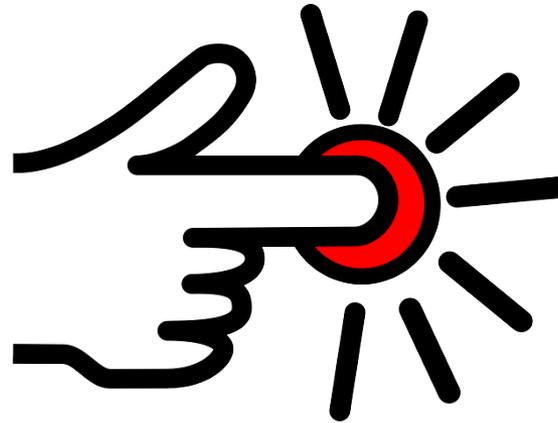# FTA
## FEDERAL TRANSIT ADMINISTRATION

# Executive Summary Questions Update to the TrAMS Application Format

## Stakeholder Sessions
## May 4, 2017

U.S. Department of Transportation
**Federal Transit Administration**

# Confirm call-in line is active and session is being recorded

# Session Outline

1. Overview of Changes to Incorporate the Executive Summary Questions (ESQs) into the application format

2. Discuss and demonstrate what to expect; what the grantee will see and can do during different application/award actions in TrAMS.

3. Remind users where to find information about TrAMS, including the final version of this presentation, recording, transcript and other associated resources. Today you can download the "Draft" Presentation using the available file pod box.

FEDERAL TRANSIT ADMINISTRATION

# Changes to the Application Format

- This is a major system change

- The change incorporates the Required Application Information applicants have been entering manually into the Executive Summary

- The Executive Summary Questions (ESQs) are now incorporated into the application format

- There may be future modifications as necessary

- The ESQ information must be complete and satisfactory for FTA to determine that a new application is complete and proceed with FAIN assignment

FTA

# Required Application Information

| ESQ | Explanation |
|---|---|
| Start Date: | • The start date is the same as the date of award. *Once the Administrator obligates and awards the application, the date of award displays in the applicable field, in the dashboards, and view prints.*<br>• The start date does not preclude the ability to claim pre-award authority; that is a separate selection. Application activity milestones within your application may precede your start date. This may be representative of pre-award authority.<br>• The start date cannot be modified. |
| End Date: | • This is the date by which the activities will be complete and costs incurred.<br>• The date may not be earlier than the create application date (validation) on the <u>initial</u> award; it is expected that the end date should be beyond the anticipated award date.<br>• Note that the end date does not equal the date by which closeout must be complete. Grantees should complete closeout within 90 days after the period of performance ends.<br>• FTA Regional Offices may have additional requirements on how to address your end date and milestones to help track awards. Contact your office if you are not certain about what your Regional Office requires. |

FTA
FEDERAL TRANSIT ADMINISTRATION

# Required Application Information

| ESQ | Explanation |
|---|---|
| Is this application using pre-award authority? | • If the applicant is electing to use available pre-award authority or has an FTA Letter of No Prejudice, this should be selected.<br>• Refer to the applicable funding program and associated apportionment Federal Register Notice to determine if pre-award authority is available.<br>• Applicants are reminded that a "Yes" selection will require submission of an Initial FFR before the Official may execute the award.<br>• This selection cannot be modified after the initial application has been awarded. |
| Does this Application Include funds for Research and Development Activities | • Applicants must indicate if the application scope of work includes activities associated with research and development.<br>• Selection must be identified regardless of fund source type or scope of work activities included in the application or amendment<br>• In most instances the response will be "No" unless you are receiving a cooperative agreement for research activities. |

