FTA

FEDERAL TRANSIT ADMINISTRATION

FTA Access Control and Entry System (FACES)

User Guide

FACES version 4.9.2

Document Revision History

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4.8.13	9/09/2019	Updated	Christina Palencia
4.9.2	10/14/2019	Updated User Details Report section 2.3.4	Christina Palencia

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1 Introduction

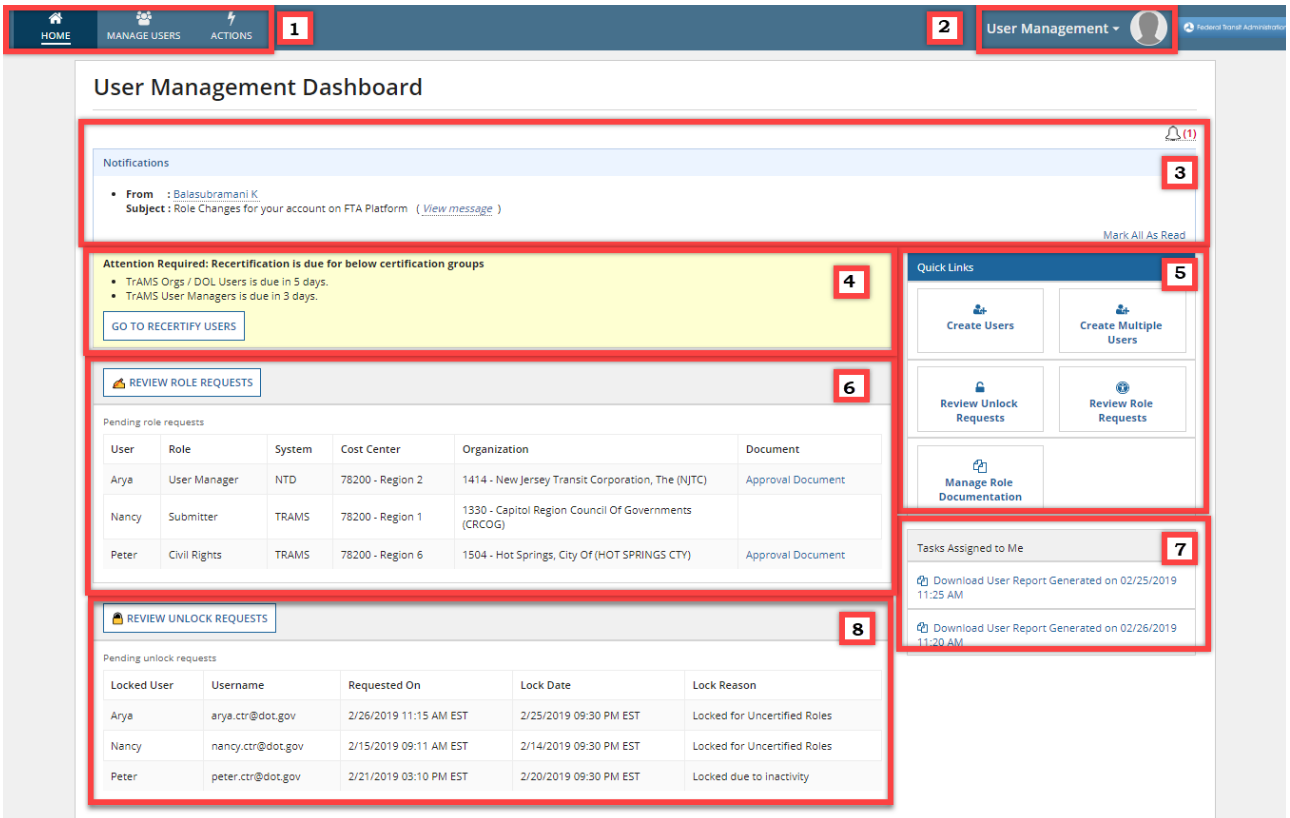
The Federal Transit Administration (FTA) maintains several web-based software systems that reside on the same FTA platform. The FTA platform is accessed via the website, https://faces.fta.dot.gov/suite/. The systems on this FTA platform include the Transit Award Management System (TrAMS), the National Transit Database (NTD), FTA Discretionary Grant System (DGS), the Joint Procurement Clearinghouse (JPC), and the FTA Access Control and Entry System (FACES). TrAMS is FTA's system for awarding and managing federal grants. NTD is FTA's system for tracking transit statistics on American transit systems. The JPC is available to FTA grant recipients for communicating about procurement needs and soliciting partners for a joint purchase. DGS is FTA's system for approving or rejecting grant applications and preparing funding scenarios. FACES is the user creation and management system for each user on the FTA platform. All other software systems on the FTA platform rely on FACES for user management functions. Within FACES, each software system has its own set of user roles access privileges.

2 System Layout

The software systems residing on the FTA Platform, https://faces.fta.dot.gov/suite/, all share a common layout. This section provides a high-level view of the system and how to navigate, find, and work with data.

2.1 Navigation and Views

After logging in (see Section 4.3 for description), users land on a standard homepage. The homepage, and all other system pages, contain four distinct areas as shown in the figure below:



1) **Navigation Tabs** – Three (3) navigation tabs are located at the top, left-hand corner of the page. The tabs are used to navigate through the system. privilege users, regardless of the roles assigned, will see these three tabs.
   a. Home
   b. Manage Users
   c. Actions
2) **Navigation Menu** – The navigation menu may appear on the left-hand side or at the top of the screen. The navigation menu allows you to filter for specific data within the tab that is being viewed and may contain a menu of additional information you can view. Filters and menu items vary by tab and data type selected. In some cases, a search bar is available to allow you to quickly find specific items.
3) **Main Content** – The Main Content section of the page is where the primary information for the specific page displays. The information displayed is specific to the functionality of the tab (e.g., tasks will display when working in the Tasks tab). When printing from within a web browser, only content in the Main Content area will be included.

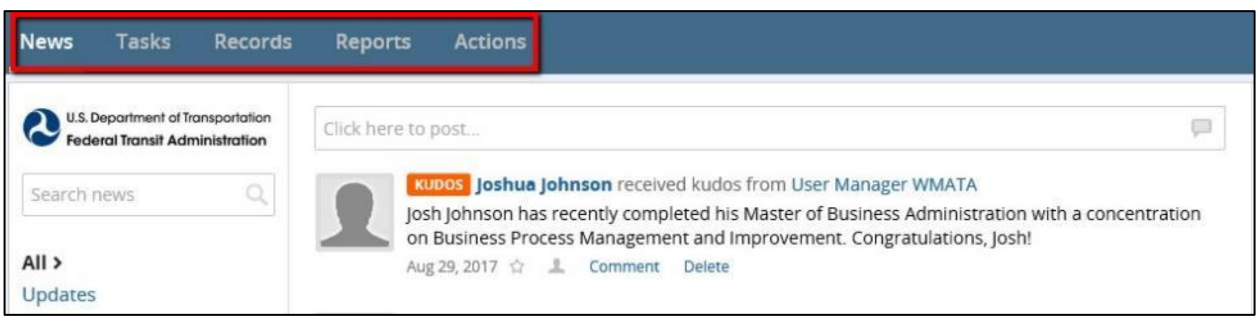
2.2 Account Information

Account Information provides access to information specific to the user. It lists the user's first and last name. By selecting the user name, the user will be presented with the following three options:

1) **Profile** – Provides a means for the user to view and update their individual profile information, and to set their Personnel Identification Number (PIN). Refer to Section 4, for more details.
2) **Settings** – Opens the Settings Page where the user can select language and time zone and subscribe to news feeds. Non-FTA users can also change their password here.
3) **Sign Out** – Select ***Sign Out*** to log out and exit FACES.

2.3 Navigation Tabs

The five navigation tabs provide the primary method of navigating within the FTA platform. Each tab represents a different data type. The exact information displayed on each tab will reflect the roles the user has been granted within each system. For example, TrAMS users will see information specific to TrAMS, NTD users will see information specific to NTD and DGS users will see information specific to DGS.



2.3.1 News

The ***News*** tab displays platform and software system-specific news to all users and allows the user to collaborate with other users through messaging. News feeds and messages may be targeted to specific users and/or groups, or to all system users. The ***News*** tab is the default tab displayed when a user initially logs into the platform (as shown in the preceding screenshot).

Some software systems on the FTA platform automatically post news feeds items when certain actions occur in the system (e.g. TrAMS, NTD and DGS). FACES does not post any automatic news feeds at this time.

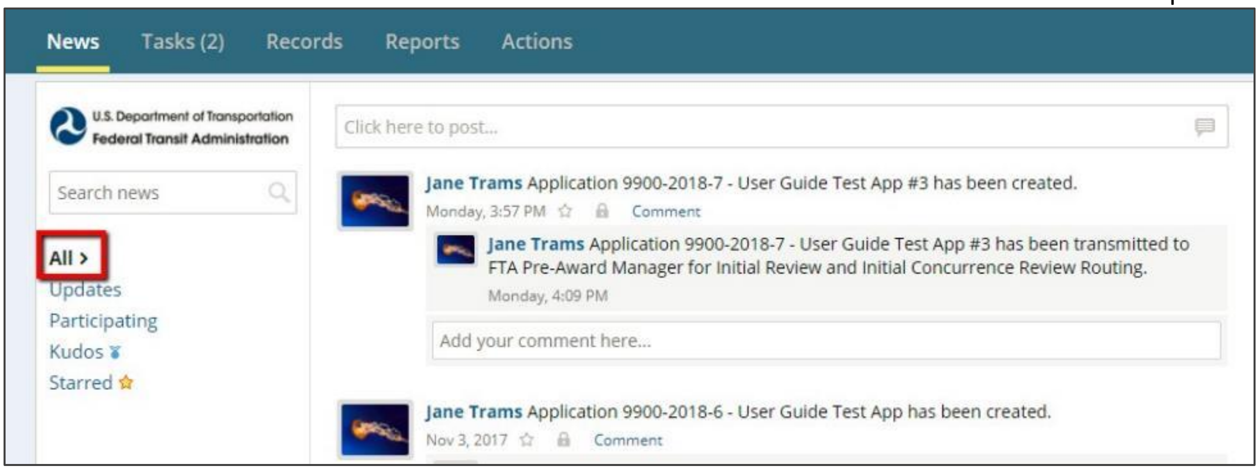
Users may also use this tab to add their own comments to the news feeds, to communicate with other users or groups using the post or message options, to assign a social task, or to send kudos.

News feed information displays in chronological order 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.

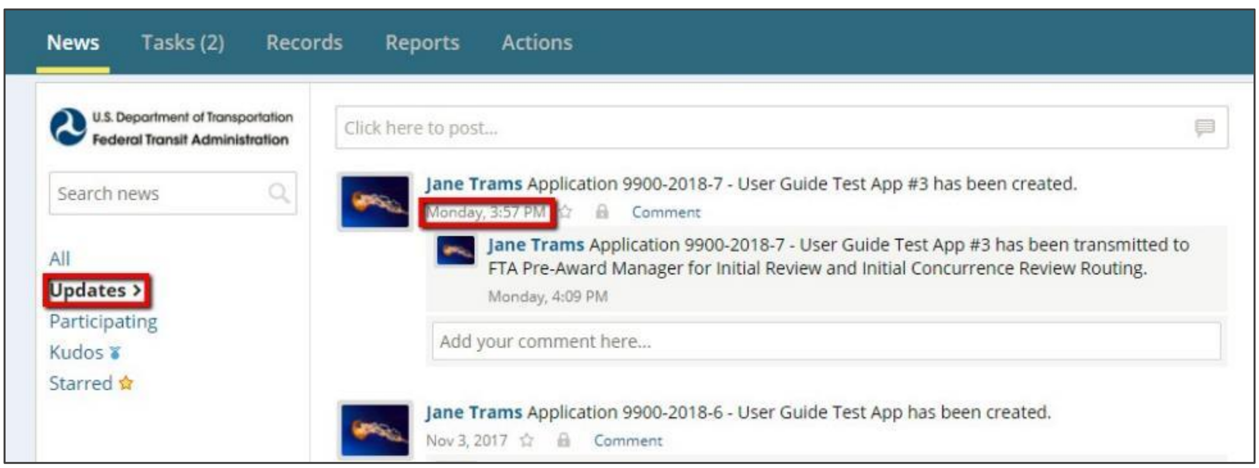
The left-hand navigation menu on the ***News*** tab contains five (5) filters:

1) Selecting the ***All*** filter displays the entire list of available information. This filter is automatically selected when the ***News*** tab initially loads.

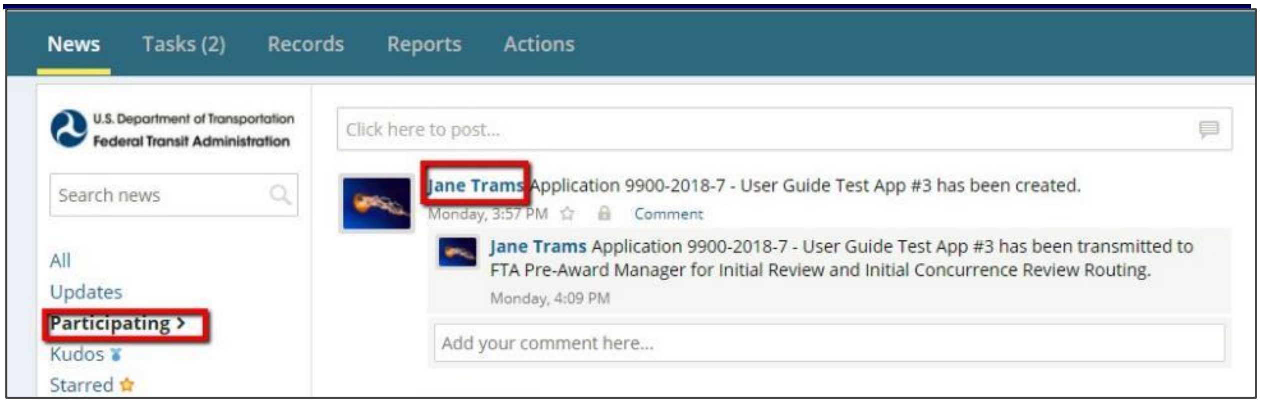
All Updates



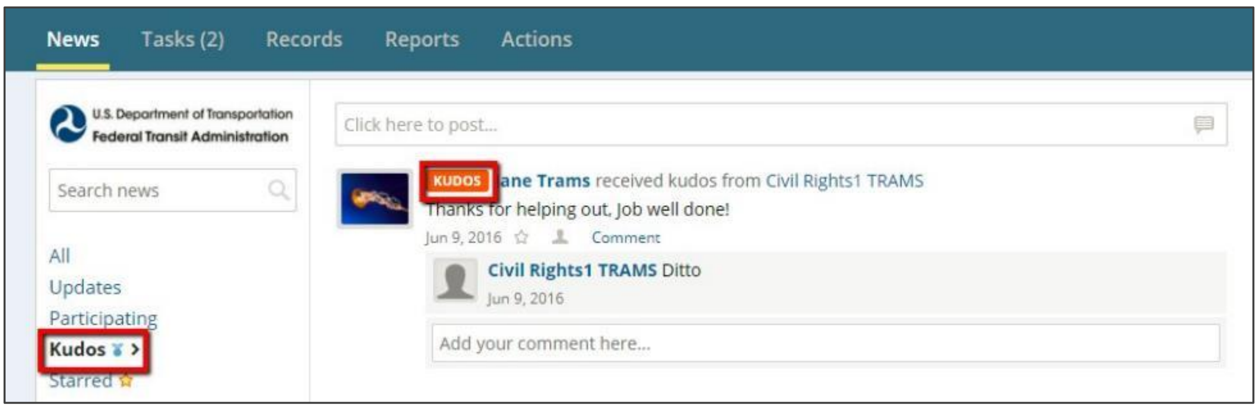
2) Selecting the ***Updates*** filter displays recently added/updated postings and news items.



