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FEDERAL TRANSIT ADMINISTRATION

# TrAMS Orientation 2014
# Stakeholder Training Sessions
# October, November & December

(December 23, 2014)

U.S. Department of Transportation
Federal Transit Administration

# Orientation Objectives

- Give you a 101 level Orientation to TrAMS.
- Provide a hands-on opportunity to work in the TrAMS System
- Highlight similarities and differences between TrAMS and TEAM
- Discuss grant making policy under development
- Give you a chance to ask questions and provide answers

# Agenda

- Morning
  - Overview & History
  - Basic Navigation of TrAMS
  - Overview of Numbering & Nomenclature
  - Grantee User Roles & Developing An Application
- Afternoon
  - FFRs, MPR, Budget Revisions
  - Next Steps to Deployment

# Goals & Objectives

- TEAM has been in use since 1998, and Technology has changed over time and we have the opportunity to build our grants system on a more flexible, efficient, and cost-effective platform.
- **Efficiency:** FTA and its grantees will be able to consolidate redundant activities and streamline grant making and grant management processes.
- **Transparency:** Stakeholders inside and outside FTA will be better able to understand how taxpayer dollars are awarded and disbursed for specific transit projects and services.
- **Integrity:** Improved internal controls will help ensure that grants are awarded and managed consistent with Federal requirements.
- **Consistency:** Data and information in TrAMS will match information found in related government IT systems.
- **Flexibility:** The new system can be modified more quickly, easily and cost-effectively to make improvements and respond to new directives.

# System Development History

- Began in the summer of 2012.
- 2012 - Summer 2013. Internal requirements gathering and developing "pre-award" modules (pre-requisites through award).
- August 2013  Grantee outreach webinars
- September 2013 - March, 2014 Hands on evaluation.
- January 2014  Grantee outreach webinars.
- February - April 2014  System evaluation for priority items for deployment and enhancements for post-deployment.
- April—July  System Priority item implementation.

# Factors that contributed to TrAMS' design, organization, and functionality

TrAMS

- Stakeholder input, testing, feedback
- Appian Platform & Features
- TEAM, FMS, Delphi System Requirements
- Law, OMB Guidance, FTA Circulars and Grants A to Z
- Contract scope of work and resources
- Project Timeline

# TrAMS and Security Requirements

- Log In Requirements:  User Name will be your business email
- Times You Out = Every 30 Minutes, and you will get a prompt
- Password Change = Every 60 Days
- Forgot Password to easily reset it yourself

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# TrAMS User Access and User Roles

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# Gaining Access to TrAMS

- Active TEAM account will be migrated into TrAMS
- Existing User Roles in TEAM will Translate to TrAMS (i.e., if you submit and/or execute a grant in TEAM, you will retain these rights in TrAMS).
- Annual user reauthorization for FY 15 will help clean up User information
- You can continue to establish new users in TEAM and modify user roles in TEAM.
- All FTA Recipients will have a designated individual to manage and monitor their TrAMS Users; this is the TrAMS User Manager

# User Account Management in TEAM vs. TrAMS Recipient is allowed to manage (most) Users

## TEAM

1. LSM Manages users
2. Paper form and signatures required
3. FTA local security manager (LSM) enters in the information, and updates
4. FTA LSMs reviewed all requests
5. Some Users must provide supporting documentation (e.g. Official).
6. LSM managed coordination with grantees on annual reauthorization
7. Grantee coordinates with LSM to modify or deactivate accounts.

## TrAMS

1. Recipients identify a User Manager and manage Users
2. Electronic Management/Requests for review
3. User Manager completes data entry and maintains accounts.
4. FTA LSM Review and concurrence only for some User Roles
5. Documentation still required for certain roles
6. User Manager will be responsible for annual reauthorization.
7. User Manager may modify user access and deactivate users

# User Manager Responsibilities

- Setting up TrAMS accounts for co-workers and assigning appropriate roles.
- Submitting user access requests and supporting documentation to FTA for certain roles (such as individuals empowered to sign certs and assurances, submit grants, execute grants).
- Modifying/Deactivate co-worker accounts, as necessary.
- Certifying to FTA that their organizations' users accounts are active and roles are correct.
- Reviewing and updating organizational profile and points of contact information at least annually.

