scope Code / Name / Suffix | Account Class Code | FPC | Obligation | Deobligation | Disbursement | R |
|---|---|---|---|---|---|---|---|---|---|
| FL-90-0077 | FL-2016-001-01 | 65000 | 115-00 ELECTRIFICATION/POWER DIST (BUS) A2 | 2014.25.90.91.2 | 00 | $85,679.00 | $0.00 | $0.00 | |
| FL-90-0077 | FL-2016-001-01 | 65000 | 111-00 BUS - ROLLING STOCK A1 | 2015.25.90.91.2 | 00 | $125,000.00 | $0.00 | $0.00 | |

3) Application Transaction History may be filtered, to filter select one of the four Filters
   a) FPC
   b) Project
   c) Scope
   d) Transaction Type
4) Start typing in the appropriate value and select from the list of values that becomes available.

### Application Transaction History

Filter by:

Account Class Code

Choose Filter Data

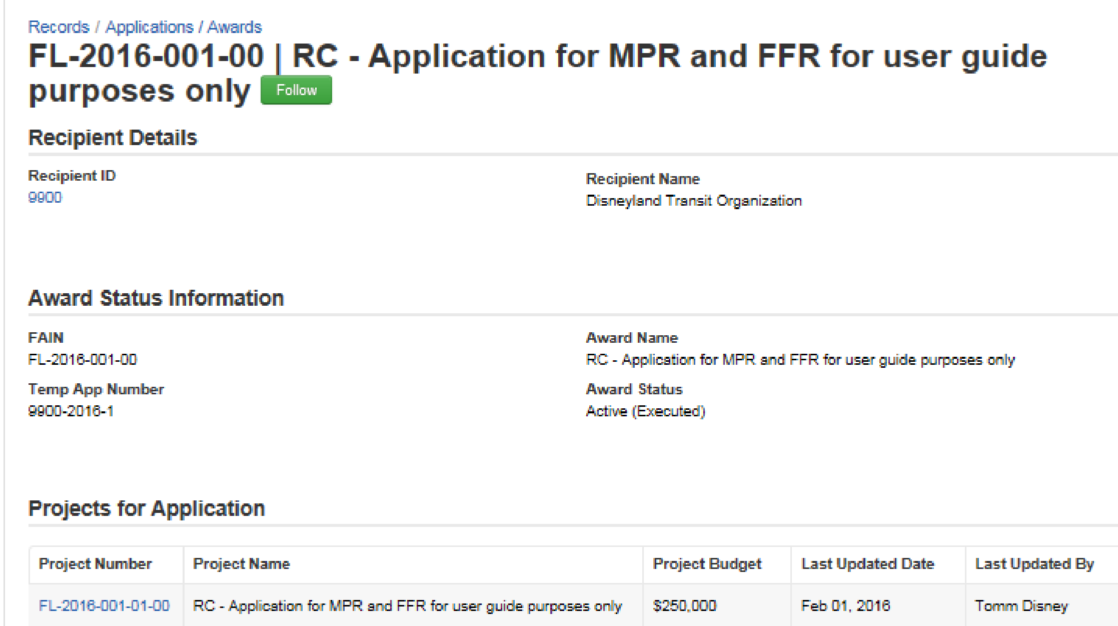
Award Funding - Transaction View

| PO Number | Project Number | Scope Number / Name / Suffix | UZA Code | Cost Center | Account Classification Code | FPC | Transaction Date | Transaction Type | Amount |
|---|---|---|---|---|---|---|---|---|---|
| FL-90-0077 | FL-2016-001-01-00 | 111-00 BUS - ROLLING STOCK | 120000 | 65000 | 2015.25.90.91.2 | 00 | 2/1/2016 | Obligation | $125,000.0 |
| FL-90-0077 | FL-2016-001-01-00 | 115-00 ELECTRIFICATION/POWER DIST (BUS) | 120000 | 65000 | 2014.25.90.91.2 | 00 | 2/1/2016 | Obligation | $85,679.00 |
| FL-90-0077 | FL-2016-001-01-00 | 111-00 BUS - ROLLING STOCK | 120000 | 65000 | 2015.25.90.91.2 | 00 | 2/1/2016 | Authorized Disbursement | $125,000.0 |
| FL-90-0077 | FL-2016-001-01-00 | 115-00 ELECTRIFICATION/POWER DIST (BUS) | 120000 | 65000 | 2014.25.90.91.2 | 00 | 2/1/2016 | Authorized Disbursement | $85,679.00 |

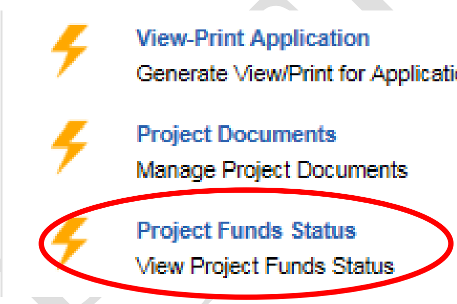
#### 7.1.2.1 Project Related Action: Project Funds Status

Recipients may view their funds status on a Project level. To view fund status on a project level you will need to navigate to the project record. Users may go directly to a project record by searching for the project under the 'Record' tab or select a project from their awards record.

1) Select 'Application Projects' from the left hand navigation
2) Click on the 'Project Number' Hyperlink




3) Select the 'Related Actions' for the Project
4) Select 'Project Funds Status'




5) The Project Funds page contains
   a) Recipient Details section
   b) Award Details section
   c) Project Funding Summary

d) Project Funding Account Class Code grid

e) Financial Purpose Code information

f) Transaction History grid

## FL-2016-001-01-00 - RC - Application for MPR and FFR for user guide purposes only

### Recipient Details

**Recipient ID**
9900

**Recipient Name**
Disneyland Transit Organization

### Award Details

**FAIN**
FL-2016-001-00

**Award Name**
RC - Application for MPR and FFR for user guide purposes only

**Temp App Number**
9900-2016-1

**Award Status**
Active (Executed)

### Project Details

**Project Number**
FL-2016-001-01-00

**Project Name**
RC - Application for MPR and FFR for user guide purposes only

### Project Funding Summary

| PO Number | Funding Source | Obligation | Deobligation | Disbursements | Refund | Unliquidated Balance |
|---|---|---|---|---|---|---|
| FL-90-0077 | 49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward) | $210,679.00 | $0.00 | $0.00 | $0.00 | $210,679.00 |

**Project Funding - Account Class Code**

| PO Number | Cost Center | Scope Code / Name / Suffix | Account Class Code | FPC | Obligation | Deobligation | Disbursement | Refund | U |
|---|---|---|---|---|---|---|---|---|---|
| FL-90-0077 | 65000 | 115-00 ELECTRIFICATION/POWER DIST (BUS) A2 | 2014.25.90.91.2 | 00 | $85,679.00 | $0.00 | $0.00 | $0.00 | |
| FL-90-0077 | 65000 | 111-00 BUS - ROLLING STOCK A1 | 2015.25.90.91.2 | 00 | $125,000.00 | $0.00 | $0.00 | $0.00 | $ |

**Project Funding - Financial Purpose Code (FPC)**

| FPC | FPC Description | Obligation | Deobligation | Disbursements | Refund | Unliquidated Balance |
|---|---|---|---|---|---|---|
| 00 | CAPITAL | $210,679.00 | $0.00 | $0.00 | $0.00 | $210,679.00 |

**Project Funding - Transaction History**

Filter by:

Account Class Code

Choose Filter Data

Project Funding - Transaction View

| PO Number | Cost Center | Scope Number / Name / Suffix | UZA Code | Account Classification Code | FPC | Transaction Date | Transaction Type | Amount |
|---|---|---|---|---|---|---|---|---|
| FL-90-0077 | 65000 | 111-00 BUS - ROLLING STOCK | 120000 | 2015.25.90.91.2 | 00 | 2/1/2016 | Obligation | $125,000.00 |
| FL-90-0077 | 65000 | 115-00 ELECTRIFICATION/POWER DIST (BUS) | 120000 | 2014.25.90.91.2 | 00 | 2/1/2016 | Obligation | $85,679.00 |
| FL-90-0077 | 65000 | 111-00 BUS - ROLLING STOCK | 120000 | 2015.25.90.91.2 | 00 | 2/1/2016 | Authorized Disbursement | $125,000.00 |
| FL-90-0077 | 65000 | 115-00 ELECTRIFICATION/POWER DIST (BUS) | 120000 | 2014.25.90.91.2 | 00 | 2/1/2016 | Authorized Disbursement | $85,679.00 |

### 7.1.3 Related Action: Application Fleet Status

When Rolling Stock is selected the Fleet Status that is associated with the award is determined by the fleet status at the time of award execution. All recipient users may view the Fleet status associated with the award. This form is read-only for all users.

1) Recipients may view the status of fleet by choosing the 'Related Action' 'Application Fleet Status'.

2) Select the 'Close' button to return to the 'Related Actions' menu.

# Application Fleet Status

View the application's fleet status at the point of award execution.

## Fleets

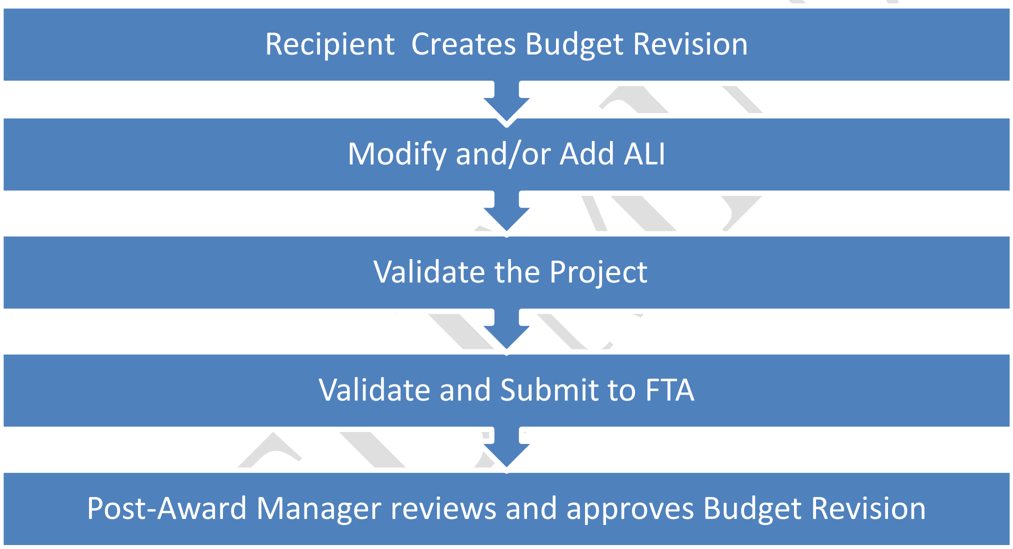
| Fleet Type | Peak Requirement | Spares | Spare Ratio | Active Total | Contingency | Pending Disposal | Inactive Total | Overall Total |
|---|---|---|---|---|---|---|---|---|
| Light Rail | 5 | 2 | 40% | 7 | 1 | 1 | 2 | 9 |
| Heavy Rail | 1 | 0 | 0% | 1 | 0 | 0 | 0 | 1 |

Close

## 7.2 Budget Revisions

A budget revision is any change to an award that has an impact on the budget allocation of the original award. A budget revision may be a transfer of funds within or across existing project scopes and budget activity line items (ALIs) within an approved award. It could also include the addition or deletion of an ALI within an existing project scope.

Budget revisions are initiated by the recipients. Once they have initiated a budget revision, the award is moved to the 'Active / Budget Revision In-Progress' status. No other types of revisions (Amendments or Closeout Amendments) may be initiated until the award is back in an 'Active (Executed)' status. Recipients may either adjust their ALI's or add additional ones. Projects that have had their ALI's adjusted must be validated. Following project validation, the recipient validates and submits the award for FTA review and approval. Budget revisions are reviewed and approved by Regional Post-Award Managers. Post-Award managers may reject the budget revision and return it to the recipient for additional modifications. Following approval of the budget revision, FTA staff may need to take additional financial actions to align obligated funds to the new budget. Upon completion of the FTA financial actions, the award will return to the 'Active (Executed)' status.



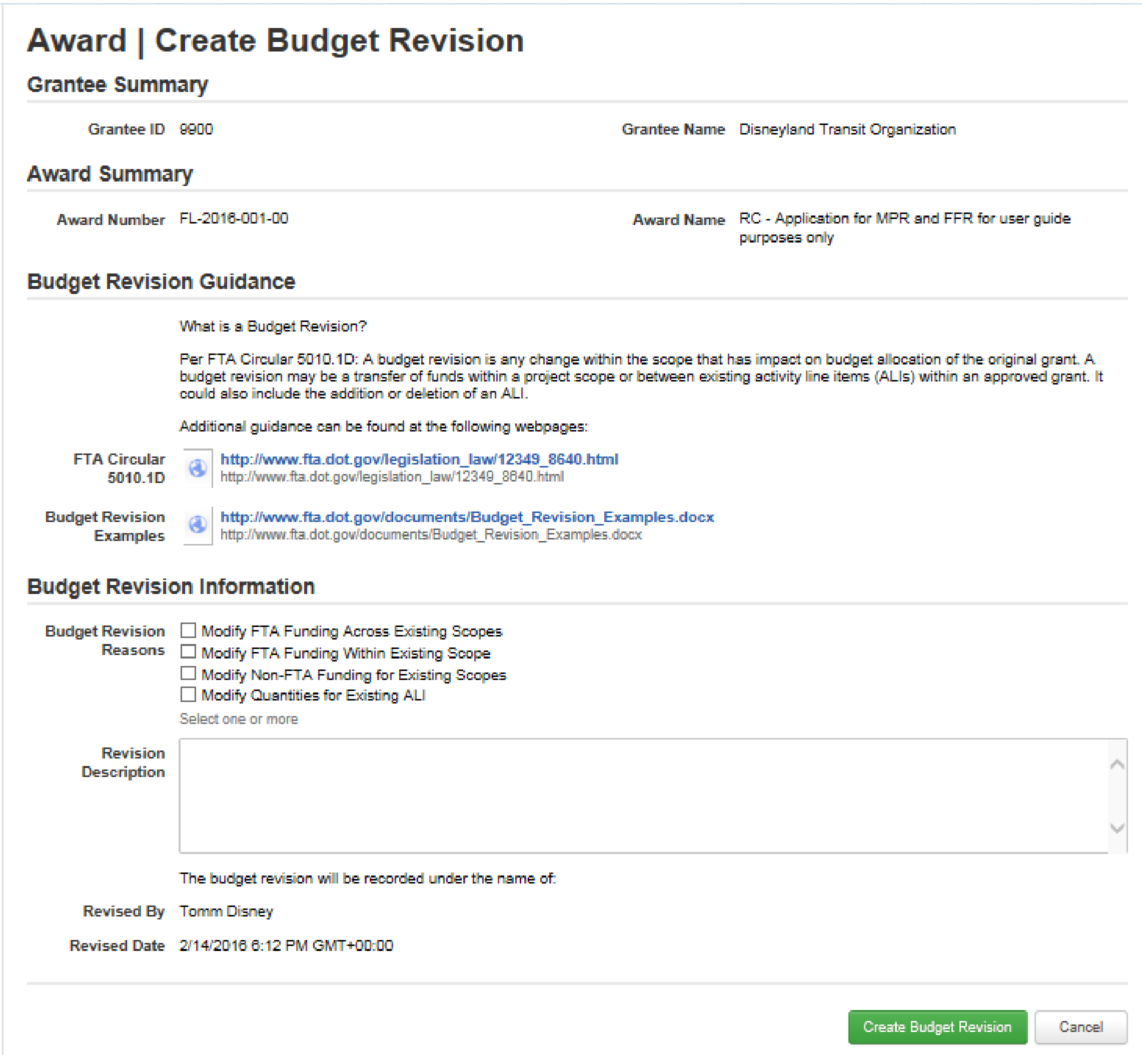

### 7.2.1 Related Action: Create Budget Revision

To create a 'Budget Revision' you must be logged on with the 'Submitter' or 'Developer' user roles and the award must be in the 'Active (Executed)' status.

1) Locate your award and select the associated 'Related Actions' menu
2) Click 'Create Budget Revision'
3) Select one or more of the following budget revisions reasons (required).
    a) Modify FTA Funding Across Existing Scopes
    b) Modify FTA Funding Within Existing Scopes

c) Modify Non-FTA Funding for Existing Scopes

d) Modify Quantities for Existing ALI



# Award | Create Budget Revision

## Grantee Summary

**Grantee ID** 9900 **Grantee Name** Disneyland Transit Organization

## Award Summary

**Award Number** FL-2016-001-00 **Award Name** RC - Application for MPR and FFR for user guide purposes only

## Budget Revision Guidance

What is a Budget Revision?

Per FTA Circular 5010.1D: A budget revision is any change within the scope that has impact on budget allocation of the original grant. A budget revision may be a transfer of funds within a project scope or between existing activity line items (ALIs) within an approved grant. It could also include the addition or deletion of an ALI.

Additional guidance can be found at the following webpages:

**FTA Circular 5010.1D** http://www.fta.dot.gov/legislation_law/12349_8640.html
http://www.fta.dot.gov/legislation_law/12349_8640.html

**Budget Revision Examples** http://www.fta.dot.gov/documents/Budget_Revision_Examples.docx
http://www.fta.dot.gov/documents/Budget_Revision_Examples.docx

## Budget Revision Information

**Budget Revision Reasons**
- ☐ Modify FTA Funding Across Existing Scopes
- ☐ Modify FTA Funding Within Existing Scope
- ☐ Modify Non-FTA Funding for Existing Scopes
- ☐ Modify Quantities for Existing ALI

Select one or more

**Revision Description**

The budget revision will be recorded under the name of:

**Revised By** Tomm Disney

**Revised Date** 2/14/2016 6:12 PM GMT+00:00

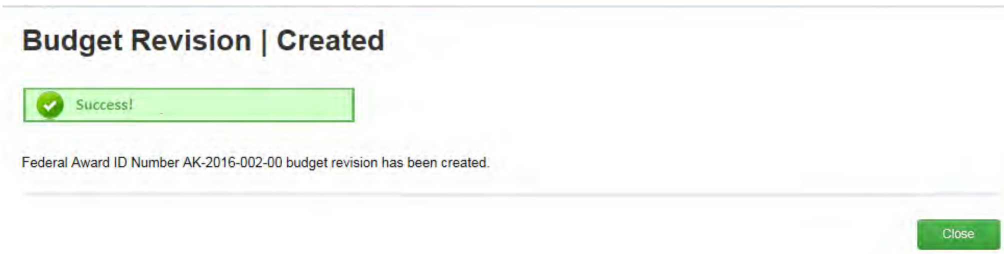
Create Budget Revision Cancel

4) Provide an explanation for the change.

5) Click ‘Create Budget Revision’ to initiate the Budget Revision Process

6) Click ‘Cancel’ to return to the ‘Related Actions’ page without creating a Budget Revision.

7) A success message will be displayed following the successful initiation of a Budget Revision.



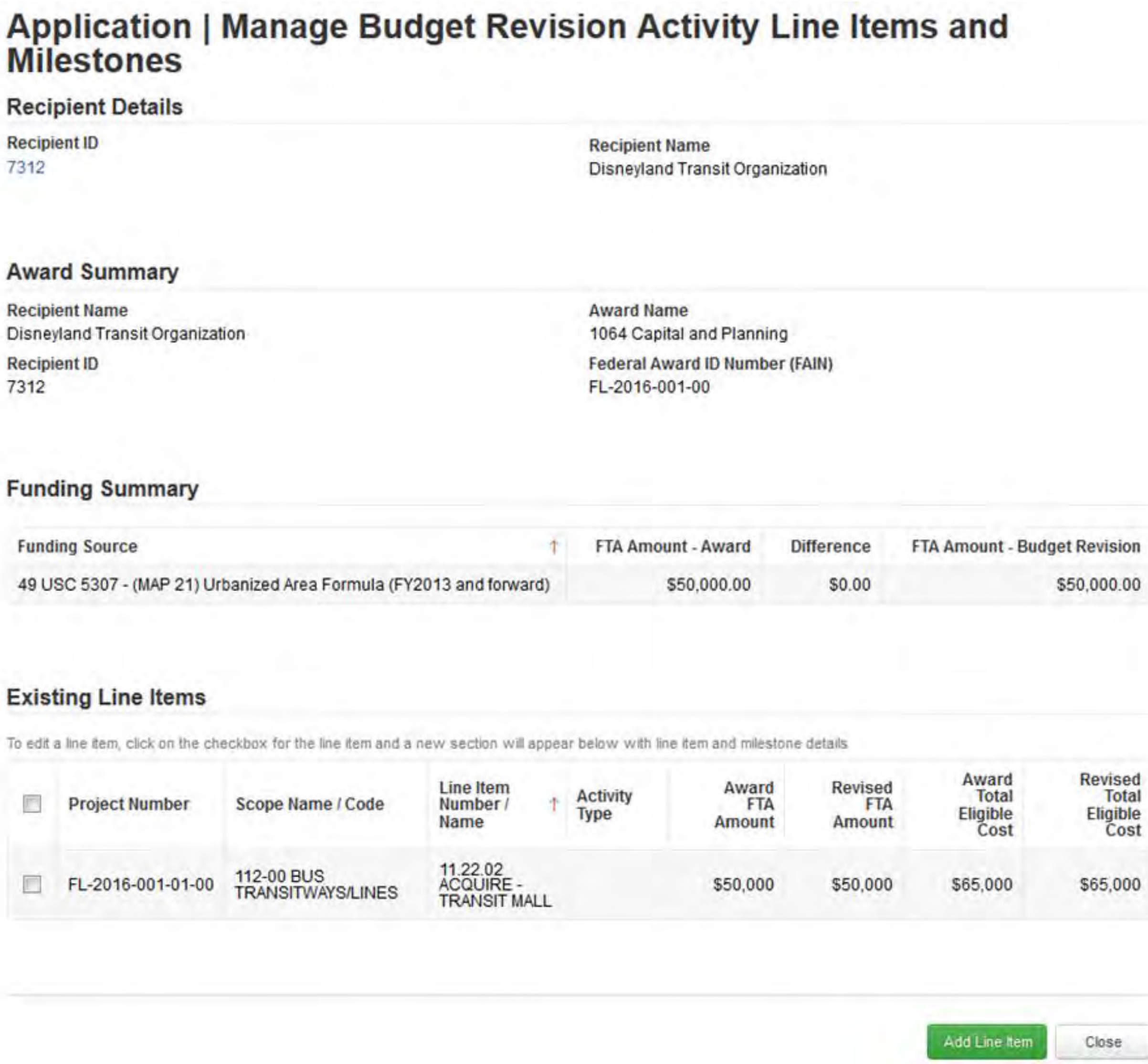

### 7.2.2 Related Action: Budget Revision Activity Line Items

When modifying Budget Activity Line Items (ALIs) in TrAMS, the display fields and options available vary slightly for applications that were originally created in TEAM or TrAMS. Since each application type has different business rules that apply, they will each have a separate section in this User Guide.

### 7.2.3 Budget Revision Activity Line Items (TrAMS Application)

To modify the budget ALIs for an application:

1) Click ‘Budget Revision Activity Line Items’.



# Application | Manage Budget Revision Activity Line Items and Milestones

## Recipient Details

**Recipient ID**
7312

**Recipient Name**
Disneyland Transit Organization

## Award Summary

**Recipient Name**
Disneyland Transit Organization

**Award Name**
1064 Capital and Planning

**Recipient ID**
7312

**Federal Award ID Number (FAIN)**
FL-2016-001-00

## Funding Summary

| Funding Source | FTA Amount - Award | Difference | FTA Amount - Budget Revision |
|---|---|---|---|
| 49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward) | $50,000.00 | $0.00 | $50,000.00 |

## Existing Line Items

To edit a line item, click on the checkbox for the line item and a new section will appear below with line item and milestone details

| | Project Number | Scope Name / Code | Line Item Number / Name | Activity Type | Award FTA Amount | Revised FTA Amount | Award Total Eligible Cost | Revised Total Eligible Cost |
|---|---|---|---|---|---|---|---|---|
| ☐ | FL-2016-001-01-00 | 112-00 BUS TRANSITWAYS/LINES | 11.22.02 ACQUIRE - TRANSIT MALL | | $50,000 | $50,000 | $65,000 | $65,000 |

Add Line Item | Close

2) The ‘Manage Budget Revision Activity Line Items and Milestones’ form will be displayed. The ALIs associated to the application are listed and displayed in grid format under the ‘Existing Line Items’ section.

3) At any point, you may click the ‘Close’ button to return to the ‘Related Actions’ menu without saving any changes.

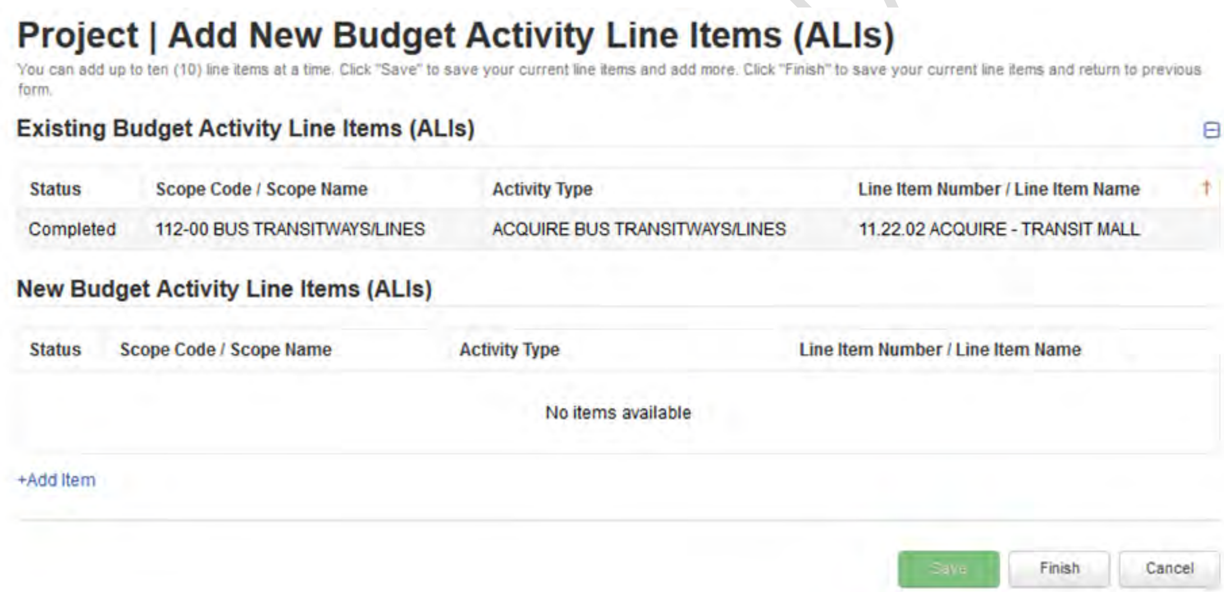
4) Click on the ‘Add Line Item’ button to add ALIs to this project.


5) The ‘Project Selection for Add Line Item’ form will be displayed. Use the provided drop-down menu to select a project to add ALIs to and then click the ‘Continue’ button.

6) The ‘Add New Budget Activity Line Items (ALIs)’ form will be displayed.

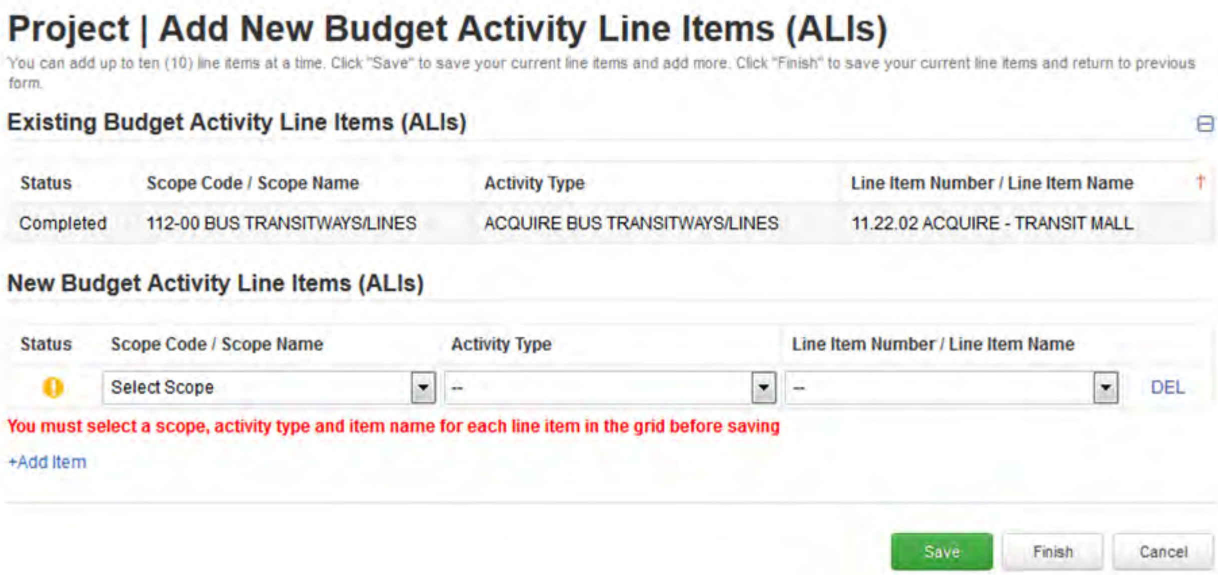
7) Click the ‘+Add Item’ link to begin adding a new line item.

**Note:** That your selection of scopes and funding sources for any new ALIs added to the budget revision’s project will be limited to selections made in the original award.




8) Clicking the ‘Cancel’ button here will return you to the ‘Manage Budget Revision Activity Line Items and Milestones’ form without saving any changes. The system will provide a warning prompt for confirmation before doing so.

9) The ‘New Budget Activity Line Items (ALIs)’ section will create a new grid row and display selectable fields each time the ‘+Add Item’ link is clicked. Click the ‘DEL’ link if you wish to delete an ALI that you added to the grid.




10) Select a scope from the drop-down menu provided under the ‘Scope Code / Name’ field.

- Select an activity type for the selected scope from the drop-down menu provided under the ‘Activity Type’ field.
- Select a line item name or number from the drop-down menu provided under the ‘Line Item Number/Line Item Name’ field
- Click the ‘Finish’ button to add all new ALIs that have been completed to the project and return to the ‘Manage Budget Revision Activity Line Items and Milestones’ form.

  To update new or existing budget ALIs for a project:

11) To update new or existing budget ALIs for a project: Select the check box for an ALI you wish to modify from the grid under ‘Existing Line Items’. The form will expand below the grid to include the following sections for the selected line item:

a) ‘Line Item Scope’

b) ‘Line Item Details’

c) ‘Funding Information’

d) ‘Rolling Stock Information’

e) ‘Milestones’

f) Update the line items as needed

**Note:** The ‘Zero Out Line Item’ button can be used at any time to wipe out all previously entered ALI values and milestones information from the selected ALI. This button replaces the ‘Delete Line Item’ button when an original ALI on the award has been selected.

12) Update the ‘Line Item Scope’ section as needed:

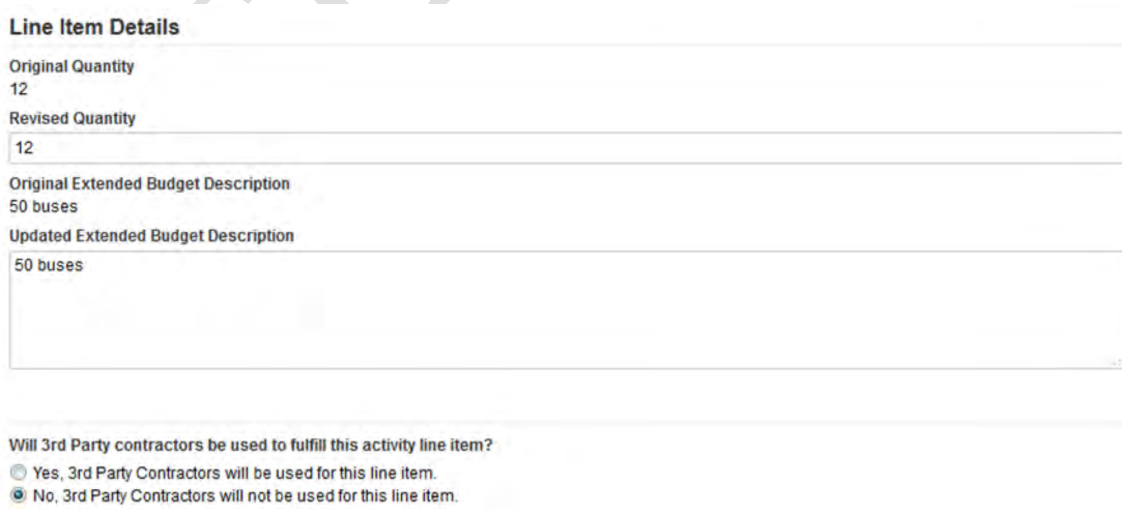
   a) Update the line item’s name in the ‘Custom Line Item Name’ field with the desired text.


13) Update the ‘Line Item Details’ section as needed:

   a) Update the quantity in the ‘Revised Quantity’ field with the desired number. This is an integer field and must be a whole number.

   b) Update the original extended budget description in the ‘Updated Extended Budget Description’ field with the desired text.

   c) Select either the Yes or No option to respond to the question, “Will 3rd Party contractors be used to fulfill this activity line item?”

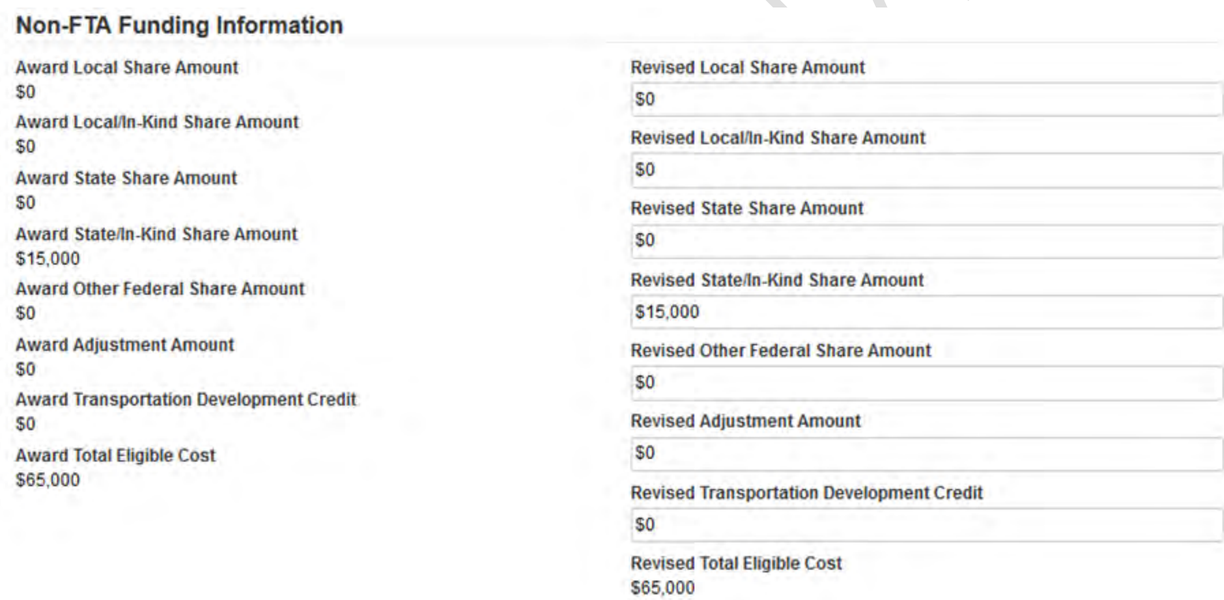


14) Update the ‘FTA Funding Information’ section as needed:

   a) Update the original FTA funding amount in the ‘Revised FTA Funding Amount’ field with the revised amount. This is an integer field and must be a whole number. The ‘Revised Total Eligible Cost’ field will update accordingly.


15) Update the ‘Non-FTA Funding Information’ section as needed:

   a) Update any existing values in fields with the desired amounts. These are all integer fields and must be whole numbers. The ‘Revised Total Eligible Cost’ field will update accordingly.



**Note:** The 'Rolling Stock Information' section is only shown when a rolling stock line item exists in the project and has been selected.

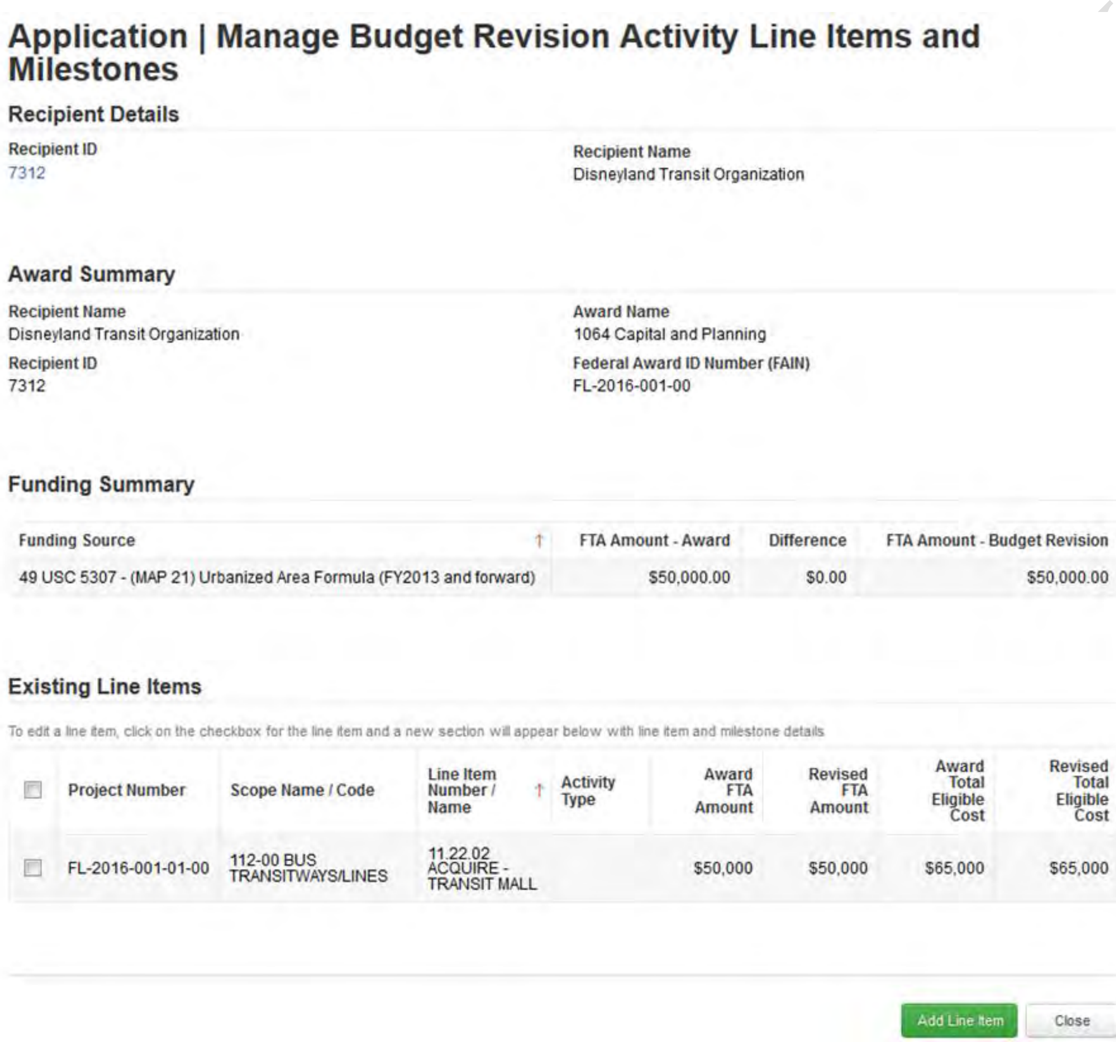
16) Update the 'Rolling Stock Information' section as needed:
    a) Select a vehicle condition from the drop-down menu provided for 'Vehicle Condition'.
    b) Enter a vehicle size into the 'Vehicle Size' field.
    c) Select the vehicle's fuel type from the drop-down menu provided under the 'Fuel' field.


17) The 'Milestones' section will be read-only if an existing line item is selected. Update the 'Milestones' section if you have selected a new ALI that was added to the budget revision. Refer to ***Related Action: Budget Activity Line Items and Milestones*** if further instructions on milestones are needed.
18) Once you have completed all the sections related to the selected ALI from the grid, you will have the following options:
    a) Click on the 'Save Line Item' button to save all information for the selected ALI and return to the 'Manage Budget Revision Activity Line Items and Milestones' form, or
    b) Click on the 'Delete Line Item' button to delete the selected ALI from the project. This button is replaced by the 'Zero Out Line Item' button if the selected ALI is from the original award.
    c) Click on the 'Cancel' button to exit out of the form without saving changes for the selected ALI. You will be returned to the 'Related Actions' menu.
19) Repeat previous steps to update the remaining ALIs in the grid as needed. The status for each ALI will change from 'In-Progress' to 'Complete.' The status of 'Complete' is required for all ALIs on the project in order to validate and mark the project as ready for FTA review.

### 7.2.4 Budget Revision Activity Line Items (TEAM Application)

To modify the budget ALIs for an application:

1) Click 'Budget Revision Activity Line Items'.



## Application | Manage Budget Revision Activity Line Items and Milestones

**Recipient Details**

Recipient ID
7312

Recipient Name
Disneyland Transit Organization

**Award Summary**

Recipient Name
Disneyland Transit Organization

Award Name
1064 Capital and Planning

Recipient ID
7312

Federal Award ID Number (FAIN)
FL-2016-001-00

**Funding Summary**

| Funding Source | FTA Amount - Award | Difference | FTA Amount - Budget Revision |
|---|---|---|---|
| 49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward) | $50,000.00 | $0.00 | $50,000.00 |

**Existing Line Items**

To edit a line item, click on the checkbox for the line item and a new section will appear below with line item and milestone details

| | Project Number | Scope Name / Code | Line Item Number / Name | Activity Type | Award FTA Amount | Revised FTA Amount | Award Total Eligible Cost | Revised Total Eligible Cost |
|---|---|---|---|---|---|---|---|---|
| | FL-2016-001-01-00 | 112-00 BUS TRANSITWAYS/LINES | 11.22.02 ACQUIRE - TRANSIT MALL | | $50,000 | $50,000 | $65,000 | $65,000 |

Add Line Item | Close

2) The 'Manage Budget Revision Activity Line Items and Milestones' form will be displayed. The ALIs associated to the project are listed and displayed in grid format under the 'Existing Line Items' section.