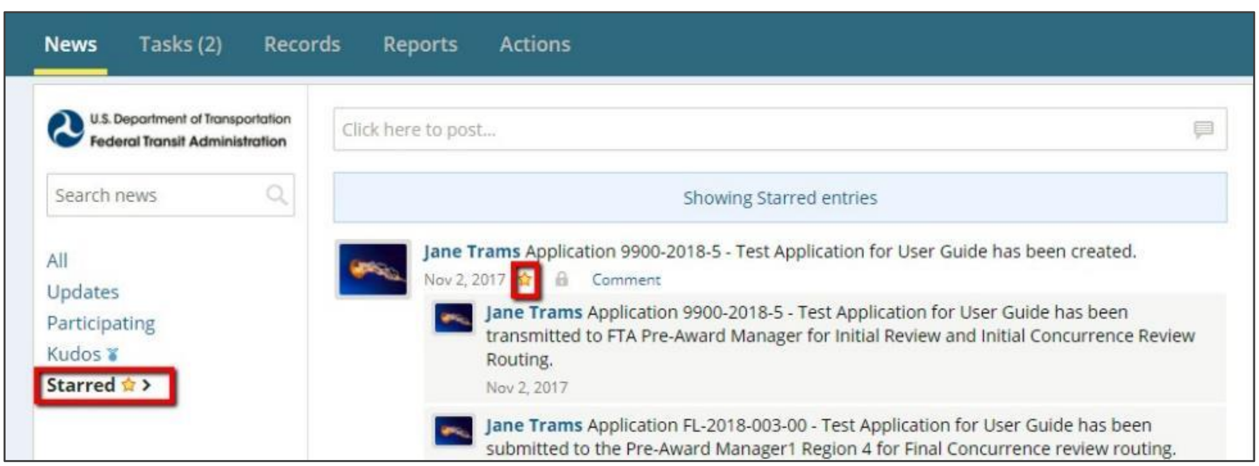
3) Selecting the ***Participating*** filter displays the news items posted by the user or where the user is mentioned.



4) Selecting the ***Kudos*** filter displays all Kudos entries for the managers or the users reporting to the manager.



5) Selecting the ***Starred*** filter displays on those news items that the user has starred to highlight. To star a news item, click the empty star next to the news time/date, this causes the star to become shaded yellow.

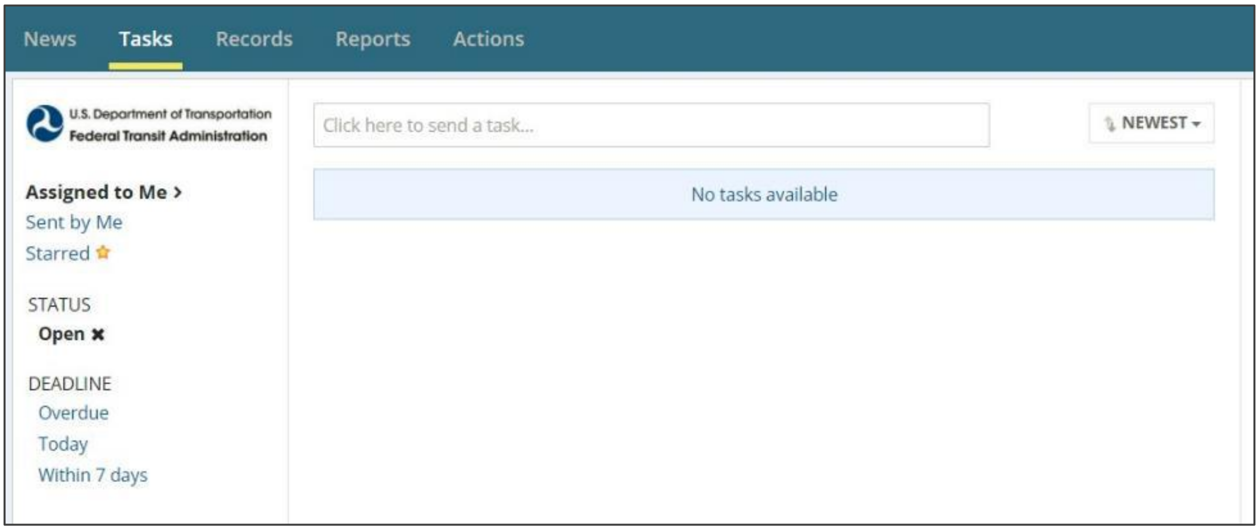


2.3.2 Tasks

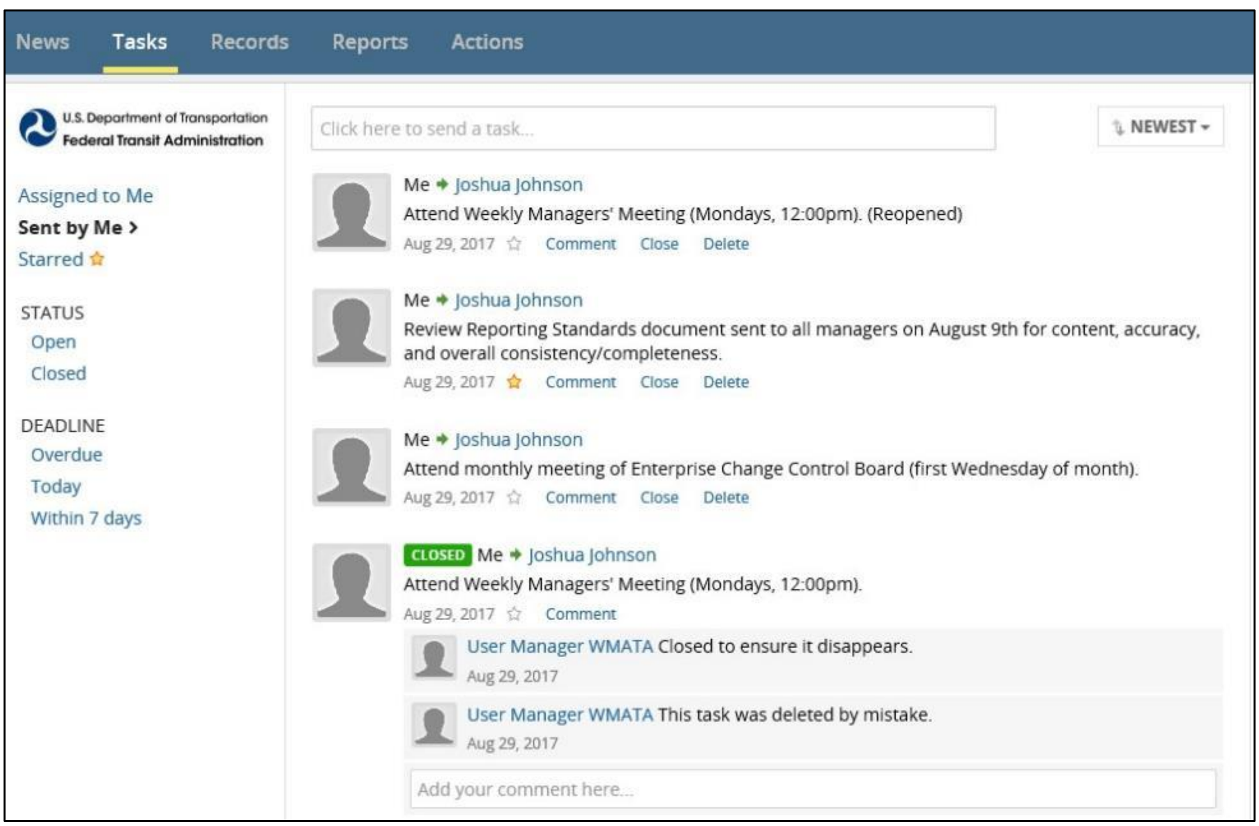
The **Tasks** tab displays a list of specific work items that have been assigned to a user or to a group of users for completion. By default, it lists all tasks assigned to the user or to the groups to which they belong. The number of open tasks assigned to the user displays next to the **Tasks** tab title. Selecting the individual task causes a page to open requiring the user to fill out several items to complete the task.

System **Tasks** will be assigned to a specific user or group when a certain step in the process life cycle needs to be performed. As an example, TrAMS recipient 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 information and sign/acknowledge their acceptance.

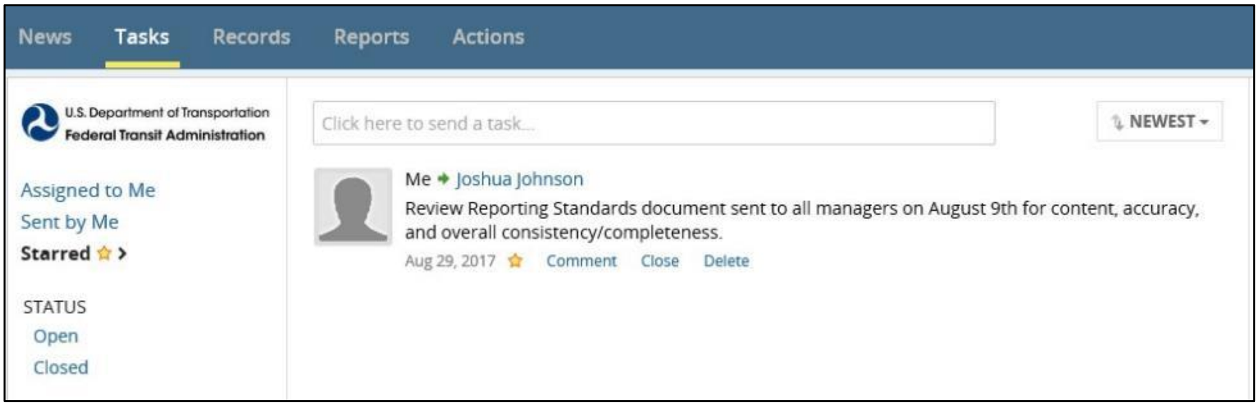
The screen defaults to the list of tasks ***Assigned to Me***.



Selecting ***Sent by Me*** from the left-hand navigation menu limits the list of tasks to those the user sent to other users. These tasks can be managed by ***Commenting*** on them, ***Closing*** them, or ***Deleting*** them.

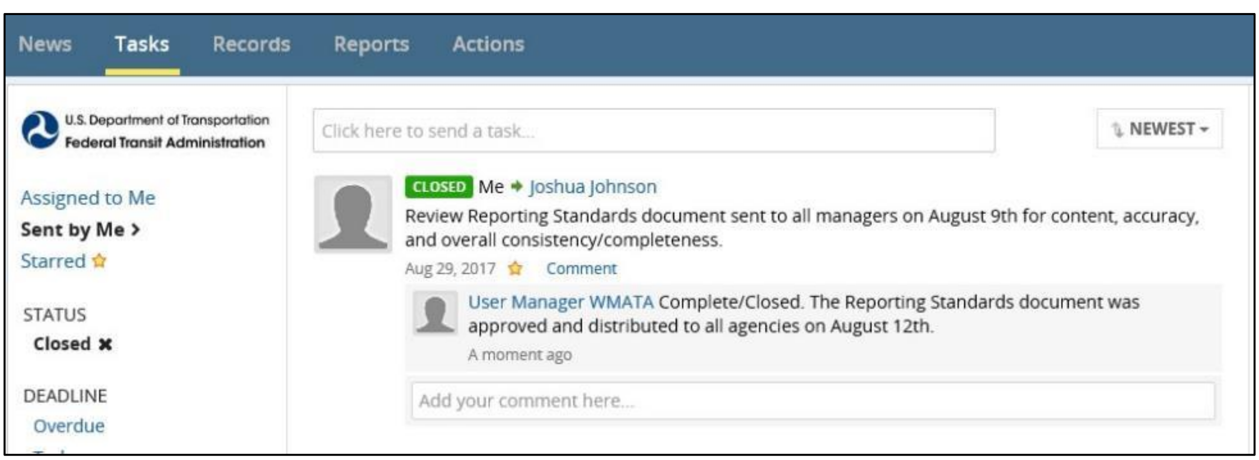


Selecting ***Starred*** from the left-hand navigation menu limits the list of tasks to those this user is following for resolution.



Selecting both ***Sent by Me*** and ***Open*** from the left-hand navigation menu limits the list of tasks to those that are still in an open status.

Selecting both ***Sent by Me*** and ***Closed*** from the left-hand navigation menu limits the list of tasks to those that are still in a closed status. Any comments added to the Task are also captured/displayed.



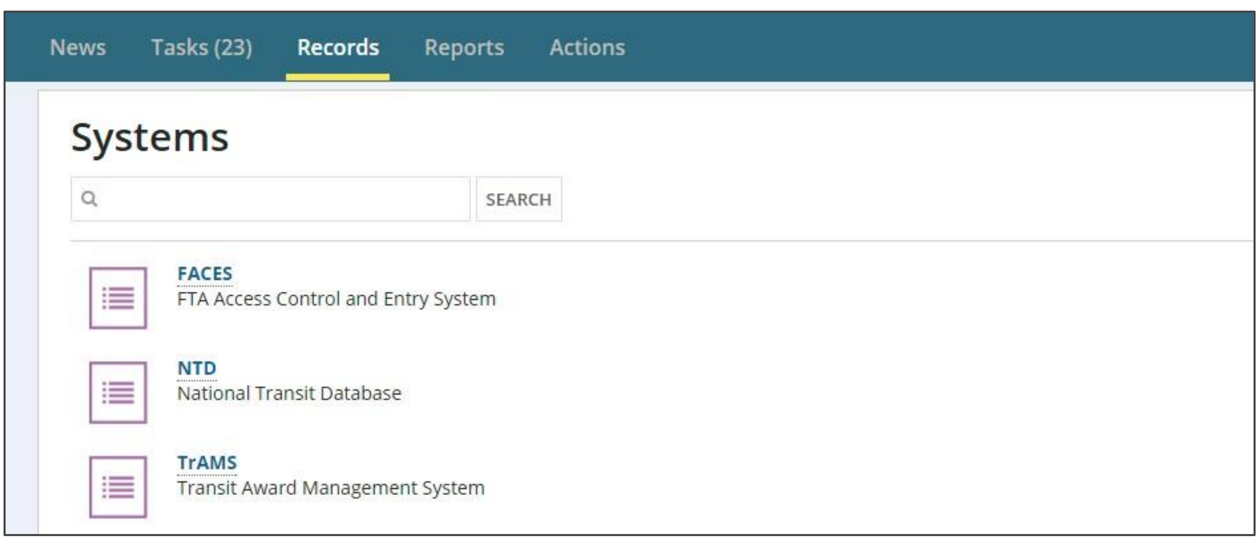
2.3.3 Records

The **Records** tab provides a way to access and work on existing records in the system. Records are comprised of all the information that makes up a specific type of data, such as all the information about a user and a set of actions that can be taken on the record. Selecting the ***Records*** tab provides the user with a list of the types of records they are approved to view. The FACES system includes two record types:

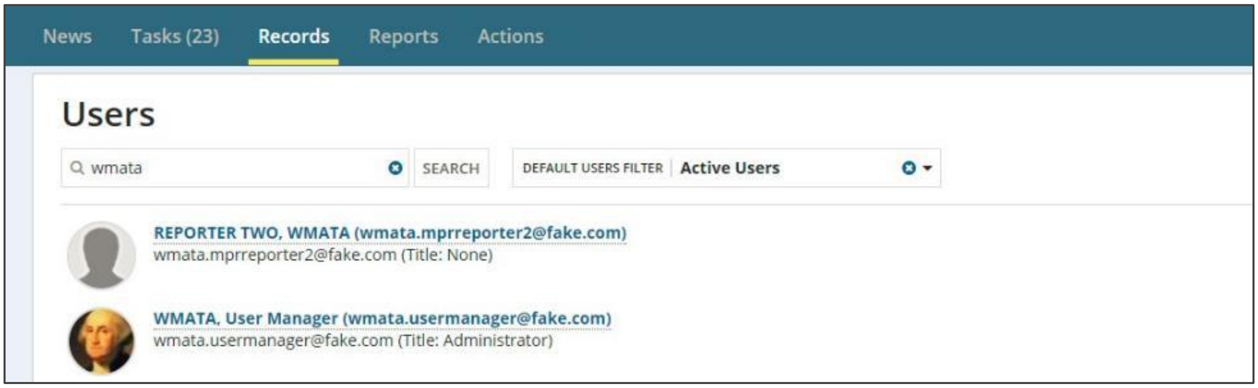
- **Systems** – provides access to descriptions of all software systems on the FTA platform and associated Help Records
- **Users** – provides access to all users that the logged-in user is approved to see (generally, users within their same organization). More information on the content of user records is in Section 3.4 of this user guide.