# TrAMS User Roles & Tasks

- Role Assignment is based on Actions you take in the system and tasks you will be assigned
  - Example: Official will get a Task to Execute a Grant Agreement
- Users may be assigned multiple roles depending on the recipient organization
- New User roles/functions created based on feedback sessions
- Certain User roles require supporting documentation (e.g. , Official, Attorney)
- Application/Award Point of Contact is designated at the time an application is created (gets all application notices; this is not a user role)

# Grantee User Roles

| TEAM Recipient/Grantee "Functions" seen on TEAM Request Form | Equivalent TrAMS Recipient User Group/Role | LSM Review or PIN Required |
|---|---|---|
| NA | User Manager | NA |
| NA | Developer | NA |
| Submit | Submitter | Yes |
| Civil Rights/DBE Reporting | Civil Rights | NA |
| Execute | Official | Yes |
| Certify as Official | Official | Yes |
| Certify as Lawyer | Attorney | Yes |
| Certify as Both | Assign Both Attorney and Official | NA |
| NA | FFR Reporter | NA |
| NA | MPR Reporter | NA |
| Supplemental Agreement | Not Applicable | NA |

Supp Agreement is now managed through the TrAMS system

# Navigating TrAMS

- Overview of the look and feel of TrAMS
  - Tabs
  - Menus
  - Buttons
- Work Flow, Actions and Tasks
- Spell Check? It depends on your browser, most current browsers have spell check.
- TrAMS works on most browsers (Firefox, Chrome, etc)…and even works on tablets and smart phones

# Recipient Profile Information

Watch

- Search Recipient Profile Information
- What is included in Profile Information
- Discuss Subs/Designated & Direct Recips.

Do

- Search for your organization and review information

# Subrecipient

- In TEAM subrecipients are identified in an application Program of Projects that is generally paper-clipped to the application.
- In TrAMS, eventually recipients will be able to import/upload subrecipient information, the upload feature is still available and acceptable.
- This information will help grantees and FTA to associate subrecipients with direct recipients applications and awards.

# Designated and Direct Recipients

- TrAMS will display which organizations are designated recipients and the programs and UZAs with which they are associated.
- This information will be imported from our records.
- Designated Recipients will be able to view Direct Recipients.
- TrAMS will allow Designated Recipients to sub-allocate formula funds to their direct recipients.

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# TrAMS Orientation
# TrAMS Numbering Format
# and
# Developing Applications & Projects

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# Moving to TrAMS

- Improves Tracking of Project level Information
- Improves ability to Track Obligations and Expenditures at Project level and Scope level
- Allows obligation of more than one fund source in a single applications
- Improves how we look at Projects
- Improves ability to identify and track Designated Recipient, Direct Recipient and Subrecipient Information

# What's Different in a TrAMS Application

- Difference in Nomenclature
- Differences in the Numbering Format
- Using the term "Project" differently
- Packaging your activities, scopes of work, services and goods differently
- Applying for Funds differently

# Projects Continued

A project can be very **specific**:

- The Atlanta Streetcar Project
- The Fulton Street Station
- The Blue Line Planning Study

A project can be more **generic** describing a set of goods and services:

- System-wide bus (or rail) capital public transit improvements”
- FY 2015 Bus/Rail Capital Investments

# TrAMS Applications

- TrAMS Application Must Have At Least:
  - ✓One Project
  - ✓One Scope (w/in a Project)
  - ✓One Activity Line Item (w/in each Scope)
  - ✓One Fund Source (overall for the application)

# Application Nomenclature & Application *Differences*

**TEAM Application/Award**
- Identifier: Project Number
- Project Scope
- Activity Line Items

**TrAMS Application/Award**
- Identifier: Federal Award Identification Number (FAIN)
- Project Number
- Project Scope Number
- Activity Line Item

In TEAM Funds are obligated at the overall Application Level
**In TrAMS Funds are obligated at the Project Scope Level**
Each Scope has a unique identifier associated with its obligation