FTA

# Required Application Information

| ESQ | Explanation |
|---|---|
| Will indirect costs be applied to this application? | • If an indirect rate will be applied, the applicant must make the selection and provide details to delineate the rate(s), base and amount that will apply to the scope of work.<br>• Applicable documentation from your cognizant agency to confirm your rate(s) should be attached to the recipient profile and not the application.<br>• If uncertain if you have a rate or the correct documentation, work with your FTA Office. And update the information prior to transmitting the new award/amendment.<br>• Note that any rate applied must documented and be reported on in the federal financial report. |
| Does this application include suballocation funds? | • This question addresses suballocations by Designated Recipients<br>• This question is similar to the Supplemental Agreement that was previously executed (or PINed) as part of an award under the prior award management system, TEAM.<br>• Supporting documentation, sometimes referred to as a Split Letter, UZA Split Letter, Governor Split etc… is required. The letter must include language that transfers the responsibility to the receiving recipient. Example language is included in the FY 2017 apportionment notice. |

FTA
FEDERAL TRANSIT ADMINISTRATION

# Suballocation Questions

| ESQ | Explanation |
| --- | --- |
| 1) Yes, my organization is the Designated Recipient for suballocated funds. | Select if your organization receives apportioned funds from FTA and you apply for funds on behalf of subrecipients and your own organization to administer or carry out transportation projects. (This might be a State DOT or an MPO) |
| 2) Yes, my organization is the Direct Recipient of suballocated funds (from a Designated Recipient) for this application. | Select if your organization receives a suballocation of funds from a designated recipient (generally as a result of a planning and programming effort or distribution by UZA); AND can apply to FTA directly to receive these funds. (This might be a transit operator that is part of the MPO, and has the appropriate documentation to receive funds directly from FTA). |
| 3) No, my organization is a Direct Recipient of funds directly apportioned to my organization. | Select if your organization is directly apportioned funds from FTA, and apply for the funds directly. *Note:* When your organization receives one program directly and a separate program is suballocated, and the application includes both the directly allocated and the suballocated funds, select (2) above and upload the appropriate documentation. |

# What about applications already underway?

- You do not need to stop the process; continue to complete the current application or post award action.

- Anything started prior to deployment will NOT see the ESQs on the dashboards and view prints, therefore be certain that the required information is included within the Executive Summary.

- If there is a future Amendment on that award, the ESQs will display and can be modified.

- The first amendment on existing awards (pre-deployment of new ESQs) will display "No Selection Made" on the dashboards and view prints.

# Validations – NEW TrAMS Applications

| ESQ | Validation at Transmit Stage |
|---|---|
| Start Date: | None. Information auto populates |
| End Date: | • The field must be populated for validate and transmit<br>• Date cannot be earlier than the create application date |
| Research and Development: | • Selection is required for validate and transmit |
| Pre-Award Authority: | • Selection is required for validate and transmit |
| Indirect Rate: | • Selection is required to validate and transmit.<br>• A Yes to the first answer for indirect rate requires additional details information. |
| Suballocated Funds: | • Selection is required to validate and transmit.<br>• Either Yes answer requires documentation. |

*NOTE: Any initial applications in progress prior to deployment will NOT see the above questions. Use the executive summary consistent with current guidance.*

FEDERAL TRANSIT ADMINISTRATION

# Validations – Amendments/Closeouts

The following applies to Amendments to <u>Existing Active Awards</u> pre-deployment of the ESQs and <u>New Awards</u> made post-deployment of the ESQs:

| Question | Validation |
|---|---|
| Start Date: | • There is no validation.<br>• Existing and New TEAM/TrAMS Awards:  The award date will auto populate from the original award agreement and cannot be modified. |
| End Date: | • Validation confirms it is populated and is later than the initial award date.<br><br>**Existing TEAM awards**:  system will populate the last end date provided in TEAM; you can check this date against the last reported MPR in TEAM.<br><br>**Existing TrAMS awards**:  system will display a blank field which must be populated to pass validation. The date may not be before the award date.<br><br>**Post Deployment New Awards**: The last end date will populate.<br>The End date may be modified.<br>*TIP:  You can check your end date against your Project end dates to determine if a change is necessary.* |
| Pre-Award Authority: | • There is no validation.<br>**Existing and New TEAM/TrAMS Awards**: The selection in the original award will carry forward and cannot be modified. |

FEDERAL TRANSIT ADMINISTRATION

# Validations – Amendments/Closeouts

Questions will display for <u>Existing Active</u> Awards and <u>New</u> Awards post-deployment of the ESQ.

