2019

[TRANSIT AWARD MANAGEMENT SYSTEM (TRAMS) RECIPIENT USER MANAGER HANDBOOK]

This handbook has been produced for individuals serving as Recipient User Managers for TrAMS. It provides guidance and information on how to perform the Recipient User Manager function in the system. Additional information can be found in the TrAMS User Manual for Recipients. This handbook was first issued in January 2016 and was updated in February 2019 to include information consistent with changes to the FACES user access portal

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I. Overview

The Transit Award Management System (TrAMS) is FTA's System of Record for awarding Federal funding for public transportation throughout in the United States of America via grants and cooperative agreements. TrAMS is used to award thousands of grants and cooperative agreements for over $13 billion to over 700 recipients each year. The system is also used to manage over 7,000 active awards each year. Over 5,000 individuals who work for FTA's grant recipients or who do business with FTA contracts have access to TrAMS.

A core objective for TrAMS is system security and integrity, including ensuring that user access to TrAMS complies with FTA and DOT policies and the standards set by the National Institutes of Standards and Technology (NIST). Individuals who work for FTA's recipients should only be allowed to conduct business in TrAMS that is based on their job responsibilities. TrAMS users should only be allowed to access information in the system that is relevant to their job and the organization that they work for. Users should be prevented from accessing TrAMS when they no longer need to use the system, such as when they have left their agency or have a new job that no longer requires them to use TrAMS. On an annual basis, user roles should be reviewed and recertified to ensure that users have access to system functionality that is consistent with their current responsibilities.

FTA promotes user access integrity and security via its Local Security Managers (LSMs), staff members who have been selected by the Regional/Associate Administrators (or Deputy Administrators) of FTA's headquarters and Regional Offices. FTA has also established a Recipient User Manager role in TrAMS for individuals who have been appointed by their agency's CEO (or equivalent) to assign and manage system roles for themselves and their colleagues.

To avoid improper use of the system, Recipient User Managers must understand FTA's user access policies and procedures and perform their responsibilities diligently and consistently. Failure to do so could result in actions taken in TrAMS that are inappropriate or malicious and could put FTA and its recipients at risk for findings in internal or external audits.

This handbook provides guidance for Recipient User Managers and on the recipient user access and management functionalities in TrAMS. It also provides detailed information on recipient TrAMS role groups so Recipient User Managers and their colleagues can make well informed decisions on which individuals should be assigned which to which role group.

The handbook does not include instructions or screen shots on how Recipient User Managers take action in TrAMS. Please consult the TrAMS user guide and/or FTA training presentations for this information.

This document will be updated periodically as changes are made to TrAMS or to FTA user access policies. Updates will be tracked in the Change History section of this handbook.

II. Who Can Be a Recipient User Manager

Individuals in the User Manager role are responsible for managing assignment of roles/ responsibilities for all the recipient's users. They can create new users, and can modify or deactivate users for their organization. User Managers will also be requested to perform an annual recertification of their organization's users to ensure that the staff of their organization continue to need access to TrAMS and have the appropriate roles. User Managers are also responsible for keeping current recipient profile information, including points of contact (POCs). The User Manager also serves as liaison to the FTA Local Security Manager (LSM)

Existing User Managers can request that additional TrAMS users in their organization be granted the User Manager Role, however the role will require approval from the FTA LSM and will require that the recipient submit to the LSM the Delegation of Authority form signed by the agency's Chief Executive Officer. User Managers should understand the job responsibilities of their colleagues in their organizations and which TrAMS roles their colleagues would need to carry out their responsibilities. Existing User Managers can also remove the User Manager Role from their colleagues' account at any point in time without requiring FTA LSM approval.

FTA's National Transit Database (NTD) System also relies on Recipient User Managers to manage NTD users' roles. An individual who is a User Manager for the NTD can also perform this role in TrAMS, or Recipients can decide to have different people serve as the User Manager for TrAMS and the NTD.

FTA encourages recipients to establish at least two individuals to serve as Recipient User Managers to avoid bottlenecks if an individual is out of the office or unable to perform their User Manager Responsibilities.

If a recipient is not able to identify a User Manager or their recipient User Manager is not available, FTA's LSMs can add new recipient users to TrAMS and modify existing recipient users' roles as well as deactivate and reactivate recipient users. However, FTA staff will not be able to provide the delegation of authority letters that are required to assign certain roles in the system.