   At any point, you may click the 'Close' button to return to the 'Related Actions' menu without saving any changes.

3) Click on the 'Add Line Item' button to add ALIs to this project.

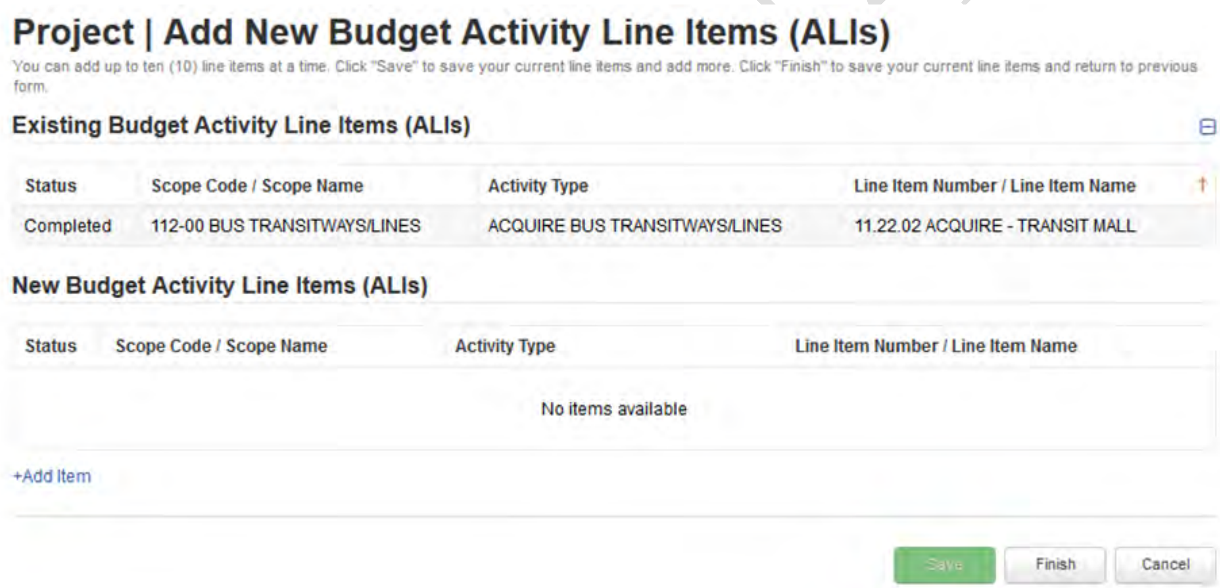
## FL-2016-001-00 | Project Selection for Add Line Item

| | |
|---|---|
| To Which Project Should the Line Item Be Added? | FL-2016-001-01-00 - Project One |

Continue

4) The ‘Project Selection for Add Line Item’ form will be displayed. Use the provided drop-down menu to select a project to add ALIs to and then click the ‘Continue’ button.

5) The ‘Add New Budget Activity Line Items (ALIs)’ form will be displayed. Click the ‘+Add Item’ link to begin adding a new line item. Note that your selection of scopes and funding sources for any new ALIs added to the budget revision’s project will be limited to selections made in the original award.



## Project | Add New Budget Activity Line Items (ALIs)

You can add up to ten (10) line items at a time. Click "Save" to save your current line items and add more. Click "Finish" to save your current line items and return to previous form.

### Existing Budget Activity Line Items (ALIs)

| Status | Scope Code / Scope Name | Activity Type | Line Item Number / Line Item Name |
|---|---|---|---|
| Completed | 112-00 BUS TRANSITWAYS/LINES | ACQUIRE BUS TRANSITWAYS/LINES | 11.22.02 ACQUIRE - TRANSIT MALL |

### New Budget Activity Line Items (ALIs)

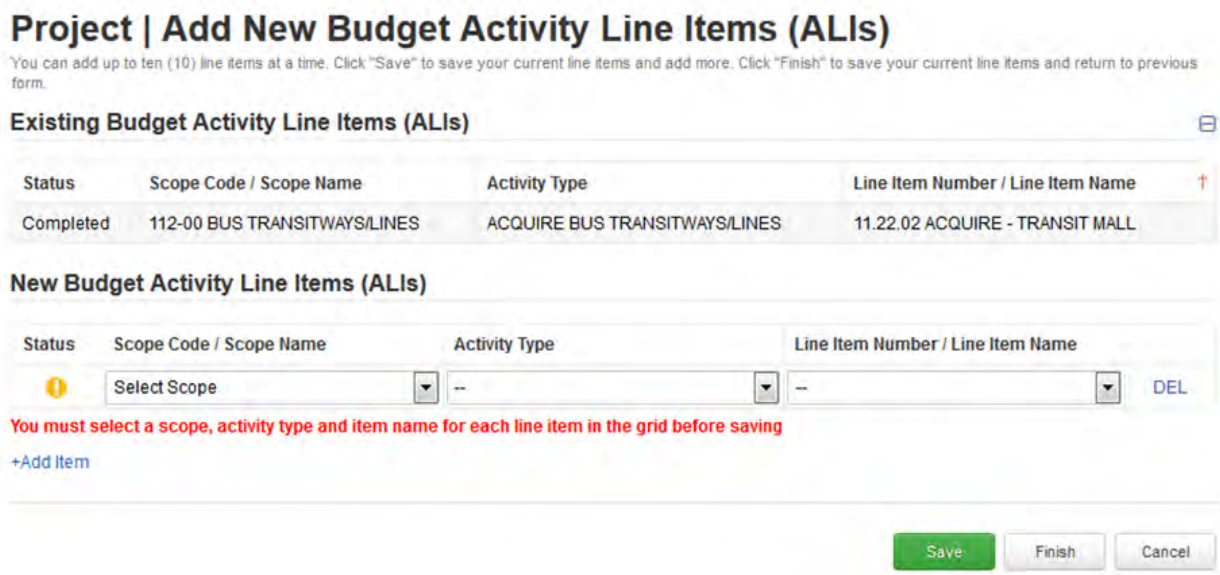
| Status | Scope Code / Scope Name | Activity Type | Line Item Number / Line Item Name |
|---|---|---|---|
| | No items available | | |

+Add Item

Save Finish Cancel

6) Clicking the ‘Cancel’ button here will return you to the ‘Manage Budget Revision Activity Line Items and Milestones’ form without saving any changes. The system will provide a warning prompt for confirmation before doing so.

7) The ‘New Budget Activity Line Items (ALIs)’ section will create a new grid row and display selectable fields each time the ‘+Add Item’ link is clicked. Click the ‘DEL’ link if you wish to delete an ALI that you added to the grid.




8) Select a scope from the drop-down menu provided under the ‘Scope Code / Name’ field.

9) Select an activity type for the selected scope from the drop-down menu provided under the ‘Activity Type’ field.

10) Select a line item name or number from the drop-down menu provided under the ‘Line Item Number/Line Item Name’ field

11) Click the ‘Finish’ button to add all new ALIs that have been completed to the project and return to the ‘Manage Budget Revision Activity Line Items and Milestones’ form.

To update new or existing budget ALIs for a project:

12) Select the check box for an ALI you wish to modify from the grid under ‘Existing Line Items’. The form will expand below the grid to include the following sections for the selected line item:
    a) ‘Line Item Scope’
    b) ‘Line Item Details’
    c) ‘Funding Information’
    d) ‘Rolling Stock Information’
    e) ‘Milestones’

**Note:** The ‘Zero Out Line Item’ button can be used at any time to wipe out all previously entered ALI values and milestones information from the selected ALI. This button replaces the ‘Delete Line Item’ button when an original ALI on the award has been selected.

13) Update the 'Line Item Scope' section as needed:

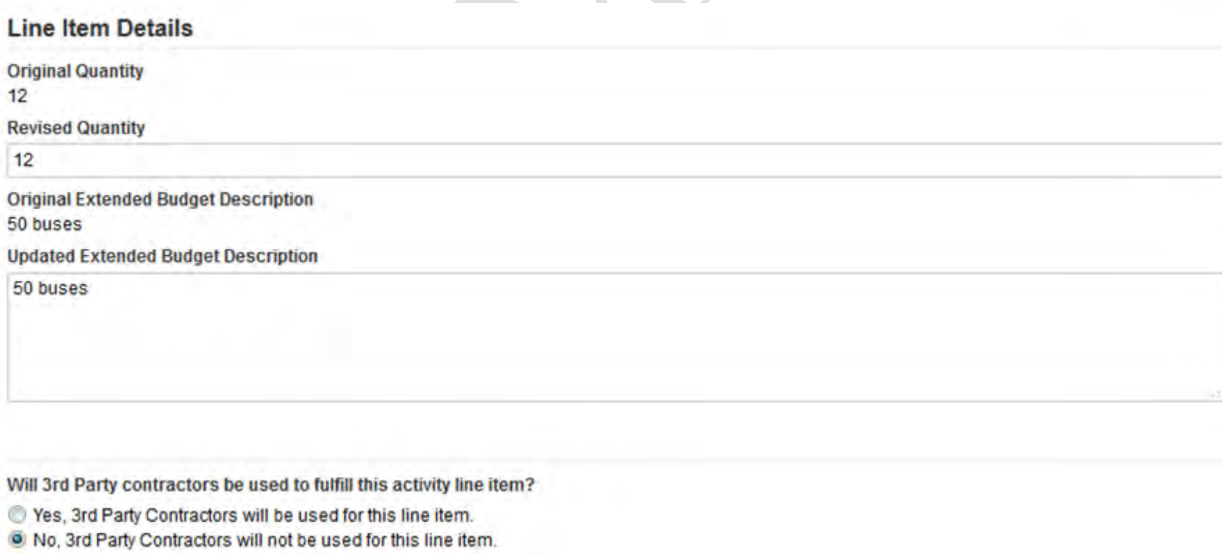
   a) Update the line item's name in the 'Custom Line Item Name' field with the desired text.


14) Update the 'Line Item Details' section as needed:

   a) Update the quantity in the 'Revised Quantity' field with the desired number. This is an integer field and must be a whole number.

   b) Update the original extended budget description in the 'Updated Extended Budget Description' field with the desired text.

   c) Select either the Yes or No option to respond to the question, "Will 3rd Party contractors be used to fulfill this activity line item?"



15) Update the ‘Funding Information’ section as needed:

TEAM-created applications will only display fields for FTA Funding Amount, Non-FTA Amount, and Total Eligible Cost. The FTA and Total Eligible Cost fields are editable.

a) Update the original FTA funding amount in the ‘Revised FTA Funding Amount’ field with the revised amount. This is an integer field and must be a whole number. The ‘Revised Non-FTA Amount’ field will update accordingly.

b) Update the original award’s total eligible cost in the ‘Revised Total Eligible Cost’ field with the revised amount. This is an integer field and must be a whole number. The ‘Revised Non-FTA Amount’ field will update accordingly.


16) Update the ‘Rolling Stock Information’ section as needed:

a) Select a vehicle condition from the drop-down menu provided under the ‘Vehicle Condition’ field.

b) Enter a vehicle size into the ‘Vehicle Size’ field.

c) Select the vehicle’s fuel type from the drop-down menu provided under the ‘Fuel’ field.


**Note:** The ‘Rolling Stock Information’ section is only shown when a rolling stock line item exists in the project and has been selected.

17) The ‘Milestones’ section will be read-only if an existing line item is selected. Update the ‘Milestones’ section if you have selected a new ALI that was added to the budget revision. Refer to *Error! Reference source not found.* if further instructions on milestones are needed.

18) Once you have completed all the sections related to the selected ALI from the grid, you will have the following options:

a) Click on the ‘Save Line Item’ button to save all information for the selected ALI and return to the ‘Manage Budget Revision Activity Line Items and Milestones’ form, or

b) Click on the ‘Delete Line Item’ button to delete the selected ALI from the project. This button is replaced by the ‘Zero Out Line Item’ button if the selected ALI is from the original award.

c) Click on the ‘Cancel’ button to exit out of the form without saving changes for the selected ALI. You will be returned to the ‘Related Actions’ menu.

19) Repeat previous steps to update the remaining ALIs in the grid as needed. The status for each ALI will change from ‘In-Progress’ to ‘Complete.’ The status of ‘Complete’ is required for all ALIs on the project in order to validate and mark the project as ready for FTA review.

### 7.2.5 Related Action: Current Budget Change Log

To view the most current Budget Change Log for a budget revision:

1) Click ‘Current Budget Change Log’.
2) The ‘Budget Revision | Budget Change Log’ form will be displayed. The change logs for the selected budget revision’s individual ALIs as well as the cumulative amounts associated to its projects are listed and displayed in grid format.
3) Click the ‘Close’ button to return to the ‘Related Actions’ menu.

## Budget Revision | Budget Change Log

**Award Summary**

| | | | |
|---|---|---|---|
| Recipient ID | 7312 | Recipient Name | Disneyland Transit Organization |
| Award Number | FL-2016-001-00 | Award Name | 1064 Capital and Planning |

**Budget Revision - Award Funding Summary**

| Funding Source | FTA Amount - Award | Difference | FTA Amount - Current Revision |
|---|---|---|---|
| 49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward) | $50,000.00 | $0.00 | $50,000.00 |

**Budget Revision - Application Scope Funding Cumulative Change Log**

| Scope Code | Scope Name | Funding Source | FTA Amount - Award | Difference | FTA Amount - Current Revision | Cumulative Percent Change |
|---|---|---|---|---|---|---|
| 112-00 | BUS TRANSITWAYS/LINES | 49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward) | $50,000.00 | $0.00 | $50,000.00 | 0% |

**Budget Revision - Line Item Change Log**

| Project Number | Scope | Line Item | Previous Quantity | Difference | Current Revision Quantity | Previous FTA Amount | Difference | Curren Revisic FTA Amoun |
|---|---|---|---|---|---|---|---|---|
| FL-2016-001-01-00 | 112-00 BUS TRANSITWAYS/LINES | 11.22.02 ACQUIRE - TRANSIT MALL | 12 | 0 | 12 | $50,000 | ($15,000) | $35,00 |
| FL-2016-001-01-00 | 112-00 BUS TRANSITWAYS/LINES | 11.21.03 ENG/DESIGN - LINE EQUIP/STRUCTURES | 0 | 12 | 12 | $0 | $15,000 | $15,00 |

### 7.2.6 Related Action: View-Print Budget Change History

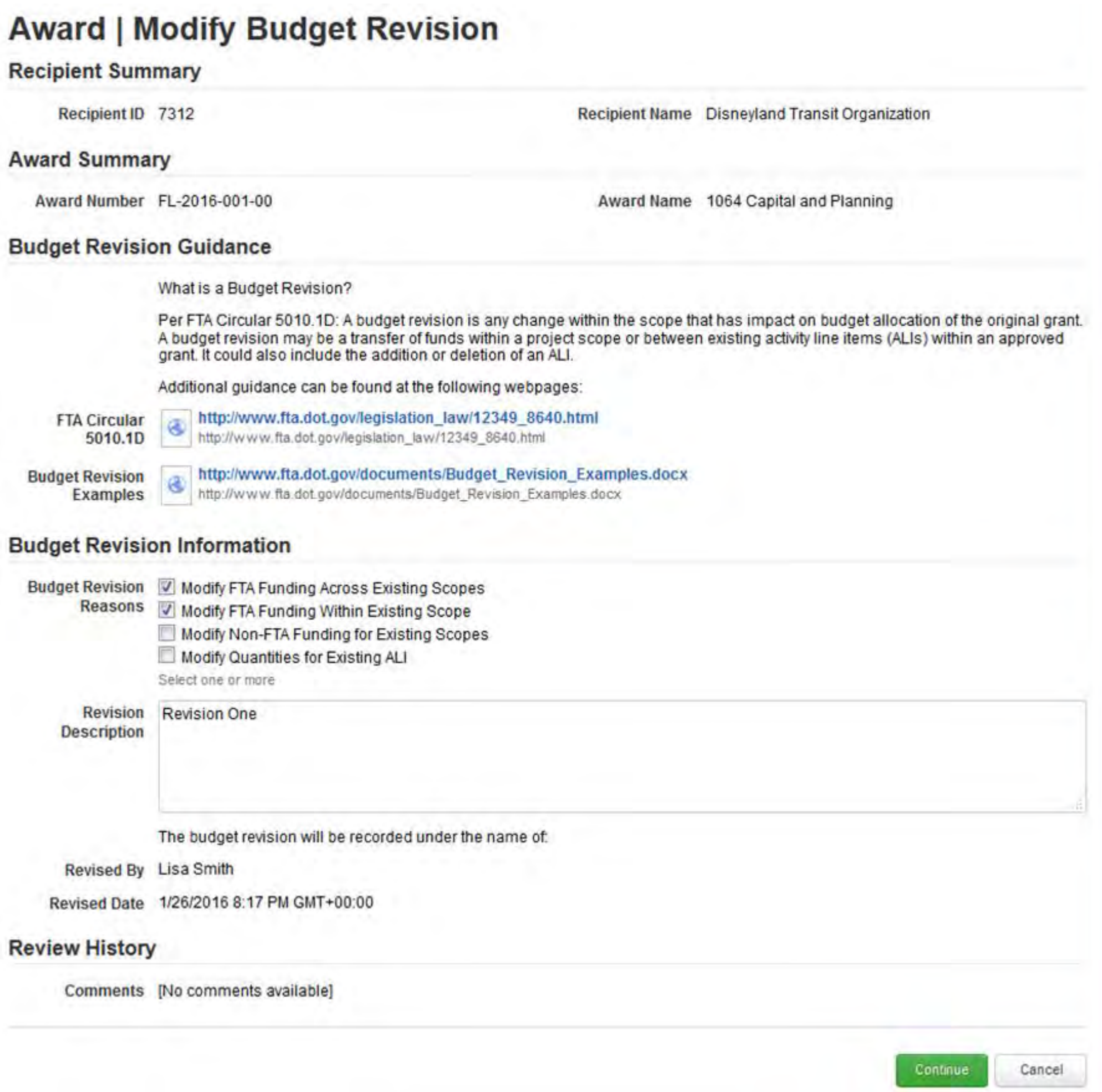
Refer to '**Error! Reference source not found.**' under 'Application Overview and Development' for instructions on how to generate the view/print budget change history.

### 7.2.7 Related Action: Modify Budget Revision Details

At any point after having initiated a Budget Revision and while the Award status is 'Active/Budget Revision In-Progress' you may modify the initially entered Budget Revision Details information.

To modify an existing budget revision's details:

1) Click 'Modify Budget Revision Details'.
2) The 'Modify Budget Revision' form will be displayed.

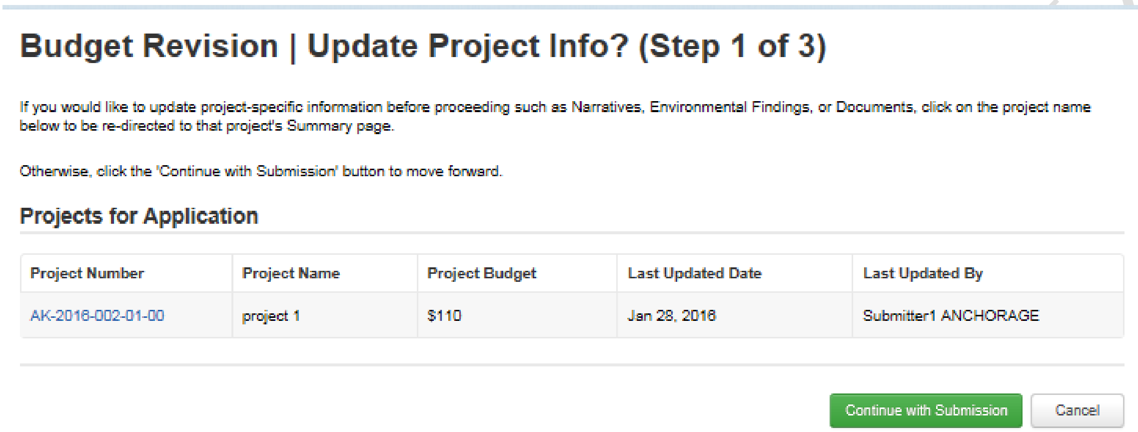



3) Edit any previously entered details for the budget revision.
4) Click the ‘Continue’ button to save changes. You will be returned to the ‘Related Actions’ menu after doing so.
5) At any point, you may click the ‘Cancel’ button to return to the ‘Related Actions’ menu without saving any changes.

### 7.2.8 Related Action: Validate and Submit Budget Revision

After all ALI’s have been updated and the associated projects have been successful validated the recipient with the ‘Submitter’ role may submit the budget revision to FTA for review and approval.

1) From the 'Related Actions' menu click 'Validate and Submit Budget Revision'
2) The 'Budget Revision | Update Project Info? (Step 1 of 3)' form will be displayed given the user a chance to return to the projects to make any additional updates.
3) Click 'Continue with Submission' to continue with the submission to FTA.



## Budget Revision | Update Project Info? (Step 1 of 3)

If you would like to update project-specific information before proceeding such as Narratives, Environmental Findings, or Documents, click on the project name below to be re-directed to that project's Summary page.

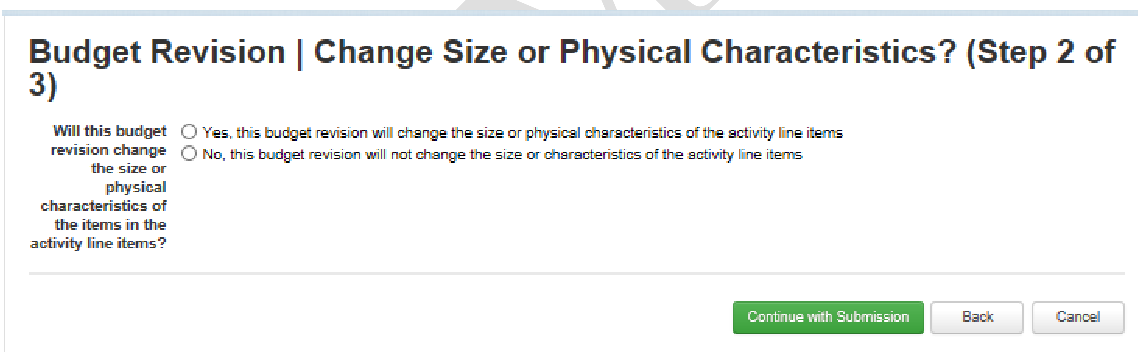
Otherwise, click the 'Continue with Submission' button to move forward.

### Projects for Application

| Project Number | Project Name | Project Budget | Last Updated Date | Last Updated By |
|---|---|---|---|---|
| AK-2016-002-01-00 | project 1 | $110 | Jan 28, 2016 | Submitter1 ANCHORAGE |

Continue with Submission | Cancel

4) On the 'Budget Revision | Change Size or Physical Characteristics? (Step 2 of 3)' page, you will need to answer the Yes/No question 'Will this budget revision change the size or physical characteristics of the items in the activity line items?'

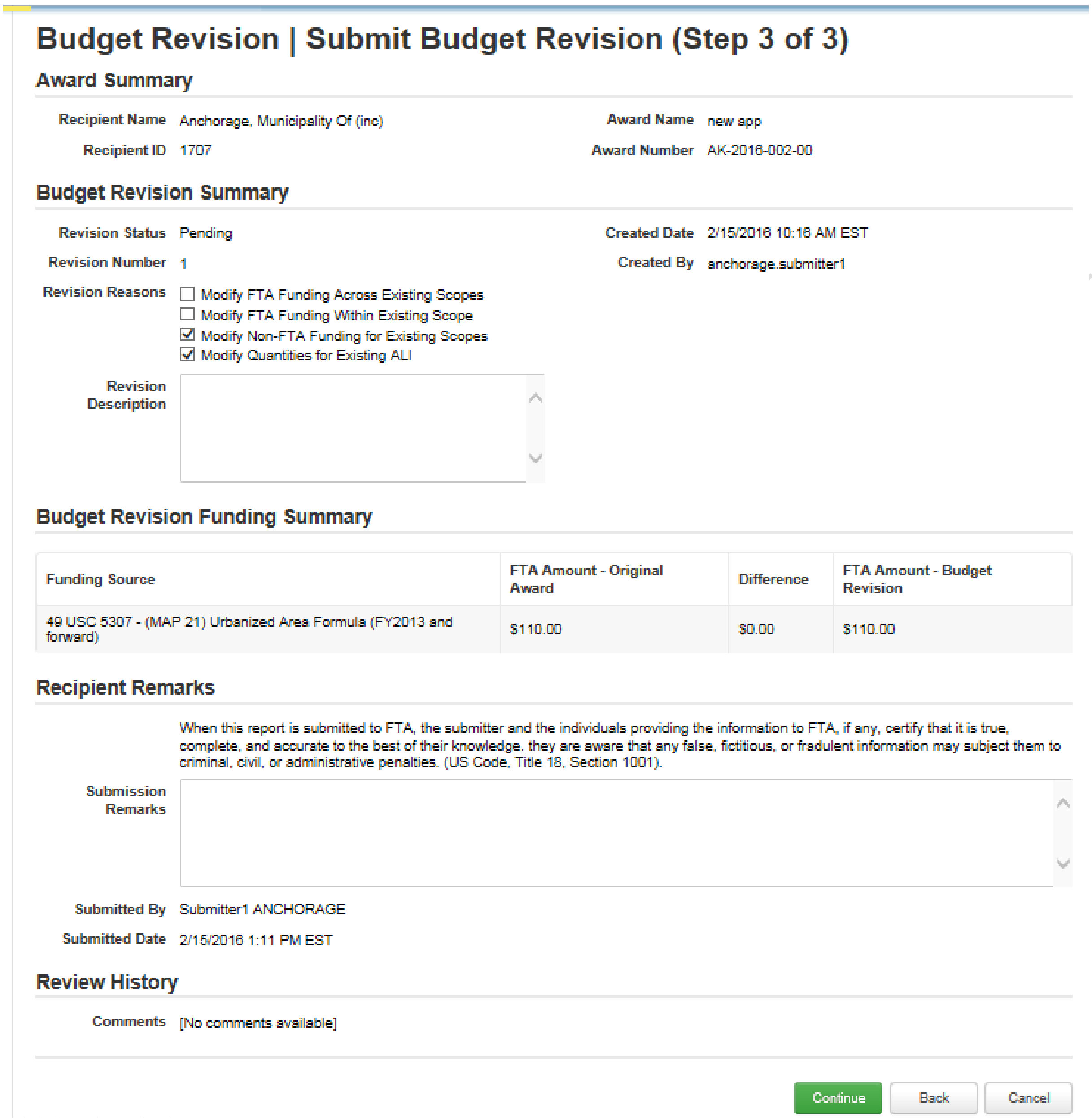


## Budget Revision | Change Size or Physical Characteristics? (Step 2 of 3)

Will this budget revision change the size or physical characteristics of the items in the activity line items?
- Yes, this budget revision will change the size or physical characteristics of the activity line items
- No, this budget revision will not change the size or characteristics of the activity line items

Continue with Submission | Back | Cancel

5) After selecting 'Continue with Submission' the 'Budget Revision | Submit Budget Revision (Step 3 of 3)' form will be displayed with a summary of the changes.
6) You may add 'Submission Remarks' for FTA review and choose one of the following buttons.
   a) Click 'Continue' to submit the revision to FTA.
   b) Click 'Back' to return to the previous screen.
   c) Click 'Cancel' to return to the 'Related Actions' menu without submitting to the FTA.



## Budget Revision | Submit Budget Revision (Step 3 of 3)

### Award Summary

| | | | |
|---|---|---|---|
| Recipient Name | Anchorage, Municipality Of (inc) | Award Name | new app |
| Recipient ID | 1707 | Award Number | AK-2016-002-00 |

### Budget Revision Summary

| | | | |
|---|---|---|---|
| Revision Status | Pending | Created Date | 2/15/2016 10:16 AM EST |
| Revision Number | 1 | Created By | anchorage.submitter1 |

Revision Reasons
- ☐ Modify FTA Funding Across Existing Scopes
- ☐ Modify FTA Funding Within Existing Scope
- ☑ Modify Non-FTA Funding for Existing Scopes
- ☑ Modify Quantities for Existing ALI

Revision Description

### Budget Revision Funding Summary

| Funding Source | FTA Amount - Original Award | Difference | FTA Amount - Budget Revision |
|---|---|---|---|
| 49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward) | $110.00 | $0.00 | $110.00 |

### Recipient Remarks

When this report is submitted to FTA, the submitter and the individuals providing the information to FTA, if any, certify that it is true, complete, and accurate to the best of their knowledge. they are aware that any false, fictitious, or fradulent information may subject them to criminal, civil, or administrative penalties. (US Code, Title 18, Section 1001).

Submission Remarks

Submitted By Submitter1 ANCHORAGE

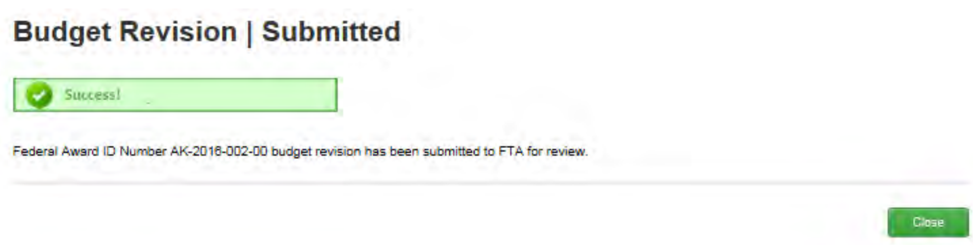
Submitted Date 2/15/2016 1:11 PM EST

### Review History

Comments [No comments available]

Continue Back Cancel

7) A success screen indicating that the budget revision has been successfully submitted to FTA will be displayed after choosing ‘Continue’.




### 7.2.9 FTA Review of Submitted Budget Revisions

The FTA Regional Office staff responsible for post-award monitoring will review budget revisions and either approves or disapproves them. Budget revision requests must include a reason for the revision and the source of the funding. Each ALI being adjusted, either by quantity or dollar amount, must include a brief explanation. Incomplete revisions are returned to the recipient for additional information or corrections. These revisions will revert to 'Active / Budget Revision In-Progress' status in the system. The Regional Office staff will complete a scope or FPC transfer for the budget revision, if appropriate.

Once the FTA office has approved the Budget Revision the award will revert back to the 'Active (Executed)' status.

## 7.3 Amendments

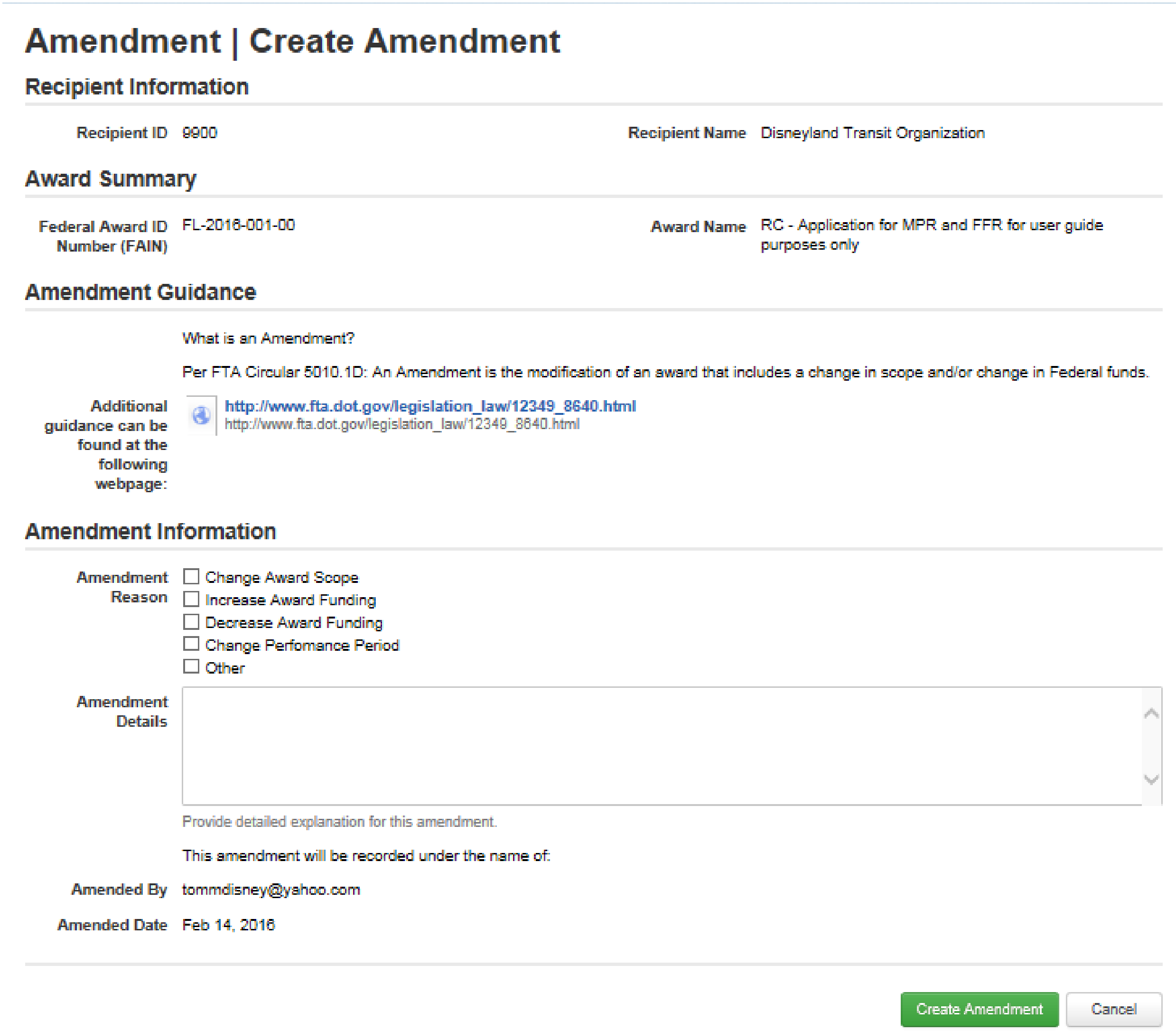
An amendment is the modification of an award that includes a change in scope and/or change in Federal funds. An amendment may be initiated in TrAMS on an award application with 'Active (Executed)' status by the recipient organization's Submitter or Developer.

Once created, the amendment must go through the same FTA review cycle as a base TrAMS application in its draft phase in order to reach award status.


Refer to 'Application Overview and Development' for further details on application development.

Only recipients may initiate amendments, FTA staff however may initiate Administrative Amendments. Refer to 'Administrative Amendments' for additional information.

### 7.3.1 Related Action: Create Amendment



## Amendment | Create Amendment

**Recipient Information**

| | | | |
|---|---|---|---|
| Recipient ID | 9900 | Recipient Name | Disneyland Transit Organization |

**Award Summary**

| | | | |
|---|---|---|---|
| Federal Award ID Number (FAIN) | FL-2016-001-00 | Award Name | RC - Application for MPR and FFR for user guide purposes only |

**Amendment Guidance**

What is an Amendment?

Per FTA Circular 5010.1D: An Amendment is the modification of an award that includes a change in scope and/or change in Federal funds.

Additional guidance can be found at the following webpage: http://www.fta.dot.gov/legislation_law/12349_8640.html
http://www.fta.dot.gov/legislation_law/12349_8640.html

**Amendment Information**

Amendment Reason
- ☐ Change Award Scope
- ☐ Increase Award Funding
- ☐ Decrease Award Funding
- ☐ Change Perfomance Period
- ☐ Other

Amendment Details

Provide detailed explanation for this amendment.

This amendment will be recorded under the name of:

Amended By tommdisney@yahoo.com

Amended Date Feb 14, 2016

Create Amendment | Cancel

### 7.3.2 Projects

The following project related actions are available and editable for FTA users with ‘Pre-Award Manager’ or ‘Post-Award Manager’ roles while an amendment has a status of ‘In Progress’.

- Project Details and Narratives
- Project Location
- Project Plan Information
- Amendment Budget Activity Line Items and Milestone

- Environmental Determinations
- Validate Project
- View-Print Application
- Project Documents

With the exception of 'Validate Project' these actions are also available to other user roles in a read-only format and available during other project statuses in the read-only format.

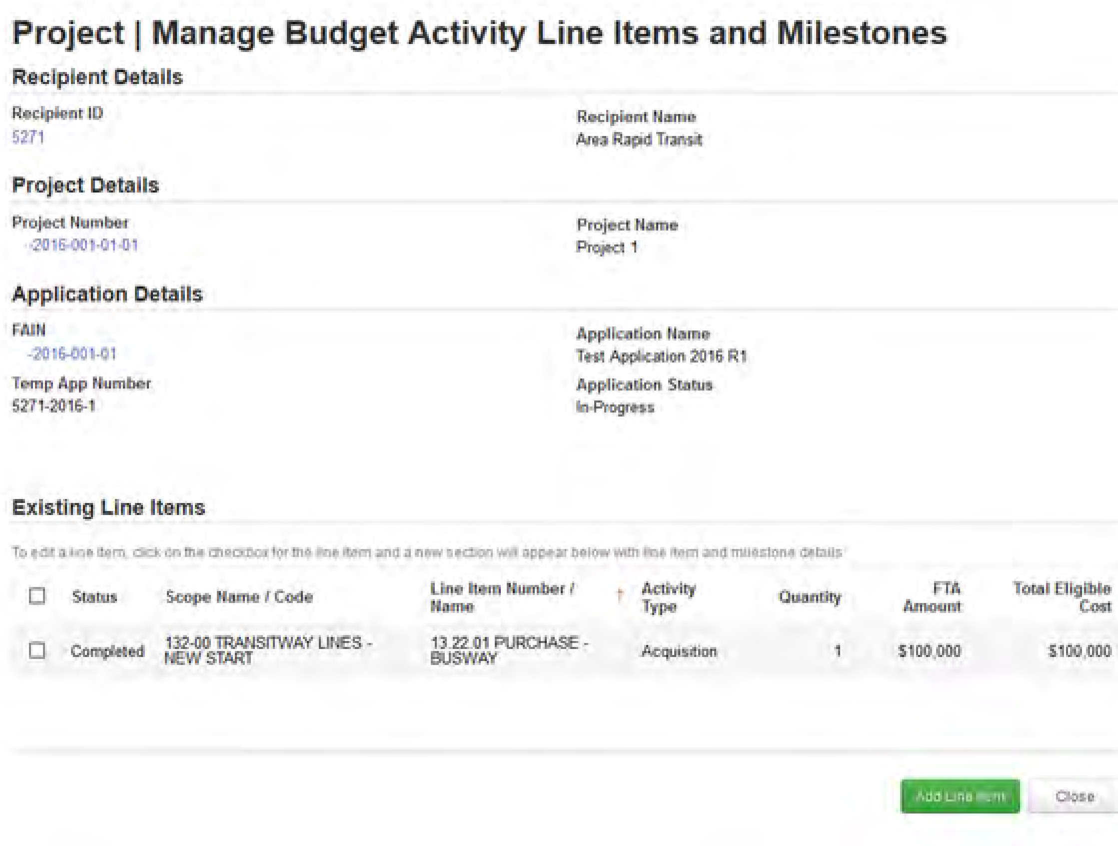
Refer to the ***Application Development*** section for further details on how to edit a project.

### 7.3.3 Related Action: Amendment Budget Activity Line Items and Milestones

The Application and Project Budgets are formulated by adding scopes and budget activity line items (ALIs) to a project. In an amendment, recipients are able to add new scopes and ALIs that were not previously part of the award.

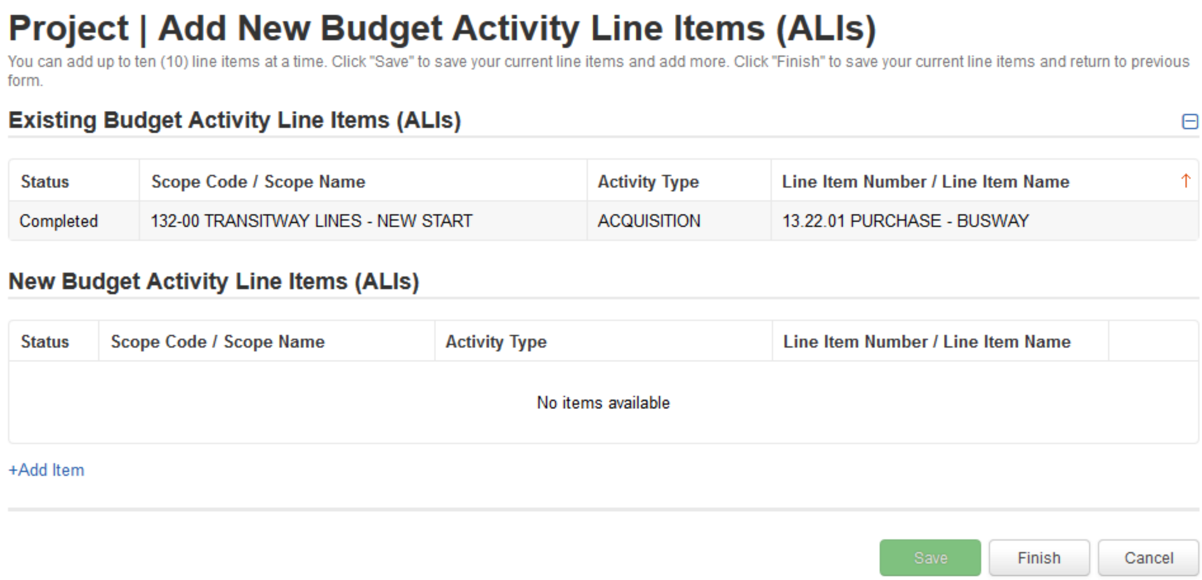
To add or update the budget ALIs for a project on an amendment:

1) From the project-level 'Related Actions' menu, click 'Amendment Budget Activity Line Items and Milestones'.
2) The 'Manage Budget Activity Line Items and Milestones' form will be displayed. The ALIs associated to the project are listed and displayed in grid format under the 'Existing Line Items' section.
3) At any point, you may click the 'Close' button to return to the 'Related Actions' menu without saving any changes.

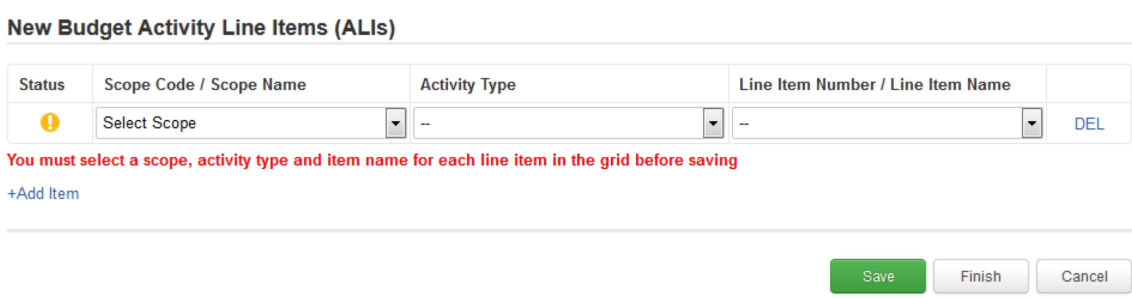



To add a new ALI to the project:

1) Click on the 'Add Line Item' button to add ALIs to this project. Note that your selection of scopes and funding sources for any new ALIs added to the amendment's project will be limited to selections made in the original award.
2) The 'Add New Budget Activity Line Items (ALIs)' form will be displayed. Click the '+Add Item' link to begin adding a new line item.
3) Clicking the 'Cancel' button here will return you to the 'Manage Budget Revision Activity Line Items and Milestones' form without saving any changes. The system will provide a warning prompt for confirmation before doing so.