TrAMS, NTD and DGS contain other records types as well. Selecting a record type from the list will open a page listing the first one hundred records of that type.

Selecting ***Systems*** opens a page like the one below (systems shown are specific to the user's roles):



Selecting ***Users*** opens a page like the one below (user information is limited to those with whom the user has a specific role capability). Selecting a specific record displays a **User Summary Page**, containing detailed information associated with that selected user. The specific pages of the user record are discussed in Section 3.4.

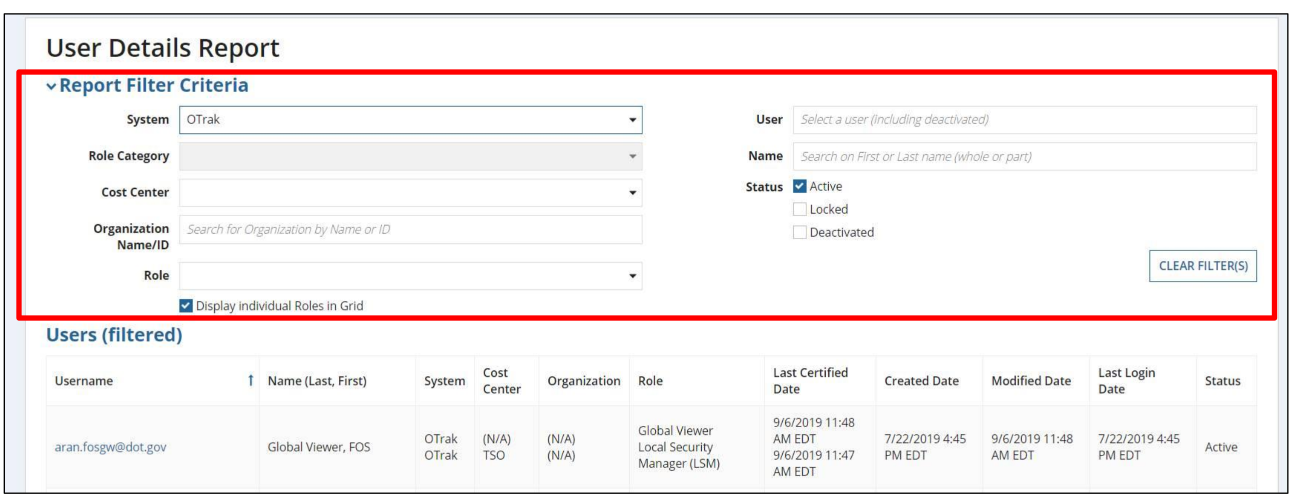


- ## Reports

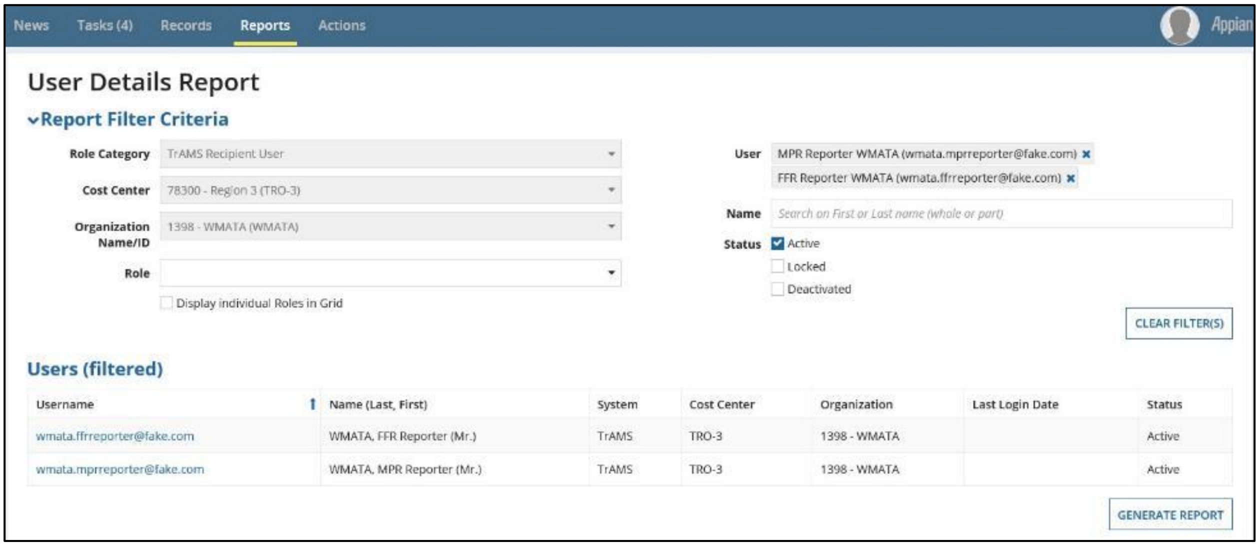
2.3.4.1 User Details Report

The **Reports** tab contains all reports that the user has access to. There is a single FACES report, the 'User Details Report' at this time. The purpose of this report is to provide a way to search for users by different characteristics. The logged-in user can only search for other users that he or she is approved to see (the same set of users that displays on the User records list in Section 3).

Selecting an individual report from the list will launch the report process that presents the finished report details to the page. Selecting ***User Details Report*** from above presents:



The report page provides several ways to filter the data presented. In most cases, the report filter is pre-determined by the logged-in user's characteristics (**Role Category**, **Cost Center** and/or **Organization)**. The filter can be further limited by User Name, or by partial name (first or last). The list can also be filtered by users who are **Active**, **Locked**, or **Deactivated**.

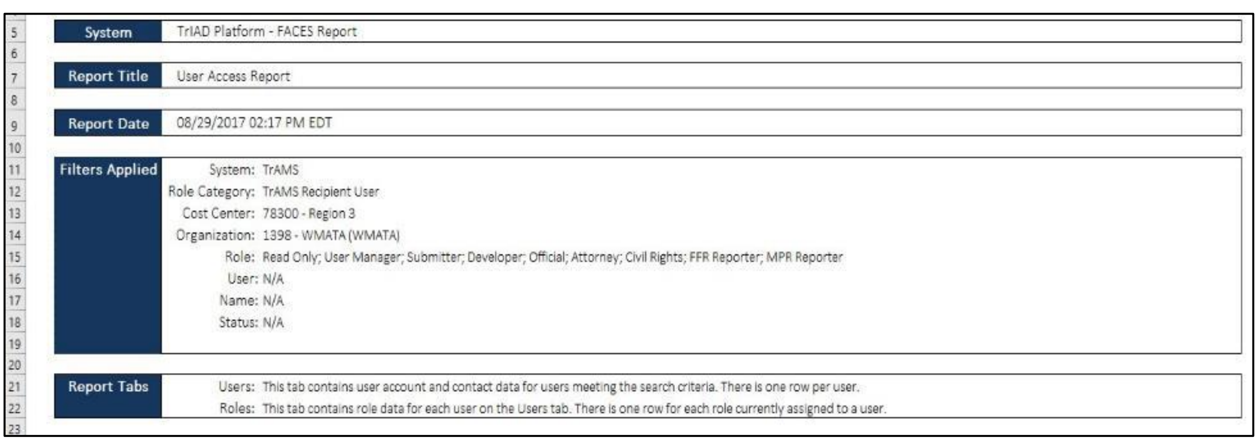


To return to the full list, select ***CLEAR FILTER(S).***

Clicking ***GENERATE REPORT*** will execute a process to create an Excel spreadsheet of details.

Clicking the link to the report (***User Details Report***) will cause the report (an Excel spreadsheet) to be downloaded to the user's individual machine. Once opened, the Excel spreadsheet presents separate data pages based on the details selected.

First, a ***Report Overview***:



In this case, the report has two additional tabs. One for ***Users***. The ***Users*** tab displays contact and account information for each user in the search results.

Username	Name	Title	User Typ	Email	Office Phon	Street Address	City	State	Zip	Status	Last Log
developer@mdot.gov	MDOT, Developer (Mr.)	Developer	Organization	acs.uat.3@gmail.com	(410) 865-1569	7207 Corporate Center Drive	Hanover	MD	21076	Deactivated	11/1/2017
m.mitchell@dot.gov	MDOT, User Manager	User Manager	FTA	acs.uat.3@gmail.com	(410) 865-1569	7207 Corporate Center Drive, Suite 100	Hanover	MD	21076	Deactivated	10/31/2017
multipleroles2@mdot.gov	MDOT, Multiple Roles	Multiple Roles 2	Organization	acs.uat.3@gmail.com	(410) 865-1569	7207 Corporate Center Drive	Hanover	MD	21076	Active	10/20/2017
submitter@mdot.gov	MDOT, Submitter	Submitter	Organization	acs.uat.3@gmail.com	(410) 865-1569	7207 Corporate Center Drive	Hanover	MD	21076	Active	11/4/2017
transit.user@fake.com	Transit-Rider, Sophia (Ms.)	Analyst	Organization	acs.uat.1@gmail.com	(123) 123-1234	101 Transit Way	Transitville	DC	12345	Active	11/1/2017

Another exists for ***Roles.*** The ***Roles*** tab contains all active roles for each user on the ***Users*** tab.

	Username	Role	Role Categor	System	Cost Cen	Org ID	Org Acronym	Last Certified Date	Last Certified By	Created Dat	Created By
2	dedot.usermanager@fake.com	User Manager	Recipient	TrAMS	Region 3	1398	WMATA	2017-08-21 09:47	mpitluck	2017-08-21 09:47	mpitluck
3	fake@fake.com	Civil Rights	Recipient	TrAMS	Region 3	1398	WMATA	2017-08-23 09:55	region3.lsm	2017-08-23 09:55	region3.lsm
4	sallyjones@fake.com	Civil Rights	Recipient	TrAMS	Region 3	1398	WMATA	2017-08-23 10:19	wmata.usermanager@fake.com	2017-08-23 10:19	wmata.usermanager@fake.com
5	sallyjones@fake.com	FFR Reporter	Recipient	TrAMS	Region 3	1398	WMATA	2017-08-23 10:34	wmata.usermanager@fake.com	2017-08-23 10:34	wmata.usermanager@fake.com
6	sallyjones@fake.com	MPR Reporter	Recipient	TrAMS	Region 3	1398	WMATA	2017-08-23 10:34	wmata.usermanager@fake.com	2017-08-23 10:34	wmata.usermanager@fake.com

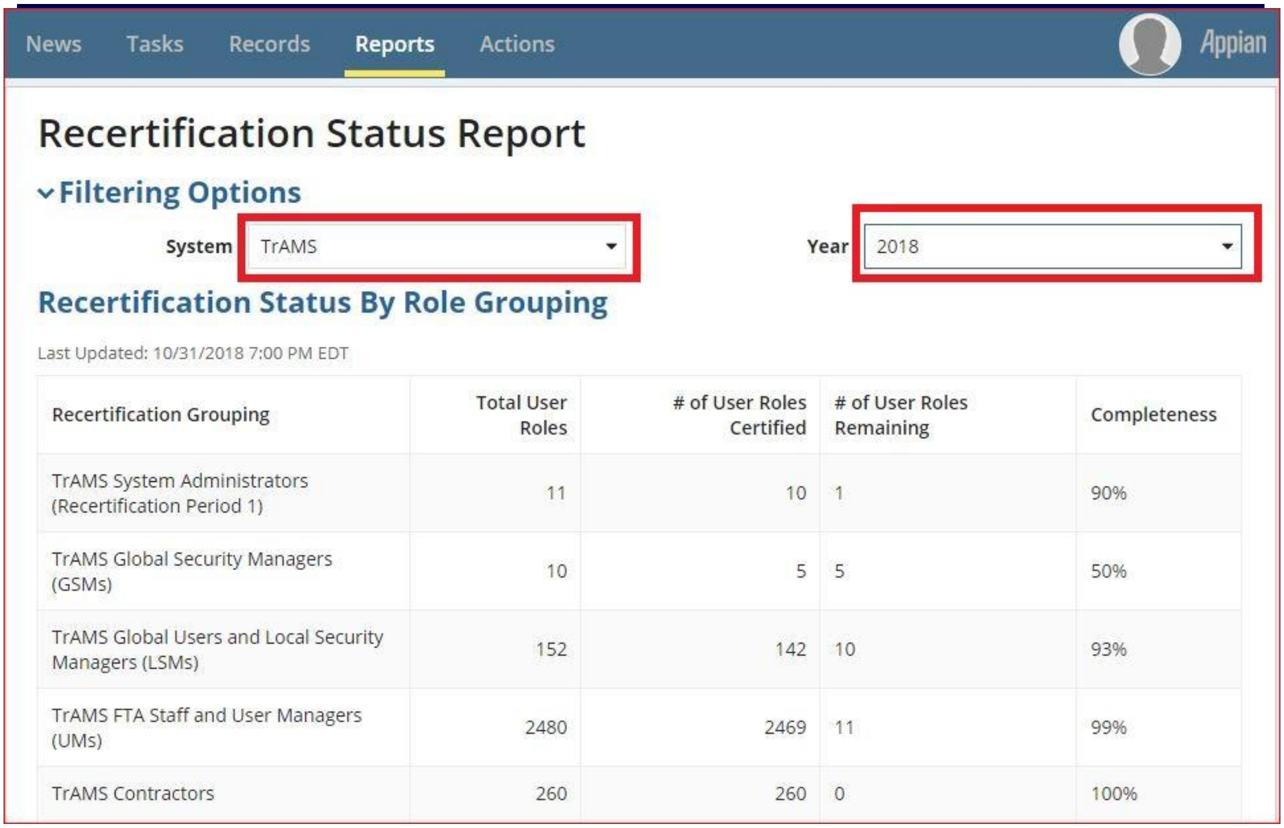
2.3.4.2 Recertification Status Report

After the end of each recertification window, FACES will generate a recertification status report, accessible by Certifiers (*see Section 8.1 for* Recertification Process*)*

How a **Certifier** can view recertification status report:

1) **Certifier** log into System and clicks Reports.
2) Clicks ***Recertification Status Report.***

3) The **System** displays Recertification Status Report.

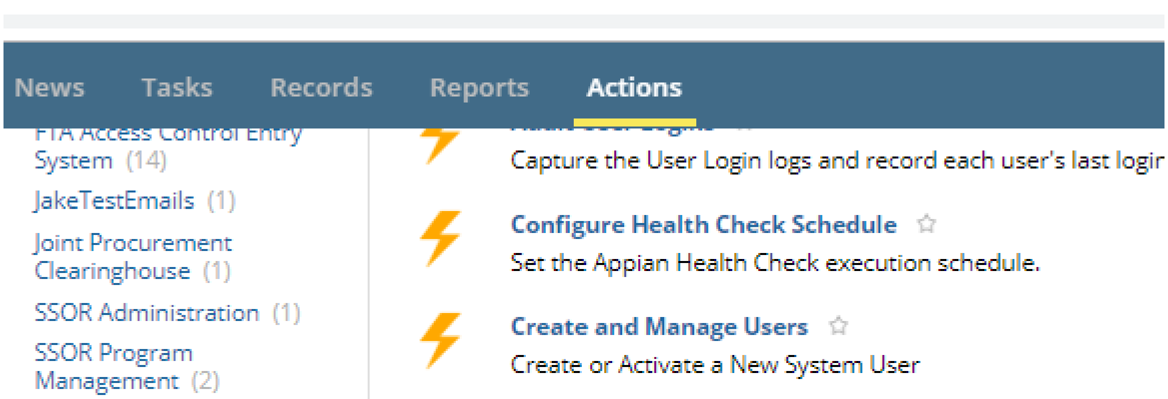


Recertification Grouping	Total User Roles	# of User Roles Certified	# of User Roles Remaining	Completeness
TrAMS System Administrators (Recertification Period 1)	11	10	1	90%
TrAMS Global Security Managers (GSMs)	10	5	5	50%
TrAMS Global Users and Local Security Managers (LSMs)	152	142	10	93%
TrAMS FTA Staff and User Managers (UMs)	2480	2469	11	99%
TrAMS Contractors	260	260	0	100%

4) **Certifier** has the filtering options by systems and year.
5) **Certifier** can see recertification status by role grouping.