III. Expectations

Recipient User Managers are Responsible for:

1. Understanding and complying with FTA's TrAMS user access policies and procedures and system functionality for establishing, modifying, and deactivating FTA and recipient users (as necessary). This includes attending Recipient User Manager training and refresher training on an ongoing basis and contacting their FTA Regional or Headquarters Office or TrAMS help desk when issues that create confusion, uncertainty, or conflict arise.

2. Adding new users from their organization who need access to TrAMS, modifying the roles of existing users when an individuals' responsibilities in the system change, and deactivating users in their organization who no longer need access to TrAMS.

3. Reviewing and acting on requests from other users in their organization to unlock their account when accounts have been locked due to 60-plus days of inactivity (i.e. an individual's last TrAMS log in date was 60 or more days ago).

3. On an annual basis complete FTA user recertification by, reviewing recipient user roles, discussing with their supervisors whether individuals still need the given roles based on their current job description, and recertifying or deactivating recipient users, as necessary. Beginning in FY 2019, FTA will begin using a new module in TrAMS to recertify users. Additional information on user recertification can be found in FTA's FACES user guide available at: https://www.transit.dot.gov/funding/grantee-resources/teamtrams/user-guide-federal-access-control-and-entry-system-faces

4. Performing User Manager responsibilities on a timely basis so that recipient users have timely access to TrAMS in the roles that they need to conduct business with FTA and users are removed from the system expediently.

Failure to conduct these duties consistently could result in an individual's User Manager role being removed at the request of an FTA Regional or HQ office.

Activities that are not considered Recipient User Manager duties:

1. Assigning or resetting TrAMS passwords for recipient staff.

2. Assigning or resetting Personal Identification Numbers (PINs) for recipient staff.

TrAMS allows users to set and reset their own passwords and PINs and the TrAMS help desk should address users with problems with either their password or PIN.

3. Providing technical support with problems users encounter with TrAMS. The TrAMS help desk is the first point of contact for individuals who are experiencing difficulty doing work in TrAMS.

4. Resolving cybersecurity concerns, suspicious email, or other suspicious incidents. Any such incidents **should** be reported immediately to the TrAMS help desk and FTA's Local Security Managers for the recipients' office or region.

5. Serving as the User Manager for the National Transit Database (NTD) or any other FTA IT system, unless the individual has been designated as the LSM for multiple systems.

IV. Changes between User Management in TrAMS vs. in TEAM

TrAMS was deployed in February 2016 and replaced FTA's Transit Electronic Award Management (TEAM) system, which had been in use since 1998. This section summarizes the major changes in user set up and user management in TrAMS vs. in TEAM.

User Access Forms

- FTA recipients needing access to TEAM or who wanted a change in roles needed to sign a paper form and submit it to their supervisor and their regional/office local security manager who would sign the form and enter the information into TEAM.
- In TrAMS, there is no required paper user access form. The contact information and role information is built into the workflow in TrAMS.

Creating and Modifying Accounts for Recipients

- In TEAM, FTA regional and headquarters LSMs were responsible for creating new accounts for recipients doing business with FTA and modifying and removing these accounts as necessary.
- In TrAMS, recipient user management responsibilities will be conducted by the Recipient User Manager. FTA LSMs will need to review that supporting documentation is provided for certain recipient roles and LSMs can continue to set up and modify recipient accounts if necessary.

V. Recipient User Roles

This section provides detailed information on user role groups that may be assigned to recipients. A table of recipient roles is included in Appendix B.

The User Manager

Role Description

Individuals in the User Manager role are responsible for Managing assignment of roles/ responsibilities for all of the recipient's users. They can create new users, and can modify or deactivate users for their organization. User Managers will also be requested to perform an annual recertification of their organization's users to ensure that the staff of their organization continue to need access to TrAMS and have the appropriate roles. User Managers are also responsible for keeping current recipient profile information, including points of contact (POCs). The User Manager also serves as liaison to the FTA Local Security Manager (LSM)

Role Assignment

If Recipients identified an individual to serve as a User Manager in TEAM by November 30, 2015, that information was migrated into TrAMS and the individual should be set up with the User Manager role. If a recipient did not identify a user manager in TEAM then the FTA Local Security Manager can add this role to the individual's TrAMS account provided that recipient submits the Delegation of Authority form signed by the agency's Chief Executive Officer.