4) The ‘New Budget Activity Line Items (ALIs)’ section will create a new grid row and display selectable fields. Click the ‘DEL’ link if you wish to delete an ALI that you added to the grid.




5) Select a scope from the drop-down menu provided under the ‘Scope Code / Name’ field.
6) Select an activity type for the selected scope from the drop-down menu provided under the ‘Activity Type’ field.
7) Select a line item name or number from the drop-down menu provided under the ‘Line Item Number/Line Item Name’ field.
8) Click the ‘Finish’ button to add all new ALIs that have been completed to the project and return to the ‘Manage Budget Activity Line Items and Milestones’ form.

To edit the ALI details and milestones for a project under the amendment:

1) Select the check box for an ALI you wish to modify from the grid under ‘Existing Items’. The form will expand below the grid to include the following sections for the selected line item:

a) ‘Line Item Scope’

b) ‘Line Item Details’

c) ‘Funding Information’

d) ‘Rolling Stock Information’

e) ‘Milestones’

**Note:** The ‘Zero Out Line Item’ button can be used at any time to wipe out all previously entered ALI values and milestones information from the selected ALI. This button replaces the ‘Delete Line Item’ button when an original ALI on the award has been selected. If any obligation amounts exist on the line item being zeroed out, they will also be wiped out and flagged by the system as deobligation amounts.

2) Update the ‘Line Item Scope’ section as needed:

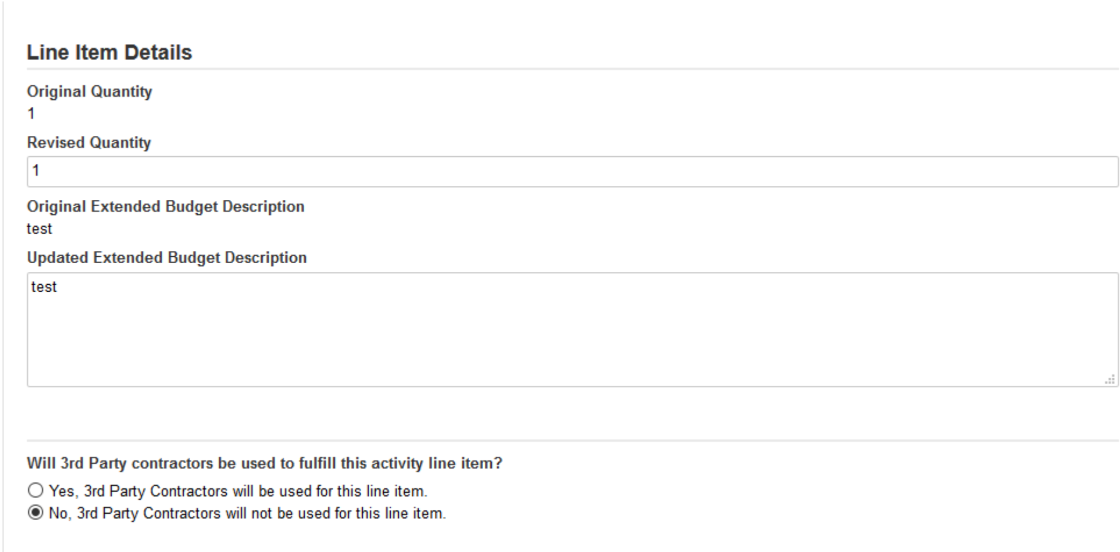
a) Update the line item’s name in the ‘Custom Line Item Name’ field with the desired text.


3) Update the ‘Line Item Details’ section as needed:

a) Update the quantity in the ‘Revised Quantity’ field with the desired number. This is an integer field and must be a whole number.

b) Update the original extended budget description in the ‘Updated Extended Budget Description’ field with the desired text. This is a long paragraph field.

c) Select either the Yes or No option to respond to the question, ‘Will 3rd Party contractors be used to fulfill this activity line item?’



**Line Item Details**

Original Quantity
1

Revised Quantity
1

Original Extended Budget Description
test

Updated Extended Budget Description
test

Will 3rd Party contractors be used to fulfill this activity line item?

- ○ Yes, 3rd Party Contractors will be used for this line item.
- ◉ No, 3rd Party Contractors will not be used for this line item.

4) If this amendment is for a TEAM application, update the 'Funding Information' section as needed:
   a) Update the original FTA funding amount in the 'Revised FTA Funding Amount' field with the revised amount. This is an integer field and must be a whole number. The 'Revised Non-FTA Amount' field will update accordingly.
   b) Update the original award's total eligible cost in the 'Revised Total Eligible Cost' field with the revised amount. This is an integer field and must be a whole number. The 'Revised Non-FTA Amount' field will update accordingly.

**Funding Information**

| | |
|---|---|
| FTA Funding Source<br>49 USC 5312 - Research, Development, Demonstration, Deployment | FTA Funding Source<br>49 USC 5312 - Research, Development, Demonstration, Deployment |
| Award FTA Funding Amount<br>$6,611,111.00 | Revised FTA Funding Amount<br>$6,751,111.00 |
| Award Non-FTA Amount<br>$1,166,667.00 | Revised Non-FTA Amount<br>$1,166,667.00 |
| Award Total Eligible Cost<br>$7,777,778.00 | Revised Total Eligible Cost<br>$7,917,778.00 |

5) Update the 'FTA Funding Information' section as needed:
   a) Update the original FTA funding amount in the 'Revised FTA Funding Amount' field with the revised amount. This is an integer field and must be a whole number. The 'Revised Total Eligible Cost' field will update accordingly.

**FTA Funding Information**

FTA Funding Source
49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)

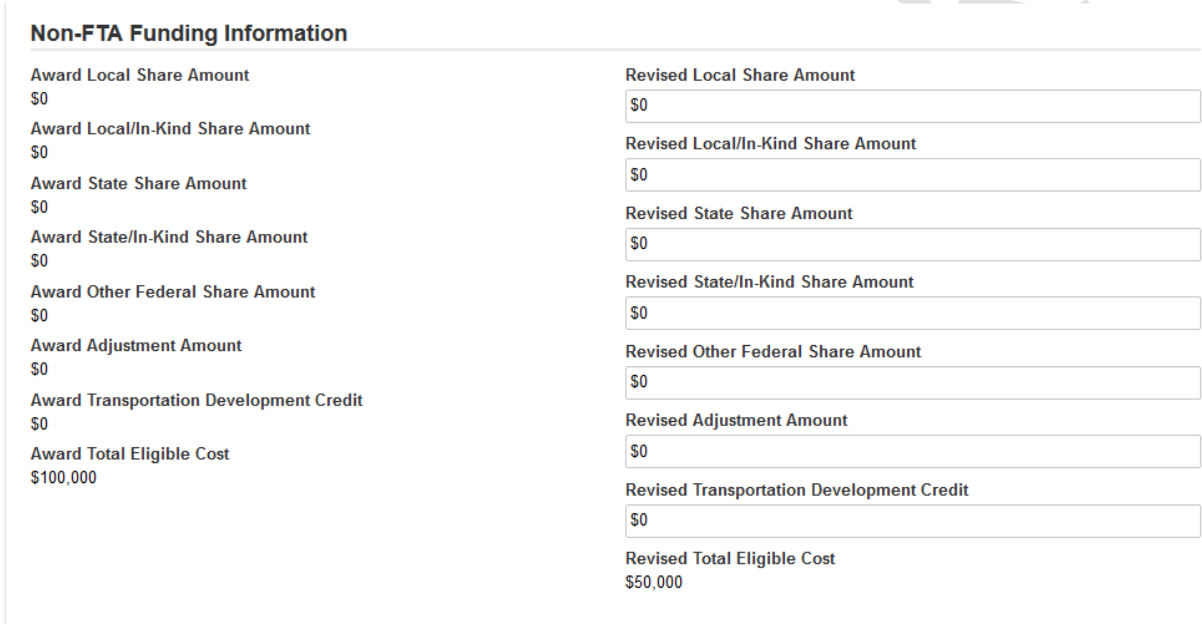
Award FTA Funding Amount
$100,000

FTA Funding Source
49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)

Revised FTA Funding Amount
$50,000

6) Update the 'Non-FTA Funding Information' section if necessary:

   a) Update any existing values in fields with the desired amounts. These are all integer fields and must be whole numbers. The 'Revised Total Eligible Cost' field will update accordingly.



**Non-FTA Funding Information**

Award Local Share Amount
$0

Award Local/In-Kind Share Amount
$0

Award State Share Amount
$0

Award State/In-Kind Share Amount
$0

Award Other Federal Share Amount
$0

Award Adjustment Amount
$0

Award Transportation Development Credit
$0

Award Total Eligible Cost
$100,000

Revised Local Share Amount
$0

Revised Local/In-Kind Share Amount
$0

Revised State Share Amount
$0

Revised State/In-Kind Share Amount
$0

Revised Other Federal Share Amount
$0

Revised Adjustment Amount
$0

Revised Transportation Development Credit
$0

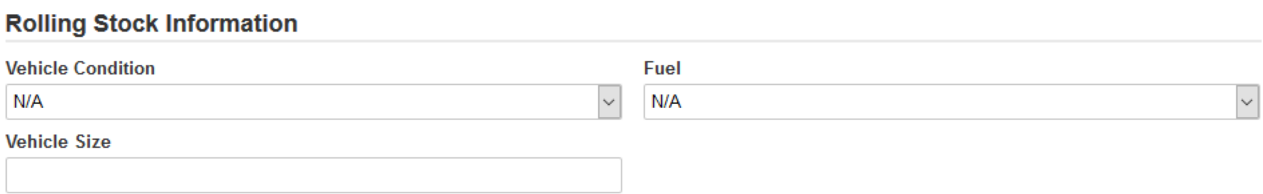
Revised Total Eligible Cost
$50,000

7) Update the 'Rolling Stock Information' section as needed:

   a) Select a vehicle condition from the drop-down menu provided under the 'Vehicle Condition' field.

   b) Enter a vehicle size into the 'Vehicle Size' field.

   c) Select the vehicle's fuel type from the drop-down menu provided under the 'Fuel' field.




**Note:** The 'Rolling Stock Information' section is only shown when a rolling stock line item in the project has been selected.

8) The 'Milestones' section will be read-only if an existing line item is selected. Update the 'Milestones' section if you have selected a new ALI that was added to the budget revision. Refer to *Error! Reference source not found.* if further instructions on milestones are needed.

9) Once you have completed all the sections related to the selected ALI from the grid, you will have the following options:

   a) Click on the 'Save Line Item' button to save all information for the selected ALI and return to the 'Project | Manage Budget Activity Line Items and Milestones' form, or

   b) Click on the 'Delete Line Item' button to delete the selected ALI from the project. This button is replaced by the 'Zero Out Line Item' button if the selected ALI is from the original award. Or,

   c) Click on the 'Cancel' button to exit out of the form without saving changes for the selected ALI. You will be returned to the 'Related Actions' menu.

10) Repeat previous steps to update the remaining ALIs in the grid. The status for each ALI will change from 'In-Progress' to 'Complete.' The status of 'Complete' is required for all ALIs on the project in order to validate and mark the project as ready for FTA review.

### 7.3.4 Transmit and Submit Amendment

The amendment transmission and submission processes for an amendment are the same as for an original award. Refer to ***Application Overview and Development*** section for instructions on how to transmit an amendment to FTA for initial review and how to accept the submission task to formally submit an amendment for final review.

### 7.3.5 Amendment Execution

Once FTA has completed all reviews and awarded the amendment, the recipient's Official user will have to execute the award agreement for the amendment. Refer to ***Task: Execute Award*** section for details on this process.

## 7.4 Administrative Amendments

While FTA staff cannot create an amendment, the FTA Regional Post-Award Manager may however initiate an 'Administrative amendments' on awards. When an administrative Amendment has been initiated by FTA, recipients will receive a task when it is time to execute the amendment.

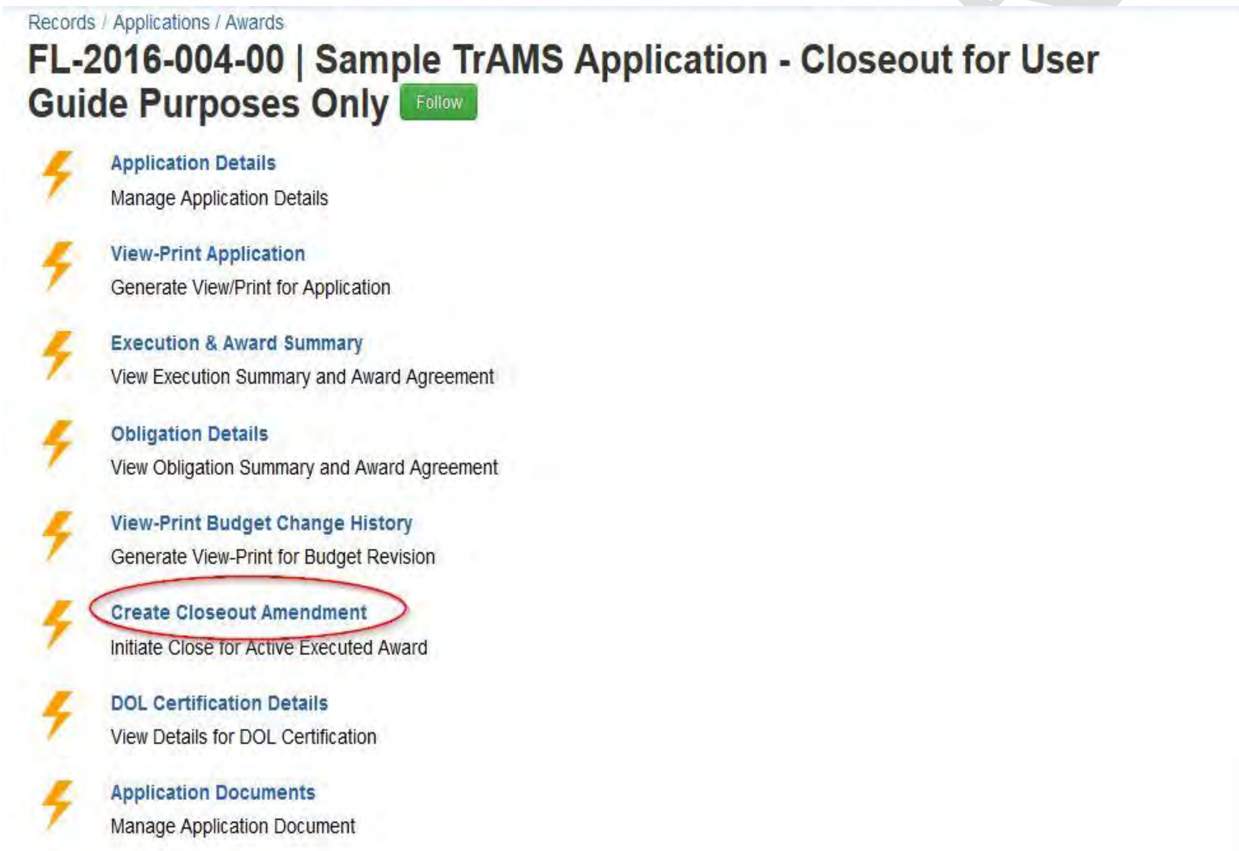
## 7.5 Closeout Amendment

Award closeout is the term used to signify the process which completes an award after all activities for an award have been completed or all federal funds necessary to complete the project have been expended. Either the recipient or FTA may initiate closeout of an award. All closeout documentation must be submitted within 90 days of the completion of all activities in the award.

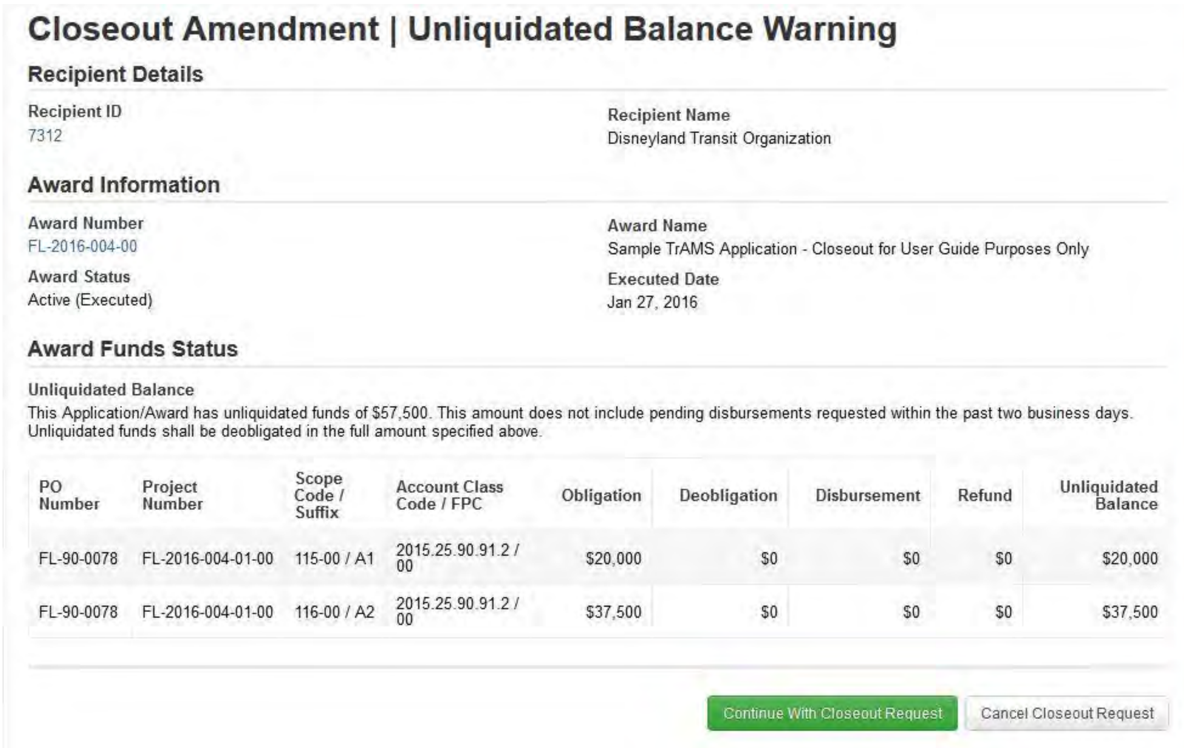
### 7.5.1 Related Action: Create Closeout Amendment

**Note:** Only the Recipient Submitter or Developer role will be able to access this related action. Ensure that the record has an application status of 'Active (Executed)'.

1) Click 'Create Closeout Amendment'.



2) The 'Unliquidated Balance Warning' form will be displayed if there are any unliquidated balances on the application's existing account class codes (ACCs).



**Closeout Amendment | Unliquidated Balance Warning**

**Recipient Details**

Recipient ID
7312

Recipient Name
Disneyland Transit Organization

**Award Information**

Award Number
FL-2016-004-00

Award Name
Sample TrAMS Application - Closeout for User Guide Purposes Only

Award Status
Active (Executed)

Executed Date
Jan 27, 2016

**Award Funds Status**

Unliquidated Balance
This Application/Award has unliquidated funds of $57,500. This amount does not include pending disbursements requested within the past two business days. Unliquidated funds shall be deobligated in the full amount specified above.

| PO Number | Project Number | Scope Code / Suffix | Account Class Code / FPC | Obligation | Deobligation | Disbursement | Refund | Unliquidated Balance |
|---|---|---|---|---|---|---|---|---|
| FL-90-0078 | FL-2016-004-01-00 | 115-00 / A1 | 2015.25.90.91.2 / 00 | $20,000 | $0 | $0 | $0 | $20,000 |
| FL-90-0078 | FL-2016-004-01-00 | 116-00 / A2 | 2015.25.90.91.2 / 00 | $37,500 | $0 | $0 | $0 | $37,500 |

Continue With Closeout Request | Cancel Closeout Request

3) You may click the 'Continue with Closeout Request' button to proceed with the closeout and the deobligation of the unliquidated balances on the award or the 'Cancel Closeout Request' button to return to the 'Related Actions' menu without closing the award.

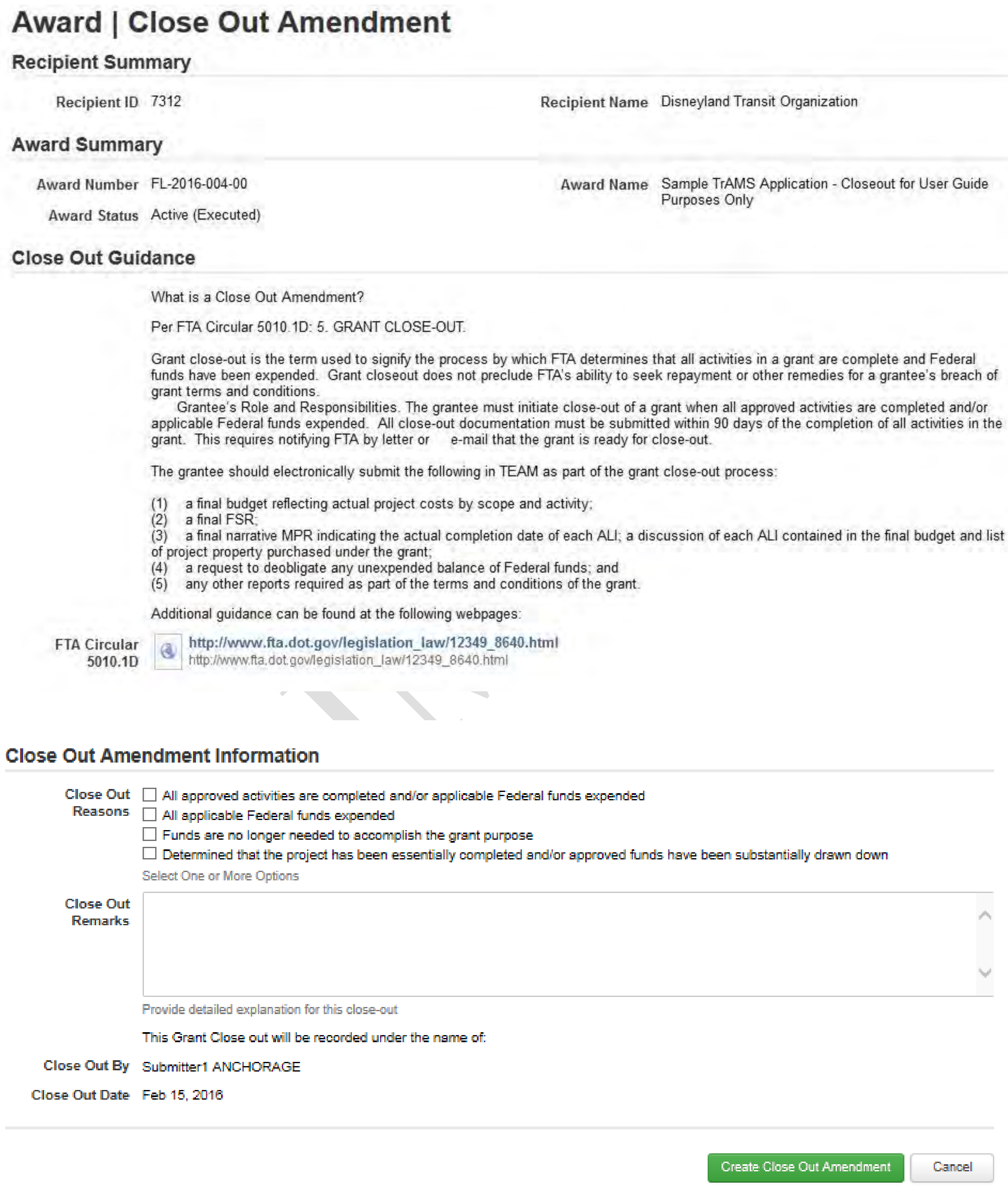
4) The 'Closeout Amendment' form will be displayed. Complete the following under the 'Closeout Amendment Information' section:

   a) Select the appropriate check box(es) under the 'Closeout Reasons' section. At least one closeout reason must be provided.

   b) An error message will be presented if no 'Closeout Reasons' are selected


   c) Enter a comment into the 'Closeout Remarks' field.

d) Click the ‘Create Closeout Amendment’ button.



# Award | Close Out Amendment

## Recipient Summary

Recipient ID 7312

Recipient Name Disneyland Transit Organization

## Award Summary

Award Number FL-2016-004-00

Award Status Active (Executed)

Award Name Sample TrAMS Application - Closeout for User Guide Purposes Only

## Close Out Guidance

What is a Close Out Amendment?

Per FTA Circular 5010.1D: 5. GRANT CLOSE-OUT.

Grant close-out is the term used to signify the process by which FTA determines that all activities in a grant are complete and Federal funds have been expended. Grant closeout does not preclude FTA's ability to seek repayment or other remedies for a grantee's breach of grant terms and conditions.
Grantee's Role and Responsibilities. The grantee must initiate close-out of a grant when all approved activities are completed and/or applicable Federal funds expended. All close-out documentation must be submitted within 90 days of the completion of all activities in the grant. This requires notifying FTA by letter or e-mail that the grant is ready for close-out.

The grantee should electronically submit the following in TEAM as part of the grant close-out process:

(1) a final budget reflecting actual project costs by scope and activity;
(2) a final FSR;
(3) a final narrative MPR indicating the actual completion date of each ALI; a discussion of each ALI contained in the final budget and list of project property purchased under the grant;
(4) a request to deobligate any unexpended balance of Federal funds; and
(5) any other reports required as part of the terms and conditions of the grant.

Additional guidance can be found at the following webpages:

FTA Circular 5010.1D http://www.fta.dot.gov/legislation_law/12349_8640.html
http://www.fta.dot.gov/legislation_law/12349_8640.html

## Close Out Amendment Information

Close Out Reasons
- ☐ All approved activities are completed and/or applicable Federal funds expended
- ☐ All applicable Federal funds expended
- ☐ Funds are no longer needed to accomplish the grant purpose
- ☐ Determined that the project has been essentially completed and/or approved funds have been substantially drawn down

Select One or More Options

Close Out Remarks

Provide detailed explanation for this close-out

This Grant Close out will be recorded under the name of:

Close Out By Submitter1 ANCHORAGE

Close Out Date Feb 15, 2016

Create Close Out Amendment | Cancel

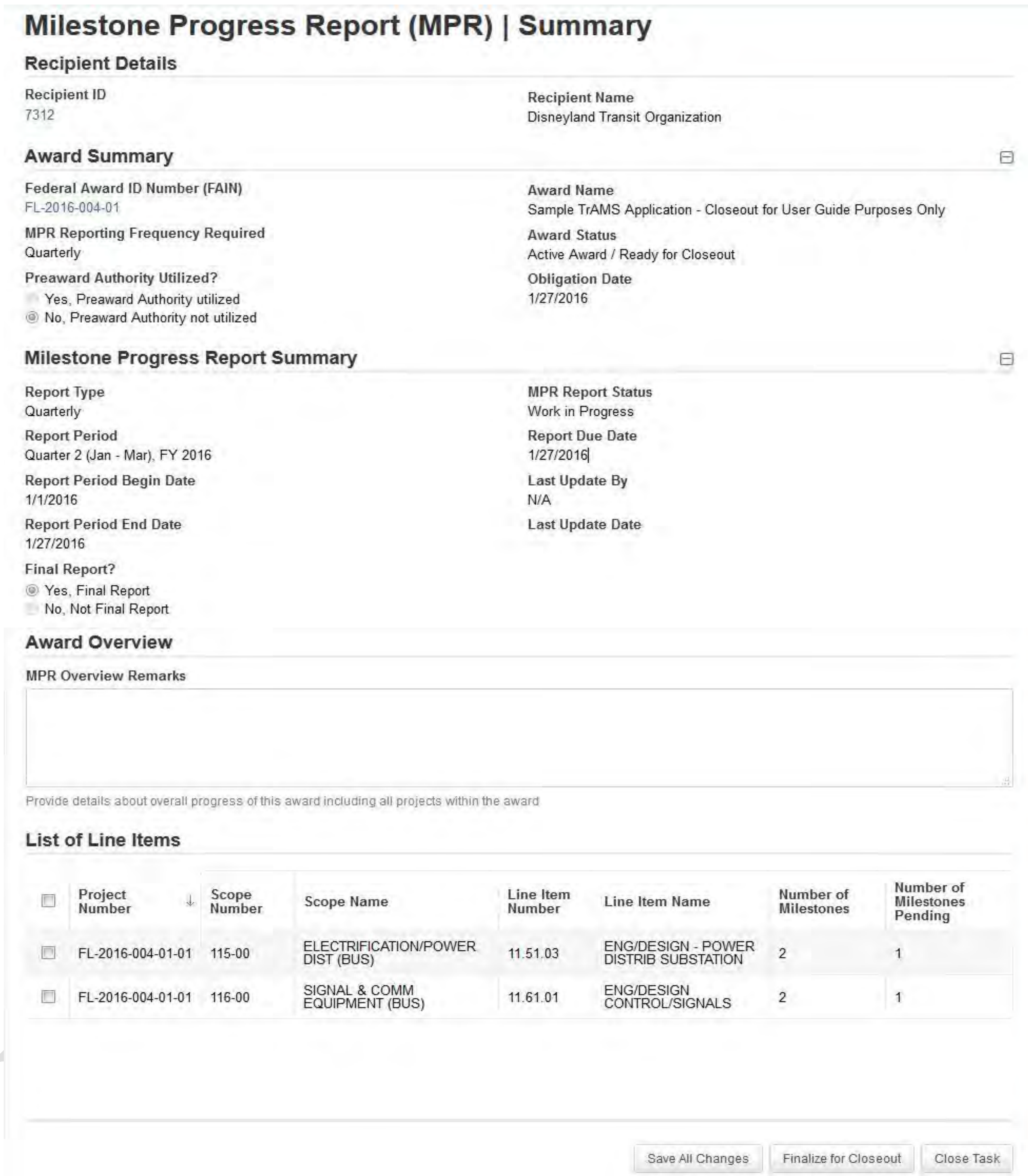
The 'Closeout Created' form will be displayed with the following confirmation message: "A new closeout amendment for Federal Award ID Number [FAIN #] has been created." It will provide an active new amendment record link to the closeout amendment.


### 7.5.2 Complete and Submit Final MPR

Before submitting a Closeout Amendment for approval, you must submit a Final Milestone Progress Report (MPR) to FTA. The Final MPR is assigned as a task to users with the 'MPR Reporter' role as soon as the closeout amendment is created.

1) After the 'MPR Reporter' successfully logs on, the number of pending tasks will be indicated next to the 'Tasks' tab.
2) Select the 'Complete Final Milestone Progress Report' task for the application.


3) The 'Summary' form will be displayed.



# Milestone Progress Report (MPR) | Summary

## Recipient Details

**Recipient ID**
7312

**Recipient Name**
Disneyland Transit Organization

## Award Summary

**Federal Award ID Number (FAIN)**
FL-2016-004-01

**Award Name**
Sample TrAMS Application - Closeout for User Guide Purposes Only

**MPR Reporting Frequency Required**
Quarterly

**Award Status**
Active Award / Ready for Closeout

**Preaward Authority Utilized?**
Yes, Preaward Authority utilized
No, Preaward Authority not utilized

**Obligation Date**
1/27/2016

## Milestone Progress Report Summary

**Report Type**
Quarterly

**MPR Report Status**
Work in Progress

**Report Period**
Quarter 2 (Jan - Mar), FY 2016

**Report Due Date**
1/27/2016

**Report Period Begin Date**
1/1/2016

**Last Update By**
N/A

**Report Period End Date**
1/27/2016

**Last Update Date**

**Final Report?**
Yes, Final Report
No, Not Final Report

## Award Overview

**MPR Overview Remarks**

Provide details about overall progress of this award including all projects within the award

## List of Line Items

| | Project Number | Scope Number | Scope Name | Line Item Number | Line Item Name | Number of Milestones | Number of Milestones Pending |
|---|---|---|---|---|---|---|---|
| | FL-2016-004-01-01 | 115-00 | ELECTRIFICATION/POWER DIST (BUS) | 11.51.03 | ENG/DESIGN - POWER DISTRIB SUBSTATION | 2 | 1 |
| | FL-2016-004-01-01 | 116-00 | SIGNAL & COMM EQUIPMENT (BUS) | 11.61.01 | ENG/DESIGN CONTROL/SIGNALS | 2 | 1 |

Save All Changes | Finalize for Closeout | Close Task

4) At any point, you may click the ‘Close Task’ button to return to the ‘Tasks’ tab without saving any changes and retain the task.

5) Enter comments into the ‘MPR Overview Remarks’ field to provide details about overall progress of the award to include all projects. Note that this is a required field.

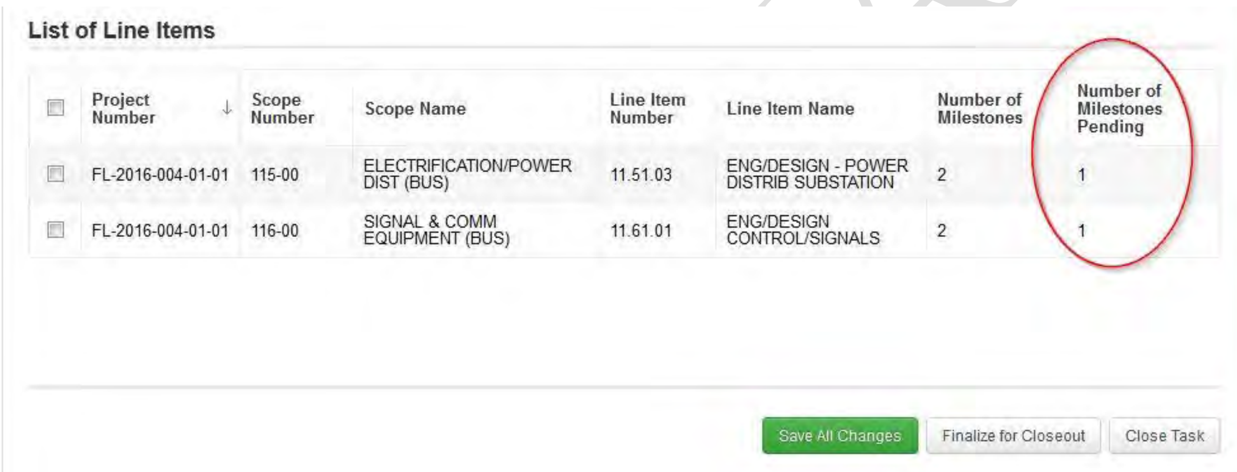

Award Overview

MPR Overview Remarks

The MPR Overview Remarks are mandatory and must be entered here

Provide details about overall progress of this award including all projects within the award

6) Verify all line items displayed under the ‘List of Line Items’ grid. Any value greater than zero under the ‘Number of Milestones Pending’ column indicates pending milestone(s) that must be provided with an appropriate ‘Actual Completion Date’ or ‘Revised Estimated Completion Date’ in their appropriate field.

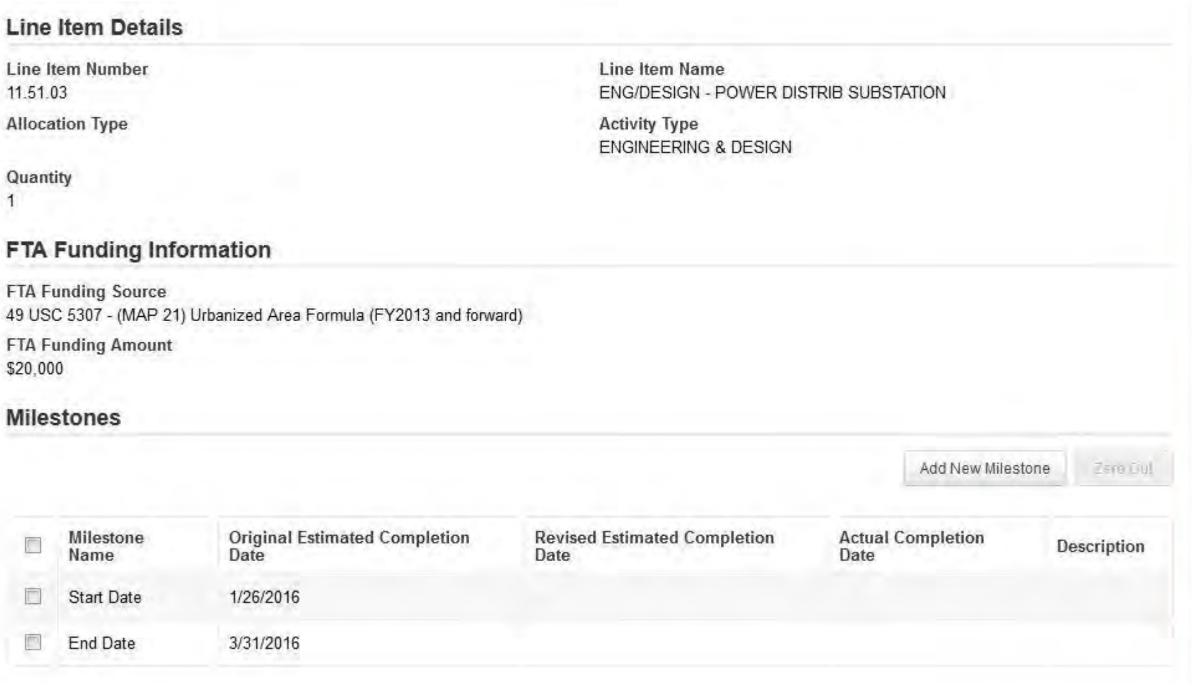

List of Line Items

| | Project Number | Scope Number | Scope Name | Line Item Number | Line Item Name | Number of Milestones | Number of Milestones Pending |
|---|---|---|---|---|---|---|---|
| | FL-2016-004-01-01 | 115-00 | ELECTRIFICATION/POWER DIST (BUS) | 11.51.03 | ENG/DESIGN - POWER DISTRIB SUBSTATION | 2 | 1 |
| | FL-2016-004-01-01 | 116-00 | SIGNAL & COMM EQUIPMENT (BUS) | 11.61.01 | ENG/DESIGN CONTROL/SIGNALS | 2 | 1 |

Save All Changes | Finalize for Closeout | Close Task

7) A milestone with an ‘Original Estimated Completion Date’ that has expired requires an ‘Actual Completion Date’ which indicates that the milestone was successfully achieved before or on the date shown in the ‘Report Period End Date’ field, or a ‘Revised Estimated Completion Date’ which is projected past the ‘Report Period End Date’ indicating that it will be reached in the future.

8) Select the check box for a line item with a pending milestone. The form will expand to display the ‘Line Item Details,’ ‘FTA Funding Information,’ and ‘Milestones’ sections.



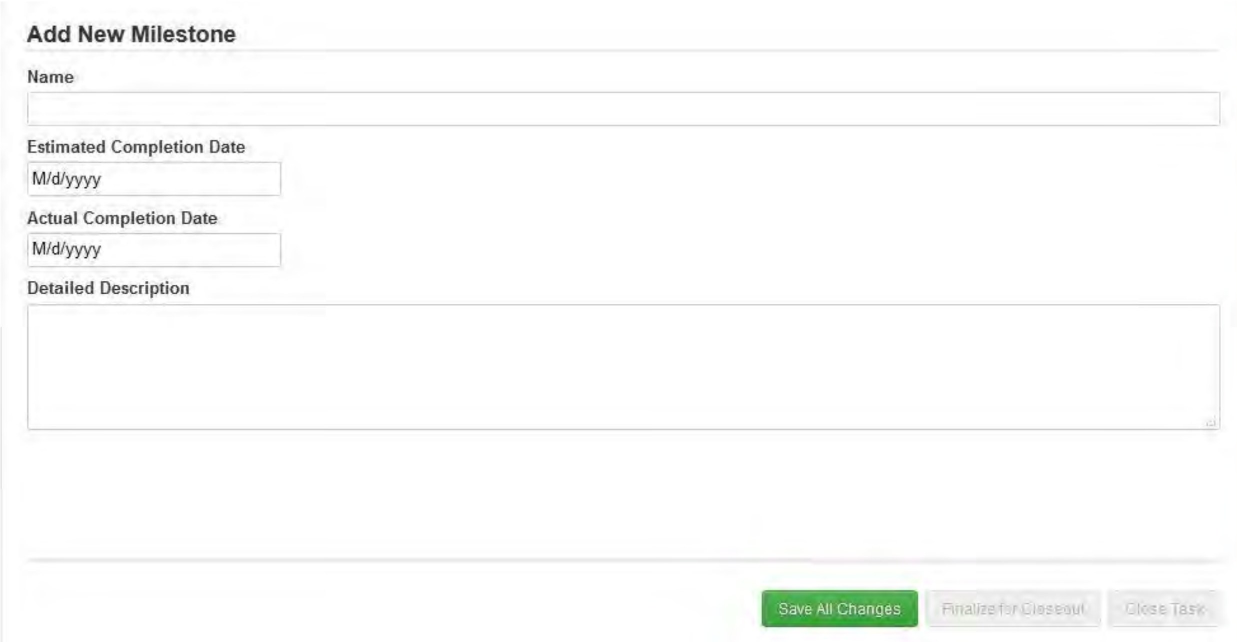

9) If you wish to add a new milestone to the project, click the ‘Add New Milestone’ button. The form will expand further to display the ‘Add New Milestone’ section:

a) Enter a name for the milestone into the ‘Name’ field.

b) Click in either the ‘Revised Estimated Completion Date’ or ‘Actual Completion Date’ field to enter a date or display the date picker to select a date from. You may select only one type of date.

c) Enter a comment about the milestone into the ‘Milestone Progress Comments’ field. This is a required field.

d) Click the ‘Save All Changes’ button after you have completed entering information in all fields. You will be returned to the ‘Milestones’ grid.