# Application Numbering Format

**TEAM Application/Award**

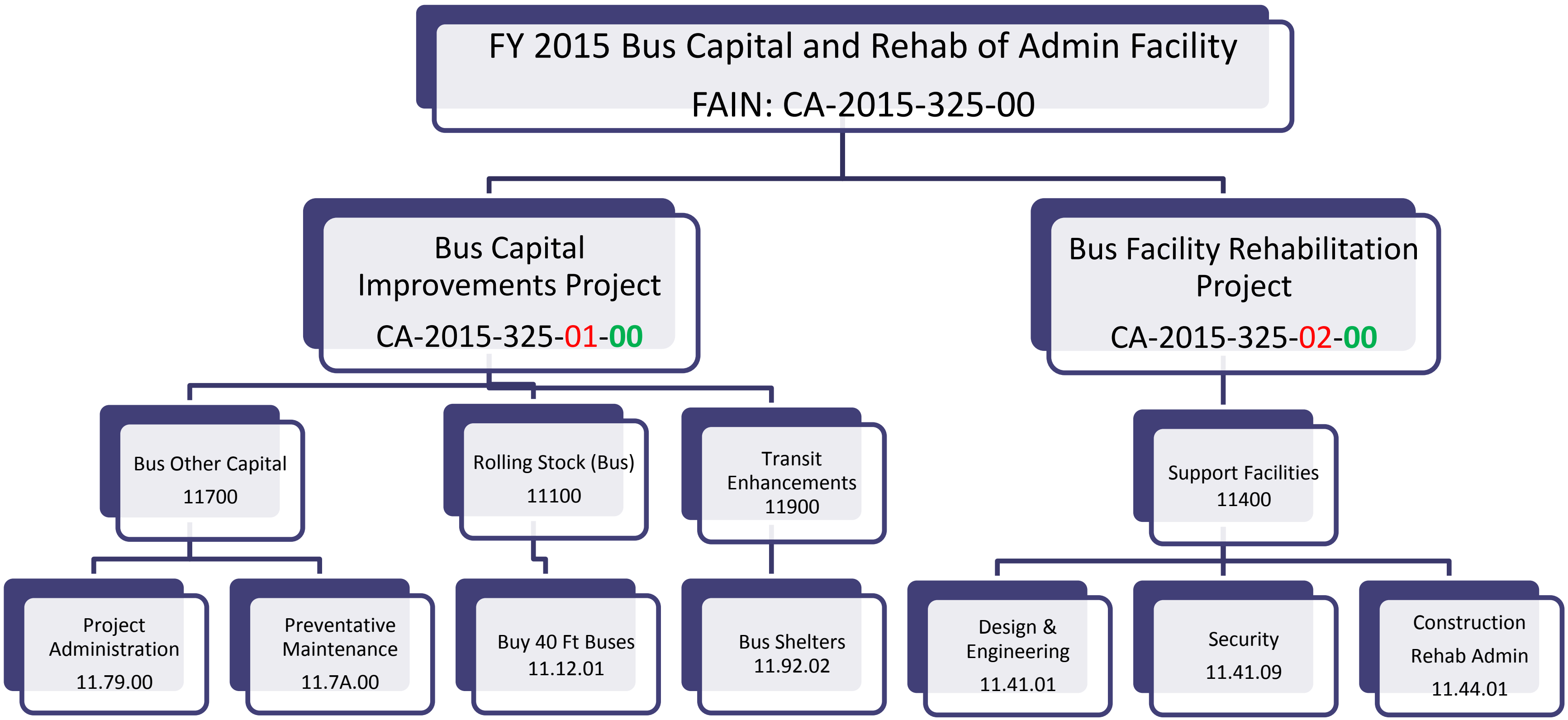
- Project Number
  CA-90-X001-00
- Project Scope
  111-00
- Activity Line Items
  11.12.01

**TrAMS Application/Award**

- Federal Award Identification Number (FAIN)
  CA-2015-001-00
- Project Number
  CA-2015-001-**01**-00
- Scope Number
  **111-00**
- Activity Line Item
  11.12.01

- The Application is identified by the FAIN (State, FFY the FAIN is assigned, Next Application in sequence, and initial/amendment
- The Project Number is an identifier and inherits the FAIN and is indicated by the 01 in red; then initial/amendment
- The Scopes and Activity Line Items (ALIs) will not change