2.3.5 Actions

The **Actions** tab provides a list of actions that the logged-in user is approved to take within the system. In general, FACES actions are only visible to users with user management roles (e.g. User Managers, Local Security Managers, and Global Security Managers). In the case below, the User Manager is presented with a list allowing them to create and manage users (even multiple users), manage role documentation, review unlock requests, and perform searches for specific records. Users will see other actions specific to their roles in the other FTA software systems. The **Actions** available to any user are limited to their **role(s)**.



3 User Records

A User Record includes all information directly related to the user's **Profile** (e.g., name, address, title, and role(s), audit history). It also includes all news items specific to the user and any Kudos received. Users may see other staff members' **User Summary** page and **User Details** within their organization.

Each user may manage their own **Profile** information. Some user information may be edited by the individual user. User roles are granted and managed by **User Managers, Supervisors, Local Security Managers (LSMs), and Global Security Managers (GSMs)**.

3.1 User Types

There are three account types used to classify each user on the FTA platform: FTA users, Organization users (e.g., TrAMS Recipient, DGS Recipient and NTD Reporter), and External users.

1) **FTA Users:** This user type includes FTA employees and federal contractors who directly support FTA. All FTA users have FTA email accounts ending in @dot.gov.
2) **Organization Users:** This user type includes individuals who are employed by or support an organization that uses an FTA platform software system. The users are grouped by their organization(s). This user type includes TrAMS Recipients DGS Recipients and NTD Reporters.
3) **External Users:** This user type includes individuals external to FTA but provide support or oversight to one of the FTA platform software systems. External users have three sub-types: Auditors, Contractors, and Department of Labor (DOL) users.

The types of roles that a user can be granted are specific to the user's account type. FACES defines standardized role types, role hierarchy, and security for the various software systems on the FTA platform. New roles and user categories may be incorporated as needed in the future to allow FACES to support additional software systems and to meet changing requirements.

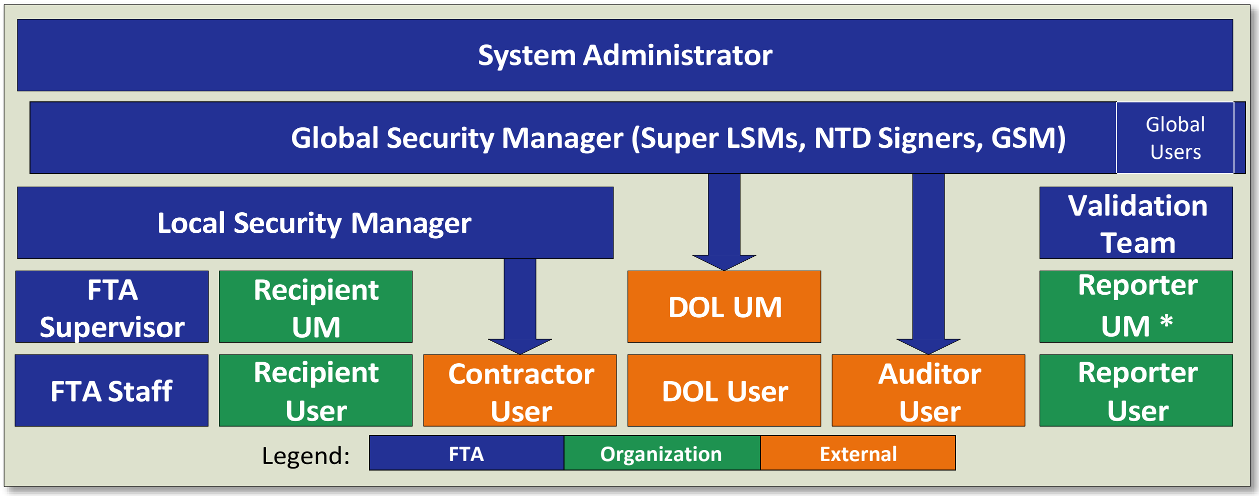
3.2 User Roles

Users roles on the FTA platform are grouped by role category (e.g. FTA Staff, TrAMS Recipient Users, TrAMS Reporters and DGS Recipient Users).

Each organization user has an assigned ***User Manager***. The **User Manager** assigns roles to each user in their organization in accordance with the rules specific to their FTA software system (e.g. TrAMS, NTD, DGS, etc..). Users may be assigned one or multiple roles within their organization. Roles assigned to each user control the **Actions** available to a user and the **Tasks** assigned to the user.

The figure below provides an outline of all user roles within the FACES landscape. Each will be further defined in subsequent paragraphs.

Figure 2 – User Role Outline



The following tables lists the available user roles that may be assigned. For definitions of each role and associated privileges, please see the corresponding system user guide.

Table 1 – Organization User Roles
(continues to through page 20)

	Organization User Roles	FTA User Roles	External User Roles
NTD Reporters	1) User Manager 2) CEO 3) NTD Contact 4) Editor 5) Viewer 6) Safety Contact 7) Safety Editor 8) Safety Viewer 9) CEO Delegate	Global Roles 1) Global Security Manager (GSM) 2) Global Viewer 3) FTA Signers 4) FTA Viewer Validation Team 1) Validation Analyst 2) Validation Ops 3) Validation PM 4) Validation QA 5) User Manager Supervisor	1) Auditor 2) FTA Contractor

	Organization User Roles	FTA User Roles	External User Roles
TrAMS Recipients	1) Read Only 2) User Manager 3) Submitter 4) Developer 5) Official 6) Attorney 7) Civil Rights 8) FFR Reporter 9) MPR Reporter 10) JPC Procurement Officer	**Global Roles** Global Security Manager (GSM) Global Viewer **Standard Regional Staff Roles** 1) Supervisor 2) Local Security Manager (LSM) 3) Intake Manager 4) Pre-Award Manager 5) Post-Award Manager 6) Reservationist 7) Administrator 8) Director 9) Director of Operations 10) Initial Reviewer 11) Technical Reviewer 12) Environmental Reviewer 13) Civil Right Officer 14) Legal Counsel 15) Read-Only **Specialized HQ Roles** 1) Apportionment Manager 2) Budget Analyst 3) Budget Director 4) Dataset Administrator 5) DBE Approver 6) Discretionary Admin 7) Discretionary Manager 8) TCA Record 9) Transit Director 10) Vendor Setup	1) Auditor 2) DOL User Manager 3) DOL User 4) FTA Contractor

	Organization User Roles	FTA User Roles	External User Roles
DGS Recipients	1) Program Manager 2) Team Lead 3) Reviewer 4) Global Security Manager 5) Local Security Manager 6) Contractor 7) Auditor 8) Administrator 9) FTA User 10) Management		1) Auditor 2) FTA Contractor (DOT Reviewer)
SSOR Recipients	1) User Manager 2) Alternate Reporter 3) Primary Reporter 4) Viewer	**Global Roles** 1) Global Security Manager (GSM) 2) SSOR Viewer **Standard Regional Staff Roles** 3) Local Security Managers (LSM) 4) Validation Team Member 5) Validation Lead 6) Director 7) Regional Safety Officer	

	Organization User Roles	FTA User Roles	External User Roles
OTrAK		**Global Roles** 1) Global Security Manager (GSM) 2) Global Viewer **Standard Regional Staff Roles** 3) Oversight Director 4) Local Security Manager (LSM) 5) TRO User 6) Read-Only **Specialized HQ Roles** 7) User 8) Read-Only 9) Single Audit Coordinator 10) Triennial Review Program Manager 11) Program Manager (FMO, PSR, TCR, OAT, SSOA, SMR) 12) Enhanced Review Module Program Manager 13) Tribal Transit Program Manager 14) Drug and Alcohol Audits Program 15) Oversight Review SME 16) Technical Assistant Program Manager 17) TSO-21 Quality Assurance Manager	1) Contractor Recipient Delegate 2) Contractor Program Manager 3) Contractor Reviewer 4) Contractor (Read-Only) 5) OIG Auditor (Read-Only)

3.3 User Visibility

There are explicit rules controlling access to user records and user information within the system. The following rules independently to each FTA system (e.g. TrAMS, NTD, DGS):

1) Organization users can see all other users within their organization(s). For example, a user who belongs to 'Transit Organization Blue' will see all other users with roles in 'Transit Organization Blue'.
2) Organization users cannot see FTA user records, external user records, or users outside their organizations.

3) FTA users can see all other FTA users within their system (e.g. TRAMS, NTD, DGS).
4) FTA users can see all organization users who belong to organizations within their FTA region or cost center. Global FTA users can see all organization users within their system (e.g. TrAMS, NTD, DGS).
5) FTA users with specific roles (e.g. GSM, validation analyst, LSM) can view external user records.
6) External users can only see user records for other external users of the same subtype. For example, TrAMS DOL users will only see other DOL users in TrAMS.

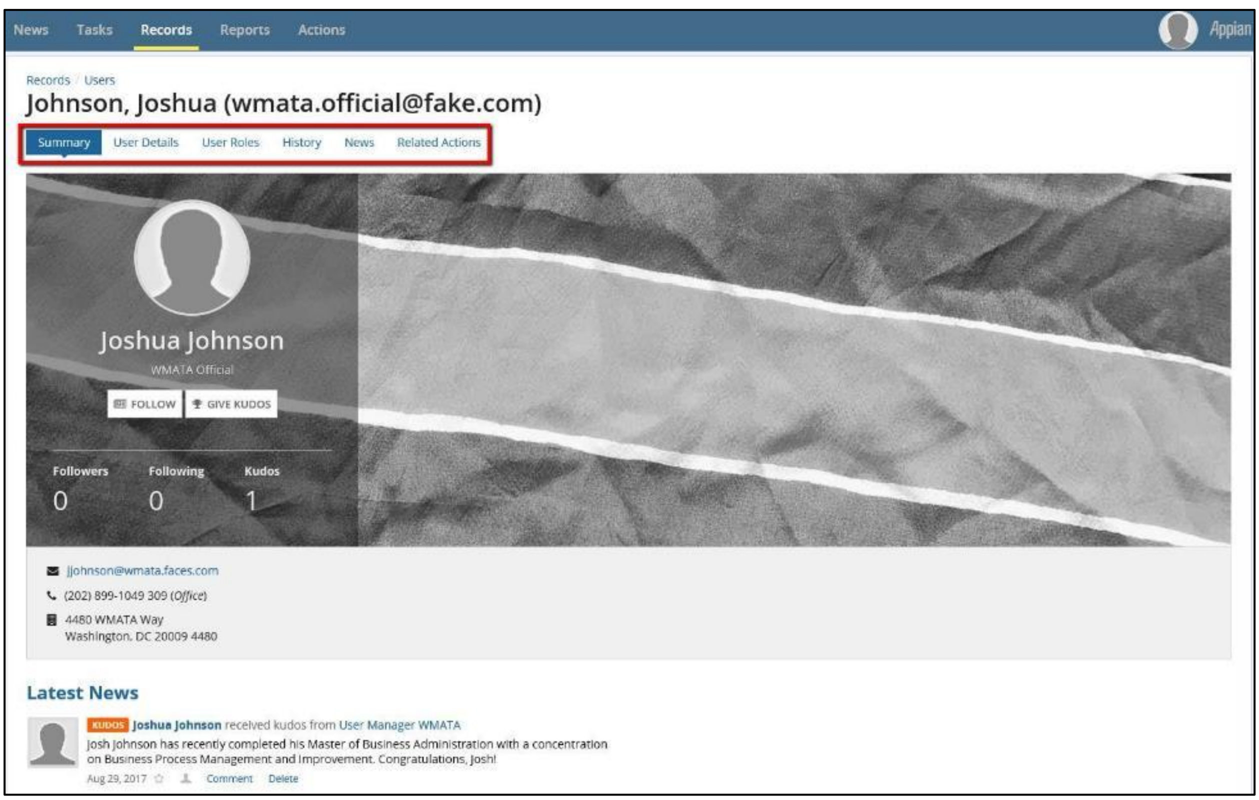
Table 2 summarizes these rules from the perspective of the logged-in users type:

Table 2 – User Record Viewing Privileges

	User Records I Can View		
My User Type	Organization	FTA	External
Organization	All organization users within my own organization(s).	No FTA user records.	No external user records.
FTA	All users belonging to organizations within their FTA cost centers. A global user sees all organization users within his/her system (e.g. TrAMS).	All FTA users within the user's system (e.g. NTD, DGS).	See some external user records depending on roles assigned.
External	No organization user records.	No FTA user records.	All users of same external subtype (e.g. Auditor) in my approved systems (e.g. TrAMS, NTD, DGS).

3.4 User Record Content

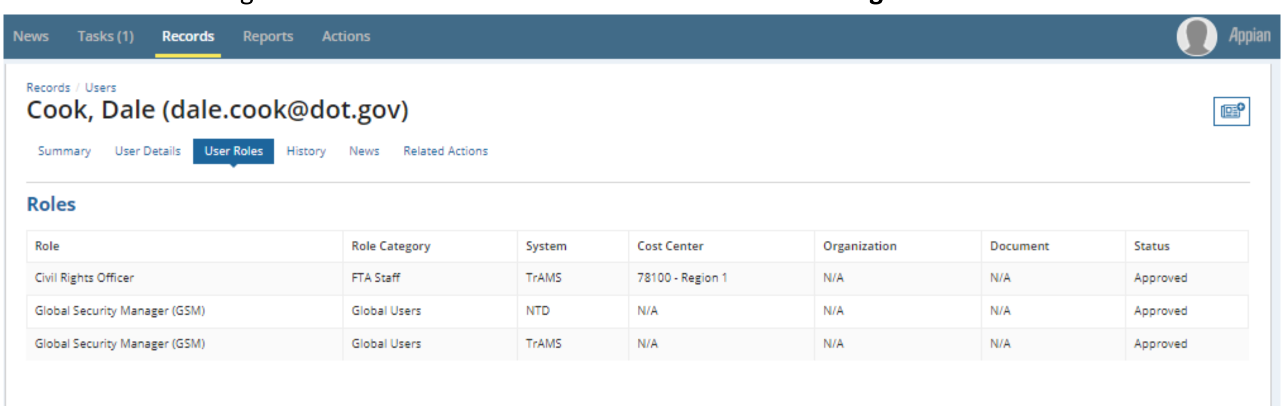
Each user's record opens to a user ***Summary*** page.