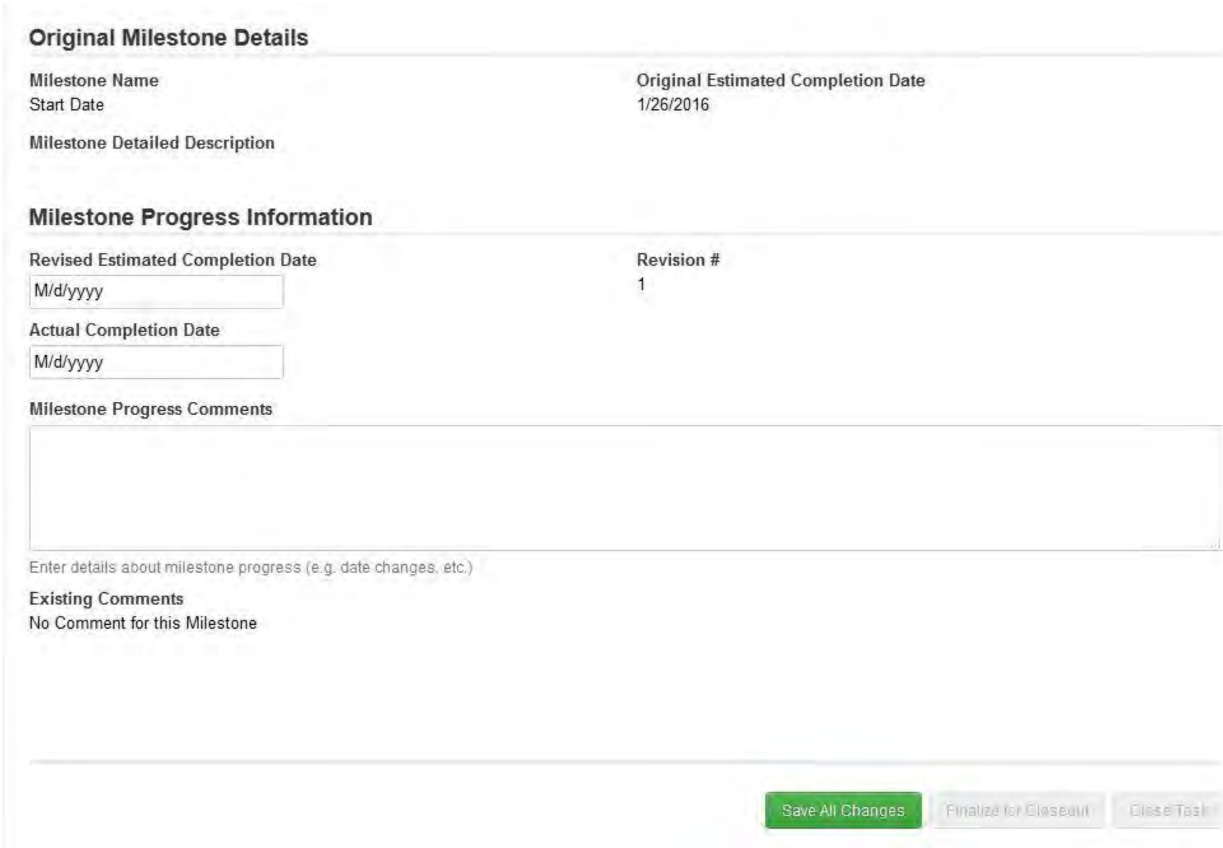



10) Select the check box for a pending milestone. The form will expand again to display the ‘Original Milestone Details’ and ‘Milestone Progress Information’ sections.

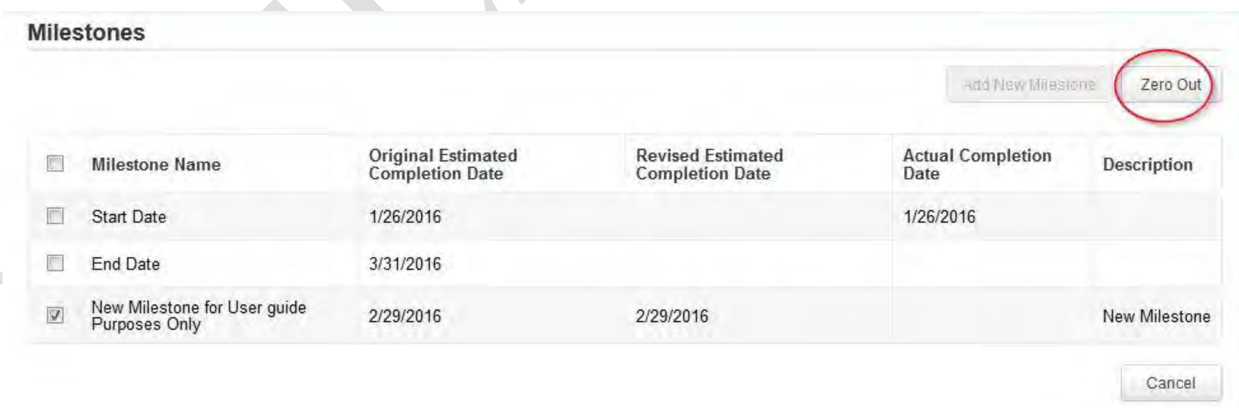
   a) Click in either the ‘Revised Estimated Completion Date’ or ‘Actual Completion Date’ field to enter a date or display the date picker to select a date from. You may select only one type of date.

   b) Enter comments into the ‘Milestone Progress Comments’ field to provide details about milestone progress. This is a required field

   c) Click the ‘Save All Changes’ button after you have completed entering all dates. The form will collapse the ‘Milestone Details’ section and the value under the ‘Number of Milestones Pending’ column will update accordingly.

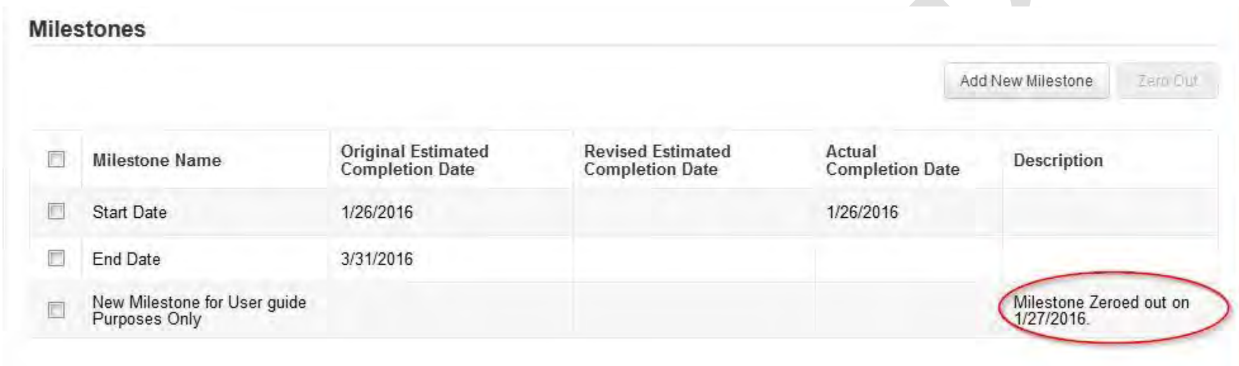



11) If you wish to remove all details previously entered for a milestone, select the check box for the milestone and then click the ‘Zero Out’ button.




12) The system will prompt you with the following message: “Are you sure that you want to zero out this milestone?”


13) Click the ‘Yes’ button if you wish to proceed with zeroing out all dates and information for the selected milestone. A new message will be displayed under the milestone’s ‘Description’ column: “Milestone Zeroed out on [date zero out performed].”




14) Repeat the previous step until all line items display a ‘0’ under the ‘Number of Milestones Pending’ column. The system will not allow you to proceed to MPR submission should any pending milestones remain.

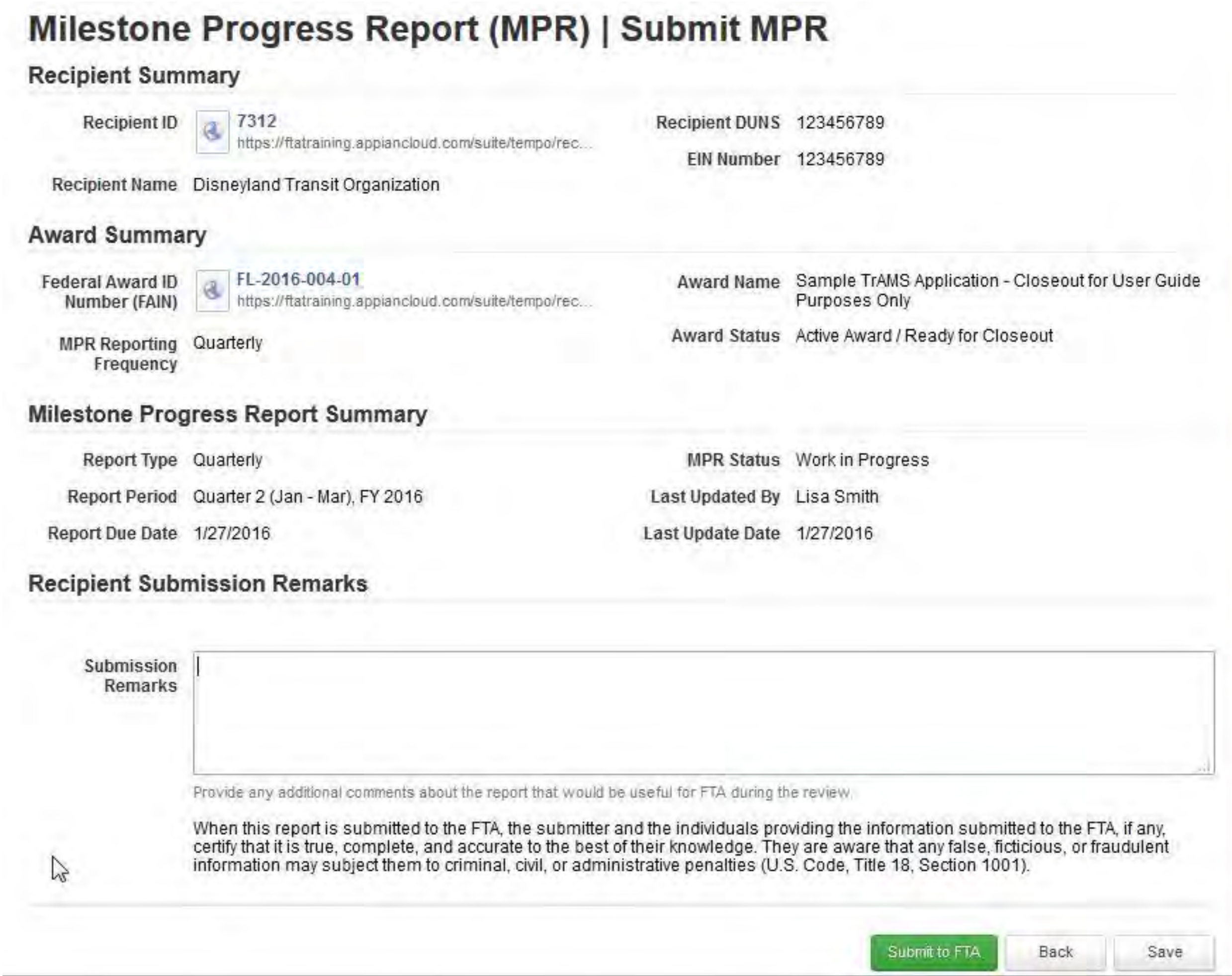
15) Once you have finished entering dates for pending milestones, click the ‘Finalize for Closeout’ button.

16) The ‘Submit MPR’ form will be displayed.

   a) Use the ‘Back’ button if you wish to return to the previous form.

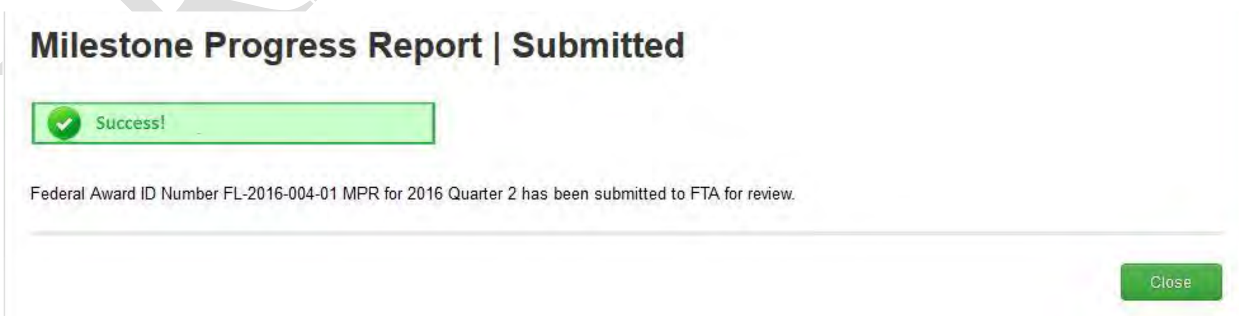
   b) The ‘Save’ button can be used to save the comments entered into the ‘Submission Remarks’ field.

   c) Enter any comments for FTA into the ‘Submission Remarks’ field and then click the ‘Submit to FTA’ button to proceed.




17) The ‘Submitted’ form will be displayed with the following confirmation message: “Federal Award ID Number [FAIN #] MPR for [FY] [Report Frequency] has been submitted to FTA for review.”

18) Click the ‘Close’ button. The system returns you to the ‘Tasks’ tab and the task link will now be removed from the task list.



### 7.5.3 Complete and Submit Final FFR

Before submitting a Closeout Amendment for approval, you must submit a Final Federal Financial Report (FFR) to FTA. The Final FFR is assigned as a task to users with the 'FFR Reporter' role as soon as the closeout amendment is created.

1) After the 'FFR Reporter' successfully logs on, the number of pending tasks will be indicated next to the 'Tasks' tab.
2) Select the 'Complete Final Federal Financial Report' task for the application.


3) The 'Input FFR Values' form will be displayed.
4) At any point, you may click the 'Close Task' button on this form to return to the 'Tasks' tab without saving any changes and retain the task.

**Federal Financial Report (FFR) | Input FFR Values**

**Recipient Summary**

Recipient ID: 7312
Recipient Name: Disneyland Transit Organization
Recipient DUNS: 123456789
EIN Number: 123456789

**Award Summary**

Federal Award ID Number (FAIN): FL-2016-004-01
FFR Reporting Frequency Required: Quarterly
Preaward Authority: Yes, Preaward Authority utilized / No, Preaward Authority not utilized
Award Name: Sample TrAMS Application - Closeout for User Guide Purposes Only
Award Status: Active Award / Ready for Closeout
Obligated Date: 1/27/2016

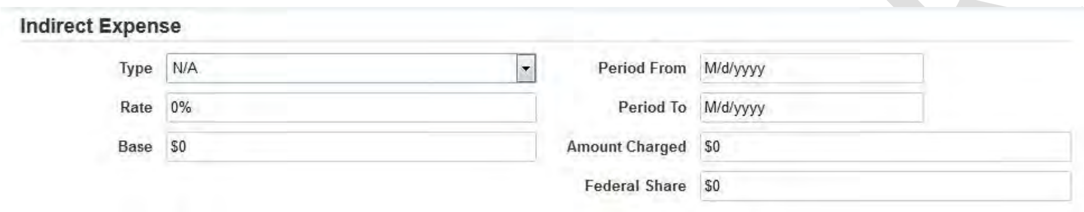
**Federal Financial Report Summary**

Report Type: Quarterly
Report Period: Quarter 2 (Jan - Mar), FY 2016
Report Due Date: 1/27/2016
Final Report?: Yes, Final Report / No, Not Final Report
Report Period Begin Date: 1/27/2016
Report Period End Date: 1/27/2016

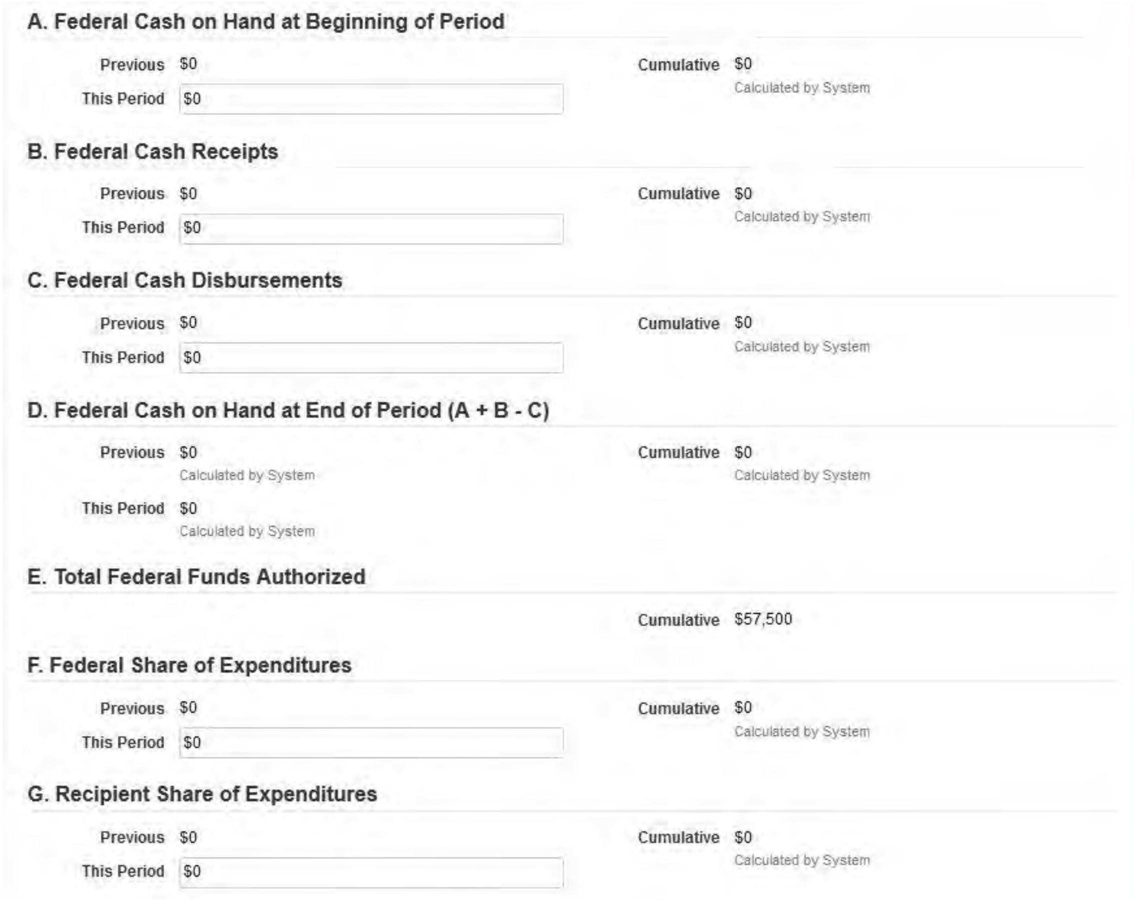
**Status Log**

| Status | Updated Date | Updated By |
|---|---|---|
| Work in Progress | 1/27/2016 | appian.administrator |

5) Complete any fields as needed under the 'Indirect Expense' section.
   a) Select an indirect expense type using the drop-down menu provided under the 'Type' field.
   b) Enter a rate into the 'Rate' field. Note that this is a percent value.
   c) Enter a dollar value into the 'Base' field.
   d) Click in the 'Period From' and 'Period To' fields to enter dates or display the date picker to select dates from.
   e) Enter a dollar value into the 'Amount Charged' field.
   f) Enter a dollar value into the 'Federal Share' field.




6) You will be able to enter dollar values into the 'This Period' fields for the following sections on the form:
   a) 'A. Federal Cash on hand at Beginning of Period'
   b) 'B. Federal Cash Receipts'
   c) 'C. Federal Cash Disbursements'
   d) 'F. Federal Share of Expenditures'
   e) 'G. Recipient Share of Expenditures'



**A. Federal Cash on Hand at Beginning of Period**

Previous $0 | Cumulative $0 Calculated by System
This Period $0

**B. Federal Cash Receipts**

Previous $0 | Cumulative $0 Calculated by System
This Period $0

**C. Federal Cash Disbursements**

Previous $0 | Cumulative $0 Calculated by System
This Period $0

**D. Federal Cash on Hand at End of Period (A + B - C)**

Previous $0 Calculated by System | Cumulative $0 Calculated by System
This Period $0 Calculated by System

**E. Total Federal Funds Authorized**

Cumulative $57,500

**F. Federal Share of Expenditures**

Previous $0 | Cumulative $0 Calculated by System
This Period $0

**G. Recipient Share of Expenditures**

Previous $0 | Cumulative $0 Calculated by System
This Period $0

7) You will also be able to enter dollar values into the 'Amount' fields for the following sections on the form:

   a) 'I. Federal Share of Unliquidated Obligations'

   b) 'J. Recipient Share of Unliquidated Obligations'

**I. Federal Share of Unliquidated Obligations**

Amount $0

**J. Recipient Share of Unliquidated Obligations**

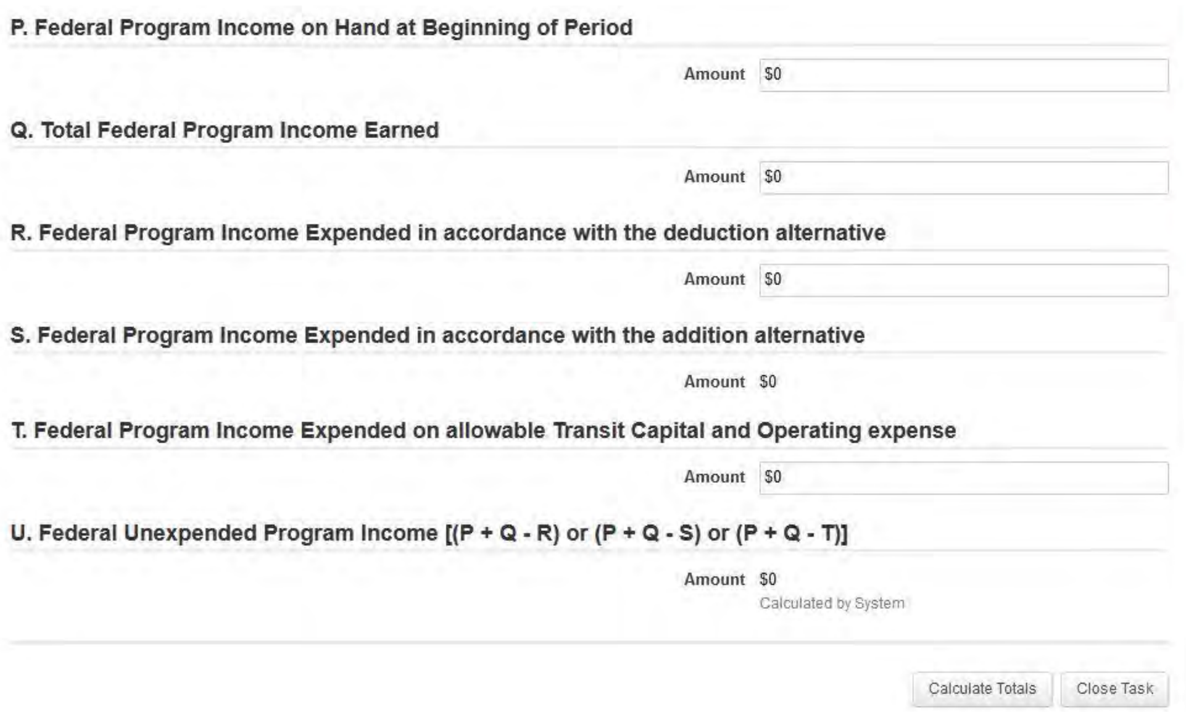
Amount $0

   c) 'P. Federal Program Income on Hand at Beginning of Period'

   d) 'Q. Total Federal Program Income Earned'

   e) 'R. Federal Program income expended in accordance with the deduction alternative'

   f) 'T. Federal Program income expended on allowable transit Capital and Operating expense'



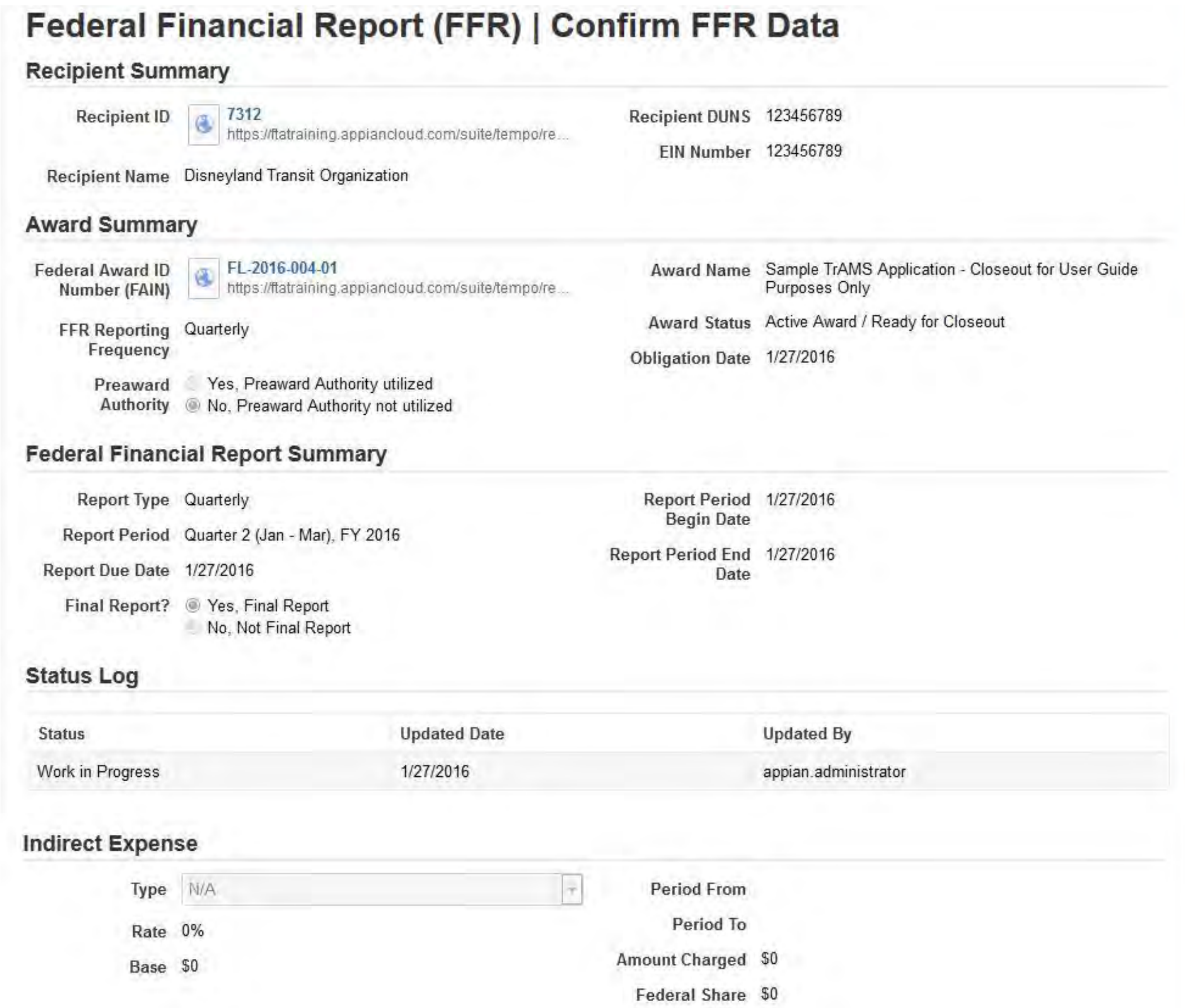

8) All other remaining fields will be calculated automatically by the system.

**Note:** To avoid system validation errors while entering dollar values into the ‘This Period’ and ‘Amount’ fields, you must keep the following rules in mind for the FFR:

- The sum of the value displayed under the ‘Cumulative’ field in ‘G. Recipient Share of Expenditures’ and the value provided for ‘J. Recipient Share of Unliquidated Obligations’ must be less than or equal to the value displayed for ‘N. Total Recipient Share Required.’
- You cannot input values in both ‘R. Federal Program income expended in accordance with the deduction alternative’ and ‘T. Federal Program income expended on allowable transit Capital and Operating expense.’ You will be allowed to enter a value for only one of these fields.
- Each of the separate values entered for ‘A. Federal Cash on hand at Beginning of Period,’ ‘B. Federal Cash Receipts,’ ‘C. Federal Cash Disbursements,’ ‘F. Federal Share of Expenditures,’ and ‘I. Federal Share of Unliquidated Obligations’ cannot be greater than ‘E. Total Federal Funds Authorized.’
- The calculated value of ‘D. Federal Cash on hand at End of Period (A + B - C)’ cannot be negative.
- The calculated value of ‘O. Remaining Recipient Share to be provided [N - (G + J)]’ cannot be negative.

9) Once you have completed entering all details, click the ‘Calculate Totals’ button.

10) The system will display the 'Confirm FFR Data' form. If you wish to return to the previous 'Input FFR Values' form to make changes, click on the 'Modify FFR Values' button.



# Federal Financial Report (FFR) | Confirm FFR Data

## Recipient Summary

Recipient ID: 7312 https://ftatraining.appiancloud.com/suite/tempo/re...

Recipient DUNS: 123456789

EIN Number: 123456789

Recipient Name: Disneyland Transit Organization

## Award Summary

Federal Award ID Number (FAIN): FL-2016-004-01 https://ftatraining.appiancloud.com/suite/tempo/re...

Award Name: Sample TrAMS Application - Closeout for User Guide Purposes Only

FFR Reporting Frequency: Quarterly

Award Status: Active Award / Ready for Closeout

Obligation Date: 1/27/2016

Preaward Authority: Yes, Preaward Authority utilized / No, Preaward Authority not utilized

## Federal Financial Report Summary

Report Type: Quarterly

Report Period Begin Date: 1/27/2016

Report Period: Quarter 2 (Jan - Mar), FY 2016

Report Period End Date: 1/27/2016

Report Due Date: 1/27/2016

Final Report?: Yes, Final Report / No, Not Final Report

## Status Log

| Status | Updated Date | Updated By |
|---|---|---|
| Work in Progress | 1/27/2016 | appian.administrator |

## Indirect Expense

Type: N/A

Period From

Period To

Rate: 0%

Amount Charged: $0

Base: $0

Federal Share: $0

11) Sections ‘A’ to ‘U’ will also be displayed with the data entered in the previous step.

**Financial Status**

| Transactions | Previous | Current | Cumulative |
|---|---|---|---|
| A. Federal Cash on Hand at Beginning of Period | $0 | $0 | $0 |
| B. Federal Cash Receipts | $0 | $0 | $0 |
| C. Federal Cash Disbursements | $0 | $0 | $0 |
| D. Federal Cash on Hand at End of Period (A + B - C) | $0 | $0 | $0 |
| E. Total Federal Funds Authorized | | | $57,500 |
| F. Federal Share of Expenditures | $0 | $0 | $0 |
| G. Recipient Share of Expenditures | $0 | $0 | $0 |
| H. Total Expenditures (F + G) | $0 | $0 | $0 |
| I. Federal Share of Unliquidated Obligations | | | $0 |
| J. Recipient Share of Unliquidated Obligations | | | $0 |
| K. Total Unliquidated Obligations (I + J) | | | $0 |
| L. Total Federal Share (F + I) | | | $0 |
| M. Unobligated Balance of Federal Funds (E - L) | | | $57,500 |
| N. Total Recipient Share Required | | | $17,500 |
| O. Remaining Recipient Share to be Provided [N - (G + J)] | | | $17,500 |
| P. Federal Program Income on Hand at Beginning of Period | | | $0 |
| Q. Total Federal Program Income Earned | | | $0 |
| R. Federal Program Income Expended in accordance with the deduction alternative | | | $0 |
| S. Federal Program Income Expended in accordance with the addition alternative | | | $0 |
| T. Federal Program Income Expended on allowable Transit Capital and Operating expenses | | | $0 |
| U. Federal Unexpended Program Income [(P + Q - R) or (P + Q - S) or (P + Q - T)] | | | $0 |

1-21 of 21

Finalize for Closeout | Modify FFR Values | Close Task

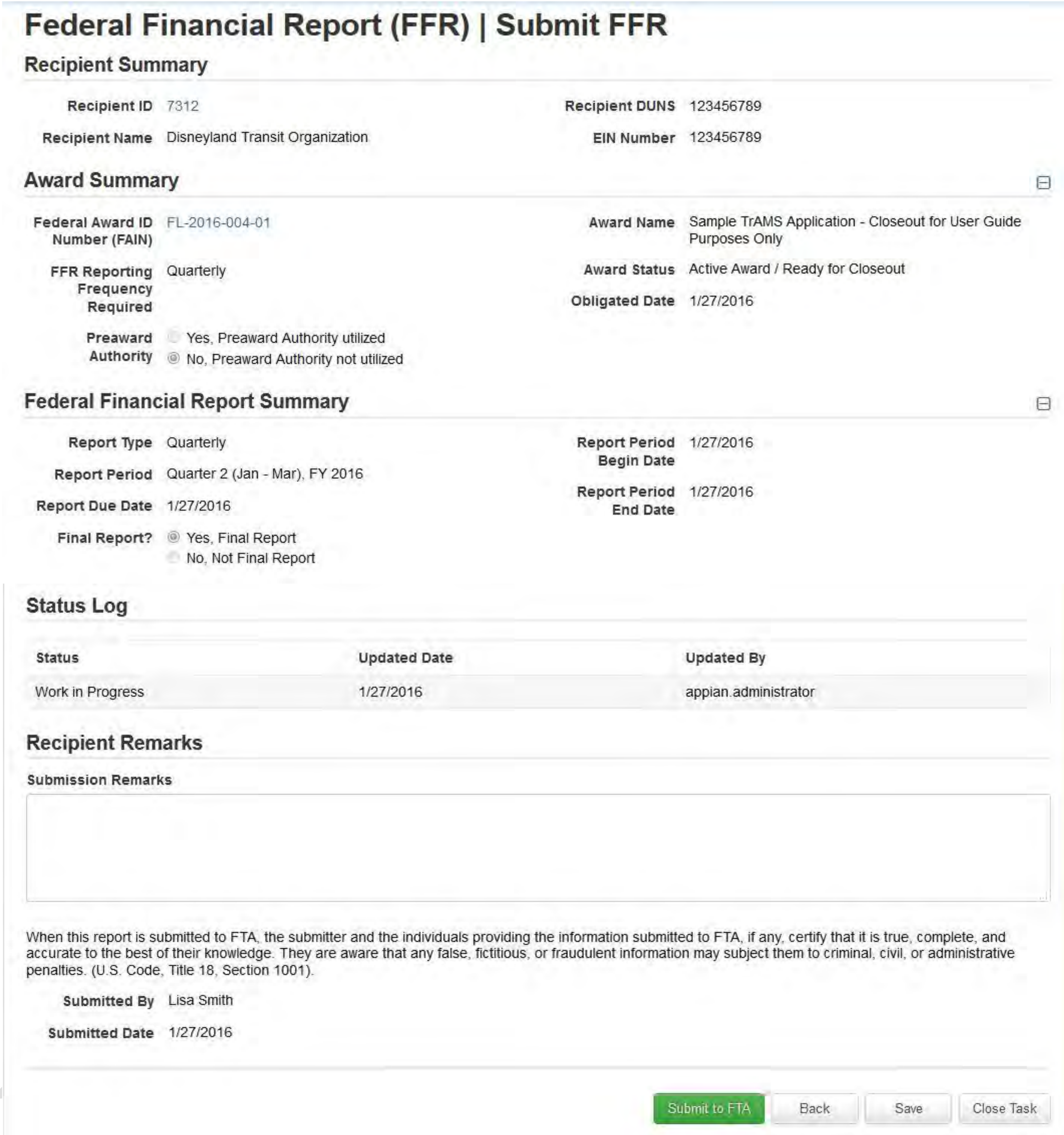
12) Once you have finished entering information for the FFR, click the ‘Finalize for Closeout’ button.

13) The ‘Submit FFR’ form will be displayed.

   a) Use the ‘Back’ button if you wish to return to the previous form.

   b) The ‘Save’ button can be used to save the comments entered into the ‘Submission Remarks’ field. This is a required field.

   c) Enter any comments for FTA into the ‘Submission Remarks’ field and then click the ‘Submit to FTA’ button to proceed.



# Federal Financial Report (FFR) | Submit FFR

## Recipient Summary

| | | | |
|---|---|---|---|
| Recipient ID | 7312 | Recipient DUNS | 123456789 |
| Recipient Name | Disneyland Transit Organization | EIN Number | 123456789 |

## Award Summary

| | | | |
|---|---|---|---|
| Federal Award ID Number (FAIN) | FL-2016-004-01 | Award Name | Sample TrAMS Application - Closeout for User Guide Purposes Only |
| FFR Reporting Frequency Required | Quarterly | Award Status | Active Award / Ready for Closeout |
| | | Obligated Date | 1/27/2016 |
| Preaward Authority | Yes, Preaward Authority utilized<br>No, Preaward Authority not utilized | | |

## Federal Financial Report Summary

| | | | |
|---|---|---|---|
| Report Type | Quarterly | Report Period Begin Date | 1/27/2016 |
| Report Period | Quarter 2 (Jan - Mar), FY 2016 | Report Period End Date | 1/27/2016 |
| Report Due Date | 1/27/2016 | | |
| Final Report? | Yes, Final Report<br>No, Not Final Report | | |

## Status Log

| Status | Updated Date | Updated By |
|---|---|---|
| Work in Progress | 1/27/2016 | appian.administrator |

## Recipient Remarks

Submission Remarks

When this report is submitted to FTA, the submitter and the individuals providing the information submitted to FTA, if any, certify that it is true, complete, and accurate to the best of their knowledge. They are aware that any false, fictitious, or fraudulent information may subject them to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001).

| | |
|---|---|
| Submitted By | Lisa Smith |
| Submitted Date | 1/27/2016 |

Submit to FTA | Back | Save | Close Task

14) The ‘Submitted’ form will be displayed with the following confirmation message: “Federal Award ID Number [FAIN #] FFR for [FY] [Report Frequency] has been submitted to FTA.”

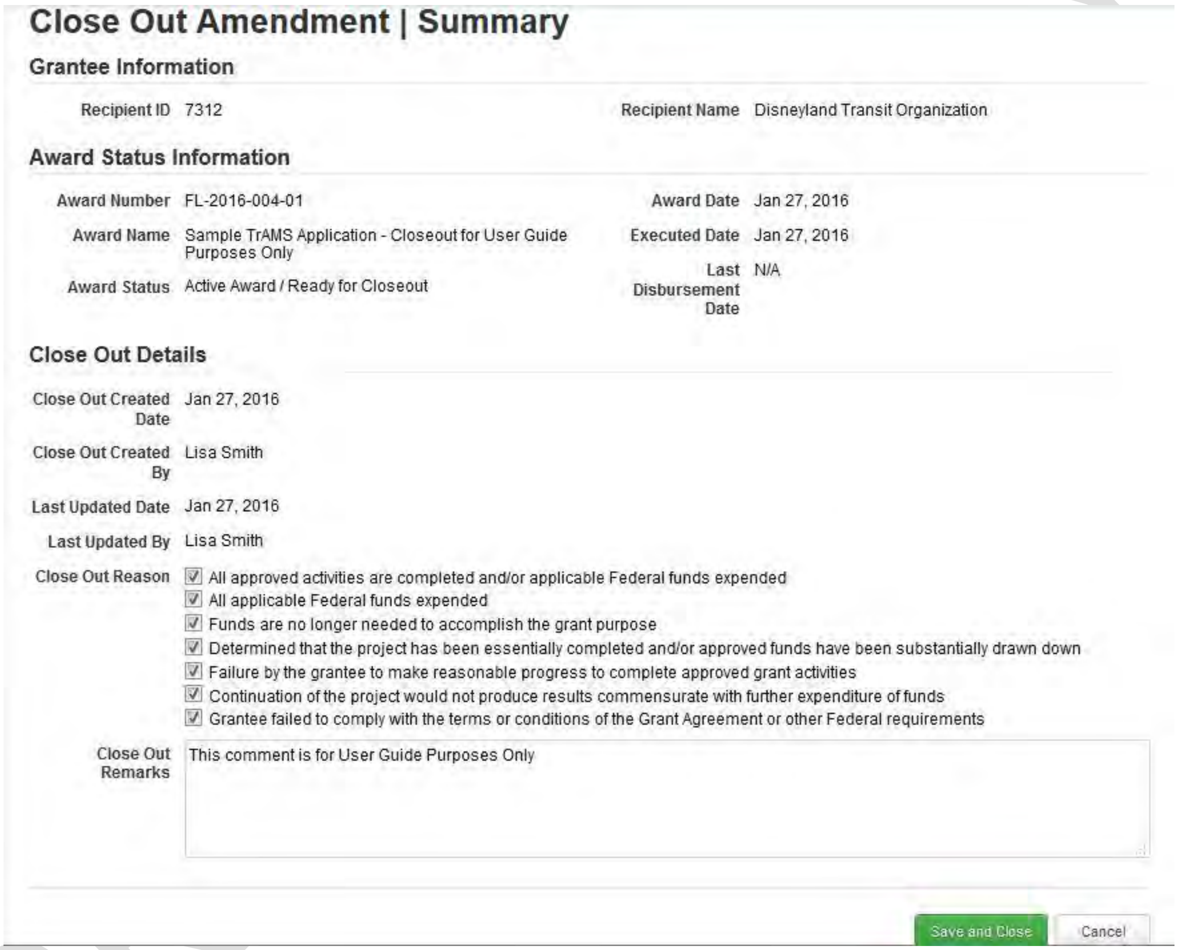
15) Click the ‘Close’ button. The system returns you to the ‘Tasks’ tab and the task link will now be removed from the task list.


### 7.5.4 Related Action: Closeout Details

To view and edit closeout details for a closeout amendment:

1) Click 'Closeout Details'.

2) The ‘Summary’ form will be displayed. Complete the following under the ‘Closeout Details’ section:
   a) Select the appropriate check box(es) under the ‘Closeout Reasons’ section.
   b) Enter a comment into the ‘Closeout Remarks’ field.
3) At any point, you may click the ‘Cancel’ button to return to the ‘Related Actions’ menu without saving any changes.
4) Click the ‘Save and Close’ button to save all changes and return to the ‘Related Actions’ menu.