# Example




- Example Grant Contains 2 projects (01 and 02) a Generic Project and a Specific Project
- Example Grant Contains  4 Scopes (there are 4 associated obligations in the grant)
- We can now identify the total amount associated with the overall grant award; the total resources allocated to each Project; and the total resources allocated to each scope of

# TEAM Projects in TrAMS

- All Closed and Active Awards will be migrated (including all amendments/budget revisions and Attachments)
- TEAM Applications are viewed as having a single "TrAMS Project"
- TEAM Applications will be "flagged" so ECHO recognizes them for drawdowns
- All post award actions will function the same, however Amendments specifically to add additional funds may be limited to certain circumstances, such as an existing FFGA/PCA. Zero dollar amendments will be allowed.

# Summary of Changes

| TEAM Applications | | TrAMS Applications |
|---|---|---|
| Application is assigned a Project Number | | Application is assigned a Federal Award Identification Number (FAIN) |
| Applications 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 at Development and the Final FAIN once an application is Ready for Submission |
| Scopes and Activities lack relationship to a Project and is difficult to identify projects within an application including may different projects and activities | | Scopes and Activities are grouped for more direct relationship to a Project – This can be a single project that is specific or a generic project that includes related activities not necessarily related to a specific project |
| Obligation of Funds Happens at Application Level | | Obligation of Funds Happens at Project Scope Level (Direct relation to Project) |
| Obligate One Fund Source | | Obligate One or <u>More</u> Fund Sources "Super Grants" |
| NEPA has been inconsistent, in some cases creating duplicate entries | | NEPA can be handled at Project Level or ALI Level to provide Direct Relation to Project(s) and reduces duplication |

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# Super Grant Policies In Development

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

- An application with more than one fund source is referred to as a “Super grant”
- Creating a Super Grant is optional.
- Using the Super Grant configuration should be coordinated with your FTA regional office.
- The recipient must be able to track and manage expenditures and draw-downs by funding source as well as by scope, now that funds will be reserved and awarded at the scope level and will be passed through to FMS/ECHO and the fund source/scope level.

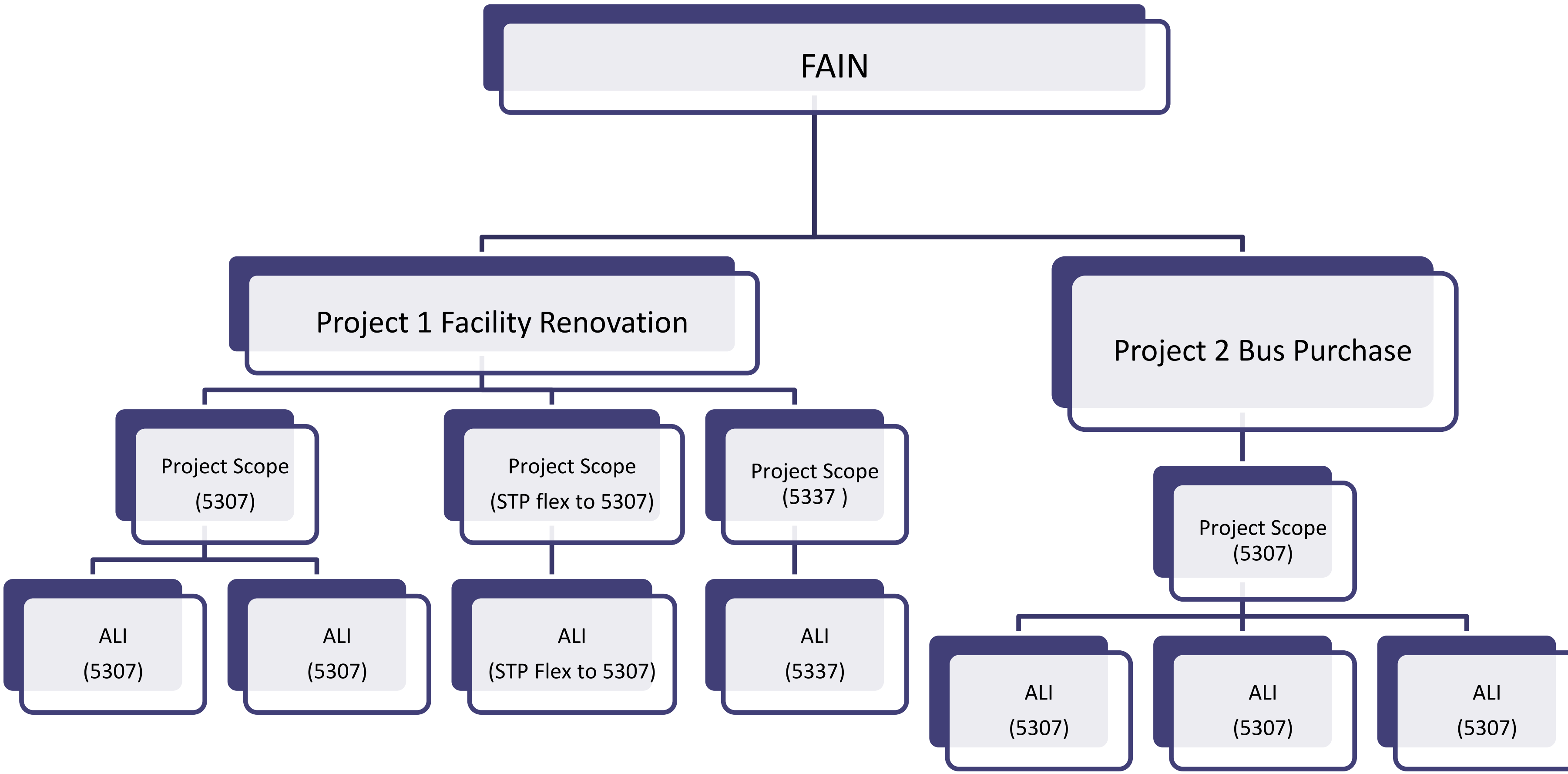
# Why Create a Super Grant?