What is Optional: The questions are optional to support subsequent post award actions. The selection should be made the first time an existing award is amended to update the application information. The information, at a minimum, should be consistent with the information provided in the Executive Summary Narrative.

| Question | Validation |
|---|---|
| Indirect Rate | • Validation depends if the questions are modified<br><br>**Existing TEAM awards**: question is optional. A Yes to the first question will require additional details<br><br>**Existing TrAMS awards**: question is optional. A Yes to the first question will require additional details<br><br>**Post Deployment New Awards**: The last selection will populate. A change from a No to a Yes to the first question will require additional details to save/validate. |
| Suballocation | • Validation depends if questions are modified.<br><br>**Existing TEAM awards:** question is optional. A Yes selection requires documentation to save and validate<br><br>**Existing TrAMS awards:** question is optional. A Yes selection requires documentation to save and validate<br><br>**Post Deployment New Awards**: The last selection made will populate. A change from a No to a Yes selection will require documentation to save and validate. If prior action indicated a Yes, the user has the option to add another document. |

FEDERAL TRANSIT ADMINISTRATION

# Validations – Budget Revisions

| ESQs | Validation |
|------|------------|
| The following applies to **Existing Active Awards pre-deployment of the ESQs** | |
| NO ESQs POPULATE | • A Budget Revision taken on an existing award (pre-deployment of ESQs) will NOT display the ESQs.<br>• Any updates should be referenced in the Executive Summary included in an existing TrAMS grant. If the information is missing on an existing award, the executive summary narrative should be updated. |
| The following applies to **New Awards or Amendments made post deployment of the ESQs** | |
| ESQs POPULATE AND MOST ARE EDITABLE<br><br>Start and Pre-Award Not Editable | • A Budget Revision taken on an a post deployment award or an amended award post deployment WILL display the ESQs<br>• All questions may be modified. This includes the end date.<br>• Applicable validations apply when modified.<br>• Note for amendments: if you see "No Selection Made" populated, then no selection was indicated in the last action. This may be applicable for amendments on existing awards. |

# Changes to the End Date

Q: What do we do if the Budget Revision on an Existing Award (pre-ESQs) includes new activity line items and milestones that extend the period of performance?

A: The recipient should indicate in the Executive Summary and the submission remarks that the action extends the period of performance from date to date.

Q: What if the last Milestone Progress Report (MPR) updates result in a change to the last stated period of performance end date?

A: You may or may not necessarily need to take an immediate action on the award.  Document in the MPR your acknowledgement of the noted change in your overview and submission remarks to alert FTA. Discuss with your FTA POC when it is appropriate to formally modify the award to reflect the change.

# End Dates on Existing Awards?

Q: Does this mean that all existing awards must be updated immediately?

A: NO. There is no requirement to take "immediate" action to update active TEAM and TrAMS Awards. That said, it is incumbent on the recipient to notify FTA to acknowledge/document that the period of performance has changed.

# What's Editable When & Validations
## Detailed version on TrAMS Resources Page

| Field | New Application | Budget Revision | Amendment | Validation |
|---|---|---|---|---|
| Start Date | Not Editable | Not Editable | Not Editable | None |
| End Date | Editable | • Editable when action is on a post-ESQ deployment award or amendment.<br>• Existing awards – does not display | Editable | Yes, on initial application, validation confirms date is populated. Validation occurs on all post award actions (not prior to original award/or create closeout date) |
| Pre Award Authority | Editable | Not Editable | Not Editable | Yes, initial application validation confirms selection is populated. |
| Indirect Rate | Editable | • Editable when action is on a post ESQ deployment award<br>• Existing Award – does not display | Editable | Yes, on initial application, validation confirms selection is populated. If selected or changed in a post award, then applicable validations apply. |
| Suballocation | Editable | • Editable when action is on a post ESQ deployment award<br>• Existing Award – does not display | Editable | Yes, initial application validation confirms selection is populated. If selected or changed in post award action, then applicable validations apply. |
| Research and Development | Editable | • Editable when action is on a post ESQ deployment award<br>• Existing Award – does not display | Editable | Yes, initial application only, validation confirms selection is populated. |
| *Note:* | This does not apply to budget revisions on applications or amendments started before deployment of the new ESQs | | | |