## Close Out Amendment | Summary

### Grantee Information

Recipient ID: 7312
Recipient Name: Disneyland Transit Organization

### Award Status Information

Award Number: FL-2016-004-01
Award Date: Jan 27, 2016
Award Name: Sample TrAMS Application - Closeout for User Guide Purposes Only
Executed Date: Jan 27, 2016
Award Status: Active Award / Ready for Closeout
Last Disbursement Date: N/A

### Close Out Details

Close Out Created Date: Jan 27, 2016
Close Out Created By: Lisa Smith
Last Updated Date: Jan 27, 2016
Last Updated By: Lisa Smith
Close Out Reason:
- [x] All approved activities are completed and/or applicable Federal funds expended
- [x] All applicable Federal funds expended
- [x] Funds are no longer needed to accomplish the grant purpose
- [x] Determined that the project has been essentially completed and/or approved funds have been substantially drawn down
- [x] Failure by the grantee to make reasonable progress to complete approved grant activities
- [x] Continuation of the project would not produce results commensurate with further expenditure of funds
- [x] Grantee failed to comply with the terms or conditions of the Grant Agreement or other Federal requirements

Close Out Remarks: This comment is for User Guide Purposes Only

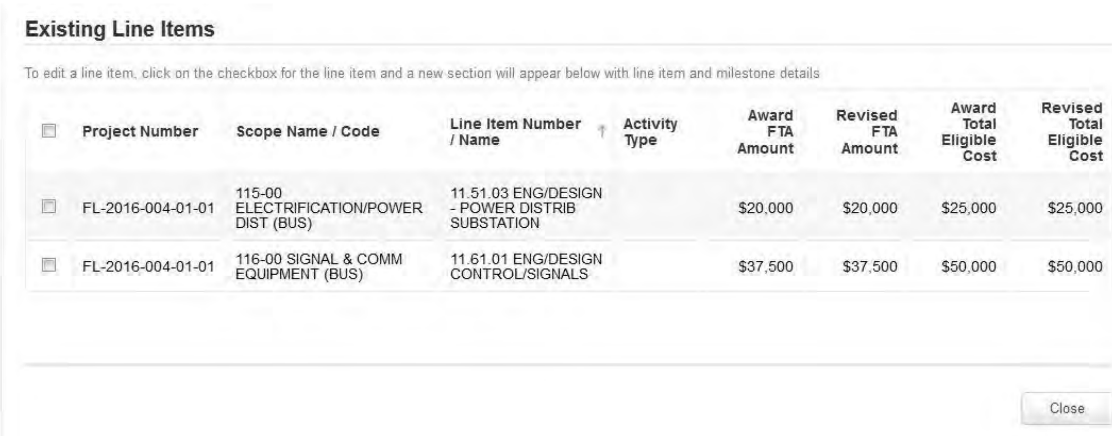
Save and Close | Cancel

### 7.5.5 Related Action: Closeout Budget Reconciliation

Before submitting a closeout amendment for approval, the recipient should reconcile the final award budget and modify budget activity line item (ALI) amounts accordingly. This is done via the 'Closeout Budget Reconciliation' Related Action on the Application Record.

1) Click 'Closeout Budget Reconciliation'.


2) The 'Closeout Budget Reconciliation' form will be displayed. The ALIs associated to the project are listed and displayed in grid format under the 'Existing Line Items' section.
3) At any point, you may click the 'Close' button to return to the 'Related Actions' menu without saving any changes.





| | Project Number | Scope Name / Code | Line Item Number / Name | Activity Type | Award FTA Amount | Revised FTA Amount | Award Total Eligible Cost | Revised Total Eligible Cost |
|---|---|---|---|---|---|---|---|---|
| ☐ | FL-2016-004-01-01 | 115-00 ELECTRIFICATION/POWER DIST (BUS) | 11.51.03 ENG/DESIGN - POWER DISTRIB SUBSTATION | | $20,000 | $20,000 | $25,000 | $25,000 |
| ☐ | FL-2016-004-01-01 | 116-00 SIGNAL & COMM EQUIPMENT (BUS) | 11.61.01 ENG/DESIGN CONTROL/SIGNALS | | $37,500 | $37,500 | $50,000 | $50,000 |

4) Select the check box for the ALI you wish to modify from the grid. The form will expand below the existing line items grid to include the following sections for that selected line item:
    a) ‘Line Item Scope’
    b) ‘Line Item Details’
    c) ‘Funding Information’
    d) ‘Rolling Stock Information’
    e) ‘Milestones’
5) Clicking the ‘Cancel’ button will return you to the ‘Closeout Budget Reconciliation’ form without saving any changes. The system will provide a warning prompt for confirmation before doing so.
6) Update the ‘Line Item Scope’ section as needed:
    a) Update the line item’s name in the ‘Custom Line Item Name’ field with the desired text.



    b) Update the ‘Line Item Details’ section as needed:
    c) Update the quantity in the ‘Quantity’ field with the desired number. This is an integer field and must be a whole number.

**Line Item Details**

Original Quantity
1

Quantity
1

a. Update the original extended budget description in the 'Updated Extended Budget Description' field with the desired text.

b. Select either the Yes or No option to respond to the question, 'Will 3rd Party contractors be used to fulfill this activity line item?'

Original Extended Budget Description
Engineering and Design

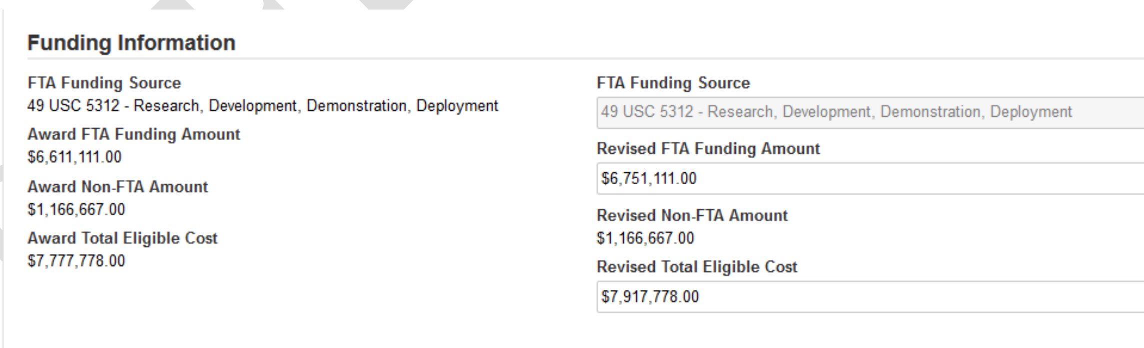
Updated Extended Budget Description
Engineering and Design

Will 3rd Party contractors be used to fulfill this activity line item?
Yes, 3rd Party Contractors will be used for this line item.
No, 3rd Party Contractors will not be used for this line item.

7) If this closeout is for a TEAM award, update the 'Funding Information' section as needed:

a) Update the original FTA funding amount in the 'Revised FTA Funding Amount' field with the revised amount. This is an integer field and must be a whole number. The 'Revised Non-FTA Amount' field will update accordingly.

b) Update the original award's total eligible cost in the 'Revised Total Eligible Cost' field with the revised amount. This is an integer field and must be a whole number. The 'Revised Non-FTA Amount' field will update accordingly.



**Funding Information**

FTA Funding Source
49 USC 5312 - Research, Development, Demonstration, Deployment

Award FTA Funding Amount
$6,611,111.00

Award Non-FTA Amount
$1,166,667.00

Award Total Eligible Cost
$7,777,778.00

FTA Funding Source
49 USC 5312 - Research, Development, Demonstration, Deployment

Revised FTA Funding Amount
$6,751,111.00

Revised Non-FTA Amount
$1,166,667.00

Revised Total Eligible Cost
$7,917,778.00

8) If this closeout is for a TrAMS award, update the 'FTA Funding Information' section as needed:

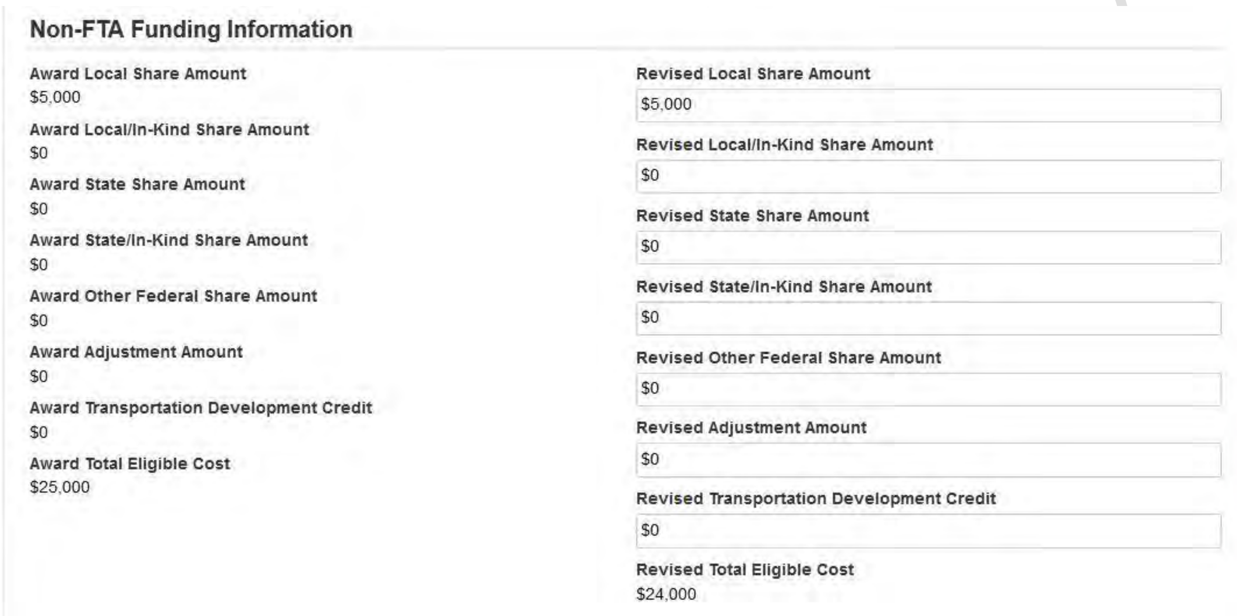
a) Update the original FTA funding amount in the 'Revised FTA Funding Amount' field with the revised amount. This is an integer field and must be a whole number.

b) The 'Revised Total Eligible Cost' field will update accordingly.

For a TrAMS closeout amendment, update the ‘Non-FTA Funding Information’ section as needed:

c) Update any existing values in fields with the desired amounts. These are all integer fields and must be whole numbers.

d) The ‘Revised Total Eligible Cost’ field will update accordingly.




9) Update the ‘Rolling Stock Information’ section as needed:

a) Select a vehicle condition from the drop-down menu provided under the ‘Vehicle Condition’ field.

b) Enter a vehicle size into the ‘Vehicle Size’ field.

c) Select the vehicle’s fuel type from the drop-down menu provided under the ‘Fuel’ field.


**Note:** The ‘Rolling Stock Information’ section is only shown when a rolling stock line item in the project has been selected.

10) Once you have completed all the sections related to the selected ALI from the grid, you will have the following options:

a) Click on the 'Save Line Item' button to save all information for the selected ALI and return to the 'Closeout Budget Reconciliation' form, or

b) Click on the 'Cancel' button to exit out grid without saving changes for the selected ALI. The form will collapse.

11) Repeat previous steps to update the remaining ALIs in the grid as needed. Click the 'Close' button to return to the 'Related Actions' menu.

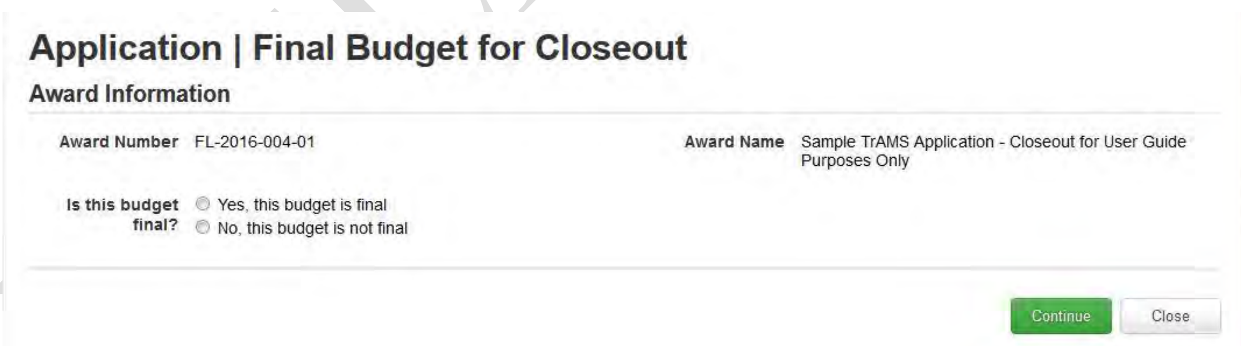
### 7.5.6 Related Action: Validate and Submit Closeout

Once you have completed the Final FFR, Final MPR and Budget Reconciliation steps, the Closeout Amendment is ready for submission.

To validate and submit a completed closeout request:

1) Click 'Validate and Submit Closeout'.


2) The 'Final Budget' form will be displayed. Select either the Yes or No option to respond to the question, "Is this budget final?" and then click the 'Continue' button to proceed.

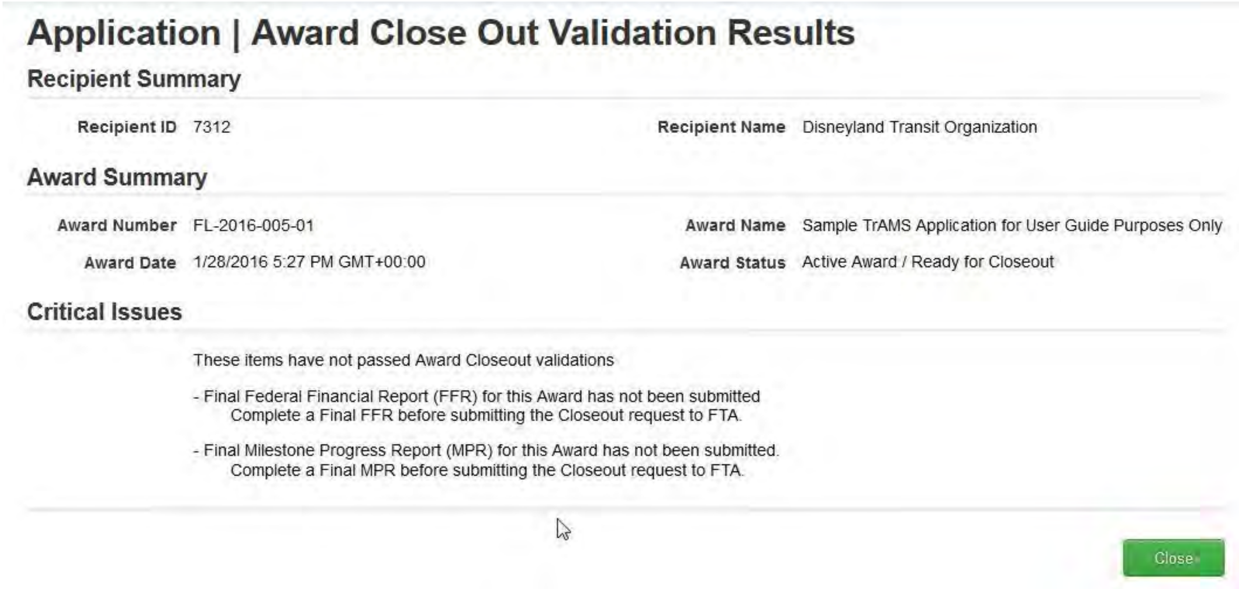



3) If you selected 'No, this budget is not final', then the 'Award Closeout Reviewer/Validations' form will be displayed with the following validation message: "Budget for this Award has not been finalized.

4) Finalize your budget before submitting the closeout request to FTA." You will need to review the budget and then select the 'Yes, this budget is final' response in order to clear this message and proceed with the closeout.


5) If you selected 'Yes, this budget is final', you may continue to the next step. However, if the final MPR and/or final FFR have not been completed at this point, then the 'Award Closeout Reviewer/Validations' form will be displayed with the following validation message(s):

- "Final Federal Financial Report (FFR) for this Award has not been submitted. Complete a Final FFR before submitting the closeout request to FTA."
- "Final Milestone Progress Report (MPR) for this Award has not been submitted. Complete a Final MPR before submitting the closeout request to FTA."




Refer to Complete and Submit Final MPR‘‘Complete and Submit Final MPR’ and ‘Complete and Submit Final FFR’ for the appropriate instructions on completing these reports.

6) The ‘Submit Closeout Request’ form will be displayed. This form will display any unliquidated funds that remain on the award so that the Post-Award Manager can confirm that these funds will deobligated once the Closeout is approved.
   a) Click on the ‘Cancel’ button on this form to return to the ‘Related Actions’ menu.
   b) Click the ‘Submit to FTA’ button to proceed.

# Closeout Amendment | Submit Closeout Request

## Recipient Details

**Recipient ID** 7312

**Recipient Name** Disneyland Transit Organization

## Award Summary

**Award Number** FL-2016-004-01

**Award Name** Sample TrAMS Application - Closeout for User Guide Purposes Only

**Award Status** Active Award / Ready for Closeout

## Closeout Details

**Created Date** 1/27/2016 4:21 PM GMT+00:00

**Created By** tommdisney@yahoo.com

**Closeout Reason**
- All approved activities are completed and/or applicable Federal funds expended
- All applicable Federal funds expended
- Funds are no longer needed to accomplish the grant purpose
- Determined that the project has been essentially completed and/or approved funds have been substantially drawn down
- Failure by the grantee to make reasonable progress to complete approved grant activities
- Continuation of the project would not produce results commensurate with further expenditure of funds
- Grantee failed to comply with the terms or conditions of the Grant Agreement or other Federal requirements

**Closeout Remarks** This comment is for User Guide Purposes Only

## Award Funds Status

**Unliquidated Balance** This Application/Award has unliquidated funds of $57,500 This amount does not include pending disbursements requested within the past two business days. The funds shall be deobligated in the full amounts specified in the 'Unliquidated Balance' column below.

| PO Number | Project Number | Cost Center | Scope Code / Suffix | Account Class Code | FPC | Obligation | Deobligation | Disbursement | Refund |
|---|---|---|---|---|---|---|---|---|---|
| FL-90-0078 | FL-2016-004-01-00 | 65000 | 115-00 / A1 | 2015.25.90.91.2 / 00 | 00 | $20,000 | $0 | $0 | $0 |
| FL-90-0078 | FL-2016-004-01-00 | 65000 | 116-00 / A2 | 2015.25.90.91.2 / 00 | 00 | $37,500 | $0 | $0 | $0 |

## Submission Information

To the best of my knowledge and belief, all data entered are true and correct. Submission of this application is duly authorized by the appropriate governing officials of the applicant and the applicant will comply with the certifications and assurances if the federal assistance is awarded. If you agree, click on the Submit to FTA button to complete submission of this application to the Federal Transit Administration (FTA).

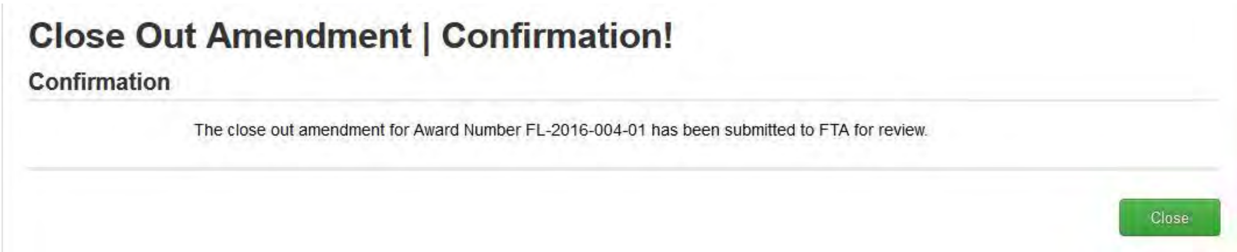
**Submitted By** Lisa Smith

**Submission Date** 1/27/2016

Cancel | Submit to FTA

7) The 'Confirmation' form will be displayed with the following confirmation message: "The closeout amendment for Award Number [FAIN #] has been submitted to FTA for review."

8) Click the 'Close' button to return to the 'Related Actions' menu.




### 7.5.7 Review Submitted Closeout Request

FTA Regional Post-Award Managers will review the closeout amendment request to determine if the award is ready to be closed.

Each closeout request will be reviewed by FTA for the following:

- A final budget reflecting actual project costs by scope and activity
- A final FFR
- A final narrative MPR indicating the actual completion date of each ALI, a discussion of each ALI contained in the final budget, and list of project property purchased under the grant
- A request to deobligate any unexpended balance of federal funds
- Any other reports required as part of the terms and conditions of the grant

Once FTA completes their review, FTA staff will either return the amendment to the recipient for additional modifications or approve the closeout request. Once FTA approves the closeout, the award will be closed and all amendments on the award will have a status of ‘Closed’.

# 8 Post-Award Reporting

Recipients of FTA funding must submit Milestone Progress Reports (MPR) and Federal Financial Reports (FFR) on a periodic basis to show the status and progress of activities and funding expenditures on their awards. The MPRs and FFRs must be completed and submitted by the recipient within 30 days of the end of the reporting period. The reporting period for MPRs and FFRs can be Annual, Quarterly, or Monthly, depending on the requirements for the award and/or funding program.

Submission of both MPRs and FFRs in TrAMS is task-based, which means that recipient users in the 'MPR Reporter' and 'FFR Reporter' role groups will receive a task to complete and submit their MPR or FFR 30 days before a report is due. Once recipients submit their reports for FTA review, FTA Regional Office staff with the 'Post-Award Manager' role will need to complete their reviews of the reports before the next reporting period is over. Once a new reporting period has finished, FTA staff will no longer be able to review reports from prior periods – those reports will now be read only.

In addition to submitting MPRs and FFRs for their awards, recipients are also required to submit semiannual reports to show their compliance with DOT's Disadvantaged Business Enterprise (DBE) program. The DBE Program is an affirmative action program designed to combat discrimination and its continuing effects by providing contracting opportunities on Federally-funded highway, transit, and airport projects for small businesses owned and controlled by socially and economically disadvantaged individuals. DBE Reports must be completed and submitted by the recipient twice a year: June 1 and December 1.

Submission of DBE Reports in TrAMS is also task-based, so recipients will receive a task to complete and submit their DBE report 60 days before each report's due date. Once recipients have submitted their reports for review, the FTA Office of Civil Rights is responsible for monitoring FTA recipients' DBE programs and ensuring their compliance with DOT's DBE regulations. Regional FTA staff with the 'Civil Rights Officer' role in the regions will conduct the first review of DBE reports, then submit the reports to Headquarters staff, where users with the 'DBE Approver' role in the 'Office of Civil Rights' will conduct the final review and approve the reports.

## 8.1 Search for MPR or FFR Reports

MPR and FFR reports can be located from the Actions tab.

To view read-only versions of FFRs and MPRs:

1) Click 'Search FFR and MPR for Review'.
2) The 'MPR and FFR Review | Search Criteria' form will be displayed with search criteria fields. You will be able to complete the following fields to locate your reports:
    a) Select a fiscal year from the drop-down menu provided under the 'Application/Award Fiscal Year' field.
    b) Select an application status from the drop-down menu provided under the 'Application/Award Status' field.
    c) Select an award type from the drop-down menu provided under the 'Active / Closed Award(s)' field.

d) Enter an application number into the ‘Application Number’ field.

e) Select a report type from the drop-down menu provided under the ‘Report Type’ field. This is a required field.

f) Select a report status from the drop-down menu provided under the ‘Report Status’ field.

g) Select one or more check boxes for the ‘Report Period Type’ field.

h) The corresponding list of report period selections on the right side of the screen will become active as the check boxes are selected. You will be required to select one or more report periods from the ‘Report Period Annual,’ ‘Report Period Quarterly,’ and/or ‘Report Period Monthly’ fields. Hold down the ‘CTRL’ key if you wish to select multiple report periods. All activated report period fields will be require a selection.

**Note:** Selecting ‘Initial does not activate any Report Period lists

i) Select a radio button option for the ‘Report Final’ field.

j) Click in the ‘Period From’ field to enter in a date or display a calendar picker to select a date from for the first date of a range.

k) Click in the ‘Period To’ field to enter or display a calendar picker to select a date from for the last date of a range.

**Note:** The ‘Clear Filter’ button on this form can be used at any time to wipe out all entered search criteria.

3) Once all search criteria have been entered, click the ‘Search’ button.

## MPR and FFR Review | Search Criteria

Enter one or more of the following search criteria

### Search Criteria for Award(s)

| | |
|---|---|
| Application/Award Fiscal Year | Please Select a Year |
| Application/Award Status | Please Select a Status |
| Active / Closed Award(s) | Please Select a Value |
| Application/Award Number | |
| *Report Type | Please Select a Report Type |
| Report Status | Please Select a Status |
| *Report Period Type | ☐ Quarterly<br>☐ Monthly<br>☐ Annual<br>☐ Initial |
| Report Final | ○ Yes, Final Report<br>○ No, Not Final Report |
| Period From | M/d/yyyy |
| Period To | M/d/yyyy |
| Report Period Annual | Any<br>2016<br>2015<br>2014<br>2013 |
| Report Period Quarterly | Any<br>2016 Quarter 1<br>2016 Quarter 2<br>2016 Quarter 3<br>2016 Quarter 4 |
| Report Period Monthly | Any<br>2016 January<br>2016 Feburary<br>2016 March<br>2016 April |

Clear Filter | Search | Close

4) The 'MPR and FFR Review | Search Results' form will be displayed with results in grid format.

## MPR and FFR Review | Search Results

### Search Criteria Selected

**Criteria selected for Award(s)**

**Award Fiscal Year**: N/A
**Active/Closed**: N/A
**Region**: 78400 FTA Regional Office 4
**Recipient Name**: N/A
**Recipient ID**: '9900'
**Award Number**: N/A
**Award Status**: N/A

**Criteria selected for FFR**

**Report Type**: FFR
**Reporting Period**: Any; ;
**Report Status**:
**Report Period From**: **To**:

**Criteria selected for MPR**

**Report Type**: MPR
**Reporting Period**: Any; ;
**Report Status**:
**Report Period From**: **To**:

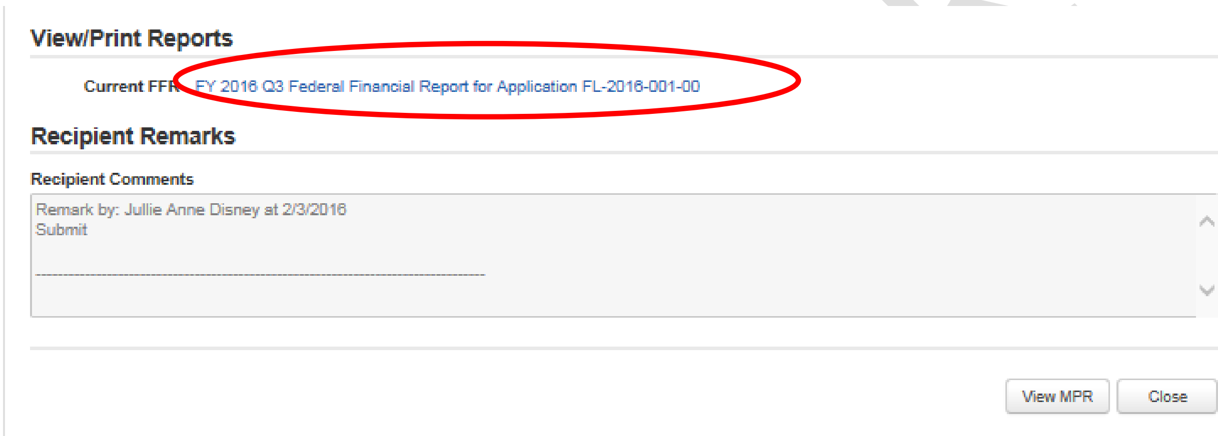
### Search Results Based on the Selected Criteria

Only the first 3 search results returned. Please narrow your search criteria if the desired result does not appear.

| ☐ | Recipient Name | Award Number | Report Period Type | Report Type | Report Period | Report Status | Report Last Updated By | Report Last Updated Date |
|---|---|---|---|---|---|---|---|---|
| ☐ | Disneyland Transit Organization | FL-2016-001-00 | Quarterly | FFR | 2016 Quarter 2 | FTA Review Complete | region4.postawardmanager1 | 2/2/2016 8:15 PM GMT+00:00 |
| ☐ | Disneyland Transit Organization | FL-2016-001-00 | Quarterly | FFR | 2016 Quarter 3 | Submitted | julliennedisney@yahoo.com | 2/3/2016 3:54 PM GMT+00:00 |
| ☐ | Disneyland Transit Organization | FL-2016-001-00 | Quarterly | MPR | 2016 Quarter 2 | FTA Review Complete | region4.postawardmanager1 | 2/2/2016 8:09 PM GMT+00:00 |

View Selected Report | Back to Search | Cancel

5) Select the check box for a report from the list and then click the ‘View Selected Report’ button to access a read-only version of the report.
   a) Click the ‘Back to Search’ button if you wish to return to the previous search criteria form.
   b) Clicking the ‘Cancel’ button returns you to the ‘Actions’ tab.
6) Depending on the type of report selected, the ‘MPR and FFR Review | Federal Financial Report (FFR)’ or ‘MPR and FFR Review | Milestone Progress Report (MPR)’ form will be displayed.
7) Click on the link displayed with the report name to generate an html view/print document that you can save or open. Clicking on the ‘Close’ button on this form returns you to the previous search results




8) Click the ‘View FFR’ or ‘View MPR’ button to view the related report. If a matching report does not exist, you will be presented with the ‘There is no matching report’ message.

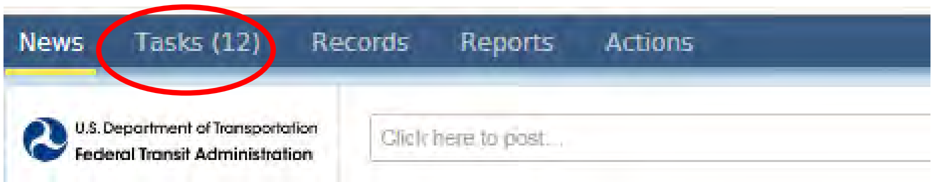

## 8.2 Milestone Progress Report (MPR)

The completion of the Milestone Progress report is assigned as a task to the users with the ‘MPR Reporter’ user role.  Tasks are will be assigned 30 days prior to their due date.  Users will receive an email notification that they have a task.

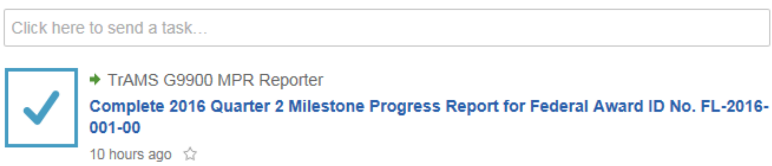
### 8.2.1 Task: Complete and Submit MPR

The number of Tasks assigned to a user will be visible next to the ‘Task’ tab.

1) After the MPR Reporter successfully logs on, click the ‘Task’ tab.




2) Select the ‘Complete [FY] [Report Frequency] Milestone Progress Report’ task for the application and then accept the task.




3) The ‘Milestone Progress Report (MPR) | Summary’ form will be displayed.
4) At any point, you may click the ‘Close Task’ button to return to the ‘Tasks’ tab without saving any changes and retain the task.

# Milestone Progress Report (MPR) | Summary

## Recipient Details

**Recipient ID**
7312

**Recipient Name**
Disneyland Transit Organization

## Award Summary

**Federal Award ID Number (FAIN)**
FL-2016-004-01

**MPR Reporting Frequency Required**
Quarterly

**Preaward Authority Utilized?**
Yes, Preaward Authority utilized
No, Preaward Authority not utilized

**Award Name**
Sample TrAMS Application - Closeout for User Guide Purposes Only

**Award Status**
Active Award / Ready for Closeout

**Obligation Date**
1/27/2016

## Milestone Progress Report Summary

**Report Type**
Quarterly

**Report Period**
Quarter 2 (Jan - Mar), FY 2016

**Report Period Begin Date**
1/1/2016

**Report Period End Date**
1/27/2016

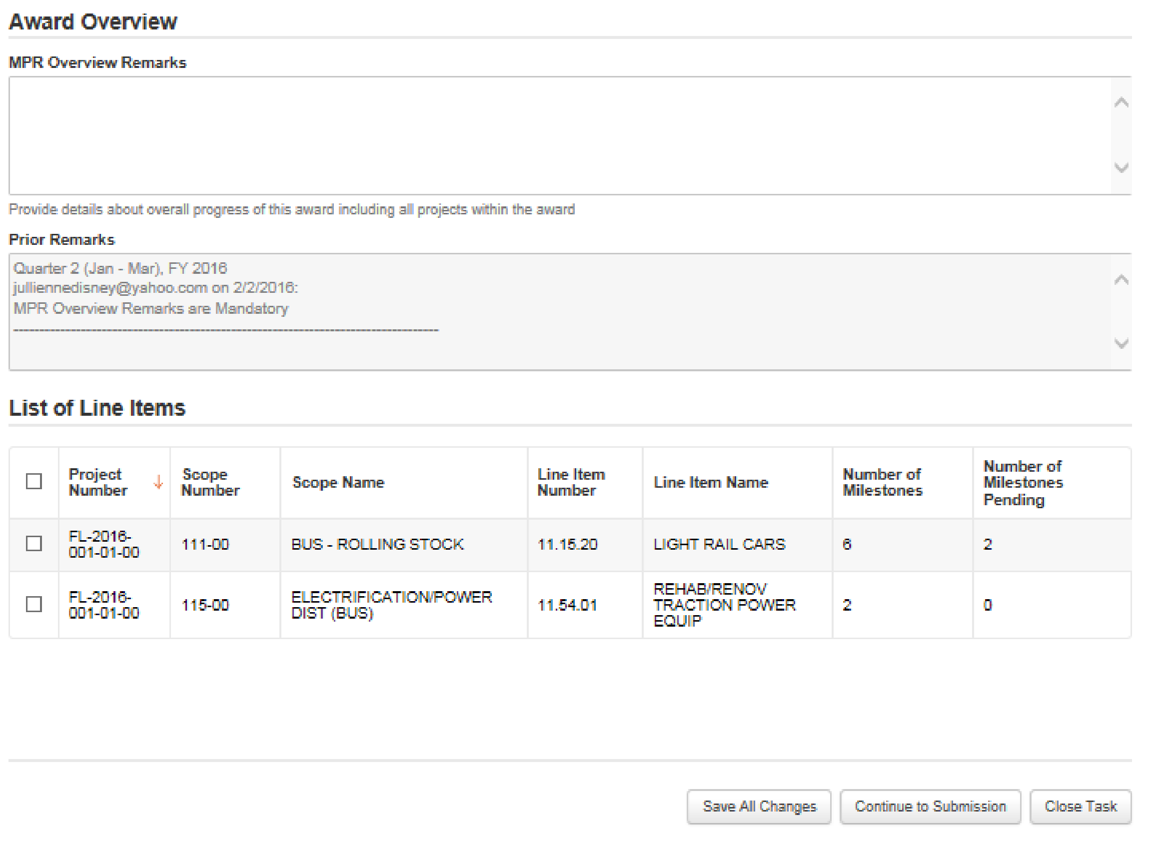
**Final Report?**
Yes, Final Report
No, Not Final Report

**MPR Report Status**
Work in Progress

**Report Due Date**
1/27/2016

**Last Update By**
N/A

**Last Update Date**




| | Project Number | Scope Number | Scope Name | Line Item Number | Line Item Name | Number of Milestones | Number of Milestones Pending |
|---|---|---|---|---|---|---|---|
| ☐ | FL-2016-001-01-00 | 111-00 | BUS - ROLLING STOCK | 11.15.20 | LIGHT RAIL CARS | 6 | 2 |
| ☐ | FL-2016-001-01-00 | 115-00 | ELECTRIFICATION/POWER DIST (BUS) | 11.54.01 | REHAB/RENOV TRACTION POWER EQUIP | 2 | 0 |

5) Enter comments into the ‘MPR Overview Remarks’ field to provide details about overall progress of the award to include all projects. This is a required field.


6) Verify all line items displayed under the ‘List of Line Items’ grid. Any value greater than zero under the ‘Number of Milestones Pending’ column indicates pending milestone(s) that must be provided with an appropriate ‘Actual Completion Date’ or ‘Revised Estimated Completion Date’.

   A milestone with an ‘Original Estimated Completion Date’ that has expired requires an ‘Actual Completion Date’ which indicates that the milestone was successfully achieved before or on the date shown in the ‘Report Period End Date’ field, or a ‘Revised Estimated Completion Date’ which is projected past the ‘Report Period End Date’ indicating that it will be reached in the future.

7) Select the check box for a line item with a pending milestone.

### List of Line Items

| ☐ | Project Number | Scope Number | Scope Name | Line Item Number | Line Item Name | Number of Milestones | Number of Milestones Pending |
|---|---|---|---|---|---|---|---|
| ☐ | FL-2016-001-01-00 | 111-00 | BUS - ROLLING STOCK | 11.15.20 | LIGHT RAIL CARS | 6 | 2 |
| ☐ | FL-2016-001-01-00 | 115-00 | ELECTRIFICATION/POWER DIST (BUS) | 11.54.01 | REHAB/RENOV TRACTION POWER EQUIP | 2 | 0 |

8) The form will expand to display the 'Line Item Details,' 'FTA Funding Information,' and 'Milestones' sections.

### Line Item Details

**Line Item Number**
11.15.20

**Line Item Name**
LIGHT RAIL CARS

**Allocation Type**

**Activity Type**
MID LIFE REBUILD (RAIL)

**Quantity**
1

### FTA Funding Information

**FTA Funding Source**
49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)

**FTA Funding Amount**
$125,000

### Milestones

Add New Milestone

| ☐ | Milestone Name | Original Estimated Completion Date | Revised Estimated Completion Date | Actual Completion Date | Description |
|---|---|---|---|---|---|
| ☐ | RFP/IFB Issue Date | 2/1/2016 | | | |
| ☐ | Contract Award Date | 2/29/2016 | | | |
| ☐ | Initial Delivery Date | 5/30/2016 | | | |
| ☐ | Final Delivery Date | 10/31/2016 | | | |
| ☐ | Contract Completion Date | 11/15/2016 | | | |
| ☐ | Sample Milestone - User guide purposes only | 4/15/2016 | 4/15/2016 | | Milestone description is Mandatory |

1-6 of 6

Save All Changes | Continue to Submission | Close Task

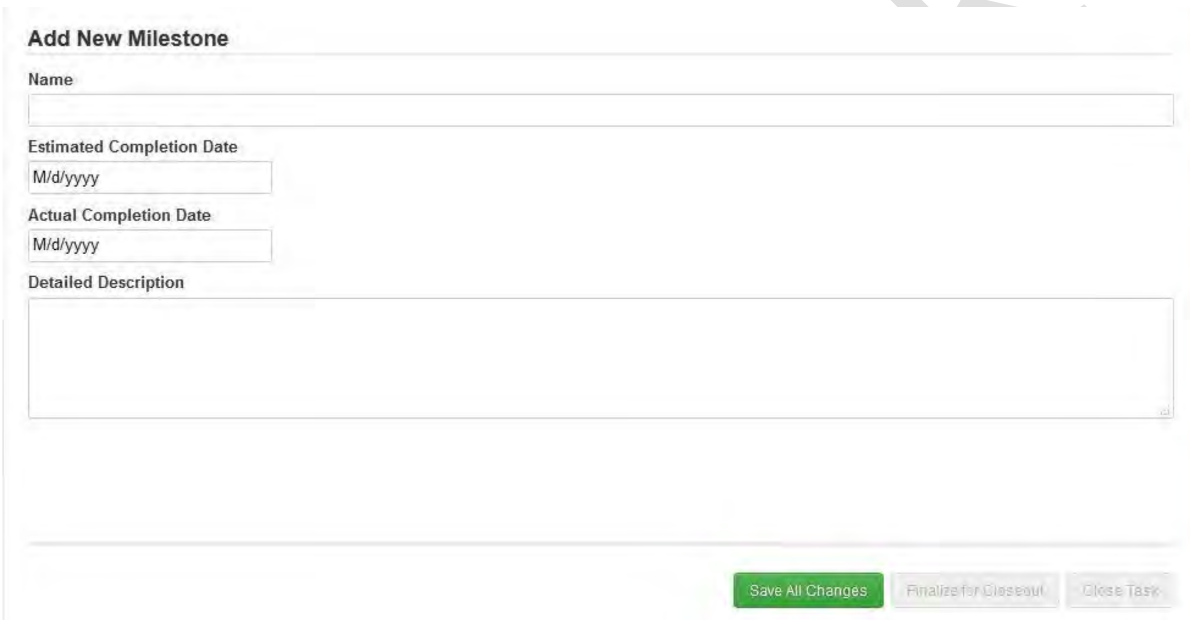
9) If you wish to add a new milestone to the project, click the ‘Add New Milestone’ button. The form will expand further to display the ‘Add New Milestone’ section:

   a) Enter a name for the milestone into the ‘Name’ field.

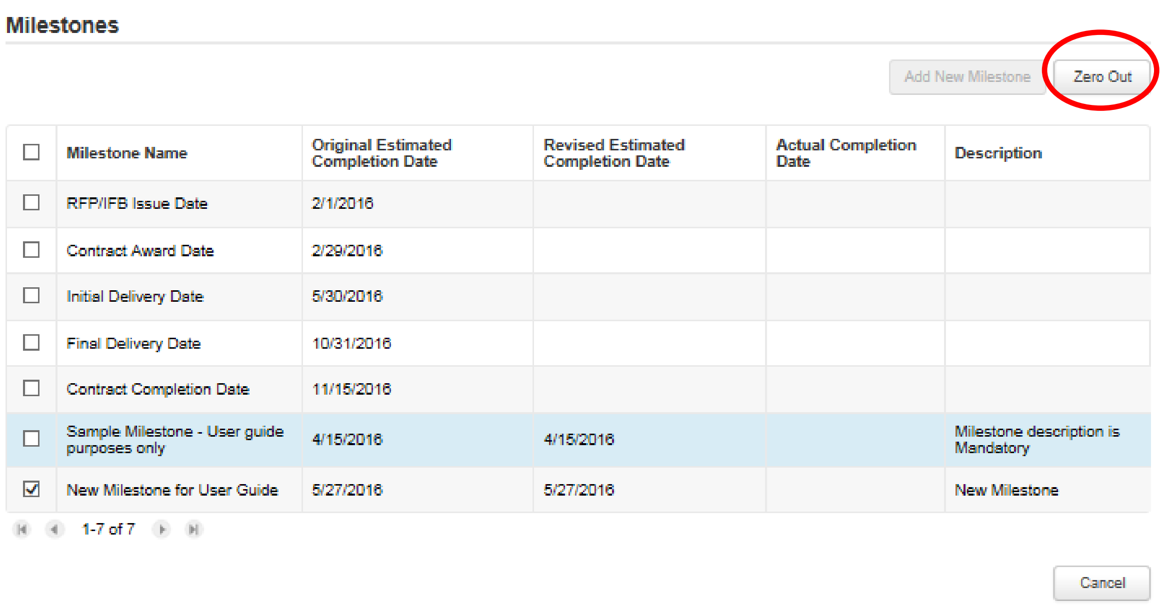
   b) Click in either the ‘Estimated Completion Date’ or ‘Actual Completion Date’ field to enter a date or display the date picker to select a date from. You may select only one type of date.

   c) Enter a comment about the milestone into the ‘Detailed Description’ field. This is a required field.

   d) Click the ‘Save All Changes’ button after you have completed entering information in all fields. You will be returned to the ‘Milestones’ grid.