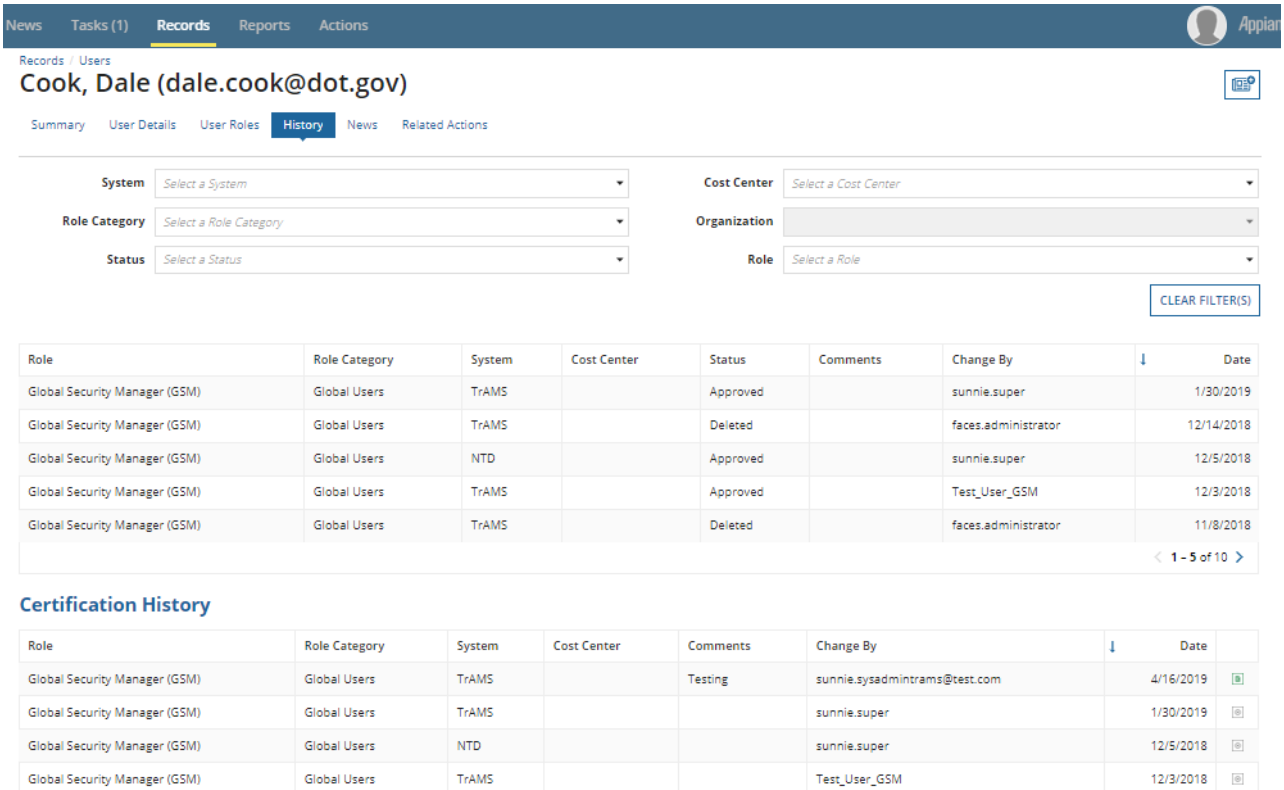
User record content is split between multiple pages. Each user's record contains:

a) A ***User Details*** page visible to all users who have access to that user's record. The ***User Details*** page contains the user's account and contact information (e.g., first and last name, email, user type, and account status).

b) A ***User Roles*** page visible to all users who have access to that user's record. The ***User Roles*** page contains a grid of the user's active **Roles** and current **User Managers**.



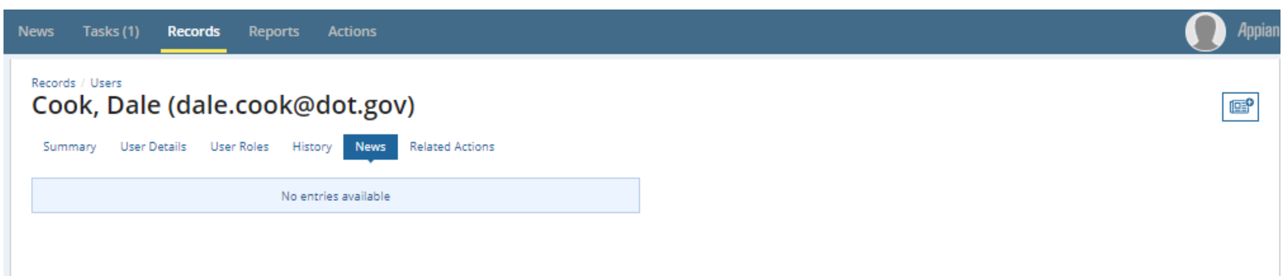
c) A ***History*** page visible to each user and their management chain (User Managers, Validation Analysts, LSMs, GSMs). This ***History*** page contains an audit trail of changes to the user's **Profile** and **Roles**. Users can filter role history using the following filters: System, Role Category, Status, Cost Center, Organization and Role.



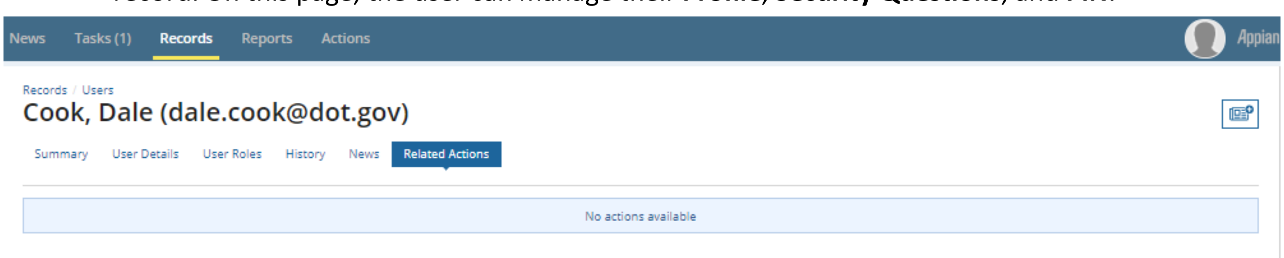
Role	Role Category	System	Cost Center	Status	Comments	Change By	Date
Global Security Manager (GSM)	Global Users	TrAMS		Approved		sunnie.super	1/30/2019
Global Security Manager (GSM)	Global Users	TrAMS		Deleted		faces.administrator	12/14/2018
Global Security Manager (GSM)	Global Users	NTD		Approved		sunnie.super	12/5/2018
Global Security Manager (GSM)	Global Users	TrAMS		Approved		Test_User_GSM	12/3/2018
Global Security Manager (GSM)	Global Users	TrAMS		Deleted		faces.administrator	11/8/2018

Role	Role Category	System	Cost Center	Comments	Change By	Date
Global Security Manager (GSM)	Global Users	TrAMS		Testing	sunnie.sysadmintrams@test.com	4/16/2019
Global Security Manager (GSM)	Global Users	TrAMS			sunnie.super	1/30/2019
Global Security Manager (GSM)	Global Users	NTD			sunnie.super	12/5/2018
Global Security Manager (GSM)	Global Users	TrAMS			Test_User_GSM	12/3/2018

d) The ***News*** tab shows a listing of user activity with the most recent news displayed first.



e) The ***Related Action*** page contains any actions the viewing user is allowed to perform on the record. On this page, the user can manage their **Profile**, **Security Questions**, and **PIN**.



For detailed information about these user record pages, please reference Section 6.4.

4 User Access

4.1 Account Setup

User access to each of the FTA software systems on the FTA platform, https://faces.fta.dot.gov/suite/, is granted by either an organizational **User Manager (UM), Local Security Manager (LSM)**, **Validation Analyst, User Manager Supervisor** , **FTA Signer** or **Global Security Manager (GSM)** within the appropriate system. An individual with one of those roles can create user accounts and assign users an initial suite of roles. Once an account has been created, the user will receive an automated email notification containing their username, a temporary password, and access/login directions,

- **Username** – all usernames are initially set to the email address associated with the user's account. The username is case sensitive and should be all lowercase. The username cannot be changed.
- **Password** – the initial password will be an auto-generated password. Passwords in FACES are case sensitive and should be updated every 60 days. Each new password must be different from the previously used 24 passwords. Passwords must be composed of:
  - 12 characters
  - At least one English uppercase character
  - At least one English lowercase character
  - At least one numeric character
  - At least one non-alphanumeric character (e.g., !, $, #, %)

4.2 Browsers

The FTA platform is accessed by using a web browser. The following web browsers are supported:

- Microsoft Edge
- Microsoft Internet Explorer 11
- Mozilla Firefox
- Google Chrome
- Apple Safari

Although all listed browsers are compatible with the FTA platform, some items may look and/or behave differently in one browser or another.

Note:	Instructions and screenshots in this guide have been created using Internet Explorer 11.

4.3 Logging In

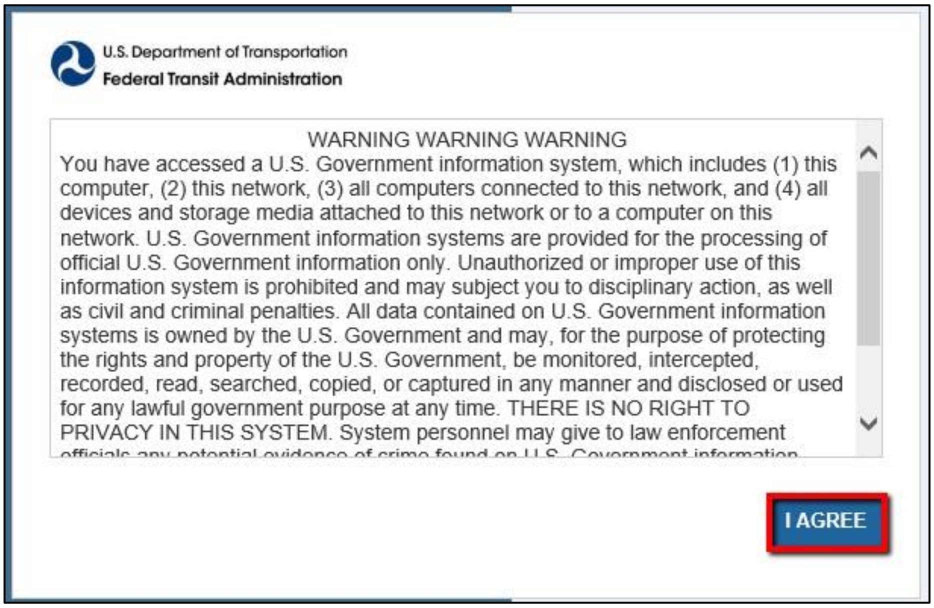
FACES manages user access to the FTA platform via the FACES login page, accessed via a web browser. Two login methods are available, but one is only accessible to FTA employees using FTA's internal network. User access to software systems like TrAMS and NTD s is based on the user's assigned **Roles**.

4.3.1 Standard Login (Non-FTA Employee)

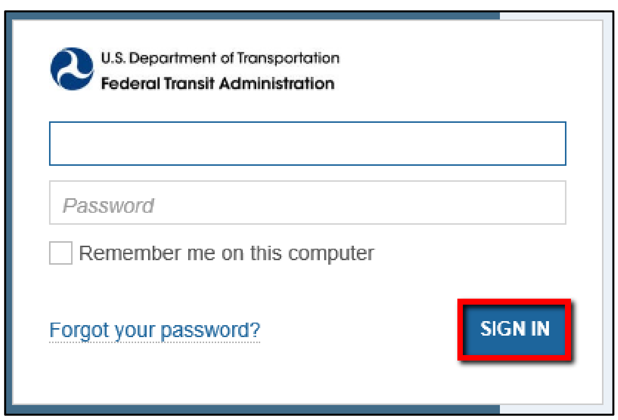
The standard (non-FTA employee) login method requires a **Username** and **Password**. Both are case sensitive.

To log in:

1) Open a web browser and enter the FACES URL, https://faces.fta.dot.gov/suite/.



2) Read the security policy and select ***I AGREE***.
3) Enter the appropriate **Username** and **Password**.

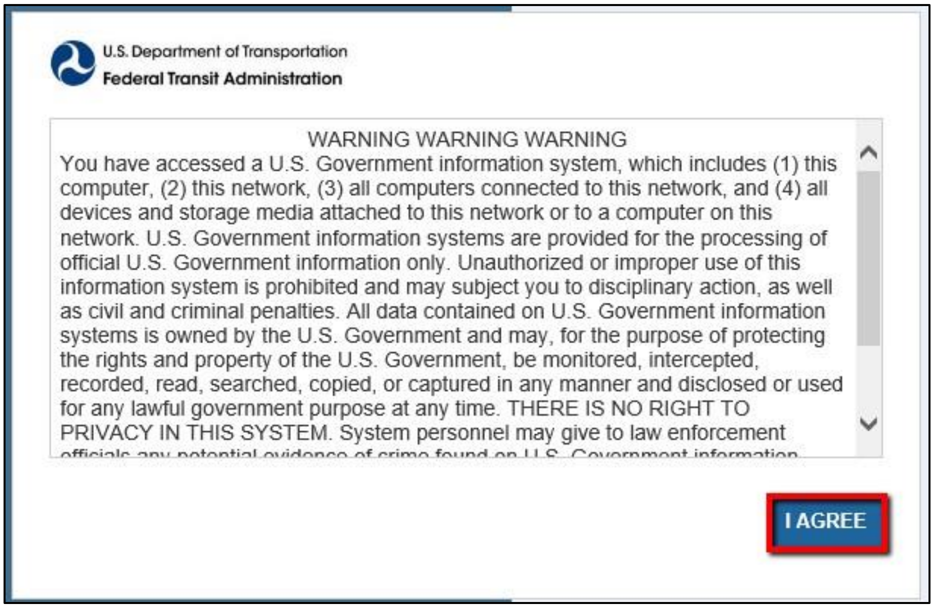


4) Click ***Sign In***.

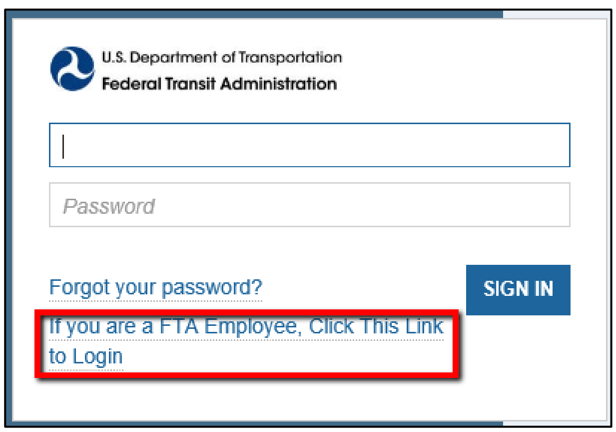
4.3.2 FTA Employee Login

FTA employees should access FACES via the FTA network. To log in:

1) Open a web browser and enter the FACES URL, https://faces.fta.dot.gov/suite/.



2) Read the security policy and click ***I AGREE***.
3) On the login page, select the ***If you are a FTA Employee, Click this Link to Login*** link next to ***Sign In***.

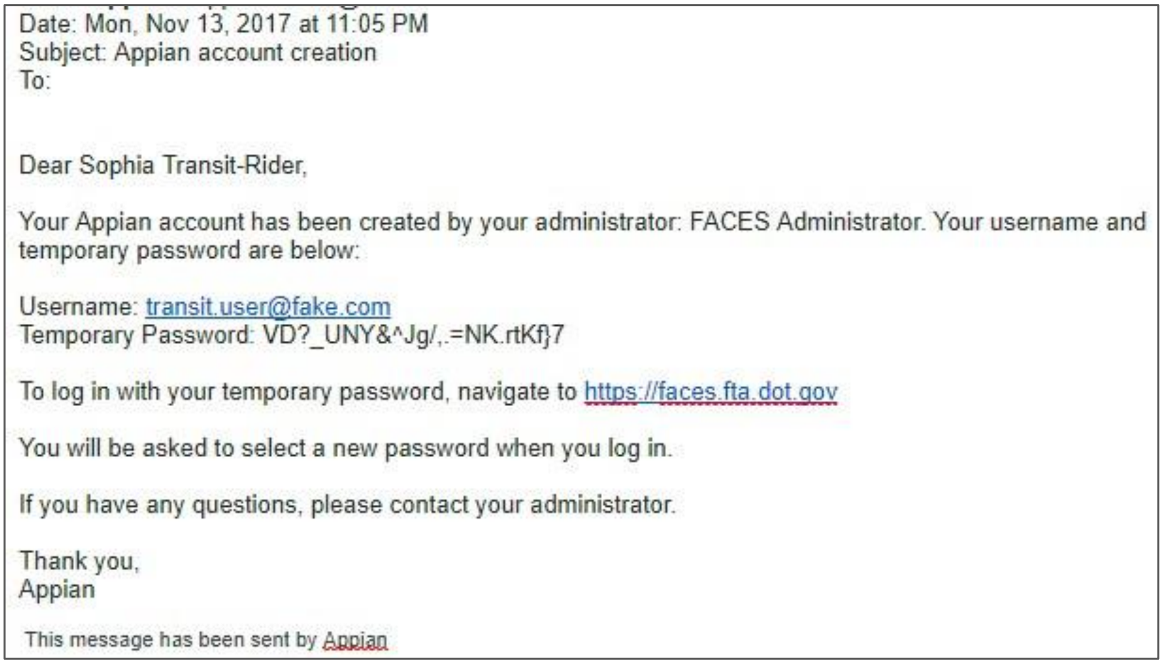


4) Your account information will be authenticated via FTA's systems in an automated fashion (no user intervention required). If your account passes validation, you will be automatically logged in.