Existing User Managers can request that other TrAMS users in their organization be granted the User Manager Role, however the role will require approval from the FTA LSM and will require that the recipient submit to the LSM the Delegation of Authority form signed by the agency's Chief Executive Officer. Individuals assigned User Manager privileges should understand the job responsibilities of their colleagues in their organizations and which TrAMS roles their colleagues would need to meet their job duties. Existing User Managers can also remove the User Manager Role from their colleagues' account at any point in time without requiring FTA LSM approval.

FTA's National Transit Database (NTD) System also relies on Recipient User Managers to manage NTD users' roles. An individual who is a User Manager for the NTD can also perform this role in TrAMS, or Recipients can decide to have different people serve as the User Manager for TrAMS and the NTD.

The Developer

Role Description

Individuals in the Developer Role are responsible for preparing applications in the system. They can create and edit all parts of an application and its associated projects; Based on a change made in February 2017, the Developer can also transmit applications for FTA initial review. The developer cannot formally submit applications for FTA final review unless the individual with

the Developer role also has the Submitter role. The Developer is generally assigned the Point of Contact during application development and can respond to comments and make changes to applications after FTA has reviewed them.

The Developer can also create, modify and submit budget revisions to active grants.

Role Assignment

All active TEAM users as of November 30, 2015 who were migrated into TrAMS were assigned the Developer role by default. If a Recipient believes that some of these individuals do not require this role, the Recipient's User Manager can remove it from those individuals.

When User Managers create new TrAMS accounts for individuals who had not used TEAM, they can assign these individuals the Developer role without submitting a Delegation of Authority letter or seeking FTA LSM approval.

The Submitter

Role Description

Individuals in the Submitter role may create, draft and transmit draft applications for FTA initial review and concurrence and are responsible for (and receives the associated Task) to formally submit an application to FTA for final concurrence. These individuals will also need a PIN for submitting applications in TrAMS for final concurrence and can establish a PIN for themselves in TrAMS.

In addition, individuals with the Submitter role can create and edit all parts of an application and its associated projects during development (or if the application is returned to the recipient.

Individuals with the Submitter role may also create, modify, and submit budget revisions, amendments to awarded grants to request additional funding, and amendments to close out awarded grants.

Individuals who have the Submitter role and who work for States or Designated Recipients in Urbanized Areas over 200,000 in population will also receive a task in TrAMS for sub-allocating formula apportionment funds allocated to their State and/or Urbanized Area and can take action in TrAMS to sub-allocate these funds.

Role Assignment

All active TEAM users who had the "Submit" role in TEAM and who were migrated into TrAMS were assigned the Submitter role by default. If a Recipient believes that some of these individuals do not require this role, the Recipient's User Manager can remove it from those individuals.

When User Managers create new TrAMS accounts for individuals who had not used TEAM, they can request that these individuals receive the Submitter role, however the request needs to be approved by the FTA LSM and it needs to be accompanied by a Delegation of Authority letter signed by the Recipient's CEO. In general, individuals with this role should be in management positions in their agency and/or have the authority to request FTA funding on behalf of their agency for the projects specified in the grant application.

The Official

Role Description

Individuals in the Official role group are responsible for executing FTA's annual Certifications and Assurances in TRAMS. They are also responsible (and receive associated Task) for executing awards of grants or cooperative agreements. Individuals in the Official role also need a PIN to perform these actions and can assign themselves a PIN in TrAMS.

Role Assignment

In general, the person with the Official Role should be the Agency's Chief Executive Officer or the equivalent, however recipients can delegate this role to others in the agency who are empowered to certify that their agency will comply with FTA requirements and accept the terms of an FTA grant agreement.

All active TEAM users who had the "Official" role in TEAM and who were migrated into TrAMS were assigned the Submitter role by default. If a Recipient believes that some of these individuals do not require this role, the Recipient's User Manager can remove it from those individuals.

When User Managers create new TrAMS accounts for individuals who had not used TEAM, they can request that these individuals receive the Official role, however the request needs to be approved by the FTA LSM and it needs to be accompanied by a Delegation of Authority letter signed by the Recipient's CEO.

The Attorney

Role Description

Individuals in the Attorney role are authorized to execute the annual Certification and Assurances in TrAMS. Individuals with this role also need a PIN to execute their Certs and Assurances and can assign themselves a PIN in TrAMS.