10) If you wish to remove all details previously entered for a milestone, select the check box for the milestone and then click the 'Zero Out' button.




11) The system will prompt you with the following message: 'Are you sure that you want to zero out this milestone?'


12) Click the 'Yes' button if you wish to proceed with zeroing out all dates and information for the selected milestone. A new message will be displayed under the milestone's 'Description' column: 'Milestone Zeroed out on [date zero out performed].'

**Milestones**

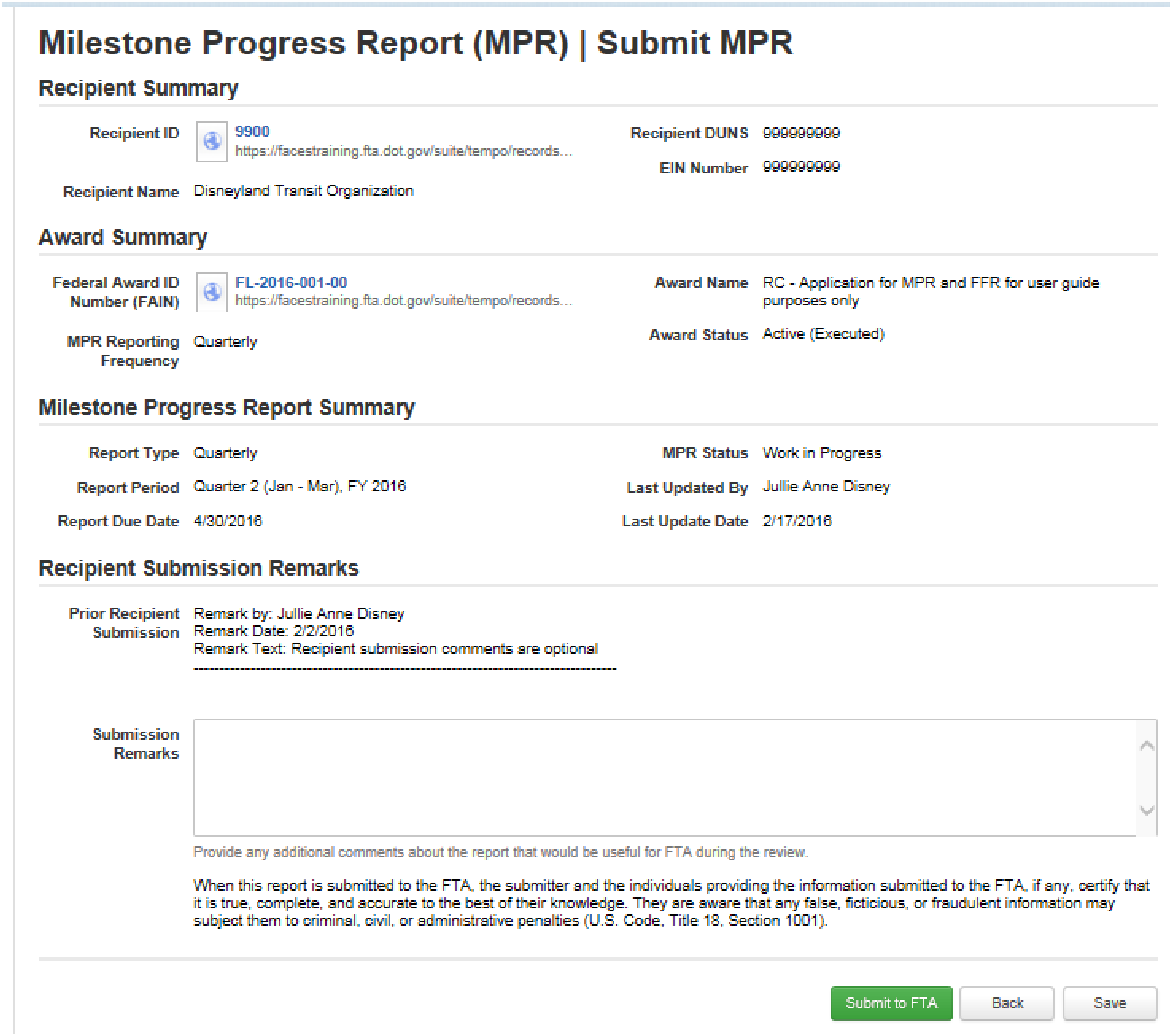
Add New Milestone | Zero Out

| ☐ | Milestone Name | Original Estimated Completion Date | Revised Estimated Completion Date | Actual Completion Date | Description |
|---|---|---|---|---|---|
| ☐ | RFP/IFB Issue Date | 2/1/2016 | | | |
| ☐ | Contract Award Date | 2/29/2016 | | | |
| ☐ | Initial Delivery Date | 5/30/2016 | | | |
| ☐ | Final Delivery Date | 10/31/2016 | | | |
| ☐ | Contract Completion Date | 11/15/2016 | | | |
| ☐ | Sample Milestone - User guide purposes only | 4/15/2016 | 4/15/2016 | | Milestone description is Mandatory |
| ☐ | New Milestone for User Guide | | | | Milestone Zeroed out on 2/17/2016. |

13) Repeat previous steps until all line items display a '0' under the 'Number of Milestones Pending' column. The system will not allow you to proceed to MPR submission should any pending milestones remain.

14) Once you have finished entering dates for all pending milestones, click the 'Continue to Submission' button.

15) The 'Submit MPR' form will be displayed. Use the 'Back' button if you wish to return to the previous form. The 'Save' button can be used to save the comments entered into the 'Submission Remarks' field. Enter any comments for FTA into the optional 'Submission Remarks' field and then click the 'Submit to FTA' button to proceed.



# Milestone Progress Report (MPR) | Submit MPR

## Recipient Summary

| | | | |
|---|---|---|---|
| Recipient ID | 9900 https://facestraining.fta.dot.gov/suite/tempo/records... | Recipient DUNS | 999999999 |
| | | EIN Number | 999999999 |
| Recipient Name | Disneyland Transit Organization | | |

## Award Summary

| | | | |
|---|---|---|---|
| Federal Award ID Number (FAIN) | FL-2016-001-00 https://facestraining.fta.dot.gov/suite/tempo/records... | Award Name | RC - Application for MPR and FFR for user guide purposes only |
| MPR Reporting Frequency | Quarterly | Award Status | Active (Executed) |

## Milestone Progress Report Summary

| | | | |
|---|---|---|---|
| Report Type | Quarterly | MPR Status | Work in Progress |
| Report Period | Quarter 2 (Jan - Mar), FY 2016 | Last Updated By | Jullie Anne Disney |
| Report Due Date | 4/30/2016 | Last Update Date | 2/17/2016 |

## Recipient Submission Remarks

Prior Recipient Submission
Remark by: Jullie Anne Disney
Remark Date: 2/2/2016
Remark Text: Recipient submission comments are optional

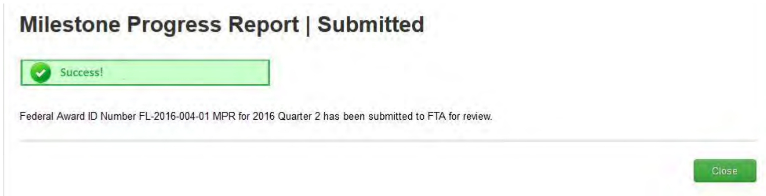
Submission Remarks

Provide any additional comments about the report that would be useful for FTA during the review.

When this report is submitted to the FTA, the submitter and the individuals providing the information submitted to the FTA, if any, certify that it is true, complete, and accurate to the best of their knowledge. They are aware that any false, ficticious, or fraudulent information may subject them to criminal, civil, or administrative penalties (U.S. Code, Title 18, Section 1001).

Submit to FTA | Back | Save

16) The ‘Submitted’ form will be displayed with the following confirmation message: ‘Federal Award ID Number [FAIN #] MPR for [FY] [Report Frequency] has been submitted to FTA for review.’




17) Click the ‘Close’ button. The system returns you to the ‘Tasks’ tab and the task link will now be removed from the task list.

## 8.3 Federal Financial Report (FFR)

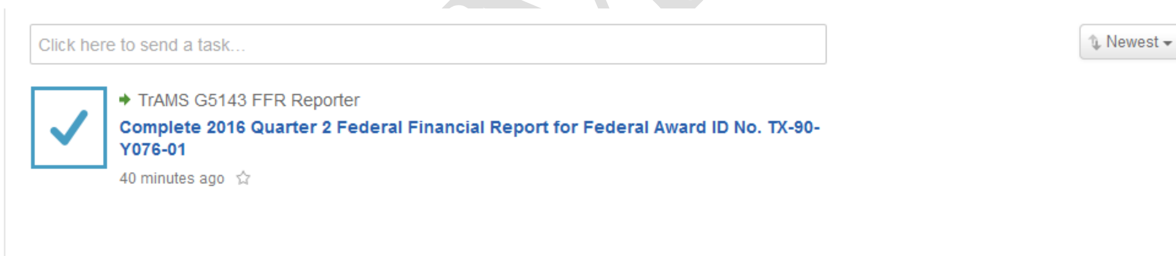
The completion of the Federal Financial Report is assigned as a task to the users with the ‘FFR Reporter’ user role. Tasks are will be assigned 30 days prior to their due date. Users will receive an email notification that they have a task.

### 8.3.1 Task: Complete and Submit FFR

The number of Tasks assigned to a user will be visible next to the ‘Task’ tab.

1) After the FFR Reporter successfully logs on, click the ‘Task’ tab.

2) Select the ‘Complete [FY] [Report Frequency] Federal Financial Report’ task for the application and then accept the task.



3) The ‘Input FFR Values’ form will be displayed.

4) At any point, you may click the ‘Close Task’ button on this form to return to the ‘Tasks’ tab without saving any changes and retain the task.

## Federal Financial Report (FFR) | Input FFR Values

### Recipient Summary

| | | | |
|---|---|---|---|
| Recipient ID | 9900 | Recipient DUNS | 999999999 |
| Recipient Name | Disneyland Transit Organization | EIN Number | 999999999 |

### Award Summary

| | | | |
|---|---|---|---|
| Federal Award ID Number (FAIN) | FL-2016-001-00 | Award Name | RC - Application for MPR and FFR for user guide purposes only |
| FFR Reporting Frequency Required | Quarterly | Award Status | Active (Executed) |
| | | Obligated Date | 2/1/2016 |
| Preaward Authority | ○ Yes, Preaward Authority utilized<br>◉ No, Preaward Authority not utilized | | |

### Federal Financial Report Summary

| | | | |
|---|---|---|---|
| Report Type | Quarterly | Report Period Begin Date | 1/1/2016 |
| Report Period | Quarter 2 (Jan - Mar), FY 2016 | Report Period End Date | 3/31/2016 |
| Report Due Date | 4/30/2016 | | |
| Final Report? | ○ Yes, Final Report<br>◉ No, Not Final Report | | |

### Status Log

| Status | Updated Date | Updated By |
|---|---|---|
| Work in Progress | 2/17/2016 | appian.administrator |

5) Complete any fields as needed under the ‘Indirect Expense’ section.

   a) Select an indirect expense type using the drop-down menu provided under the ‘Type’ field.

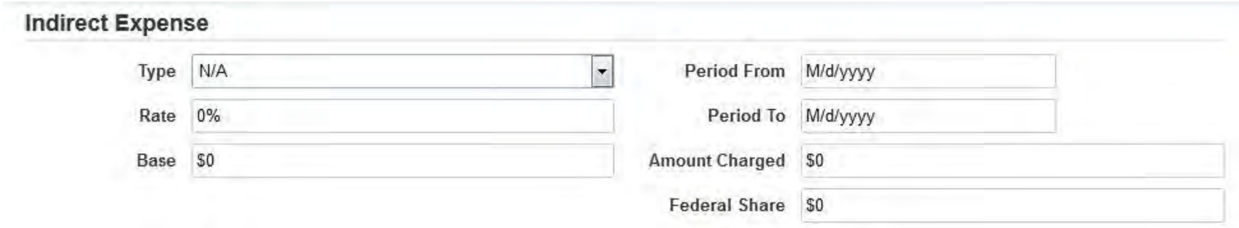
   b) Enter a rate into the ‘Rate’ field. Note that this is a percent value.

   c) Enter a dollar value into the ‘Base’ field.

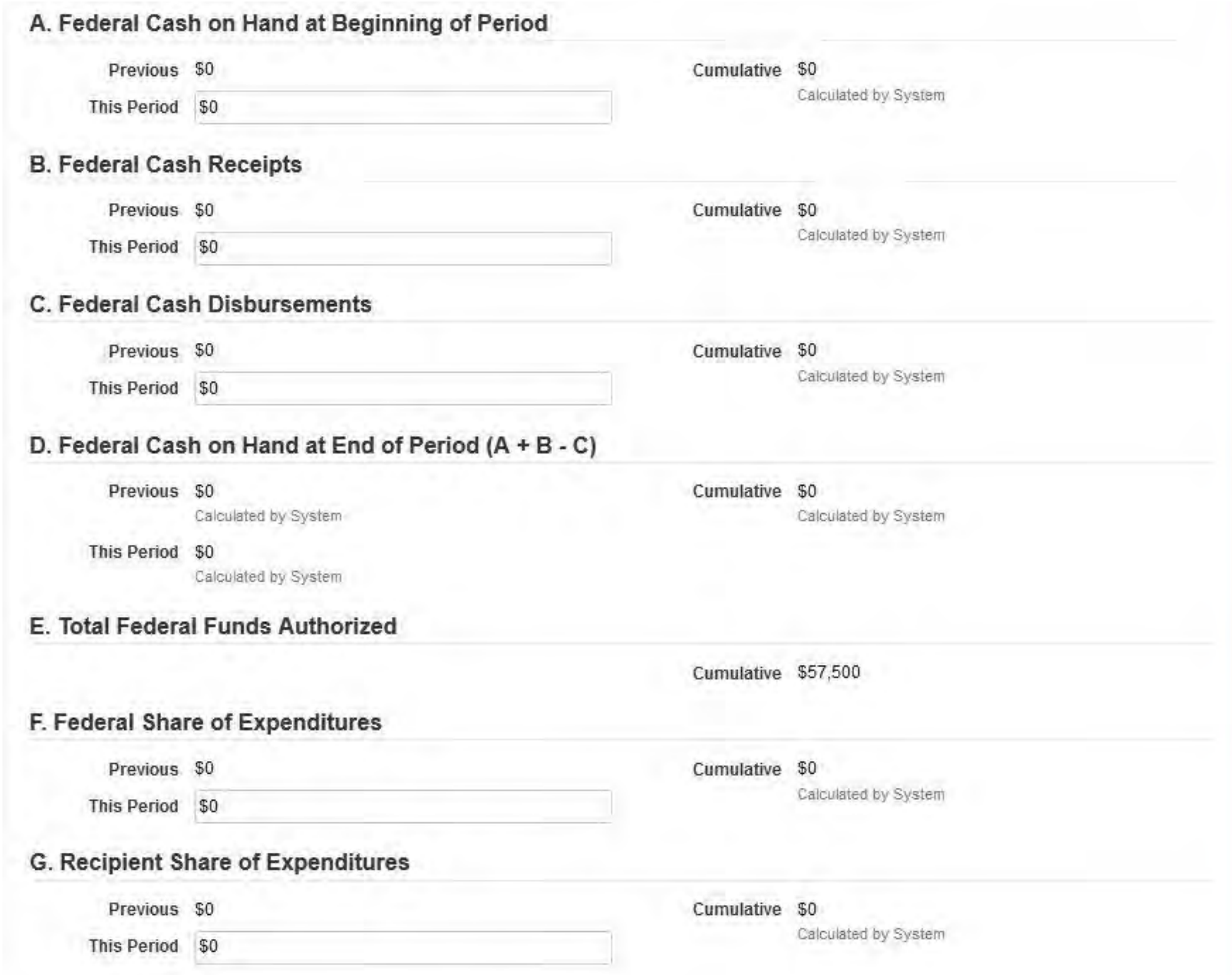
   d) Click in the ‘Period From’ and ‘Period To’ fields to enter dates or display the date picker to select dates from.

   e) Enter a dollar value into the ‘Amount Charged’ field.

   f) Enter a dollar value into the ‘Federal Share’ field.




6) You will be able to enter dollar values into the 'This Period' fields for the following sections on the form:
   a) 'A. Federal Cash on hand at Beginning of Period'
   b) 'B. Federal Cash Receipts'
   c) 'C. Federal Cash Disbursements'
   d) 'F. Federal Share of Expenditures'
   e) 'G. Recipient Share of Expenditures'



**A. Federal Cash on Hand at Beginning of Period**

Previous $0 | Cumulative $0
This Period $0 | Calculated by System

**B. Federal Cash Receipts**

Previous $0 | Cumulative $0
This Period $0 | Calculated by System

**C. Federal Cash Disbursements**

Previous $0 | Cumulative $0
This Period $0 | Calculated by System

**D. Federal Cash on Hand at End of Period (A + B - C)**

Previous $0 Calculated by System | Cumulative $0 Calculated by System
This Period $0 Calculated by System

**E. Total Federal Funds Authorized**

Cumulative $57,500

**F. Federal Share of Expenditures**

Previous $0 | Cumulative $0
This Period $0 | Calculated by System

**G. Recipient Share of Expenditures**

Previous $0 | Cumulative $0
This Period $0 | Calculated by System

7) You will also be able to enter dollar values into the 'Amount' fields for the following sections on the form:

   a) 'I. Federal Share of Unliquidated Obligations'

   b) 'J. Recipient Share of Unliquidated Obligations'

**I. Federal Share of Unliquidated Obligations**

Amount $0

**J. Recipient Share of Unliquidated Obligations**

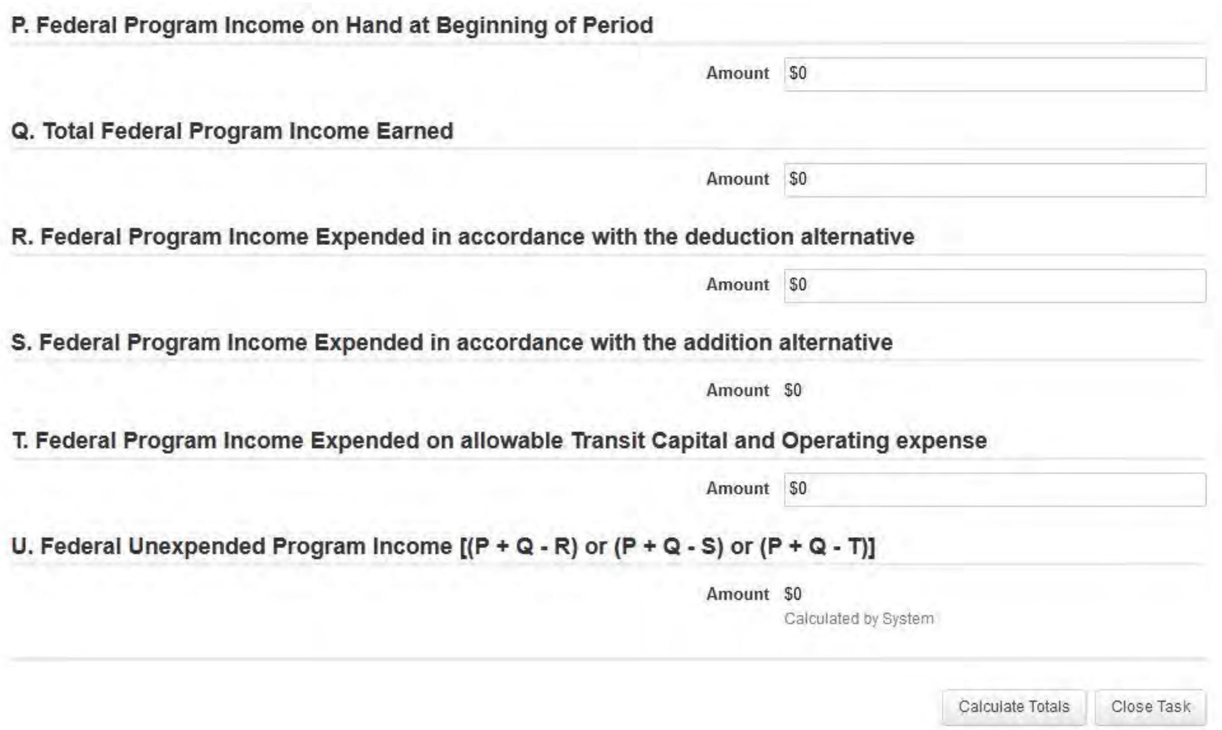
Amount $0

   c) 'P. Federal Program Income on Hand at Beginning of Period'

   d) 'Q. Total Federal Program Income Earned'

e) ‘R. Federal Program income expended in accordance with the deduction alternative’

f) ‘T. Federal Program income expended on allowable transit Capital and Operating expense’




8) All other remaining fields will be calculated automatically by the system.

9) Once you have completed entering all details, click the ‘Calculate Totals’ button.

**Note:** To avoid system validation errors while entering dollar values into the ‘This Period’ and ‘Amount’ fields, you must keep the following rules in mind for the FFR:

- The sum of the value displayed under the ‘Cumulative’ field in ‘G. Recipient Share of Expenditures’ and the value provided for ‘J. Recipient Share of Unliquidated Obligations’ must be less than or equal to the value displayed for ‘N. Total Recipient Share Required.’
- You cannot input values in both ‘R. Federal Program income expended in accordance with the deduction alternative’ and ‘T. Federal Program income expended on allowable transit Capital and Operating expense.’ You will be allowed to enter a value for only one of these fields.
- Each of the separate values entered for ‘A. Federal Cash on hand at Beginning of Period,’ ‘B. Federal Cash Receipts,’ ‘C. Federal Cash Disbursements,’ ‘F. Federal Share of Expenditures,’ and ‘I. Federal Share of Unliquidated Obligations’ cannot be greater than ‘E. Total Federal Funds Authorized.’
- The calculated value of ‘D. Federal Cash on hand at End of Period (A + B - C)’ cannot be negative.
- The calculated value of ‘O. Remaining Recipient Share to be provided [N - (G + J)]’ cannot be negative.

10) The system will display the 'Confirm FFR Data' form. If you wish to return to the previous 'Input FFR Values' form to make changes, click on the 'Modify FFR Values' button.

# Federal Financial Report (FFR) | Confirm FFR Data

## Recipient Summary

| | | | |
|---|---|---|---|
| Recipient ID | 9900<br>https://facestraining.fta.dot.gov/suite/tempo/records... | Recipient DUNS | 999999999 |
| | | EIN Number | 999999999 |
| Recipient Name | Disneyland Transit Organization | | |

## Award Summary

| | | | |
|---|---|---|---|
| Federal Award ID Number (FAIN) | FL-2016-001-00<br>https://facestraining.fta.dot.gov/suite/tempo/records... | Award Name | RC - Application for MPR and FFR for user guide purposes only |
| FFR Reporting Frequency | Quarterly | Award Status | Active (Executed) |
| | | Obligation Date | 2/1/2016 |
| Preaward Authority | ○ Yes, Preaward Authority utilized<br>◉ No, Preaward Authority not utilized | | |

## Federal Financial Report Summary

| | | | |
|---|---|---|---|
| Report Type | Quarterly | Report Period Begin Date | 1/1/2016 |
| Report Period | Quarter 2 (Jan - Mar), FY 2016 | | |
| Report Due Date | 4/30/2016 | Report Period End Date | 3/31/2016 |
| Final Report? | ○ Yes, Final Report<br>◉ No, Not Final Report | | |

## Status Log

| Status | Updated Date | Updated By |
|---|---|---|
| Work in Progress | 2/17/2016 | appian.administrator |

## Indirect Expense

| | | | |
|---|---|---|---|
| Type | N/A | Period From | |
| | | Period To | |
| Rate | 0% | Amount Charged | $0 |
| Base | $0 | Federal Share | $0 |

11) Sections ‘A’ to ‘U’ will also be displayed with the data entered in the previous step.

12) Once you have finished entering information for the FFR, click the ‘Continue to Submission’ button.

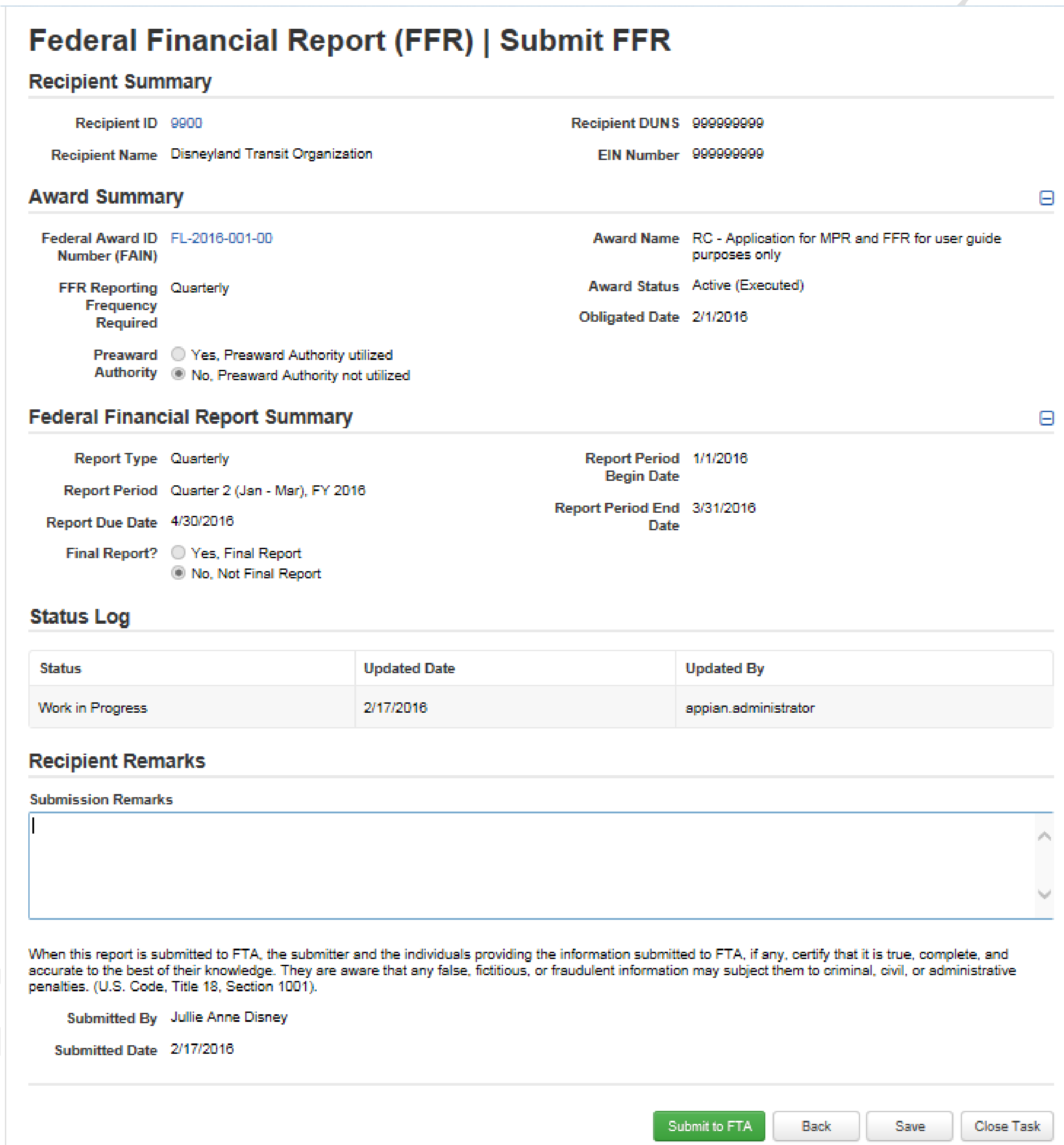
**Financial Status**

| Transactions | Previous | Current | Cumulative |
|---|---|---|---|
| A. Federal Cash on Hand at Beginning of Period | $0 | $0 | $0 |
| B. Federal Cash Receipts | $4,815,843 | $0 | $4,815,843 |
| C. Federal Cash Disbursements | $4,815,843 | $0 | $4,815,843 |
| D. Federal Cash on Hand at End of Period (A + B - C) | $0 | $0 | $0 |
| E. Total Federal Funds Authorized | | | $27,679,292 |
| F. Federal Share of Expenditures | $4,815,843 | $0 | $4,815,843 |
| G. Recipient Share of Expenditures | $1,203,961 | $0 | $1,203,961 |
| H. Total Expenditures (F + G) | $6,019,804 | $0 | $6,019,804 |
| I. Federal Share of Unliquidated Obligations | | | $0 |
| J. Recipient Share of Unliquidated Obligations | | | $0 |
| K. Total Unliquidated Obligations (I + J) | | | $0 |
| L. Total Federal Share (F + I) | | | $4,815,843 |
| M. Unobligated Balance of Federal Funds (E - L) | | | $22,863,449 |
| N. Total Recipient Share Required | | | $6,919,825 |
| O. Remaining Recipient Share to be Provided [N - (G + J)] | | | $5,715,864 |
| P. Federal Program Income on Hand at Beginning of Period | | | $0 |
| Q. Total Federal Program Income Earned | | | $0 |
| R. Federal Program Income Expended in accordance with the deduction alternative | | | $0 |
| S. Federal Program Income Expended in accordance with the addition alternative | | | $0 |
| T. Federal Program Income Expended on allowable Transit Capital and Operating expenses | | | $0 |
| U. Federal Unexpended Program Income [(P + Q - R) or (P + Q - S) or (P + Q - T)] | | | $0 |

1-21 of 21

Continue to Submission | Modify FFR Values | Close Task

13) The ‘Submit FFR’ form will be displayed. Use the ‘Back’ button if you wish to return to the previous form. The ‘Save’ button can be used to save the comments entered into the ‘Submission Remarks’ field. This is a required field. Enter any comments for FTA into the ‘Submission Remarks’ field and then click the ‘Submit to FTA’ button to proceed.



# Federal Financial Report (FFR) | Submit FFR

## Recipient Summary

Recipient ID: 9900
Recipient DUNS: 999999999
Recipient Name: Disneyland Transit Organization
EIN Number: 999999999

## Award Summary

Federal Award ID Number (FAIN): FL-2016-001-00
Award Name: RC - Application for MPR and FFR for user guide purposes only
FFR Reporting Frequency Required: Quarterly
Award Status: Active (Executed)
Obligated Date: 2/1/2016
Preaward Authority: Yes, Preaward Authority utilized / No, Preaward Authority not utilized

## Federal Financial Report Summary

Report Type: Quarterly
Report Period Begin Date: 1/1/2016
Report Period: Quarter 2 (Jan - Mar), FY 2016
Report Period End Date: 3/31/2016
Report Due Date: 4/30/2016
Final Report?: Yes, Final Report / No, Not Final Report

## Status Log

| Status | Updated Date | Updated By |
|---|---|---|
| Work in Progress | 2/17/2016 | appian.administrator |

## Recipient Remarks

Submission Remarks

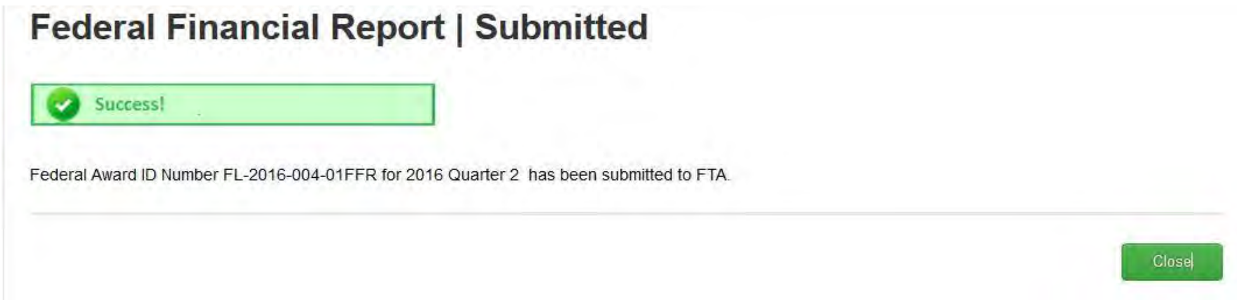
When this report is submitted to FTA, the submitter and the individuals providing the information submitted to FTA, if any, certify that it is true, complete, and accurate to the best of their knowledge. They are aware that any false, fictitious, or fraudulent information may subject them to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001).

Submitted By: Jullie Anne Disney
Submitted Date: 2/17/2016

Submit to FTA | Back | Save | Close Task

14) The ‘Submitted’ form will be displayed with the following confirmation message: ‘Federal Award ID Number [FAIN #] FFR for [FY] [Report Frequency] has been submitted to FTA.’

15) Click the ‘Close’ button. The system returns you to the ‘Tasks’ tab and the task link will now be removed from the task list.



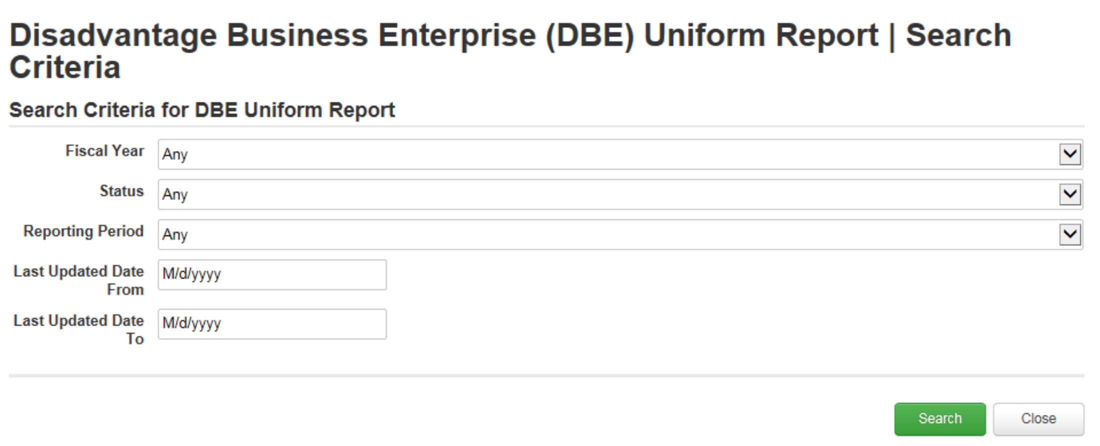

## 8.4 Disadvantaged Business Enterprise (DBE) Report

A Semiannual DBE report must be completed and submitted by recipient organizations with DBE. Recipients with the user role of Civil Rights will receive a task to submit the reports 60 days prior to their due dates. Submission due dates are June 1 and December 1 of each fiscal year. FTA regional and HQ staff will review the reports and provide approval.

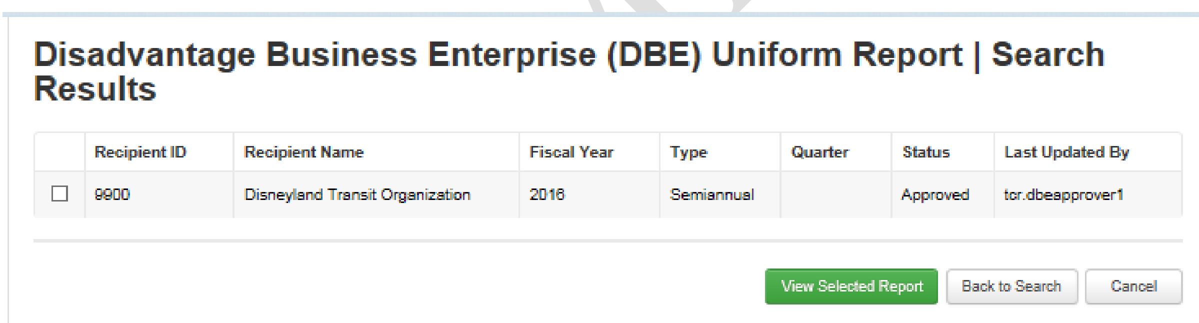
### 8.4.1 Search for DBE Reports

You may view previously submitted DBE Reports for your recipient organization from the Actions Tab.

1) Click ‘Search DBE Report’.
2) The ‘Disadvantaged Business Enterprise (DBE) Uniform Report | Search Criteria’ form will be displayed with search criteria fields. You will be able to complete the following fields:
3) Select a DBE report fiscal year from the drop-down menu provided under the ‘Fiscal Year’ field.
    a) Select a DBE report status from the drop-down menu provided under the ‘Status’ field.
    b) Select a DBE reporting period from the drop-down menu provided under the ‘Reporting Period’ field.
    c) Click in the ‘Last Updated Date From’ field to enter in a date or display a calendar picker to select a date from for the first date of a range.
    d) Click in the ‘Last Updated Date To’ field to enter or display a calendar picker to select a date from for the last date of a range.
4) Once all search criteria have been entered, click the ‘Search’ button.



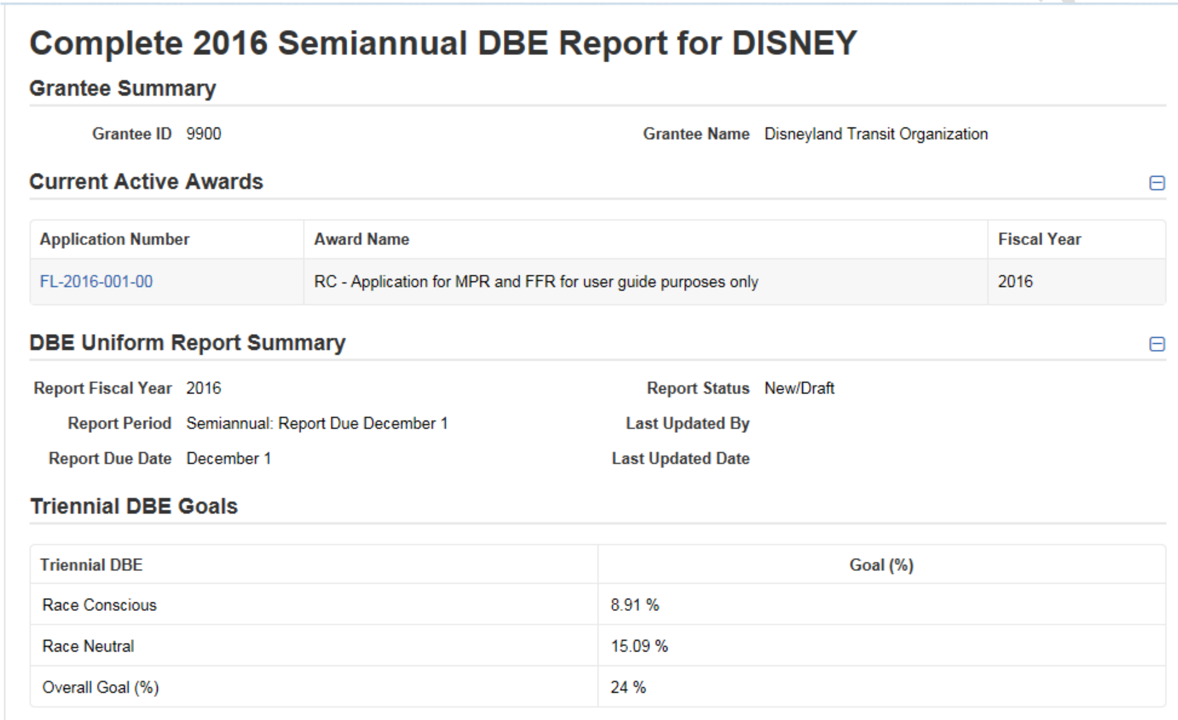

5) The ‘Disadvantaged Business Enterprise (DBE) Uniform Report | Search Results’ form will be displayed with results in grid format.
6) Select the check box for a report from the list and then click the ‘View Selected Report’ button to access a read-only version of the report.
7) Click the ‘Back to Search’ button if you wish to return to the previous search criteria form.
8) Clicking the ‘Cancel’ button returns you to the ‘Actions’ tab.




### 8.4.2 Task: Submit Disadvantaged Business (DBE) Report

The number of Tasks assigned to a user will be visible next to the ‘Task’ tab.
1) After the Civil Rights Officer successfully logs on, click the ‘Task’ tab.
2) Select the ‘Complete FY [Fiscal Year] Semiannual DBE Report for [Recipient Name]’ task and then accept the task.

3) The ‘Complete [FY] Semiannual DBE Report for [Recipient Acronym]’ form will be displayed.
   a) The form will include a list of currently active awards
   b) Click on the FAIN # link of an application record from the grid if you wish to view an application listed for your recipient organization.



## Complete 2016 Semiannual DBE Report for DISNEY

### Grantee Summary

Grantee ID 9900 | Grantee Name Disneyland Transit Organization

### Current Active Awards

| Application Number | Award Name | Fiscal Year |
|---|---|---|
| FL-2016-001-00 | RC - Application for MPR and FFR for user guide purposes only | 2016 |

### DBE Uniform Report Summary

| | | | |
|---|---|---|---|
| Report Fiscal Year | 2016 | Report Status | New/Draft |
| Report Period | Semiannual: Report Due December 1 | Last Updated By | |
| Report Due Date | December 1 | Last Updated Date | |

### Triennial DBE Goals

| Triennial DBE | Goal (%) |
|---|---|
| Race Conscious | 8.91 % |
| Race Neutral | 15.09 % |
| Overall Goal (%) | 24 % |

4) You will need to report on
   a) Prime contracts and subcontracts awarded
   b) DBE Awards/ Commitments for this period broken down by ethnicity and gender
   c) Payments made on ongoing contracts
   d) Payments on Contracts completed this period.
5) Column totals and percentages will be performed automatically by the system
6) Validation errors will be displayed for any amounts that have been incorrectly entered for the report. All validation errors must be corrected before you will be able to proceed with report submission.
7) Click the ‘Save’ button at any time to save any changes entered on the form.