FEDERAL TRANSIT ADMINISTRATION

# DEMONSTRATION

# Demonstration – What will you see when you…

1. Create new application

2. Create Budget Revision on an existing TEAM award

3. Create a Budget Revision on existing TrAMS award

4. Create an amendment on an existing TEAM award (same for TrAMS award)

5. Create closeout amendment on existing TEAM Award.

FTA
FEDERAL TRANSIT ADMINISTRATION

# Create New Application Tips

- All new questions must be answered to pass validation

- However you can create your application and return to the "Application Details" make selections or update selections after the create step.

- Any question without a selection will display "No Selection Made" language.

- You must still complete the required elements to progress to the next step in the application development process (this includes the application name, application type, point of contact and pre-award authority).

- If you are using suballocated funds, have the document prepped for uploading; you can delete and update the document if necessary up until transmission.

FEDERAL TRANSIT ADMINISTRATION

# Amendment Tips

- Keep in mind any changes may result in a new validation.

- If you update the application details executive summary or the ESQs; check that a point of contact has been selected, it will be required to save your information and proceed with your action.

- Suballocation question; note that the original document will display and you can add another document if applicable.***

- It is recommended to update the selections on existing awards so information does not contradict with the "no selection made" language. However it is not required provided the original Executive Summary language is populated and still accurate.

# TrAMS Information

For the session materials, please come back in a few days to the Guidance and Training Pages to download the Final Posted Presentation, Recording, Transcript, and other resources to help guide you through the new application format.

# TrAMS Information

- News Page Alerts:  On occasions FTA will post an alert to the news page. Comments posted to alerts are not managed by FTA. If you have questions about the alert please contact your FTA Office or the Help Desk.

**Bruce Robinson** TrAMS Maintenance Alert!  The system will be down for maintenance on Wednesday May 3, 2017 from 4:00 a.m. to 8:00 a.m. Eastern Standard Time.  You may commence work once maintenance is complete. If you have any issues after system maintenance is complete, please contact the TrAMS Help Desk.

2 hours ago     ☆     🔒     Comment

- We have also added a new "Operating Status" to the TrAMS Web Page.  We will try to keep this as current as possible.  Please check here before contacting your office or the Help Desk if it appears the system is down. It could be related to schedule maintenance.

Home » Funding » Grants » TEAM/TrAMS

**TEAM/TrAMS**

TEAM to TrAMS Transition

Help and Guidance

Training

Notices

FAQs

TrAMS Notices Archives

## The Transit Award Management System (TrAMS): FTA's Next Generation of TEAM

Welcome to the Transit Award Management System (TrAMS), FTA's platform to award and manage federal grants. TrAMS was created to provide greater efficiency and improved transparency and accountability and replaces the TEAM platform.

**Operating Status:**

TrAMS Maintenance Alert! The system will be down for maintenance from 4-8 a.m. EST Wednesday, May 3, 2017. Any questions, contact the TrAMS Help Desk✉.

*Related Links*

- Sign Up for Updates
- TrAMS Refresher Training for Recipient User Managers (May 3, 2017)
- Changes to the "Create New Application Format" in TrAMS Training (May 4, 2017)

*Contact Us*

**TrAMS Help Desk**
FTA Office of Program Management
1200 New Jersey Avenue, SE
Washington, DC 20590
United States
FTA.TrAMS.help@dot.gov

FEDERAL TRANSIT ADMINISTRATION