4.3.3 New User Login

New users will receive an automatic email notification from FACES once their account is created. The email may be sent by Appian, the underlying software that supports the FTA systems. Using the information in that email, the user may then log in through FACES.

1) The email will be formatted much like the one below:



Date: Mon, Nov 13, 2017 at 11:05 PM
Subject: Appian account creation
To:

Dear Sophia Transit-Rider,

Your Appian account has been created by your administrator: FACES Administrator. Your username and temporary password are below:

Username: transit.user@fake.com
Temporary Password: VD?_UNY&^Jg/,.=NK.rtKf}7

To log in with your temporary password, navigate to https://faces.fta.dot.gov

You will be asked to select a new password when you log in.

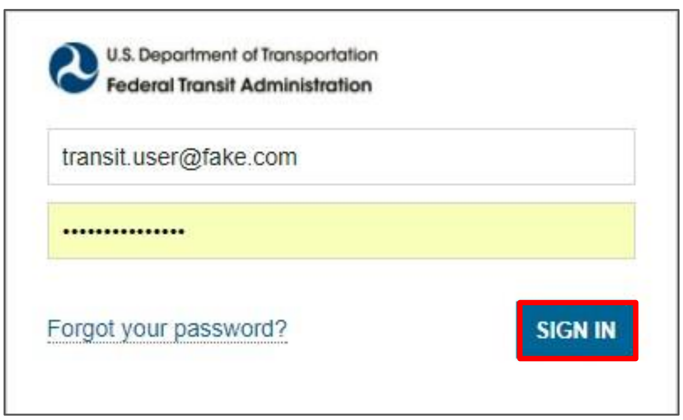
If you have any questions, please contact your administrator.

Thank you,
Appian

This message has been sent by Appian

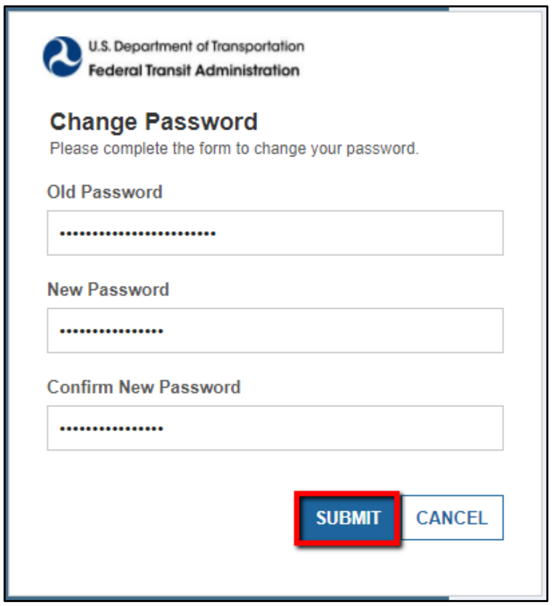
2) Using the email, select the URL (internet link) to access the site.

3) Non-FTA users should enter the **Username** and **Password** exactly as assigned.
4) Click ***Sign In***. FTA users will need to follow the steps in Section 4.3.2.

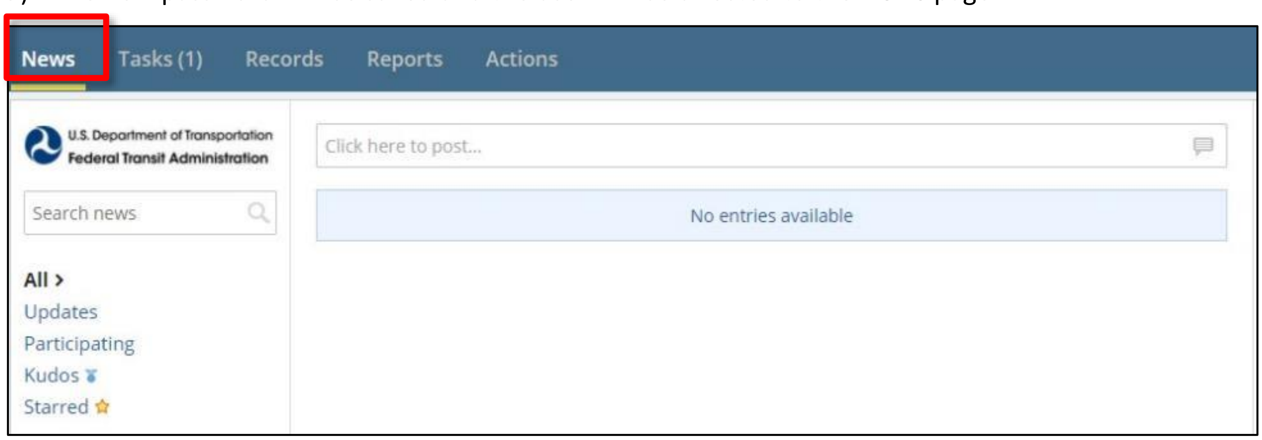


5) Since this is a new account, the user will be prompted to create a new, more permanent password. Non-FTA Users need to reset their permanent Appian password every 60 days.
6) Enter the original password (the one provided in the email) and then enter a new password in the two places provided.

7) FACES passwords are case sensitive. Each new password must be different from the previous 24 passwords. Passwords must be composed of:
   - 12 characters
   - At least one English uppercase character
   - At least one English lowercase character
   - At least one numeric character
   - At least one non-alphanumeric character (e.g., !, $, #, %)
8) Once the password is entered, click ***Submit***.



9) The new password will be saved and the user will be directed to the **News** page.

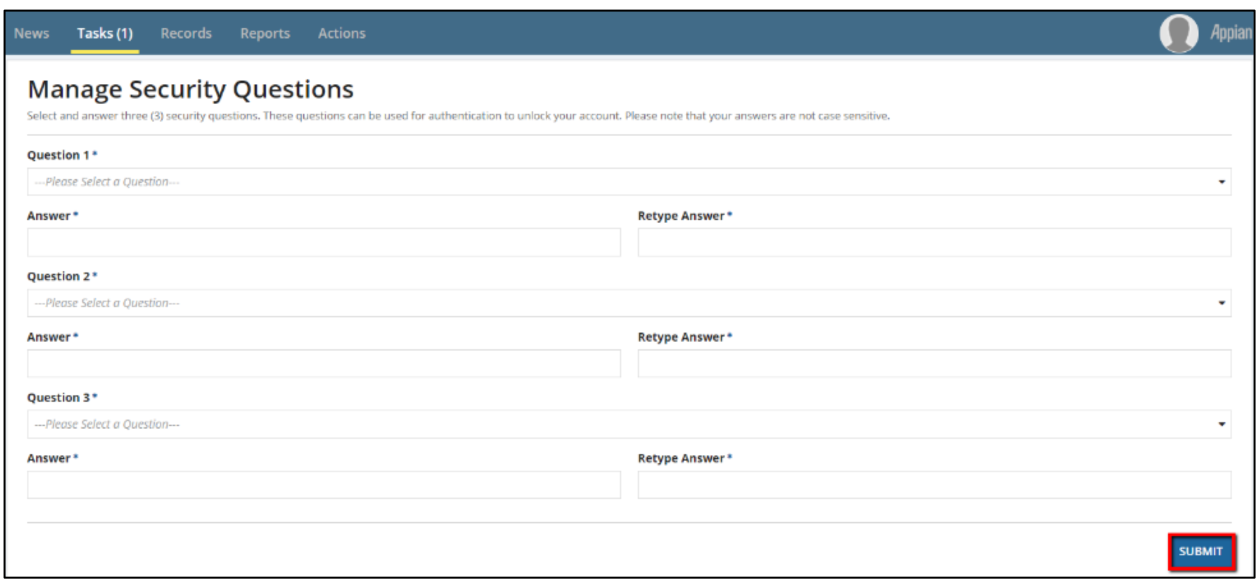


10) Select the ***Tasks*** tab. All new users will have one FACES **Task** listed. New user accounts are automatically assigned a **Task** to set up **Security Questions and Answers (Q&As)** to ensure the security of the account and to provide a mechanism to re-establish access when lost due to a lockout, etc. **It is strongly recommended that all users set up account security questions.**

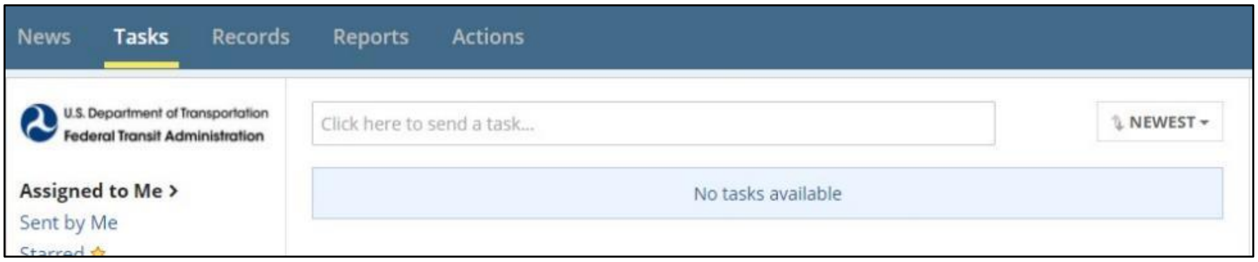
11) To complete security question setup during your initial login, click the ***Set Security Q&As*** task.

12) On the **Manage Security Questions** page, select three questions and provide appropriate answers that can be easily recalled when needed. A few rules apply to the setting of Security Q&As:
   a) All users can set up and manage three (3) security questions through the **Manage Security Questions** page.
   b) Questions must be selected from an FTA approved list and 3 distinct questions must be selected.
   c) Answers must contain at least three (3) characters and the same answer cannot be used for more than one question.
   d) Answers are case insensitive (e.g., “dog” is the same as “DOG”).
   e) Once questions are established, users must correctly answer their existing questions to change them. Section 5.2.3 address how to change existing security questions.

13) Click ***Submit***.



14) The **Tasks** screen will refresh and the ***Set Security Q&As*** task will be removed. Users will receive an automated email notification that their questions have been updated.

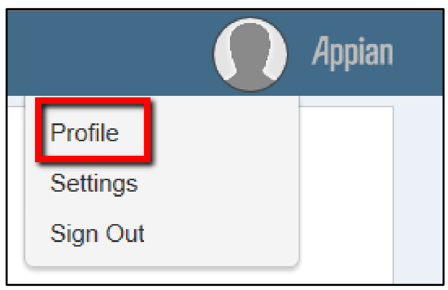


4.3.4 Accessing Your Record

A user can access their own profile in two different ways: from either the ***Account*** information area or through the ***Records*** tab.

To view your own **Profile** from the ***Account*** information area:

1) Select the down arrow next to the user's name to reveal the dropdown menu and click ***Profile***.



2) The user record **Summary Page** displays.

4.4 Account Information

4.4.1 User Profile Contents

FACES stores user profile information such as name, username, address, contact information, security questions, and PINs. User information displays on the user's record as discussed in Section 6.4,. Users can self-manage security questions and PINs (no other user can set up security questions or PINs for another user). Administrators and appropriate chain of command (e.g., User Managers) can modify specific user profile information and role assignment.

There are explicit rules controlling access to user information within the system:

1) FTA users cannot edit their **Profile** information (this is automatically handled via a nightly data sync with FTA systems).

2) Non-FTA users can edit all **Profile** information other than their username AND email address.
3) **User Managers** can edit **Profile** information for users in their particular organizations.
4) **Local Security Managers (LSMs)** can edit the user **Profile** of users in their FTA Regions/Cost Centers.
5) **Global Security Managers (GSMs)** can edit the user **Profile** of any non-FTA user in their system (e.g. a TrAMS GSM can manage the profile of any non-FTA user in TrAMS).
6) All users can self-manage their security questions and, if applicable, their PINs.

4.4.2 Account Settings

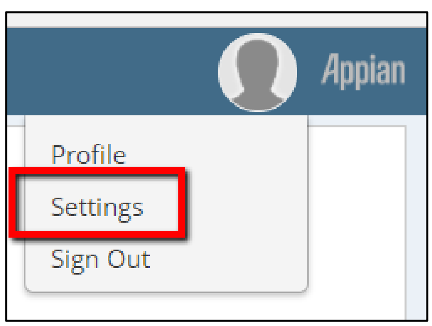
The account settings page provides a way for the user to manage their own preferred localized settings for date/time formats, language, and time zone. Non-FTA users can also change their password via the settings page. The following settings can be adjusted:

- Language
- Time Zone
- Calendar Type
- Password (non-FTA users only)

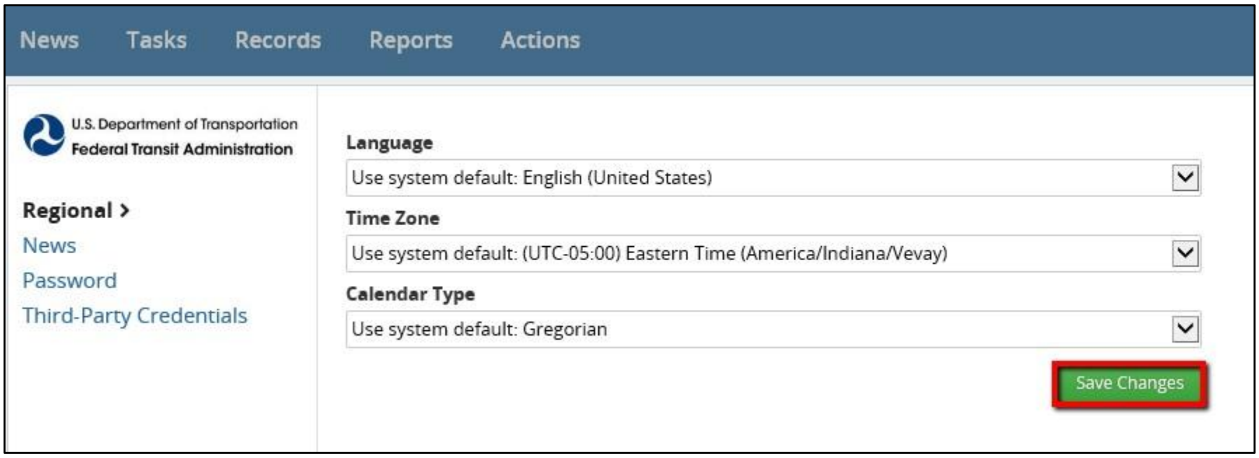
To access user account settings:

1) Select the icon (circular image) in the top right-corner of the screen to reveal a dropdown menu.

2) Click ***Settings***.



3) The **Regional Settings Page** displays.



4) Using the dropdown lists for Language, Time Zone, and Calendar Year, make whatever adjustments are necessary.

Note:	*At present, English is the only language available for selection.*

5) Click ***Save Changes*** to update the settings.