### Prime Contracts and Subcontracts Awarded

Awards/Commitments Made During This Reporting Period:

| | A. Total Dollars (All Types) | B. Total Number (All Types) | C. Total to DBEs ($) | D. Total to DBEs (#) | E. Total Dollars to DBEs/Race Conscious | F. Total Number to DBEs/Race Conscious | G. Total Dollars to DBEs/Race Neutral | H. Total Number to DBEs/ Race Neutral | I. % of Total to DBEs |
|---|---|---|---|---|---|---|---|---|---|
| 8. Prime Contracts Awarded / Committed This Period | $200,000.00 | 0 | $0 | 0 | | | $0.00 | 0 | 0.0 % |
| 9. Sub Contracts Awarded / Committed This Period | $0.00 | 0 | $0 | 0 | $0.00 | 0 | $0.00 | 0 | 0.0 % |
| 10. Total | | | $0 | 0 | $0 | 0 | $0 | 0 | 0.0 % |

### DBE Awards/Commitments This Period - Breakdown by Ethnicity & Gender

Awards/Commitments Breakdown By Ethnicity & Gender:

| | A. Total to DBE (dollar) - Women | B. Total to DBE (dollar) - Men | C. Total to DBE (dollar) | D. Total to DBE (number) - Women | E. Total to DBE (number) - Men | F. Total to DBE (number) |
|---|---|---|---|---|---|---|
| 11. Black American | $0.00 | $0.00 | $0 | 0 | 0 | 0 |
| 12. Hispanic American | $0.00 | $0.00 | $0 | 0 | 0 | 0 |
| 13. Native American | $0.00 | $0.00 | $0 | 0 | 0 | 0 |
| 14. Asian-Pacific American | $0.00 | $0.00 | $0 | 0 | 0 | 0 |
| 15. Subcontinent Asian American | $0.00 | $0.00 | $0 | 0 | 0 | 0 |
| 16. Non-Minority | $0.00 | $0.00 | $0 | 0 | 0 | 0 |
| 17. TOTAL | $0 | $0 | $0 | 0 | 0 | 0 |

### Payments on Ongoing Contracts (Report Activity of Ongoing Contracts)

| | A. Total Number of Contracts | B. Total Dollars | C. Total Number of Contracts with DBEs | D. Total Payments to DBE Firms | E. Total Number of DBE Firms Paid | F. Percent to DBEs |
|---|---|---|---|---|---|---|
| 18. Prime and sub contracts currently in progress | 0 | $0.00 | 0 | $0.00 | 0 | 0.0% |

### Actual Payments on Contracts Completed This Period

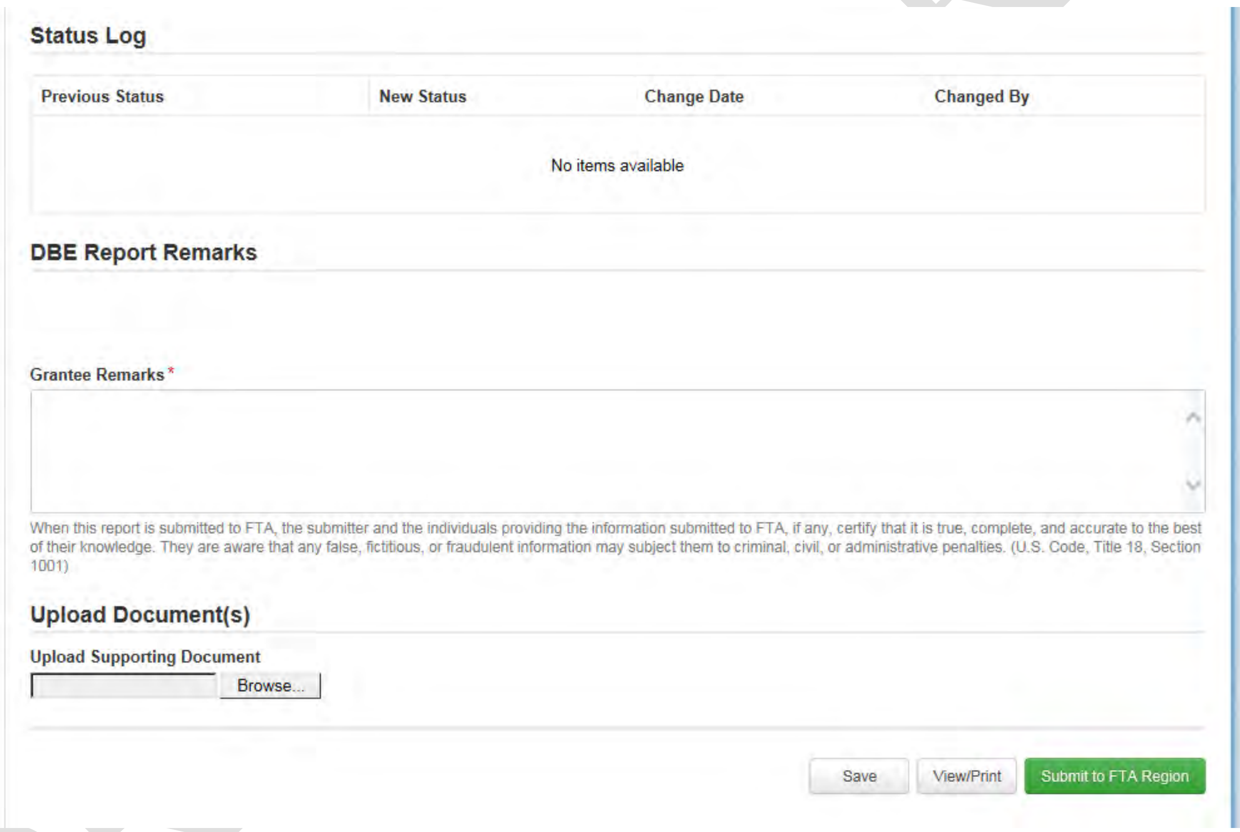
| | A. Number of Prime Contracts Completed | B. Total Dollar Value of Completed Prime Contracts | C. DBE Participation Dollars Needed to Complete Goal | D. Total DBE Participation Dollars | E. Percentage of Total DBE Participation Dollars |
|---|---|---|---|---|---|
| 19. Race Conscious | 0 | $0.00 | $0.00 | $0.00 | 0.0 % |
| 20. Race Neutral | 0 | $0.00 | | $0.00 | 0.0 % |
| 21. Total | 0 | $0 | | $0 | 0.0 % |

9) Once you have finished entering all dollar figures as needed, enter remarks into the ‘Grantee Remarks’ field. This is a required field.

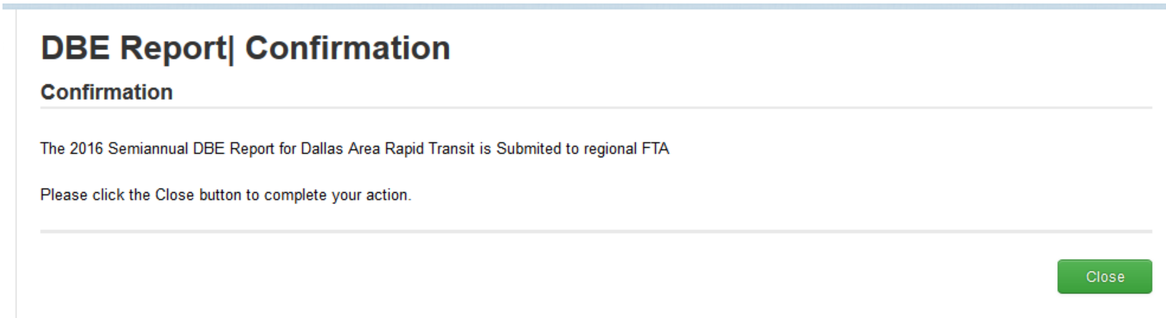
10) Click the ‘Browse...’ button under the ‘Upload Supporting Document’ field if you wish to select a local file to upload as a supporting document. Click the ‘Remove’ link which appears after upload if you wish to remove your uploaded file.

11) Click the ‘View/Print’ button if you wish to generate a view/print document of the DBE report. The ‘View/Print DBE Report’ form will be displayed, which provides a link to open or save a local copy of the DBE report. Click the ‘Close’ button to return to the previous form.

12) Once finished, click on the ‘Submit to FTA Region’ button to proceed and submit the DBE report to FTA Regional Office staff for their review.




13) The ‘Confirmation’ form will be displayed with the following confirmation message: ‘The [FY] Semiannual DBE Report for [Recipient Name] is submitted to regional FTA. Please click the Close button to complete your action.’




14) Click the ‘Close’ button. You will be returned to the ‘Tasks’ tab and the task link will now be removed from the task list.

# 9 Reports

## 9.1 Report Tab

The ‘Reports’ tab is currently not in use for TrAMS.

- Previously generated reports (Static Reports) are accessible from the Records tab.
- Ad hoc reports are generated from the Actions tab
- Previously created MPR and FFR reports may be searched for and viewed from the Actions tab.

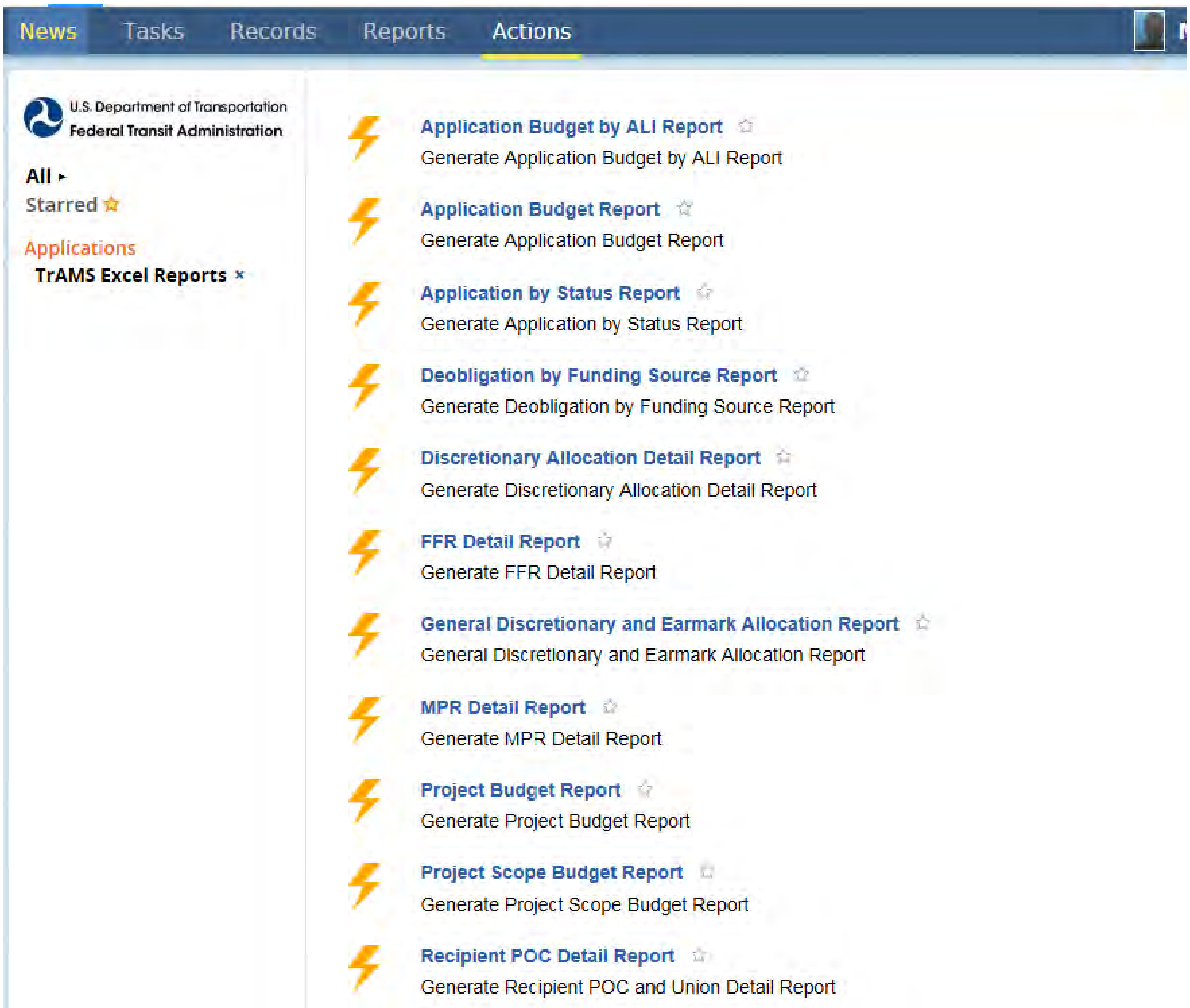
## 9.2 Excel Reports

Users may choose from a variety of Excel reports that are available from the ‘Actions’ tab. To filter the list of available ‘Actions’ to a list of the available Excel Reports, users may use the left hand navigation or they may simply scroll down the page until they find the report they need.

To filter and only see the available Excel reports.

1) From the Actions tab, click on ‘Application TrAMS Excel Reports’ in the left hand navigation.

2) Available Excel reports will be displayed



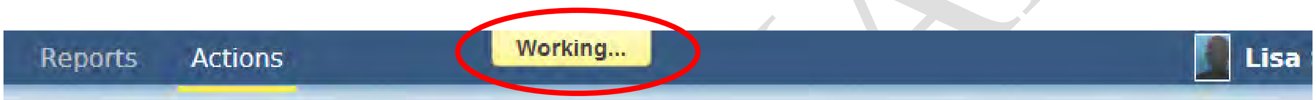

All users within recipient organizations will be able to view the following reports:

- Application Budget By ALI Report
- Application Budget Reports
- Application by Status Report
- Deobligation by Funding Source Report
- Discretionary Allocation Detail Report
- FFR Detail Report
- General Discretionary and Earmark Allocation Report

- MPR Detail Report
- Project Budget Report
- Project Scope Budget Report
- Recipient POC Detail Report

Excel reports on the Actions tab are created on an ad hoc basis. Recipient users will only see data for recipient organizations that they belong to. After selecting a report type they may filter the data to a subset. Once a report has been generated a link is displayed for the report. The user may then choose to open the report or save the report to their local environment.

Report generation time will vary depending on the report type and the amount of underlying data. While the system is creating the report the user will see the message ‘Working’ in the top navigation bar. Once the report has been generated the system will no longer display the ‘Working’ message and a link to the report will become available.




**Note:** The link for a report is not refreshed until the ‘Working’ message disappears. When generating successive reports, be sure the ‘Working’ message has disappeared prior to clicking the link, otherwise you will be accessing the previous report.

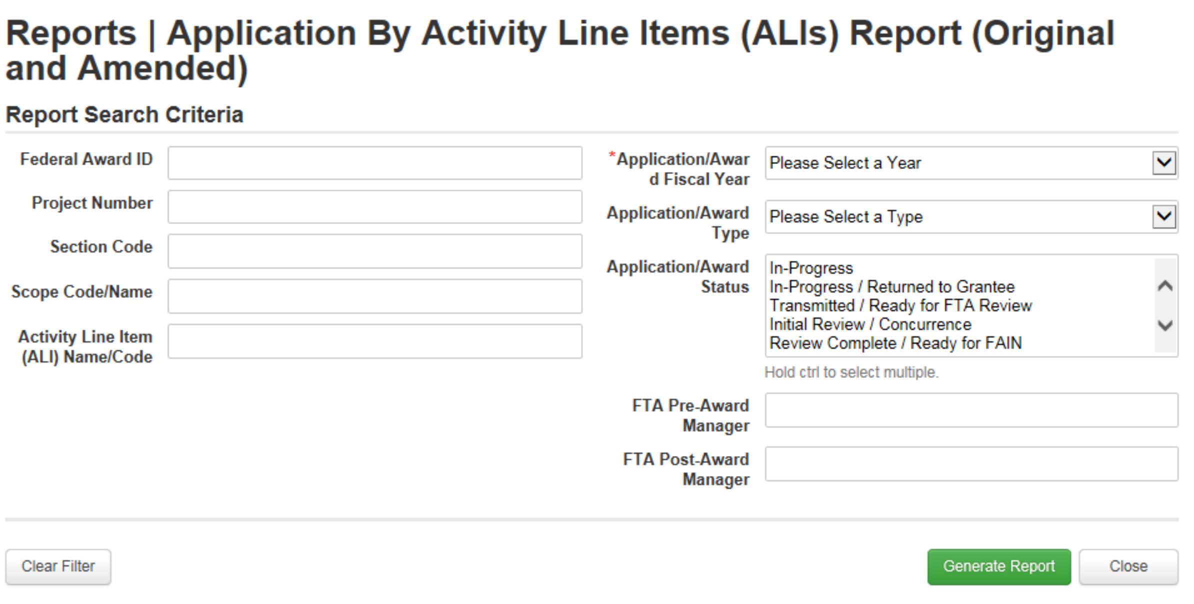
### 9.2.1 Application Budget by ALI Report

The ‘Application Budget by ALI Report’ displays budget activity line item (ALI) level status data for original awards and amendments. The report allows grantee users to view and track ALI level budget details and key milestone dates for an original award and an amendment. Users will be able to drill-down on this data based on awards, projects, section codes, scope codes; award fiscal years, award types, award status, and FTA grant manager details.

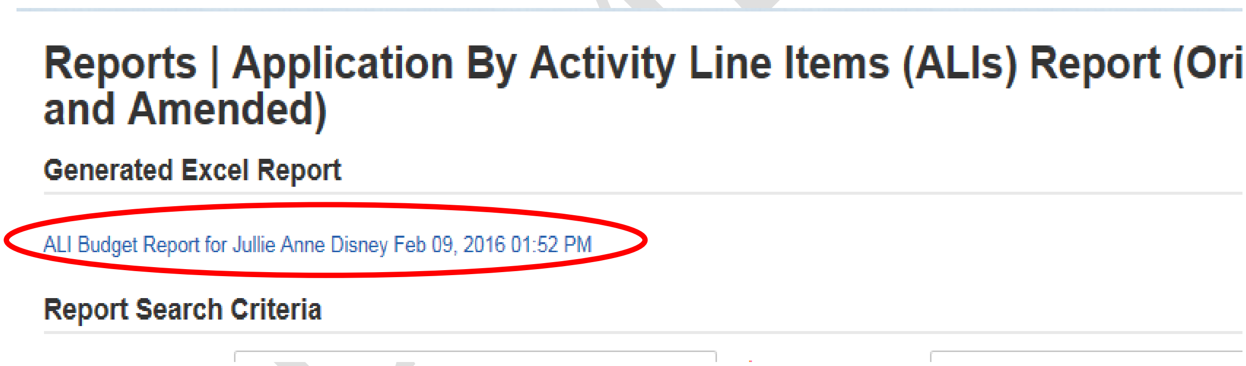
**Note:** Pre and post award information is not available for applications initiated in TEAM

To create and ‘Application Budget by ALI Report’

1) Click ‘Application Budget by ALI Report’.
2) The editable ‘Reports | Application by Activity Line items (ALIs) Report (Original and Amended)’ form will be displayed.
3) Select the ‘Application/Award Fiscal Year’ and any additional applicable search criteria.
4) Click the ‘Generate Report’ button.




5) Click on the report link to view the report that was generated for the entered search criteria.




### 9.2.2 Application Budget Report

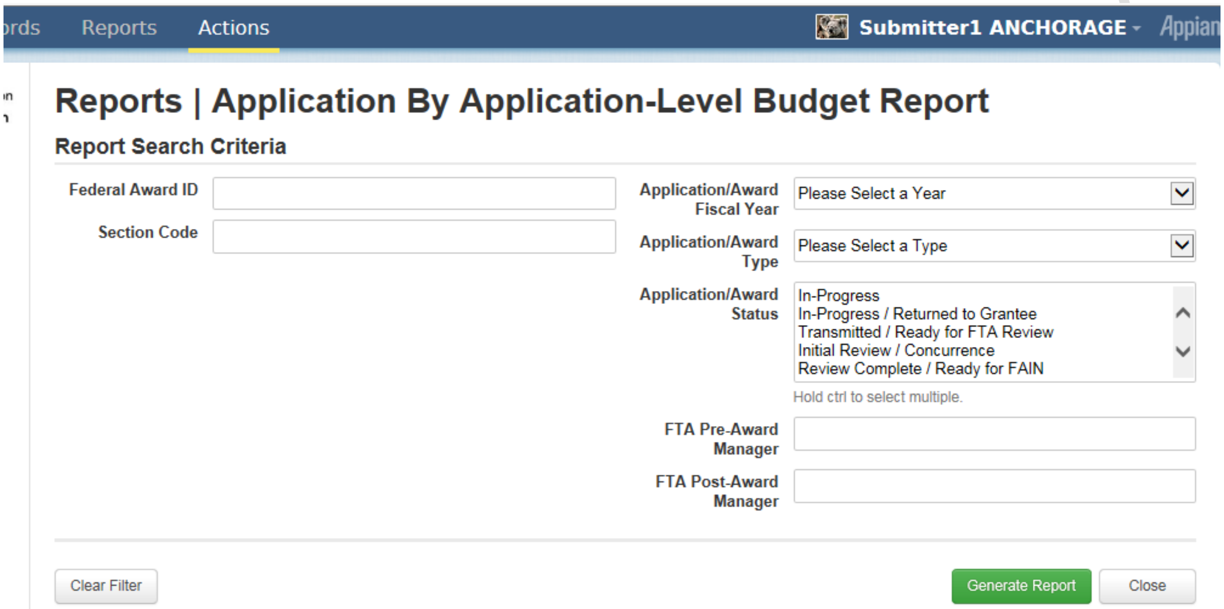
The 'Application Budget Report' allows grantee users to view and track application-level budget details, disbursement amounts, and key application milestone dates for original awards and amendments at an award level. Recipient may filter their information by application/award, section codes, application/award fiscal year, award type, application/award status, and/or pre and post award managers.

**Note:** Pre and post award information is not available for applications initiated in TEAM

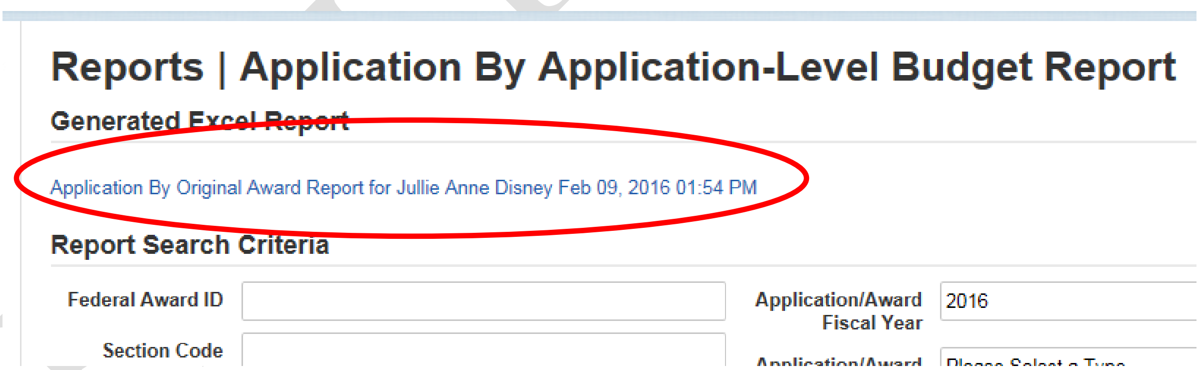
To create an 'Application Budget Report'

1) Click 'Application Budget Report'.

2) The editable ‘Reports | Application by Application Level Budget Report’ form will be displayed.
3) Enter the applicable search criteria
4) Click the ‘Generate Report’ button.




1) Click on the report link to view the report that was generated for the entered search criteria.



### 9.2.3 Application by Status Report

The 'Application by Status Report' lists the status of grant and cooperative agreements for applications and awards. This report can be used to determine reviews that have taken place and reviews still required. Users may filter their reports application/award, fiscal year, award type, award status, and/or pre and post award managers.

**Note:** Pre and post award information is not available for applications initiated in TEAM

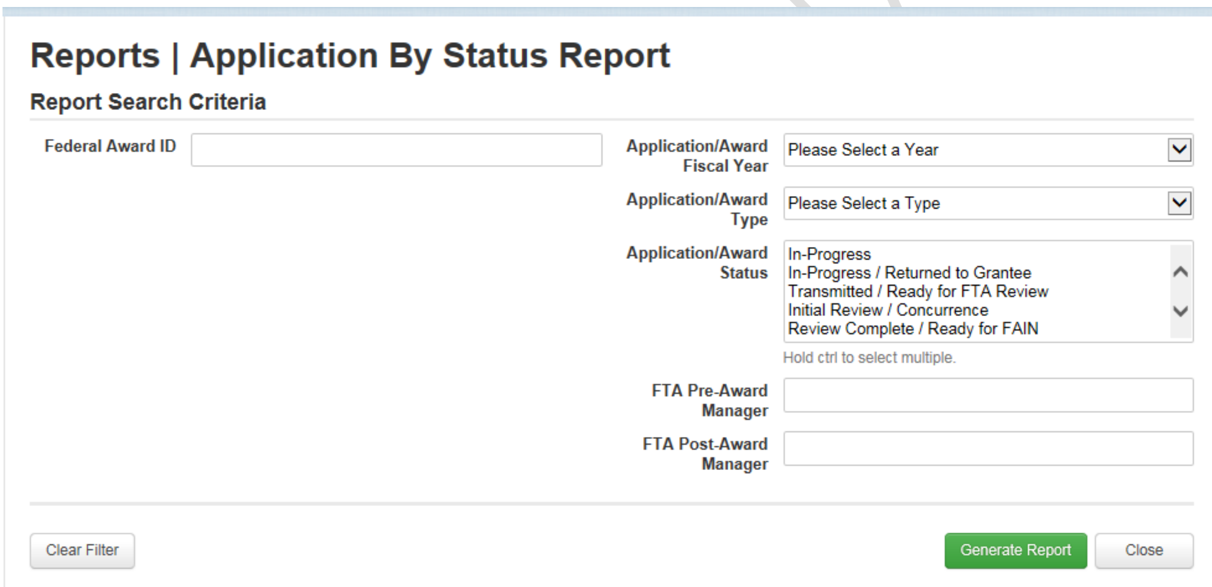
To create and 'Application by Status Report'

1) Click 'Application by Status Report'

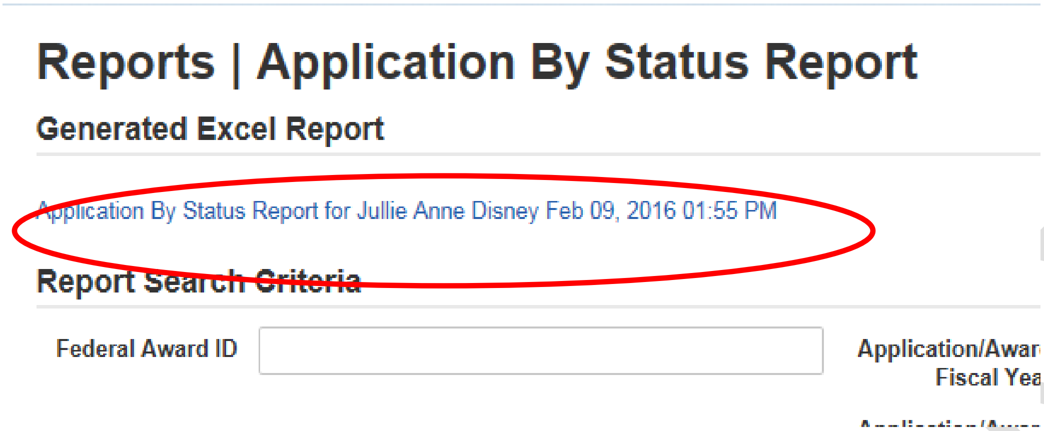
2) The editable 'Reports | Application by Status Report' form will be displayed.

3) Select your search criteria.

4) Click the 'Generate Report' button.




5) Click on the report link to view the report that was generated for the entered search criteria.




### 9.2.4 Deobligation by Funding Source Report

The ‘Deobligation by Funding Source Report’ lists FTA funds by the Deobligation fiscal year selected that have been deobligated from grants and cooperative agreements along with their accounting information. For grants and cooperative agreements created in TrAMS, this report also tracks partial deobligations on awards to the project and budget scope level. The report may be filtered by award Id, project, scope codes, cost centers, UZA’s, application fiscal year, award type, award status, appropriation code, section code, limitation code, and/or Authorization Type.

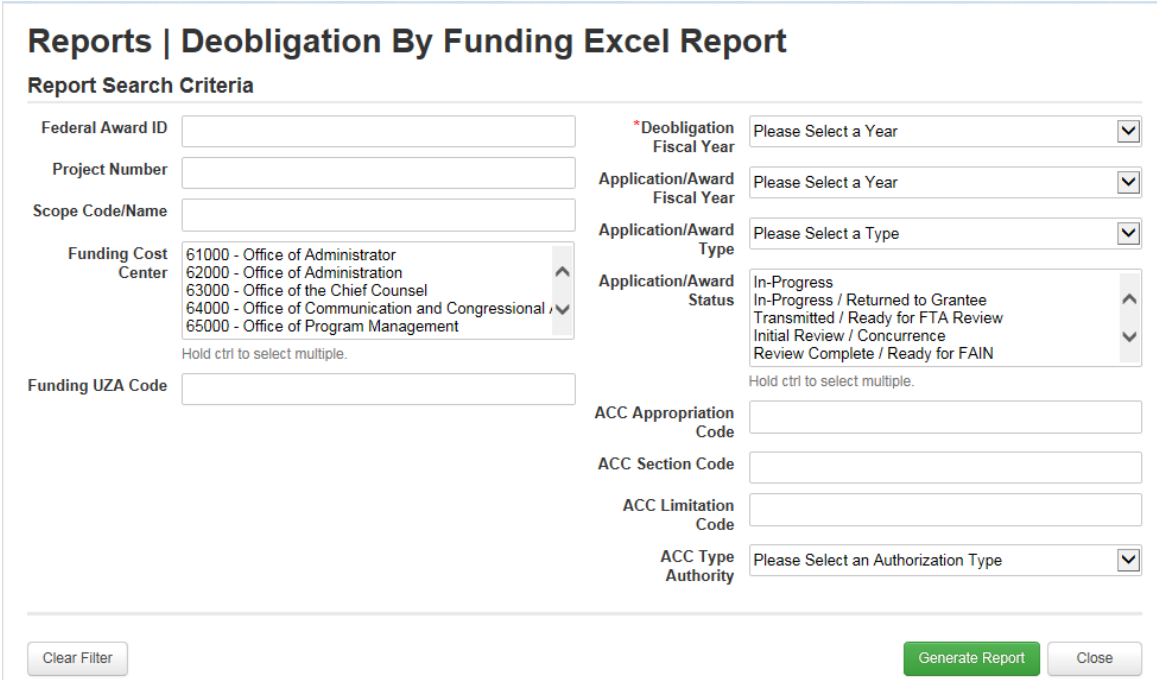
To create a ‘Deobligation By Funding Source Report’

1) Click ‘Deobligation by Funding Source Report’

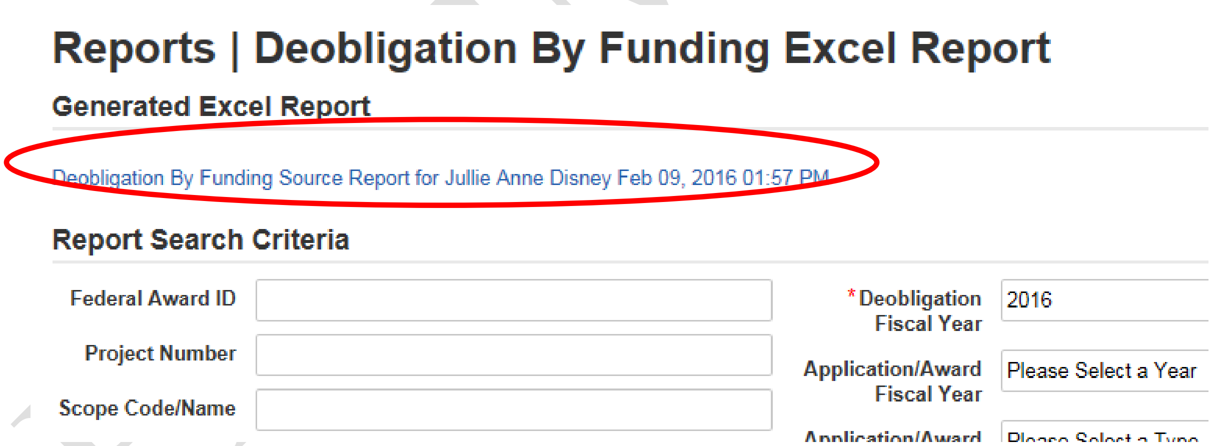
2) The editable ‘Reports | Deobligation by Funding Excel Report’ form will be displayed.

3) Enter the applicable search criteria. The Deobligation Fiscal Year is a required field.

4) Click the ‘Generate Report’ button.




5) Click on the report link to view the report that was generated for the entered search criteria.




### 9.2.5 Discretionary Allocation Detail Report

The ‘Discretionary Allocation Detail Report’ provides application/award information for grants and cooperative agreements that contain discretionary and/or earmark allocations, including status and if the funds have been awarded. Reports may be filtered by application/awards, project, discretionary ID, fiscal year, application/award type, status, and pre and post award mangers.

**Note:** Pre and post award information is not available for applications initiated in TEAM

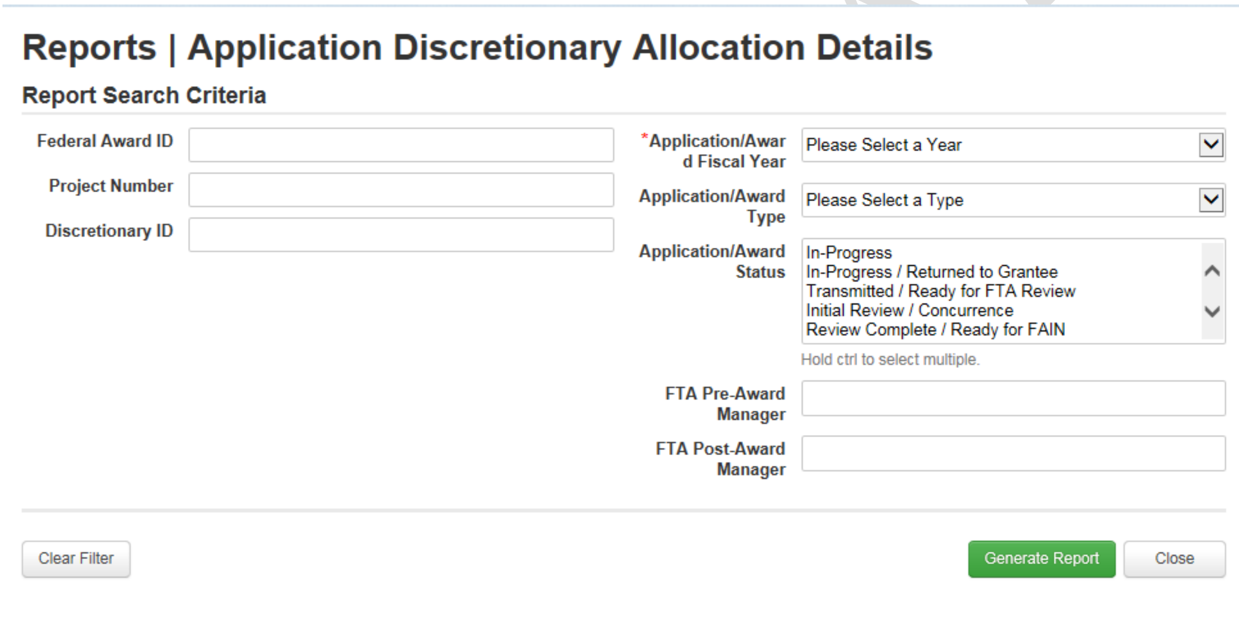
To create a 'Discretionary Allocation Detail' report,

1) Click 'Discretionary Allocation Detail Report'.

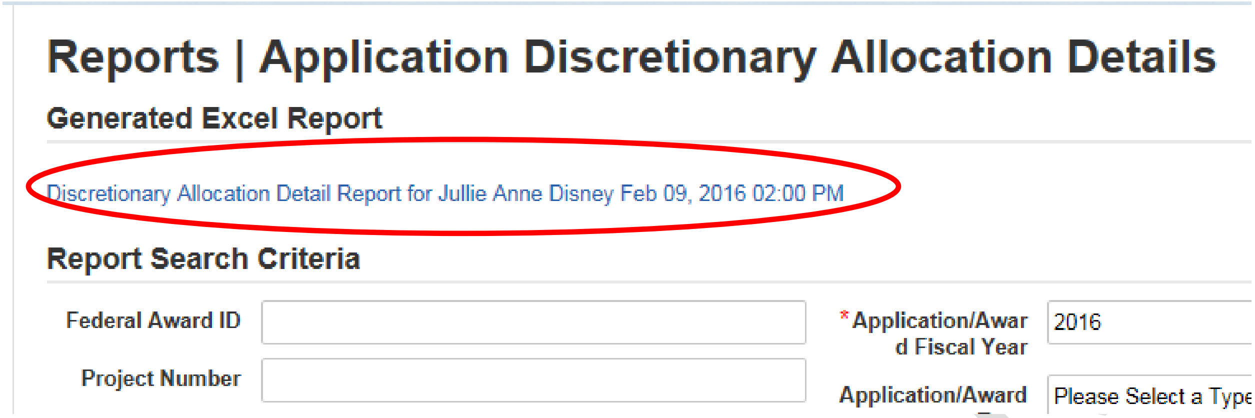
2) The editable 'Reports | Application Discretionary Allocation Details' form will be displayed.

3) Select an Application/Award Fiscal Year and any additional search criteria.

4) Click the' Generate Report' button.




5) Click on the report link to view the report that was generated for the entered search criteria.




### 9.2.6 FFR Detail Report

The ‘FFR Detail Report’ lists current FFRs according to the report period type and report period date ranges defined by the user. Users may determine whether a report has been submitted and whether FTA has reviewed them. The FFRs are displayed with their latest status, saved comments, recipient information, and award details relevant to the entered search criteria. Users must select a report period type and report period date ranges. Additional filter criteria include award number, award fiscal year, report status, final reports and initial reports, award types, and award status.

1) Click FFR Detail Report
2) The editable ‘Reports | Federal Financial Report Details (FFR)’ form will be displayed
3) Select a ‘Report Period Type’ and an associated report period and any additional desired search criteria.
4) Click ‘Generate Report’ button.

**Note:** Depending on the Report Period Type selected either the ‘Report Period Annual’, the ‘Report Period Quarterly’, or the ‘Report Period Monthly’ field will become available. The applicable corresponding field is required for report generation.

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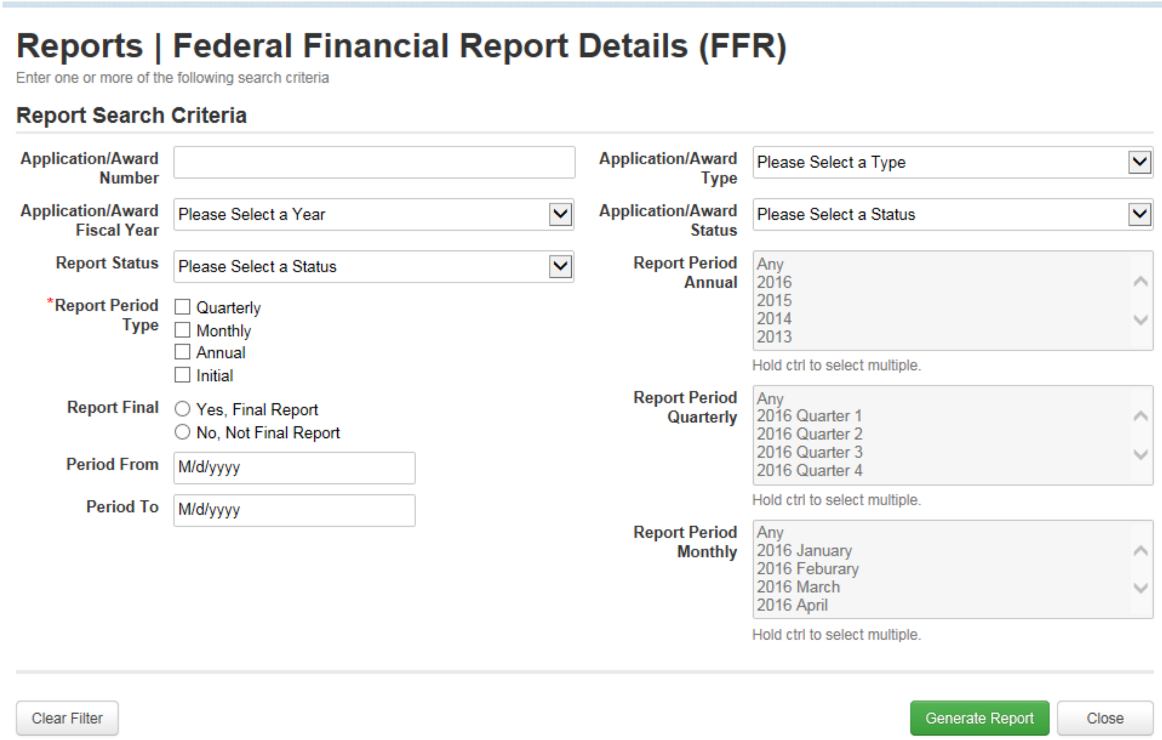
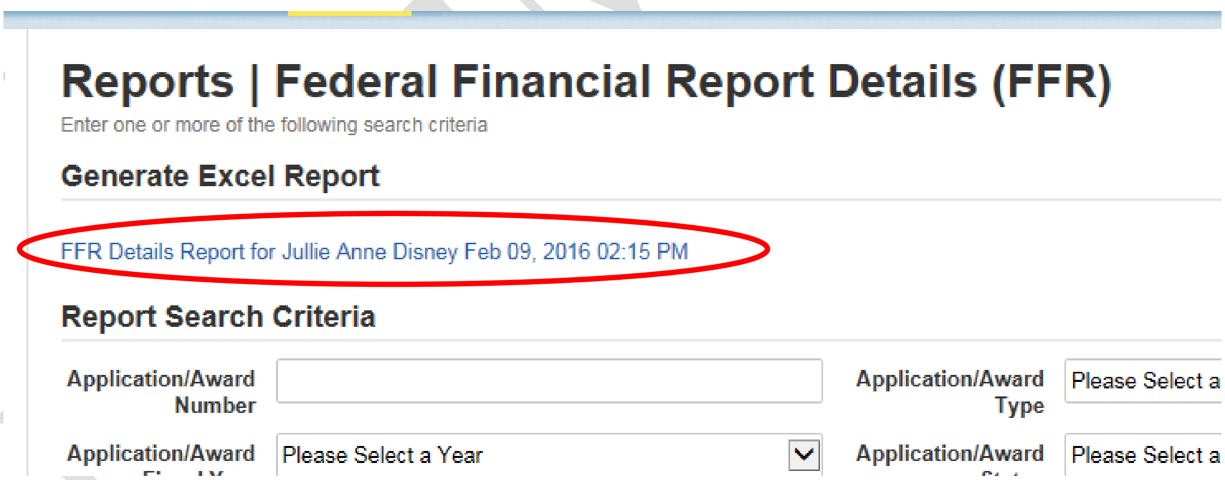



5) Click on the report link to view the report that was generated for the entered search criteria.