Role Assignment

In general, the person with the Attorney role should be the Recipient's Chief Counsel or equivalent, however recipients can delegate this role to others in the agency who have been empowered to certify that their agency will comply with FTA requirements

All active TEAM users who had the "Attorney" role in TEAM and who were migrated into TrAMS were assigned the Attorney role in TrAMS by default. If a Recipient believes that some of these individuals do not require this role, the Recipient's User Manager can remove it from those individuals.

When User Managers create new TrAMS accounts for individuals who had not used TEAM, they can request that these individuals receive the Attorney role, however the request needs to be approved by the FTA LSM and it needs to be accompanied by a Delegation of Authority letter signed by the Recipient's CEO.

Civil Rights

<u>Role Description</u>

Individuals in the Civil Rights (CR) role are responsible for developing and submitting Civil Rights program information to FTA in TrAMS. This includes individuals responsible for the agency's Equal Employment Opportunity (EEO), Title VI of the Civil Rights Act, and/or the Disadvantage Business Enterprise (DBE) Programs and requirements (referred to as the Civil Right Programs). These individuals are responsible for the development of the recipient's CR programs, their implementation and the oversight to ensure compliance. The CR User will upload, submit, and respond to FTA comments regarding the applicable CR Program. CR programs must be in "Concur" or "In Review" status for your agency to submit your applications.

If your agency must prepare a Triennial DBE goal and methodology, include those individual(s) responsible for its development and implementation in this User group. Similarly, include in this user group the individuals responsible for preparing DBE goal reports. In small agencies, this role may be a single individual, and larger organization may have multiple individuals working on certain aspects of its CR Programs. Individuals assigned the user role should have a working knowledge of the civil rights laws and requirements to maintain continued compliance in each civil rights area applicable to the organization.

<u>Role Assignment</u>

All active TEAM users who had the "Civil Rights" role in TEAM and who were migrated into TrAMS were assigned the Civil Rights role in TrAMS by default. If a Recipient believes that some of these individuals do not require this role, the Recipient's User Manager can remove it from those individuals.

When User Managers create new TrAMS accounts for individuals who had not used TEAM, they can request that these individuals receive the CR role. FTA approval is not required to provide users with the CR role.

The FFR Reporter

Role Description

Individuals assigned the Federal Financial Report (FFR) Reporter role are responsible for preparing and submitting the FFR in the TrAMS system in accordance with FTA Circular guidance or as otherwise requested by FTA. The FFR Reporter may also revise and resubmit reports as necessary to address comments from FTA.

Individuals in the FFR role will receive task and auto-notification emails to submit FFRs during the first day of the reporting period (i.e. on April 1 for quarterly reports covering the 2nd quarter of the fiscal year). They will also receive reminder emails if reports have not been submitted within several days of the report due date. If FTA staff review and return an FFR for edits or additional information, individuals in the FFR reporter group will receive an auto-notification that FTA has returned the FFR in question.

Any person with the FFR reporter role can complete and submit any FFR that is required for any of the recipients' active grants. Recipients with multiple staff people assigned to enter FFR information will need to coordinate among themselves to determine which individuals will be responsible for which FFRs in the system. Likewise, if a Recipient would prefer that a limited number of staff people submit the FFR to FTA, staff will need to coordinate outside the system to determine which person with the FFR reporter role will be responsible for entering information vs. reviewing and transmitting the report to FTA.

Role Assignment

All active TEAM users as of November 30, 2015 who were migrated into TrAMS were assigned the FFR Reporter role by default. If a Recipient believes that some of these individuals do not require this role, the Recipient's User Manager can remove it from those individuals.

When User Managers create new TrAMS accounts for individuals who had not used TEAM, they can assign these individuals the FFR Reporter role without submitting a Delegation of Authority letter or seeking FTA LSM approval.

Individuals with the FFR reporter role should have the authority to submit the report and assert to its accuracy. The FFR reporter is responsible for timely reporting. The FFR reporter should have a working knowledge of requirements associated with preparing the financial report. The individual should have a working knowledge of its agency's financial system and have access to and coordinated with its financial branch/staff to prepare the report.