4.5 Passwords

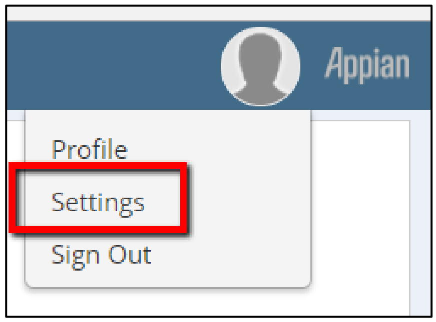
FACES passwords are case sensitive. Each new password must be different from the most recent 24 passwords. Passwords must be composed of:

- 12 characters
- At least one English uppercase character
- At least one English lowercase character
- At least one numeric character
- At least one non-alphanumeric character (e.g., !, $, #, %)

4.5.1 User-Initiated Password Reset

Non-FTA users should update their passwords every 60 days. To reset your password from a known password to a new password:

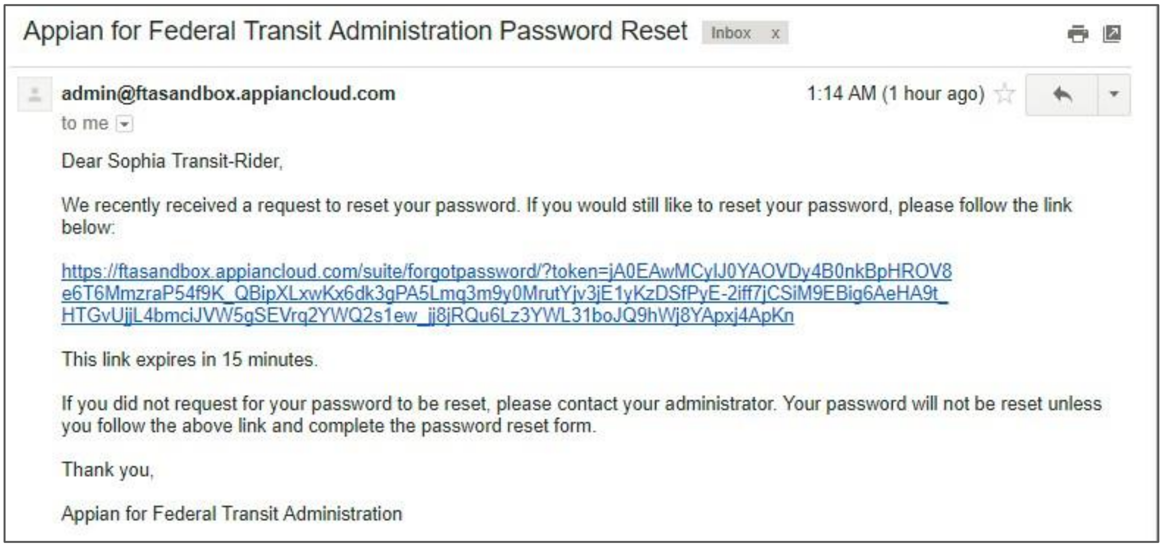
1) Select the icon (circular image) in the top right-corner of the screen to reveal a dropdown menu and then click ***Settings***.



2) Click the ***Password*** link on the left-hand navigation pane.

3) Enter the current password and a new password and click ***Change Password***.

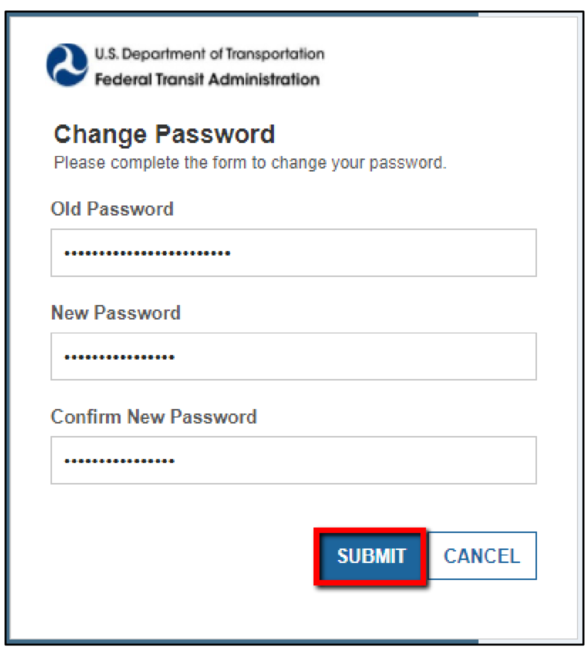
4) The user will receive an automatic email alerting them of the successful password reset.



4.5.2 Required Password Changes

As discussed in Section 4.3.3 first-time users log in to FACES using a temporary auto- generated password contained in their confirmation email. They will be required to reset their password. In addition, if the user has failed to reset their password within 60 days, they will be presented with a reset screen after logging in with their expired password. The user will not be able to access the system until they have reset the password.

1) Enter the Old Password, a New Password, and re-enter the new password in the **Confirm New Password** text box. For details about password requirements, see Section 4.1,.
2) Click ***Submit***.



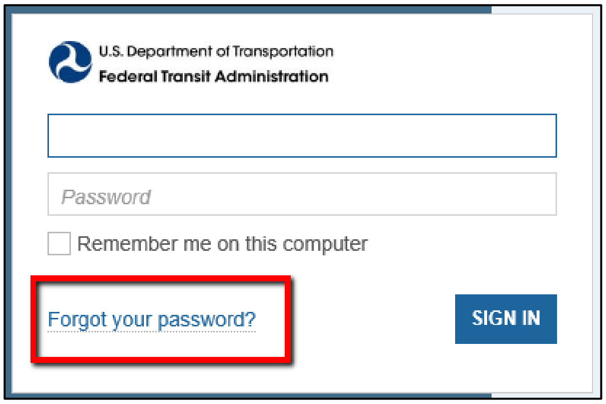
3) The password will be reset and the user will receive a confirmation email notification of the reset.

4.5.3 Forgotten Passwords

If the user has forgotten their password, they can reset it by using a link on the login screen.

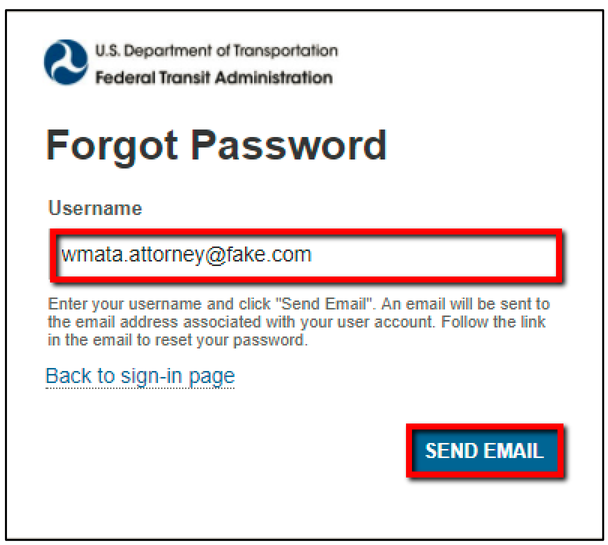
To reset a forgotten password:

1) Click the ***Forgot Your Password?*** Link on the Login page.

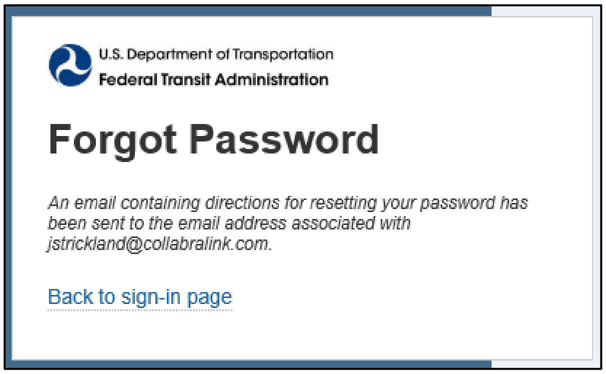


2) Enter the correct **Username** (ex., jane.doe@gmail.com) and click **Send Email**.

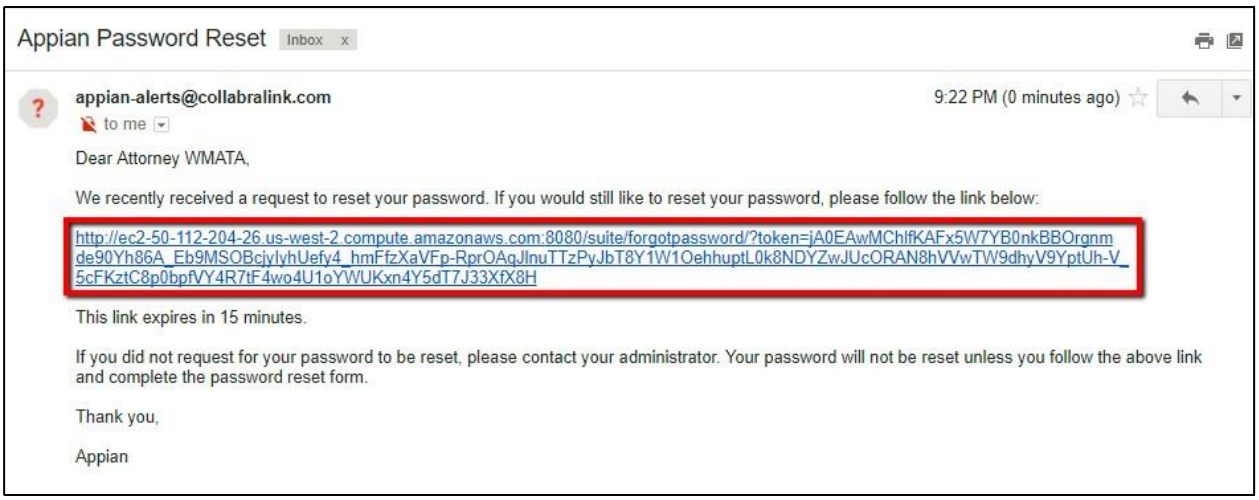
Note:	*Remember that usernames are case sensitive.*



3) FACES will confirm that the username entered is valid and is associated with an <u>active</u> account. If so, an email with a password reset link will be sent to the email address entered.



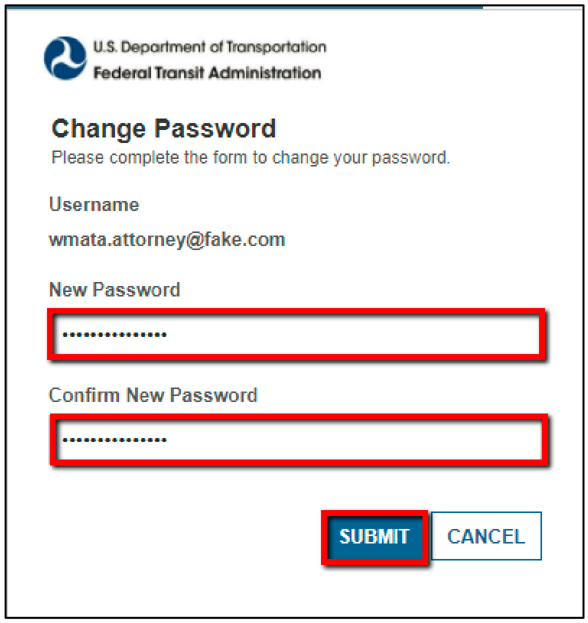
4) After the email has been received, select the password reset link from within the email. **The reset link is only valid for 15 minutes from the time the email was sent.**



Note:	*If you do not receive an email, contact the Help Desk.*

5) A new browser window will open to the Change Password page.

6) Enter a new password conforming to the rules in both the **New Password** field and the **Confirm New Password** field and then click ***Submit***. For details about password requirements, see Section 4.1.

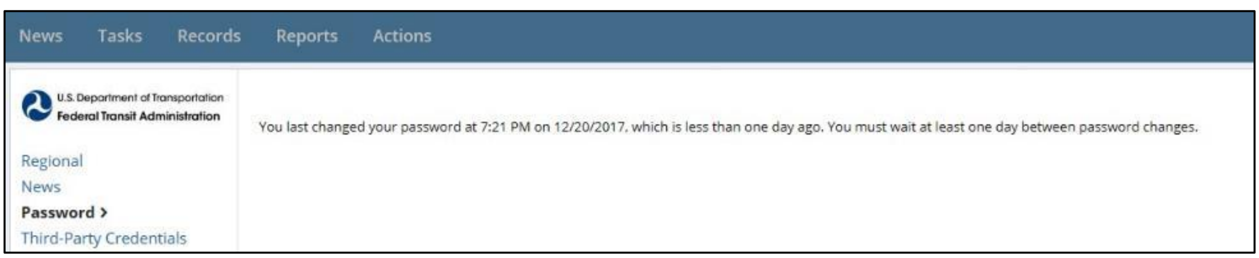


7) Once the password has been reset, the user will be redirected to FACES.

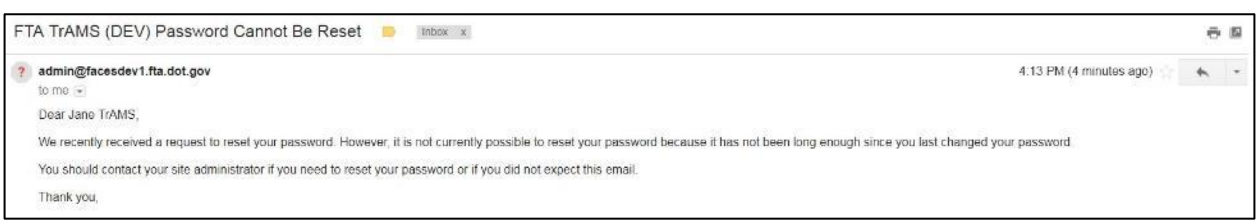
4.5.3.1 Timeframes for Resetting Your Password

In order to comply with security requirements, users may only request a password reset once within a 24-hour period.

If you attempt a second password reset request before the end of the 24-hour period, FACES will alert you to the date and time of your last request.



You will also receive an email notification stating you have not yet satisfied the 24-hour requirement.

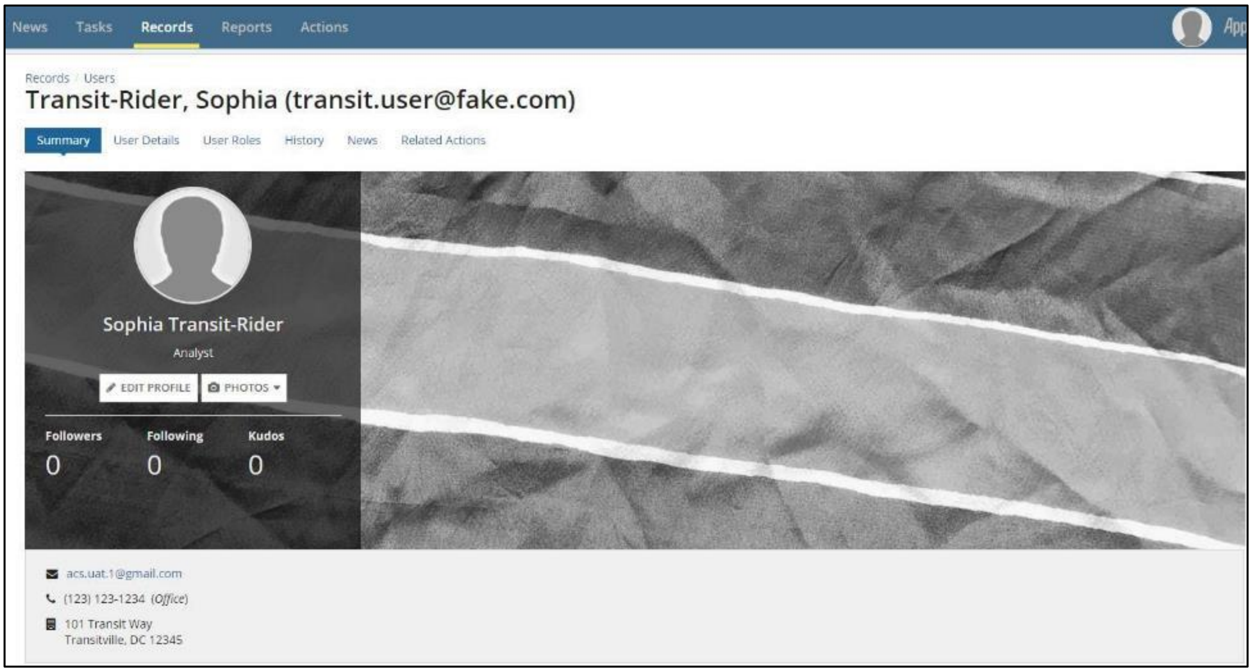


Note:	*This is a default system message; your site administrator is the Help Desk*

5 Managing the User's Own Record

5.1 Customizing the User Summary Page

The **Summary** page is the landing page when a user has selected either the ***Profile*** option from their own account information at the upper right-hand corner or when they select themselves from the **Records** tab. This page consists of the user's "business card" and any news items related to the user. Users may customize their own **Summary** page by adding a profile picture or by uploading a background. The sections below will provide step-by-step instructions for making those changes to the business card.