### 9.2.7 General Discretionary and Earmark Allocation Report

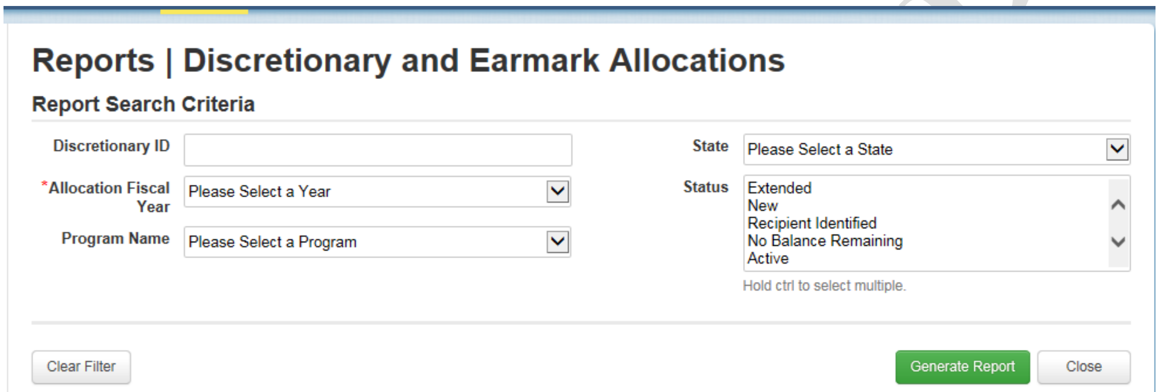
The 'General Discretionary and Earmark Allocation Report' displays the status of discretionary program allocations and earmarks included in Congressional appropriations. Recipients may use this report to view allocations that have been reserved and awarded along with unobligated allocations. The report may be filtered by discretionary ID, allocation fiscal year (required), program name, state, and/or allocation status.

1) Click General Discretionary and Earmark Allocation Report'

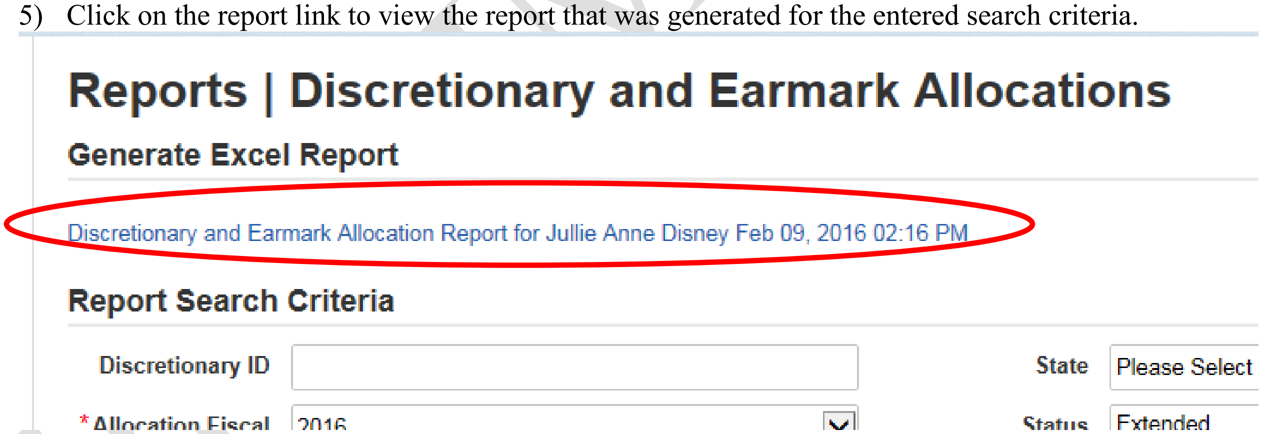
2) The editable 'Reports | Discretionary and Earmark Allocations' form will be displayed.

3) Select the Allocation Fiscal Year and any other desired search criteria.

4) Click 'Generate Report' button.




5) Click on the report link to view the report that was generated for the entered search criteria.




### 9.2.8 MPR Detail Report

Recipients may use this report to determine which MPR reports have been submitted and whether the FTA has reviewed the report. The MPR Detail Report will list the submission dates and review status information for Milestone Progress Reports along with basic grant and recipient information. Users must select a report period type and report period date ranges. Additional filter criteria include award number, award fiscal year, report status, final reports and initial reports, award types, and award status.

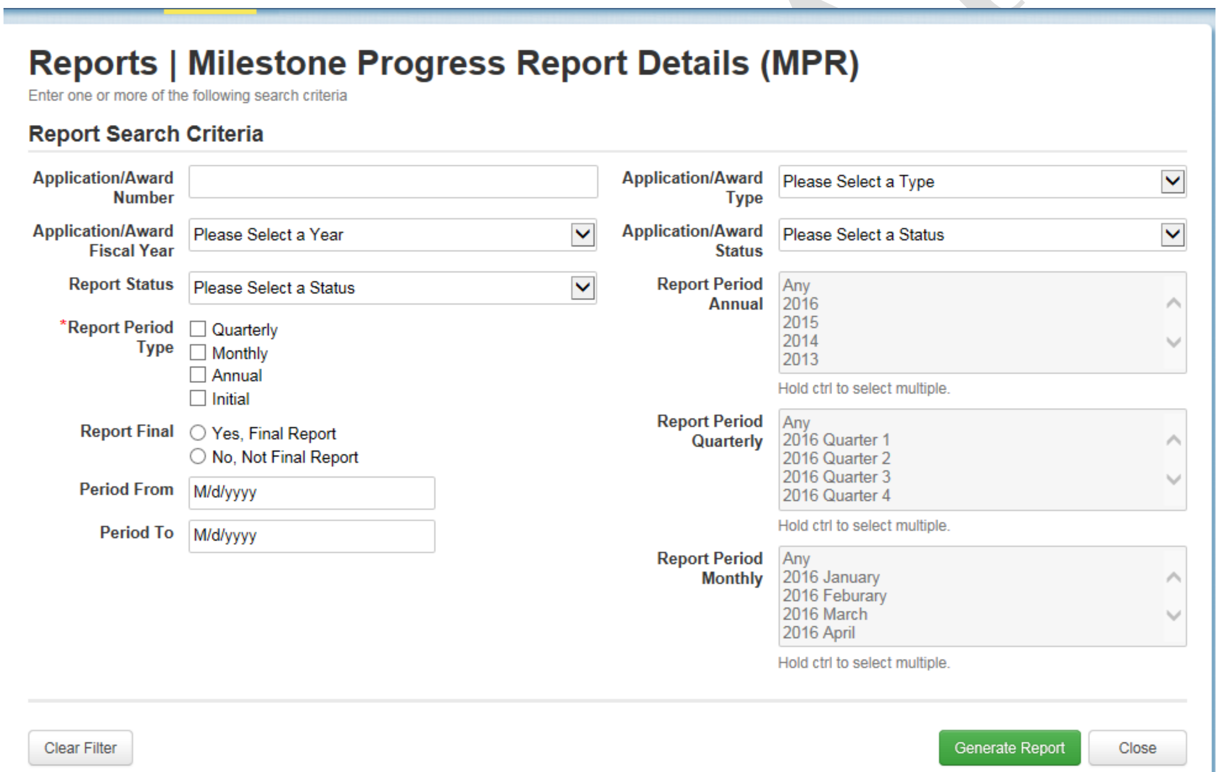
1) Click ‘MPR Detail Report’

2) The editable ‘Reports | Milestone Progress Report Details (MPR)’ form will be displayed.

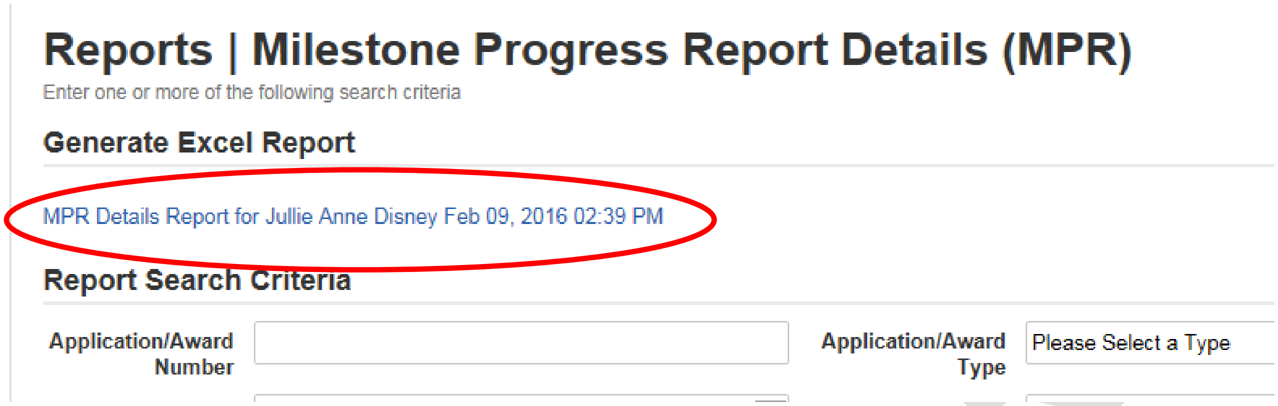
3) Select a Report Period and corresponding time period and any other desired search criteria.

4) Click **‘**Generate Report’ button.

**Note:** Depending on the Report Period Type selected either the ‘Report Period Annual’, the ‘Report Period Quarterly’, or the ‘Report Period Monthly’ field will become available. The applicable corresponding field is required for report generation.




5) Click on the report link to view the report that was generated for the entered search criteria.




### 9.2.9 Project Budget Report

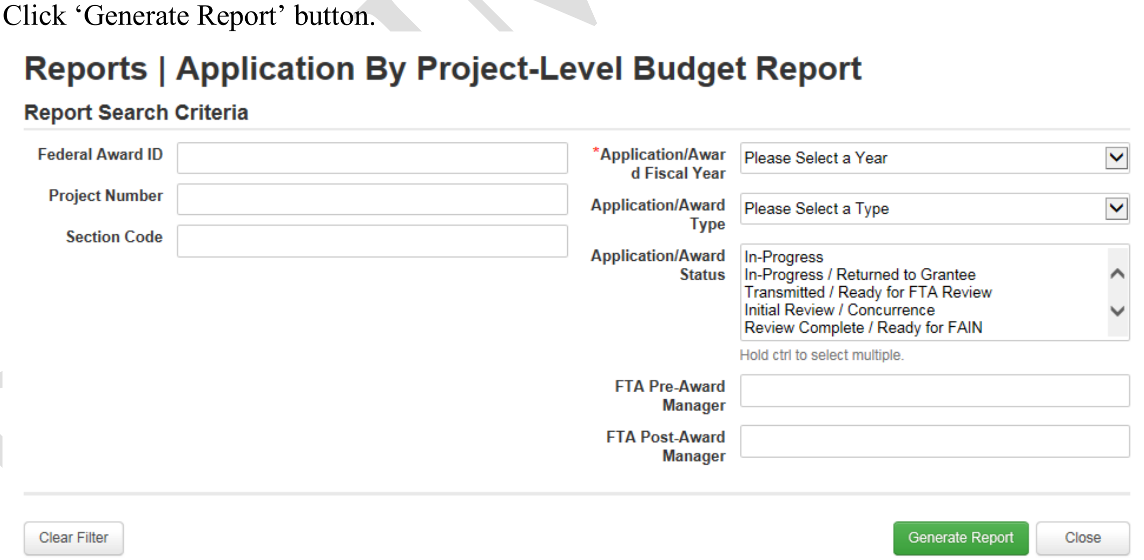
The 'Project Budget Report' allows recipient users to view and track budget details for applications, original awards, and amendments on a project level. Users will be able to filter on their data by awards, projects, section codes, award fiscal years, award types, award status, and FTA grant manager details.

1) Click 'Project Budget Report'

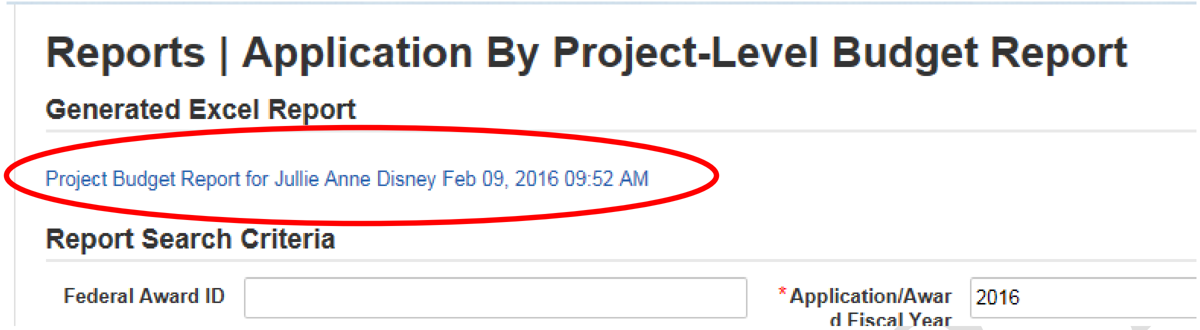
2) The editable 'Reports | Application By Project-Level Budget Report' form will be displayed.

3) Select the 'Application/Award Fiscal Year' and any additional search criteria.

4) Click 'Generate Report' button.




5) Click on the report link to view the report that was generated for the entered search criteria.




### 9.2.10 Project Scope Budget Report

The 'Project Scope Budget Report' allows recipient users to view and track budget details for applications, original awards, and amendments on a scope level. Users will be able to filter on their data by awards, projects, section codes, scope codes, award fiscal years, award types, award status, and FTA grant manager details.

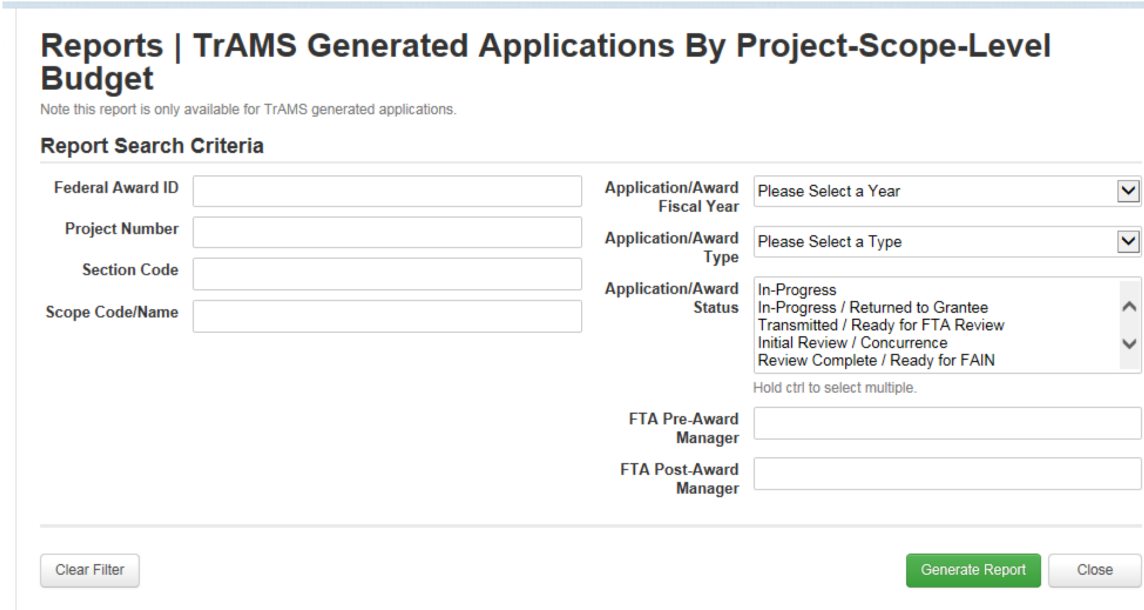
**Note:** This report only applications that originated in TrAMS.

1) Click 'Project Scope Budget Report'

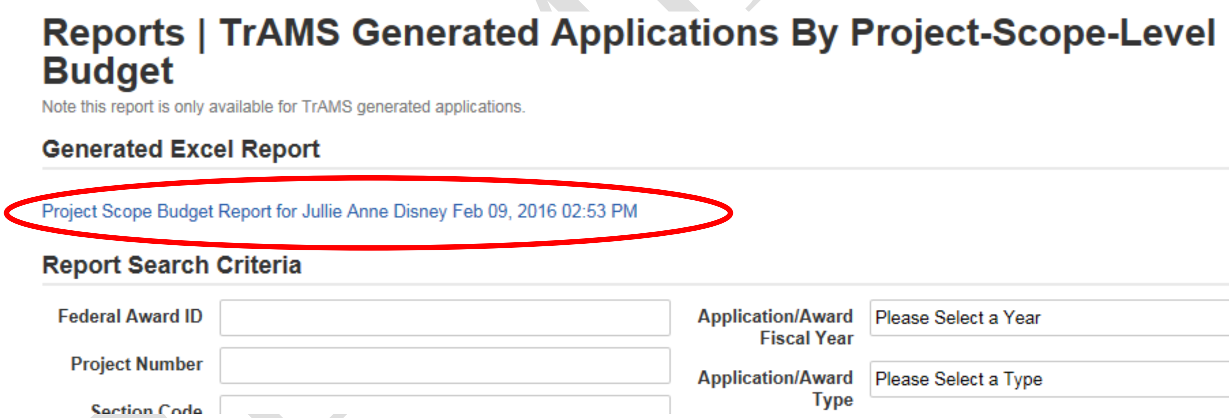
2) The editable 'Reports | TrAMS Generated Applications By Project-Scope-Level Budget' form will be displayed.

3) Enter the applicable search criteria.

4) Click 'Generate Report' button.




5) Click on the report link to view the report that was generated for the entered search criteria.




### 9.2.11 Recipient POC Detail Report

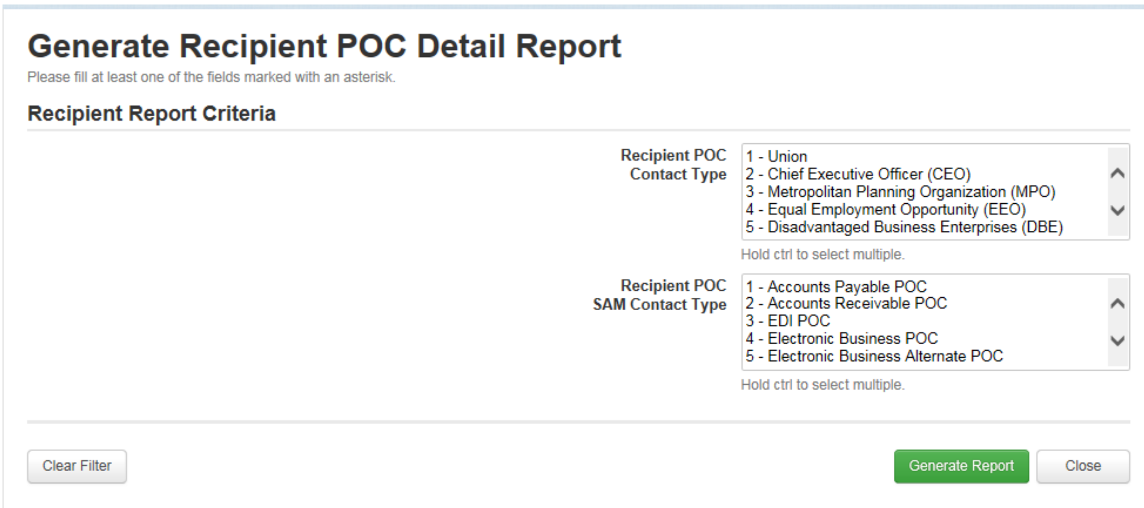
The 'Recipient POC Details Report' lists individuals who are listed as a recipient organizations' Points of Contacts (POC). The list may be filtered by 'Recipient POC Contact Types' and/or 'Recipient POC SAM Contact Types'. Details for each POC such as their title, address, contact information, and contact type are shown.

1) Click 'Recipient POC Detail Report'

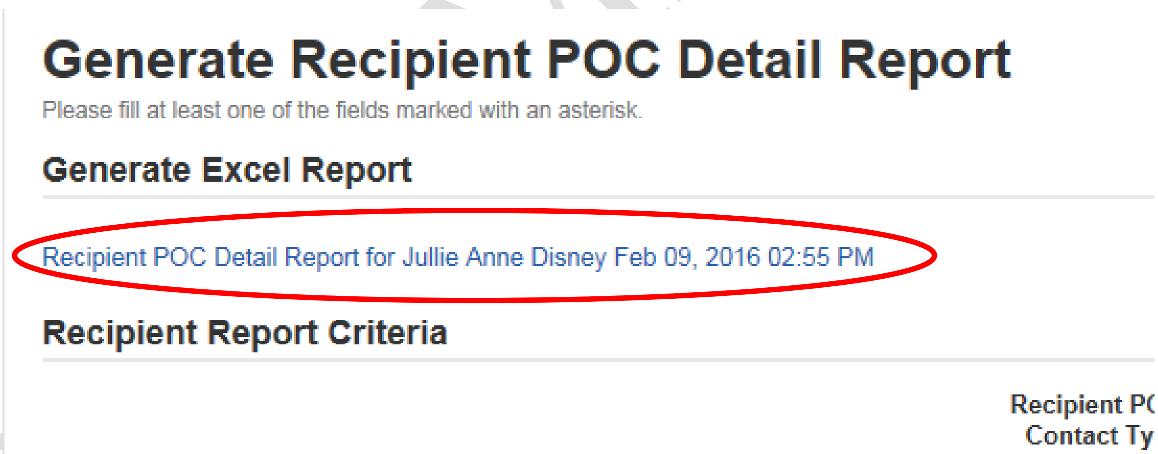
2) The editable 'Reports | Generate Recipient POC Detail Report' form will be displayed.

3) Enter the applicable search criteria.

4) Click ‘Generate Report’ button




5) Click on the report link to view the report that was generated for the entered search criteria.

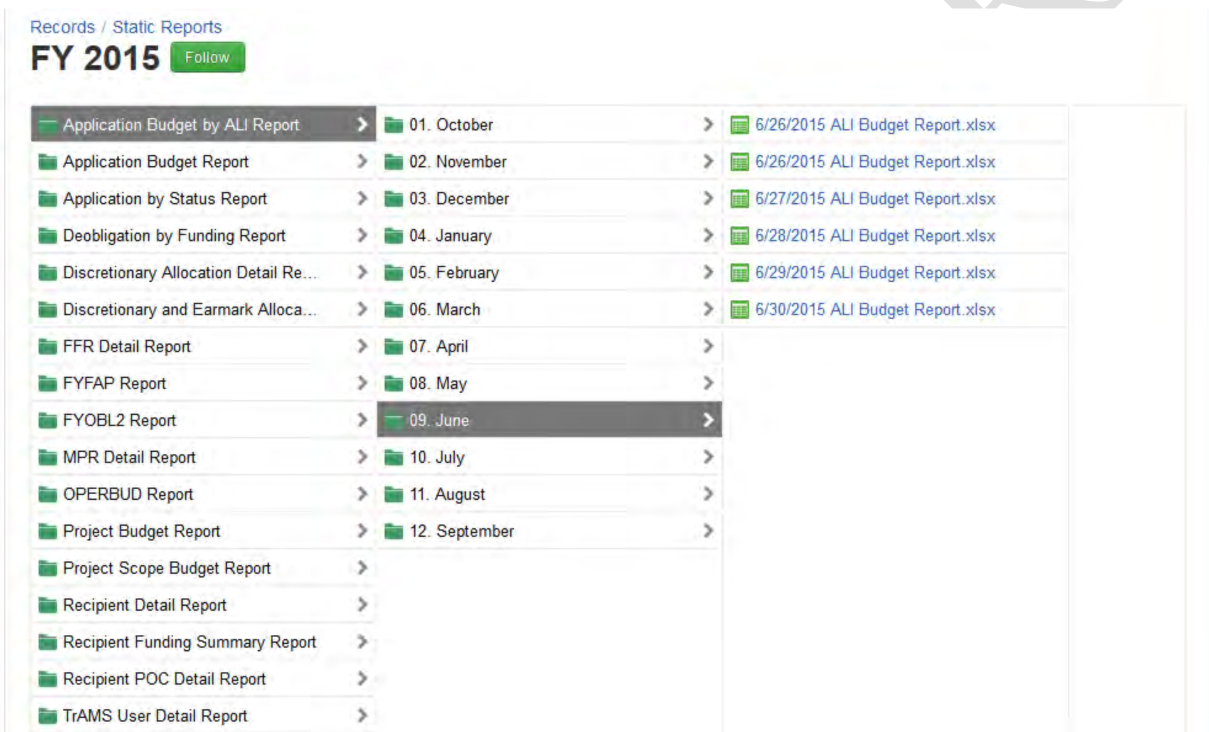



## 9.3 Static Reports

Static reports are daily copies of the reports that are available from the Actions tab. Static reports allow the user to select a specific snap shot in time. These reports are accessed from the ‘Records’ tab and categorized by fiscal year. The Static Reports have no filter criteria. Reports are generated on a nightly basis and are cumulative starting with the 1st day of the fiscal year. Reports are stored by fiscal year, report type, month, and day.

To access a static report:

1) From the 'Records' tab, click on 'Static Reports'.
2) Select the fiscal year for the static report you wish to view.
3) All static report types will be displayed.
4) Click on a report type to show a list of months for the fiscal year.
5) Click on a month to find the daily generated reports.
6) Click on the link of a report to open or save a copy of it in Excel format.




Refer to previous sections in 'Excel Reports' for more details on each report and the types of information generated for them.

## Appendix A – Abbreviations, Acronyms, and Terms

| Acronym | Definition |
|---|---|
| ACC | Account Classification Code |
| ALI | Activity Line Item |
| ARRA | American Recovery & Reinvestment Act |
| C&As | Certifications & Assurances |
| CE | Categorical Exclusion |
| DBE | Disadvantaged Business Enterprise |
| DOL | Department of Labor |
| DOT | Department of Transportation |
| EA | Environmental Assessment |
| EEO | Equal Employment Opportunity |
| EIS | Environmental Impact Statement |
| E.O. | Executive Order |
| FAIN | Federal Award Identification Number |
| FFR | Federal Financial Report |
| FONSI | Finding of No Significant Impact |
| FTA | Federal Transit Administration |
| MPR | Milestone Progress Report |
| NEPA | National Environmental Policy Act |
| RA | Regional Administrator |
| ROD | Record of Decision |
| SAM | System for Award Management |

| Acronym | Definition |
|---|---|
| SCC | Standard Cost Categories |
| STIP | Statewide Transportation Improvement Program |
| TIP | Transportation Improvement Plan |
| TrAMS | Transit Award Management System |
| UPWP | Unified Planning Work Program |
| UZA | Urbanized Area |

# Appendix B - TEAM vs. TrAMS

**User Management:**

The Transit Electronic Award and Management (TEAM) system is the legacy system that the FTA has been using to award and manage Federal financial assistance for public transportation. TrAMS will be deployed as the successor to TEAM, bringing the latest IT capabilities to FTA's grant-making process.

The main differences between the two systems are highlighted in the tables below, concentrated in the systems' user management and application modules.

Table 1 below compares TEAM's user management functions to TrAMS's:

| TEAM User Management | TrAMS User Management |
|---|---|
| FTA local security manager (LSM) manages users | The recipient identifies a User Manager(s) who manages all its users |
| Paper form and signatures required | Electronic management/requests for review |
| FTA LSM enters in the information and updates as needed | The recipient's User Manager completes data entry and maintains accounts |
| FTA LSMs review all requests | FTA LSM(s) review and provide concurrence only for some user roles |
| Some users must provide supporting documentation (e.g., Official) | Documentation still required for certain roles that will have PIN access (Official, Attorney, Submitter) |
| FTA LSM manages coordination with recipients on annual reauthorization | The recipient's User Manager will be responsible for annual reauthorization |
| The recipient coordinates with the FTA LSM to modify or deactivate accounts | The recipient's User Manager may modify user access and deactivate users |

Table 1: TEAM vs. TrAMS User Management

**Roles:**

Table 2 maps the responsible TrAMS user groups to their recipient functions as seen on the TEAM request form:

| TEAM Recipient "Functions" Seen on TEAM Request Form | Equivalent TrAMS Recipient User Group/Role |
|---|---|
| N/A | User Manager |

| TEAM Recipient "Functions" Seen on TEAM Request Form | Equivalent TrAMS Recipient User Group/Role |
|---|---|
| N/A | Developer |
| Submit | Submitter |
| Civil Rights/DBE Reporting | Civil Rights |
| Execute | Official |
| Certify as Official | Official |
| Certify as Lawyer | Attorney |
| Certify as Both | Assign Both Attorney and Official |
| N/A | FFR Reporter |
| N/A | MPR Reporter |
| Supplemental Agreement | Not Applicable |

Table 2: TEAM Recipient Functions Mapped to TrAMS User Roles

**Application Statuses:**

| TEAM Pre-Award Status | TrAMS Pre-Award Status |
|---|---|
| Application in Development | In-Progress |
| Returned to Recipient | In-Progress / Returned to Grantee |
| Project Number Requested | Transmitted / Ready for FTA Review |
| N/A (No match in TEAM) | Initial Review / Concurrence |
| N/A (No match in TEAM) | Review Complete / Ready for FAIN |
| Project Number Assigned | FAIN Assigned / Ready for Submission |
| Ready for FTA Review | Application Submitted |
| Fund Reservation Required | Final Concurrence / Reservation |
| Ready for Award | Ready for RA Concurrence / Award |
| • Suppl Agmt Execution Required<br>• Execution Required | Obligated / Ready for Execution |

| TEAM Post-Award Status | TrAMS Post-Award Status |
|---|---|
| • Active (Executed)<br>• Funding Adjustment Requested | Active (Executed) |
| Deobligation Required | Deobligation Required |
| Budget Revision Pending | Active / Budget Revision In-Progress |
| N/A (No match in TEAM) | Active / Budget Revision Under Review |
| N/A (No match in TEAM) | In-Progress / Admin Amendment |
| Inactive Amendment | Active Award / Inactive Amendment |
| Ready for Close-Out | Active Award / Ready for Closeout |
| Close-Out Requested | Active Award / Closeout Requested |
| Closed | Closed |
| Archived | Archived |

**Note:** Applications in TrAMS with the 'Archived' status do not appear on the front end.

**Application Development:**

Table 3 below presents high-level differences between TEAM and TrAMS in how they handle their application development process:

| TEAM Applications | TrAMS Applications |
|---|---|
| Application is assigned a Project Number | Application is assigned a Federal Award Identification Number (FAIN) |
| Application is referred to as a single project and contains one or more scopes and activities | Application contains a single project or a group of projects |
| FTA may provide a Temporary Project Number that is expected to be the final Project Number at time of formal assignment | System automatically assigns the Temporary Identification Number during application development and then the final FAIN once an application is ready for submission to FTA |
| Scopes and activities lack relationship<br>to a project; it is difficult to identify projects within | Scopes and activities are grouped for more direct relationship to a project—this can be a single |

| TEAM Applications | TrAMS Applications |
|---|---|
| an application that includes many different projects and activities | project that is specific or a generic project that includes related activities not necessarily related to a specific project |
| Obligation of funds happens at the application level | Obligation of funds happens at the project scope level (direct relation to the project) |
| Obligate one funding source | Obligate one or more funding sources ("Super Grants") |
| NEPA has been inconsistent, in some cases creating duplicate entries | NEPA can be handled at either the project or ALI level to provide direct relation to project(s) and reduces duplication |

Table 3: TEAM vs. TrAMS Applications

Frequently Asked Questions (FAQs):

The following FAQs comprise the more common questions about TrAMS that FTA receives from recipient organizations and other related agencies. These FAQs primarily pertain to the system functions and types of information that will be imported from TEAM over to the new TrAMS environment, and are specifically targeted to a recipient organization moving from TEAM to TrAMS.

Q**: Will current TEAM users need to fill out a user access form and/or redo my delegation of authority forms?**

A: No. If you currently have an account in TEAM, your account information will be migrated into TrAMS. TrAMS will set up your account and assign the roles that you currently have under TEAM, including delegations. Your account must be in “active” status when migration occurs.

Q: **Will I need to obtain a new username and password?**

A: Yes. TrAMS will assign you a new user name; this will be your (work) email address that is currently listed in TEAM. The first time you log in to the new system, it will prompt you to set your own password.

Q: **Will I have the same permissions in TrAMS that I do in TEAM?**

A: Yes. FTA intends to cross-walk users’ TEAM roles with the comparable role in TrAMS.

Q: **Where can I find instructions and frequently asked questions about how to establish a TrAMS User Manager?**

A: You can find all of the associated documents on the TrAMS Guidance page (http://www.fta.dot.gov/16260_15774.html).

Q: **Will my organizational information and grants and associated attachments be migrated from TEAM to TrAMS?**

A: Yes. All active organizational information, and all active grants and cooperative agreements will be migrated from TEAM to TrAMS along with attachments related to organizations and their grants.

Q: **Will my closed grants also be migrated from TEAM to TrAMS?**

A: Yes. Closed grants will also be migrated and can be re-opened in TrAMS if necessary.

Q: **Will my grant identification number (Project Numbers) change to a new number to be consistent with the new TrAMS Federal Award Identification Number (FAIN)?**

A: No. All TEAM grant awards that are migrated over to TrAMS will retain the original grant identification number. You can search, run reports, and draw down funds using the TEAM identification number.

Q: **Will I be able to implement budget revisions to my grants that have been migrated from TEAM to TrAMS?**

A: Yes, you will still be able to make budget revisions, consistent with rules of Circular 5010, to any active TEAM grant migrated into TrAMS.

Q: **Will I be able to implement grant amendments to my grants that have been migrated from TEAM to TrAMS?**

A: Yes, you will still be able to implement grant amendments. Amendments can be created in TrAMS on applications/awards from both TrAMS and TEAM. If further guidance is needed, the latest amendment policies published as part of the 5010 Circular should be referenced

Q: **Will I be able to implement grant closeouts to my grants that have been migrated from TEAM to TrAMS or do we have to close out all grants before TrAMS goes live?**

A: Yes. It is expected that the majority of active grants currently in TEAM will be migrated over to TrAMS. Therefore you do not need to close out all active grants prior to TrAMS; we expect active TEAM grants will be closed out in the future in the new TrAMS system.

Q: **Will ECHO draws be suspended during the transition from TEAM to TrAMS?**

A: No. In general, there will be no disruption of recipient's ability to request reimbursements via ECHO during the transition, however FTA will need to close ECHO for a very short period of time to complete financial reconciliation just like we do at the end of every fiscal year to do year end close out. We will notify users well in advance of when this will occur.

Q: **Will the FPC codes used in TEAM translate in TrAMS?**

A: Yes. TrAMS will recognize the FPC codes that are associated TEAM awards migrated over to TrAMS. Additionally FPC codes will continue to exist for new TrAMS created awards. You will still be able to make FPC fund transfers to TEAM grants migrated to TrAMS.

Q: **Will TrAMS include the Catalog of Federal Domestic Assistance (CFDA) numbers in the grant award?**

A: Yes. You can see it when you populate the view print of your awards.

Q: **Will TrAMS replace Grants.gov?**

A: No. If your organization interested in applying for any one of FTA's discretionary grants opportunities published in one of FTA's Notices of Funding Availability, you will need to continue to submit your application via www.grants.gov.

Q: **Will the system contain up-to-date grantee profile information?**

A: Information about FTA grantees will be automatically imported from the System for Award Management (SAM) the website that contains information on all recipients of Federal financial assistance. If information about your organization is incorrect in SAM you will need to correct it in SAM. Visit the SAM website at: https://www.sam.gov/portal/SAM/#1.

Q: **Does FTA plan to update its circulars to accommodate TrAMS?**

A: Yes. FTA will update its Circular 5010.1D, "Grant Management Requirements" and may update other circulars to change references from TEAM to TrAMS and to ensure that information in our circulars is consistent with new grant making procedures put in place in TrAMS.

Q: **Will FTA provide a TrAMS help desk?**

A: Yes. Similar to TEAM, there will be a TrAMS help desk, email, and phone number (1-877-561-7466) to provide technical assistance.

# Appendix C – TrAMS Validation Messages

The following tables provide the system validation messages shown by TrAMS while validating applications, amendments, and projects.

| **Application/Amendment Validation** | |
|---|---|
| **Message Text** | **Recommended Fix** |
| **Critical Issues - This application cannot pass Application Validation and be transmitted to FTA for review until these errors are corrected.** | |
| "This application has no associated projects. Please add at least one project before continuing (Add Project to Application Related Action)." | There are no projects associated to application/amendment. Refer to Section 2.3.7 "Related Action: Add Project to Application." |
| "The following projects in this application have not passed Project Validation:<br>*<list of incomplete Project Numbers>*<br>Please validate all projects in the application before continuing (Project Record, Validate Project Related Action)." | The projects associated to the application/amendment have not been validated**.** Refer to Section 4.4 "Related Action: Validate Project." |
| "This application is missing application details (Name, Executive Summary, or Type). Please fill out all application details before continuing (Application Details Related Action)." | The application/amendment is missing an Application Name, Executive Summary, or Application Type. Refer to Section 3.2.3.2 "Related Action: Application Details." |
| **Warning Issues - This application can pass Application Validation with the following issues, but they must be corrected prior to Award.** | |
| "Your organization's SAM registration status is Expired (Expiration Date: <*SAM expiration date*>). Please visit the SAM website to update your organization's registration status." | Your recipient organization's SAM status has expired. Update your organization's details in the SAM website and then refer to Section 5.3.8 "Related Action: Sync Recipient Organization with SAM." |
| "Your organization has expired or incomplete civil rights program compliances. Please update your civil rights programs (Recipient Organization Record, Civil Rights Information Related Action)." | Your recipient organization has at least one Civil Rights program whose status is not equal to "Concur" or "N/A." Refer to Section 5.3.2 "Related Action: Civil Rights Information." |
| "Your organization has not approved C&A's for Fiscal Year <*current Fiscal Year*> (Recipient | Your recipient organization does not have approved C&A's for the current fiscal year. Refer to Section |

| | |
|---|---|
| Organization Record, Certifications & Assurances Related Action)." | 5.3.3 "Related Action: Certifications & Assurances." |
| "Submitting this application will result in a deobligation of <*deobligation amount for amendment*>." | This message will be displayed for an amendment that will result in a deobligation amount. Refer to Section 3.3.2.3 "Deobligate Funds." |

| **Project Validation** | |
|---|---|
| **Message Text** | **Recommended Fix** |
| **Critical Issues - This project cannot pass Project Validation until these errors are corrected.** | |
| "The following line items in the project have a status of 'In-Progress'. Please ensure each line item has a status of 'Completed' before continuing (Budget Activity Line Items Related Action):<br>*<grid of In-Progress line items>*" | One or more line items within a project are not in the required "Completed" status (only applies for TrAMS applications). Refer to Section 4.3.4 "Related Action: Budget Activity Line Items and Milestones." |
| The following project details are incomplete. "Please fill out the following details before continuing:<br>• Project Title/Name (Project Details and Narratives Related Action)" | The project is missing the required project title. Refer to Section 4.3.1 "Related Action: Project Details and Narratives." |
| "The following project details are incomplete. Please fill out the following details before continuing:<br>• Location Narrative (Project Location Related Action)" | The project is missing the required location narrative. Refer to Section 4.3.2 "Related Action: Project Location." |
| "The following project details are incomplete. Please fill out the following details before continuing:<br>• Project Description (Project Details and Narratives Related Action)" | The project is missing the required project description. Refer to Section 4.3.1 "Related Action: Project Details and Narratives." |
| "The following project details are incomplete. Please fill out the following details before continuing:<br>• Project Benefits (Project Details and Narratives Related Action)" | The project is missing required project benefits. Refer to Section 4.3.1 "Related Action: Project Details and Narratives." |
| "The project must have at least one line item. Please add line items to the project before continuing (Budget Activity Line Items Related Action)." | The project is missing line items. Refer to Section 4.3.4 "Related Action: Budget Activity Line Items and Milestones." |
| "The project must have at least one congressional district selected (Project Location Related Action)." | The project does not have at least one congressional district associated to it. Refer to Section 4.3.2 "Related Action: Project Location." |

| **Project Validation** | |
|---|---|
| **Message Text** | **Recommended Fix** |
| "The project must have at least one UZA code / state selected (Project Location Related Action)." | The project does not have at least one state/UZA associated to it. Refer to Section 4.3.2 "Related Action: Project Location." |
| "Each line item must have a NEPA Class of Action/Environmental Determination selected (Environmental Determinations Related Action)." | The project has been set up for one environmental finding per ALI and at least one ALI is missing an environmental finding association. Refer to Section 4.3.5 "Related Action: Environmental Determinations." |
| "The project must have a NEPA Class of Action/Environmental Determination selected (Environmental Determinations Related Action)." | The project has been set up for all activities to be covered under one environmental finding, but no environmental finding has been selected. Refer to Section 4.3.5 "Related Action: Environmental Determinations." |

| **Budget Revision Validation** | |
|---|---|
| **Message Text** | **Recommended Fix** |
| **Critical Issues - The budget revision cannot be submitted to FTA for review until these errors are corrected.** | |
| "The budget revision does not have a difference amount of $0 for the following FTA funding sources. The FTA funding amounts included in the award must remain the same in a budget revision.<br>*<grid of FTA funding sources on application>*" | The FTA funding source amounts for the budget revision do not equal the approved award amounts (difference is not equal to $0). Refer to Section 3.3.1.4 "Related Action: Budget Revision Activity Line Items." |
| "The following projects in this application have not passed Project Validation:<br>*<list of incomplete Project Numbers>*<br>Please validate all projects in the application before continuing (Project Record, Validate Project Related Action)." | The projects associated to the budget revision application have not been validated. Refer to Section 4.4 "Related Action: Validate Project." |

| Closeout Amendment Validation | |
|---|---|
| **Message Text** | **Recommended Fix** |
| **Critical Issues** | |
| "FTA Budget for this Award has not been finalized.<br>Finalize your budget before submitting the Closeout request to FTA." | The user has not indicated that the budget is final for the closeout amendment. Refer to Section 3.3.3.4 "Related Action: Validate and Submit Closeout." |
| "FTA Budget is larger than the approved budget for one or more funding sources.<br>Decrease your budget before submitting the Closeout request to FTA." | The FTA funding source amounts for the closeout amendment are greater than the approved award amounts. Refer to Section 3.3.3.3 "Related Action: Closeout Budget Reconciliation." |
| "Final Federal Financial Report (FFR) for this Award has not been submitted.<br>Complete a Final FFR before submitting the Closeout request to FTA." | The Final FFR has not been completed and submitted to FTA for review. Refer to Section 3.4.2.1 "Recipient FFR Reporter Task: Complete and Submit FFR." |
| "Final Milestone Progress Report (MPR) for this Award has not been submitted.<br>Complete a Final MPR before submitting the Closeout request to FTA." | The Final MPR has not been completed and submitted to FTA for review. Refer to Section 3.4.1.1 "Recipient MPR Reporter Task: Complete and Submit MPR." |