- Improves how grantees plan for and apply for funds and the project they want to implement (reduce number of applications is possible)
- Improves the management of applications and awards for both the grantee and FTA.
- Improves the connection between the funds awarded and the projects a recipient is implementing.

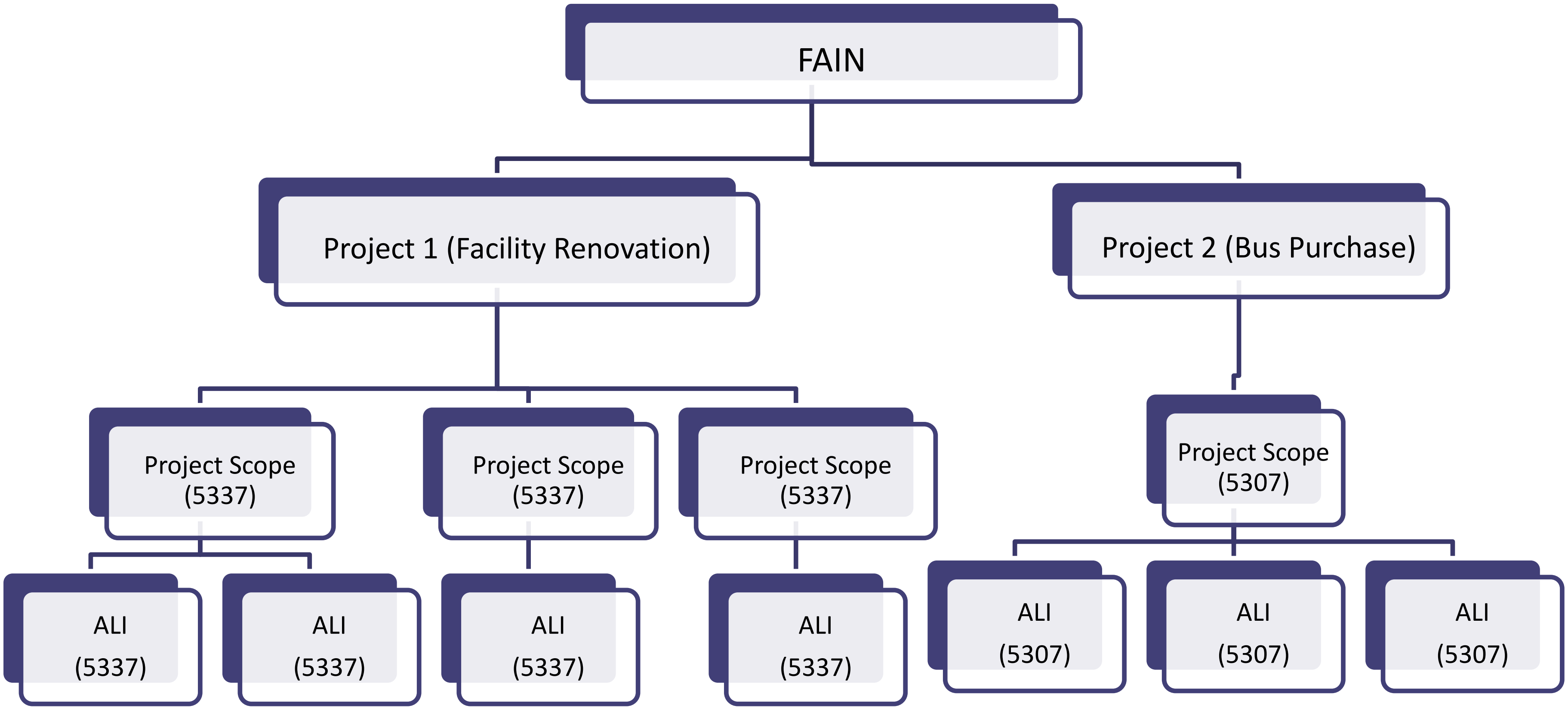
# Super Grants might be used when…

1. When multiple funding programs are being used to fund related activities such as a capital improvement project, a construction project or system-wide improvement project.
2. When multiple funding programs are being used for the same budget scope and activity line item.
3. When Flexing funds from FHWA flex-funding (i.e., Surface Transportation Program and Congestion Mitigation and Air Quality Program) for same or related projects also using an FTA program.
4. When an applicant is applying for multiple formula program funds apportioned under different programs in the same funding fiscal year or the prior fiscal year for the same urbanized area(s). (Section 5307, 5337, and 5339)

# Super Grant Configuration
# Project 1 FTA Formula and Flex funds



# Super Grant Configuration
# Two Projects; Each with One Fund Source



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# TrAMS Application Development

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# Phases of an Application

**Recipient Transmits** an **Initial Draft** Application for FTA Review

FTA Concurrence on Initial Draft Application & Assigns the FAIN

**Recipient Formally Submits** Application for FTA final review

FTA Final Concurrences, Reservations & Award

**Recipient Executes** Award Agreement

Prior to Transmitting, you are "In Progress". During this phase coordinate with your Regional Office to develop your application until it is ready for its initial FTA concurrences and FAIN assignment. (see next slide for more info)