MPR Reporter

Role Description

Individuals assigned the Milestone Progress Report (MPR) Reporter role are responsible for preparing and submitting the MPR in the TrAMS system in accordance with FTA Circular

guidance or as otherwise requested by FTA. The MPR Reporter may also revise and resubmit reports as necessary to address comments from FTA.

Individuals in the MPR role will receive task and auto-notification emails to submit MPRs during the first day of the reporting period (i.e. on April 1 for quarterly reports covering the 2nd quarter of the fiscal year). They will also receive reminder emails if reports have not been submitted within several days of the report due date. If FTA staff review and return an MPR for edits or additional information, individuals in the MPR reporter group will receive an auto-notification that FTA has commented on the MPR in question.

Any person with the MPR reporter role can complete and submit any MPR that is required for any of the recipients' active grants. Recipients with multiple staff people assigned to enter MPR information will need to coordinate among themselves to determine which individuals will be responsible for which MPRs in the system. Likewise, if a Recipient would prefer that a limited number of staff people submit the MPR to FTA, then staff will need to coordinate outside the system to determine which person with the MPR reporter role will be responsible for entering information vs. reviewing and transmitting the report to FTA.

Role Assignment

All active TEAM users as of November 30, 2015 who were migrated into TrAMS were assigned the MPR Reporter role by default. If a Recipient believes that some of these individuals do not require this role, the Recipient's User Manager can remove it from those individuals.

When User Managers create new TrAMS accounts for individuals who had not used TEAM, they can assign these individuals the MPR Reporter role without submitting a Delegation of Authority letter or seeking FTA LSM approval.

Individuals with the MPR reporter role should have the authority to submit the report and assert to its accuracy. The MPR reporter is responsible for timely reporting. The MPR Reporter should have a working knowledge of requirements associated with preparing the report and is responsible for timely reporting. The MPR Reporter should be involved in or operating procedures for compiling information to complete the MPR. The MPR Reporter must have the authority to submit the report and assert to its accuracy. The MPR Reporter may revise and resubmit reports as necessary to address comments from FTA.

The "Read Only" User

Role Description

Individuals in the Read Only role can search and view Recipient profile information pertaining to the organizations that they have access to and can also search and view FTA applications and awards financial information, milestone progress reports, federal financial reports, and attachments associated with their organizations. Read only users can also run reports to query

information about TrAMS users, points of contact, awards and other information. Individuals given this role do not receive tasks or take actions in TrAMS other than running reports. They do not have the ability to edit or manage any information in TrAMS.

Role Assignment

Individuals who only need to review information in TrAMS but do not need to take action in the system on behalf of their organization should be assigned the Read Only role. Once a user is assigned the read-only role, they cannot be assigned any additional roles for that recipient. Individuals who have access to multiple recipients in TrAMS may need to be associated with the read only role for some of their recipients while being assigned other roles for other recipients. The recipient user managers for multiple recipients can coordinate to assign the appropriate roles for an individual who has access to multiple recipients.

VI. FTA Contractor Access in TrAMS

Contractor Access

As of November 18, 2017, FTA contractors have been assigned to their own role group and no longer appear in a recipient's user profile as if they were recipient users. FTA contractors have read-only access to those recipients where they are currently conducting oversight reviews.

FTA HQ offices LSMs are responsible for deactivating contractors when they no longer need access to TrAMS.

VII. Making Updates to Users' email addresses, name changes, or organizational changes

Email Addresses

A recipient's access to TrAMS is based on their business email address which is also the individuals' user name. User Managers may change a recipient's email in instances where the organization is adopting a new email address. User managers should not change a user's email address to allow them to use a private email, such as Gmail, Hotmail, etc. Note that even if an email address changes, the user's username will not change. In instances where a recipient is undergoing an organizational-wide email change, TrAMS provides a "bulk add new users" feature that allows User Managers to upload new user information in bulk instead of one at a time via a CSV file. TrAMS provides a template to use when uploading new information.

Name Changes

Recipient users whose names have changed (but whose email remains the same) can provide the new information by editing their User Profile in TrAMS. Any name change will not impact the users' business email address (which is their user name) or password.

Organizational Changes

Recipient users who leave their organization and join another organization that have access to TrAMS should have their User Manager at their prior organization deactivate their account and have the User Manager at their new organization set up a new account with their new business email address.

Certain recipients, such as industry consultants, may use a standard business email address while working for multiple organizations at different points in time. In these cases, the individual should contact their FTA LSM or the TPM Division of Grants Management to discuss an approach to ensure the individual has access to the recipient(s) he/she is working for at the time.

VIII. Users Who Need Access to Multiple Recipients

In some instances, recipient users will need access to multiple organizations in TrAMS. Recipients sometimes need the same roles for all the organizations that they are associated with while in other cases, users need certain roles (such as read only) for some organizations and other roles (such as the developer role) for other organizations.

If an individual needs access to multiple organizations, they should contact their FTA regional or headquarters office Local Security Manager who can establish their account and assign them to the organizations they need to have access to. Once the user's account has been set up, either the LSM can provide them with the appropriate roles for each organization or the User Manager for each organization can assign them with appropriate roles.

If an individual who is an existing TrAMS user for a single recipient needs access to additional recipients, they can contact the User Manager(s) of the recipient(s) to which they need and be set up in the appropriate roles for those organizations. Or, they can contact FTA LSMs who can accomplish the same work in TrAMS.

In certain instances, users, such as those who work for State Departments of Transportation, will need access to many recipients. In those instances, the FTA LSM should provide access to multiple recipients rather than having FTA staff or a recipient try to coordinate User Managers from many organizations to provide access to the system.

Please note that User Managers can only assign a user with roles within their recipient organization. They cannot assign users with roles pertaining to other recipient organizations. The exception is when an individual has been given the User Manager role on behalf of multiple recipients. In this scenario, they will be able to assign roles to individuals for their own organization and any other organization in which they are a User Manager.

IX. FTA's Inactivity Lockout Procedures

In order to comply with National Institutes of Standards and Technology (NIST) security requirements for IT systems, FTA deployed a software change in February 2017 that automatically locks out any user who has not logged into TrAMS in the past 60 days. FTA also implemented this change for the National Transit Database. However, in the case of users of both TrAMS and the NTD, the lockout procedures is system-specific. In other words, if a user has logged into TrAMS within the past 10 days and not logged into the NTD in over 60 days, the user would be locked out of the NTD but not TrAMS (and vice versa).

Users who are locked out for inactivity will still be able to access the Appian platform, upon which TrAMS resides, but they will not be able to access the Records and Actions tabs, or other places where information or actions are available.

Once a user's account is locked, they will receive an automatic email notifying them that their account has been locked due to inactivity and providing instructions on how to unlock their account.

In order to easily unlock their accounts, users may establish security questions, a link to which is available on the user's profile. If their account is locked, they may answer their security questions in order to unlock the account.

Users who are locked out of TrAMS and who did *not* set up their security questions will have an option to request that their User Manager unlock their account. If the user is a grantee and belongs to at least one organization with an assigned User Manager (UM), the unlock request will go to the applicable UM group(s). If there are two UMs, each will receive the task and can complete the request. For users that belong to multiple recipient organizations, the request goes to each of those organizations' UM groups. If the organization does not have a UM assigned, the request will go to the organization's Regional Office (or Headquarters Office) Local Security Manager (LSM). The UM will receive a task and a notification email when a user request an account unlock.

How to Unlock a User Account
The User Manager will receive an email notification and associated task. Note that the email and task goes to all User Managers assigned to the specific organization. The User Manager is group based.

What should be considered when reviewing the request?
1. Are you familiar with the user and their functions in TrAMS?
2. If not, you can refer to your Organizational Profile TrAMS Users Dashboard to confirm the individual is active and the user roles. (Currently, the user record "User Details" does not display, so the dashboard will help. This will be updated in the future to display.)
3. Contact the individual, if needed, before denying request.
4. As the UM, you are responsible for the management of all system users.

When might the User Manager seek Help Desk Assistance?

1. When they are not able to unlock the user account or is not sure if the user account should be unlocked. The UM can escalate the request to another UM or to the Help Desk if they are unable to unlock the account.

2. When the UM unlocks the wrong account. If a UM unintentionally unlocks an account, the UM should immediately call the Help Desk and ask the Help Desk to relock the account.

3. If a user contacts the UM and states they have submitted a request for to be unlocked but there is no Task available. The user should make a second attempt to submit the request. A task must be issued to complete the unlock. If no task is generated, contact the Help Desk.

What if the UM gets locked out?