# Working with FTA on Application Development

- **In Progress**: Both the applicant and FTA can view and edit the document. Spend more time here to prepare your application to expedite the review and concurrences
- **Transmit** Initial Draft Application to FTA: Locked to the grantee, however FTA can edit and comments. At this point the FTA has two options:
  – If ready to go FTA can assign FAIN and notify the application it is ready for Formal Submission.
  – If edits and additions are still required, FTA can return the application to the grantee to edit and re-transmit.

# Working with FTA on Application Development

- Once FTA Assigns the FAIN the Applicant may either Formally Submit the Application or request FTA to return the application for further edits.
- Once the application has been submitted, it cannot be changed.
- Once submitted, FTA can initiate Final Concurrences, Reservation, DOL review if required, Congressional Notice if required and Award.
- Once awarded, the applicant will be Tasked to Execute the Award Agreement.

# Progress to Deploying TrAMS

1. You Can
   - ❖ Review your Points of Contact Information in TEAM and update as necessary
   - ❖ Review your Agency Information on SAM and Update Information if needed and keep it Active
   - ❖ Identify a User Manager
2. FTA is:
   - ❖ Continuing Development and Testing TrAMS
   - ❖ Reconfiguring ECHO to draw-down at the scope level,
   - ❖ Planning additional training on both TrAMS and ECHO.

Sign up for email alerts when we post new information on FTA's website.

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


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