If a User Manager is locked out, the UM may use the same methods mentioned previously. If the Request to Unlock is used, the request will be sent first to any other UMs within the organization for action. If there are no other UMs within the organization, it will go to the Regional (or Headquarters) Local Security Manager. The LSM will confirm that the UM has the appropriate documentation uploaded to the Recipient Organization Profile before unlocking the user. If no documentation is on file, the UM may need to resubmit documentation to retain the UM privileges.

X. Additional Resources

In addition to this handbook, Recipient User Managers may want to consult the following resources posted on https://www.transit.dot.gov/funding/grantee-resources/teamtrams/trams-guidance:

- The FACES User Guide covering user access and user management to FTA systems on the Appian Platform (such as TrAMS and the NTD)
- The TrAMS User Guide
- The User Guide on Security Questions and Unlocking Accounts
- Password reset tip sheet
- User Managers Guide on Read Only Users
- User Manager Designation Instructions
- User Manager Template
- Delegation of Authority for PIN User Roles

XI. Handbook Change History

Version	Date	Action	Primary Author	Office
1	1/1/2016	Initial Draft	David Schneider	TPM-31
1.1	4/17/2017	Annual update	David Schneider	TPM-31
1.2	11/17/2017	Additional Update	David Schneider	TPM-31
1.3	2/4/2019	Additional Update	David Schneider	TPM-31

Appendix B. Recipient User Role Groups

Recipient - TrAMS User Role Groups	
User Role Group	**General Responsibilities/Functions and Task Assignments**
General All Users Unless Noted	• Recipients may be assigned more than one user role (may depend on the size and complexity of the organization) • All recipient roles, including read only, have access to view/run recipient-level reports
User Manager	• Manages assignment of roles / responsibilities for all of the recipient's users • Creates new users, and can modify or suspend users for recipient organization • Has ability to manage recipient profile information, including points of contact (POCs) • Serves as liaison to the FTA Local Security Manager (LSM)
Developer	• Is responsible for preparing applications in the system • Can create and edit all parts of an application and its associated projects and can transmit applications; however, the Developer cannot submit applications for FTA review and concurrence • Has the ability to manage post award actions • Generally assigned the Point of Contact during application development

Submitter	- Can create, develop, and transmit draft applications for FTA initial review and concurrence - Is responsible for (and receives the associated Task) to <u>formally</u> submit an application to FTA for Award Consideration - Can create and edit all parts of an application and its associated projects during development (or if the application is returned to the recipient) - Receives email notification if a <u>transmitted</u> or <u>submitted</u> application is returned to recipient for action - Has the ability to manage post award actions
Official	- Is responsible for executing, by affirming to the Annual Certifications & Assurances (C&As) applicable to your agency - Is responsible for (and receives associated Task) executing awards of grants or cooperative agreements - Official actions require a PIN - User Role assignment requires authorizing documentation and LSM review
Attorney	Is responsible for executing, by affirming to the Annual Certs & Assurances (C&As)
	- Is responsible for preparing /uploading recipient legal documents - If Attorney executes certification of Annual C&As for recipient, on behalf of the Official, they must also be assigned the Official Role - Attorney Actions require a PIN - User Role assignment requires authorizing documentation and LSM review
Civil Rights	- Is responsible for managing Civil Rights Program compliance - Is responsible for preparing and submitting DBE Goal Reports - Receives email notification/Task when a Civil Rights Program's compliance status has expired and must be updated and submitted to FTA - Receives a Notification/Task once a Civil Rights Program's compliance status is concurred / approved - Receives Task if FTA returns a Civil Rights Program to the recipient with comments or for further edits - Receives Task to complete DBE Reports once the reporting cycle begins - Receives email reminder notifications when DBE reports are pending or past due

FFR Reporter	• Is responsible for preparing and submitting Federal Financial Reports (FFRs) for each active award in the system • Receives Task to complete the FFR once the reporting cycle begins • Receives task/notification if FFR is returned for changes • Receives email reminder notifications when FFRs are pending or past
MPR Reporter	• Is responsible for preparing and submitting Milestone Progress Reports (MPRs) for each active award in the system • Receives Task to complete the MPR once the reporting cycle begins • Receives email reminder notifications when MPRs are pending or past due
Read Only User	• Has View Only access to a recipient's information in the system, including recipient profile, grant awards and associated projects, completed/submitted MPR / FFR / DBE reports • No associated Tasks