5.1.1 Adding/Changing Profile Picture

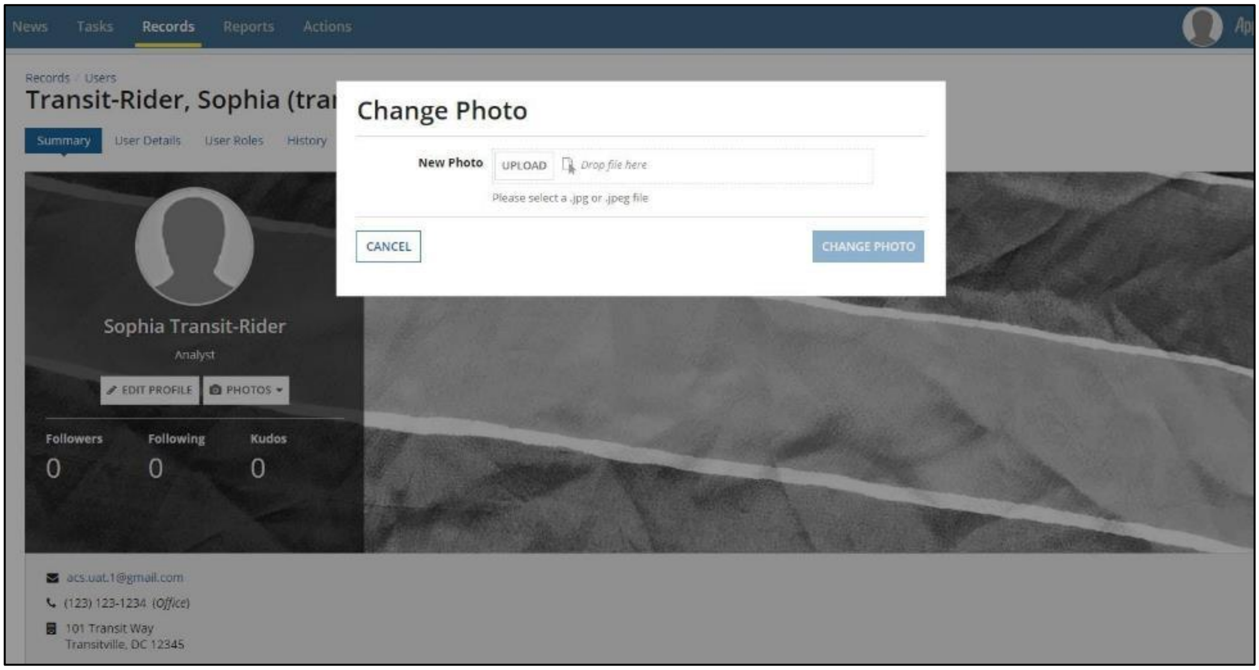
Users may add or update a profile picture. The profile picture is associated with the individual user and displays alongside any posts attributed to them.

To add or change a profile picture:

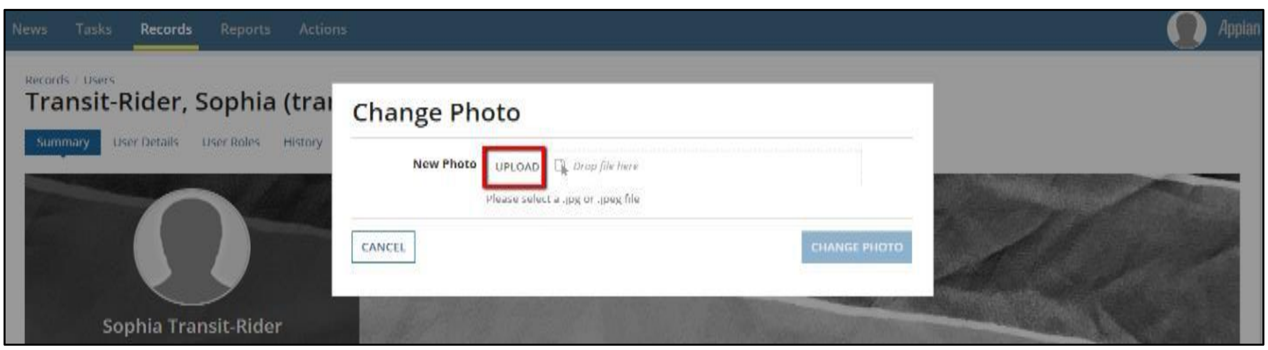
1) On the **Summary** page, click ***Photos*** to view the dropdown.

2) Click ***Change Profile Photo***.

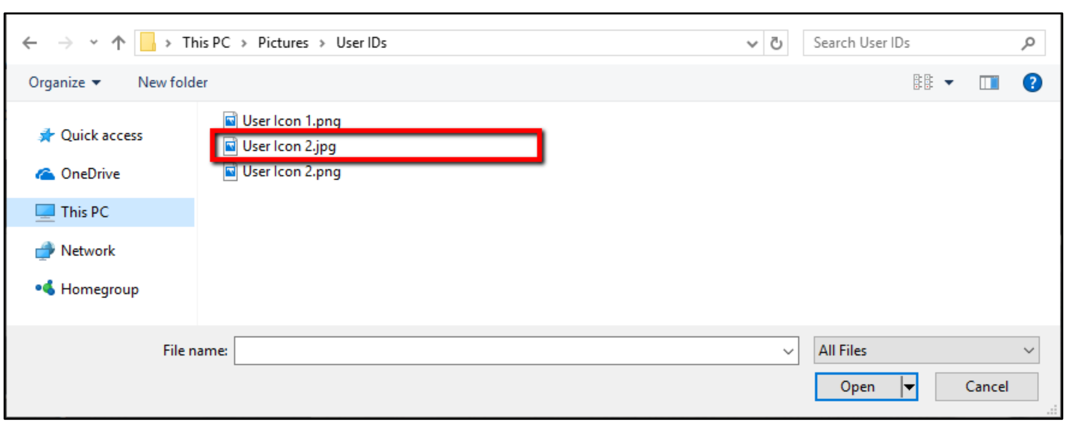
3) A prompt displays that provides a mechanism for adding new photos to the account for use on the



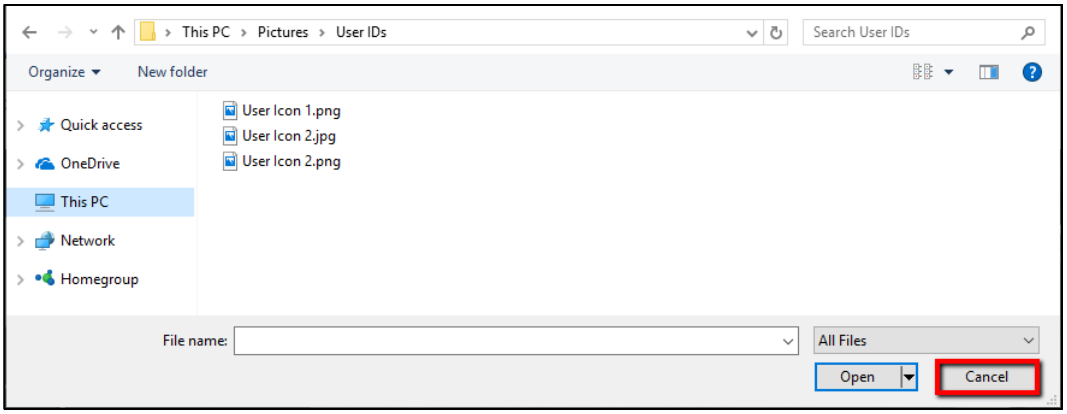
4) To add a New Photo, click ***Upload***.



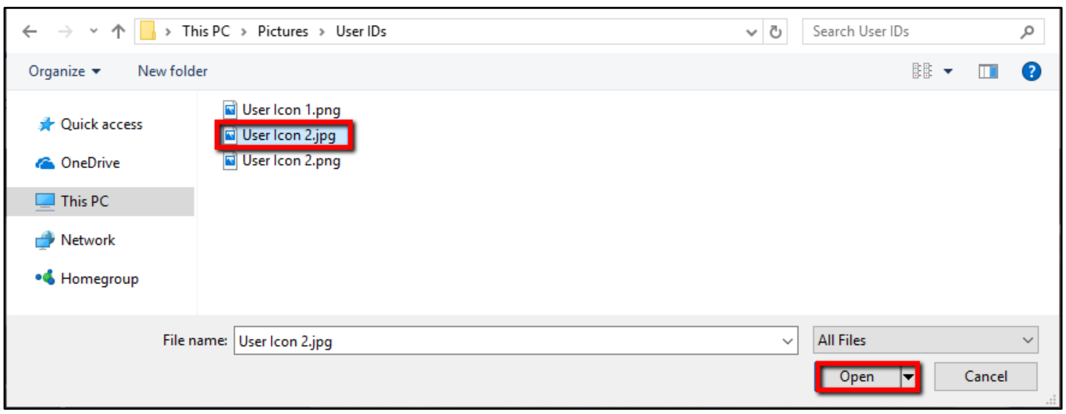
5) Use the Windows Explorer functions to locate and select the appropriate photo to upload. Files must be of type .jpg or .jpeg.



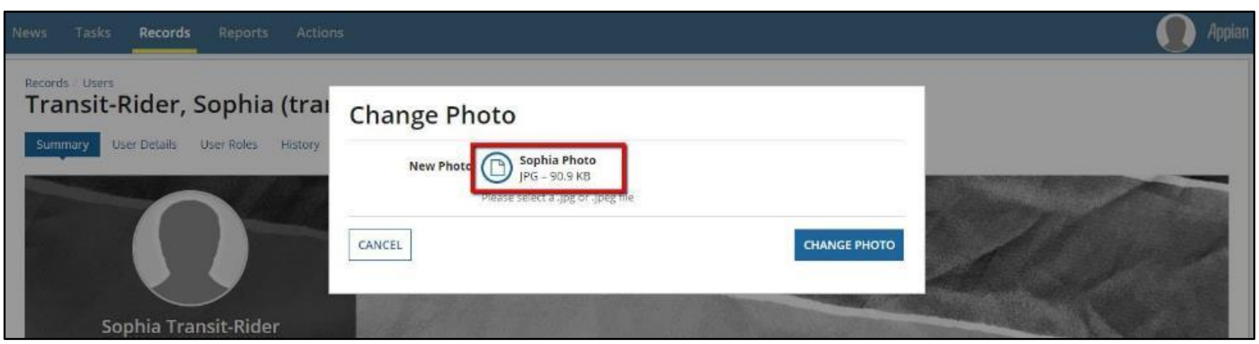
6) If the file cannot be located/identified or the user decides to abandon the photo change, click ***Cancel***.



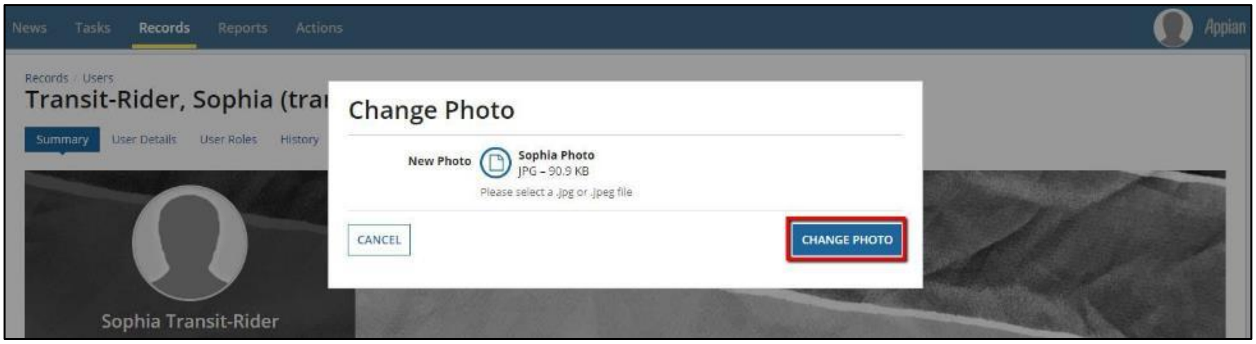
7) If the file is located/identified, select ***Open*** to add the photo to the **Profile**.



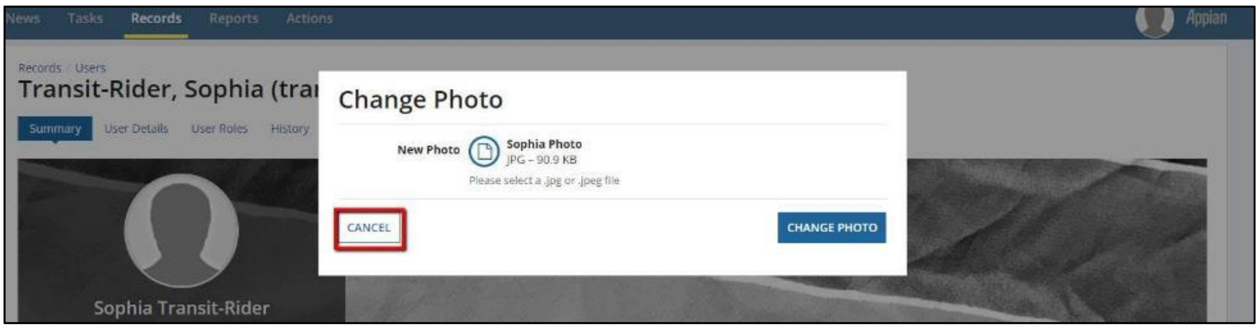
8) A prompt will display the selected file.



9) Click ***Change Photo***.



10) If the user decides not to upload this file (for any reason), click ***Cancel***, leaving the **User Summary Screen** unchanged.



11) If the identified file is correct and the one required, click ***Change Photo***. The **Summary** page will refresh and the selected photo will be placed appropriately.

5.1.2 Adding/Changing Profile Background

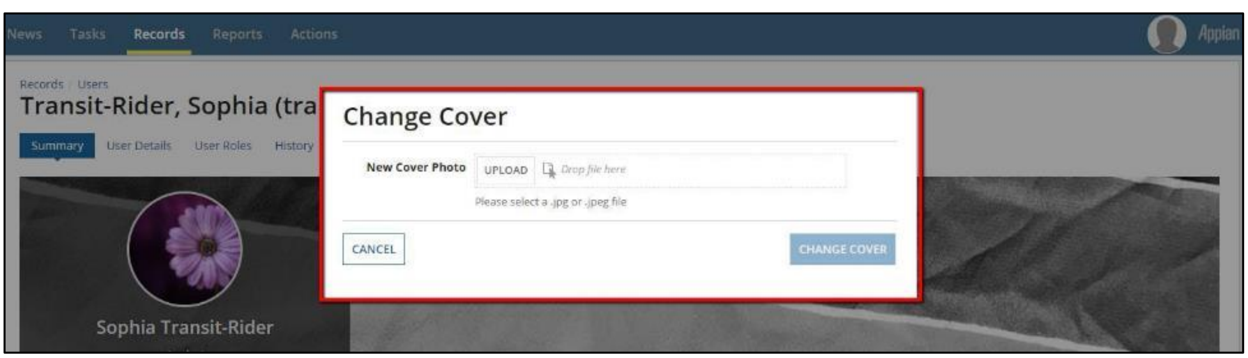
A user may also elect to modify the background of their business card. This image (the "cover photo") will be seen when other users view the **Summary** page.

To add or change a cover photo:

1) On the **Summary** page, select ***Photos*** to view the dropdown.

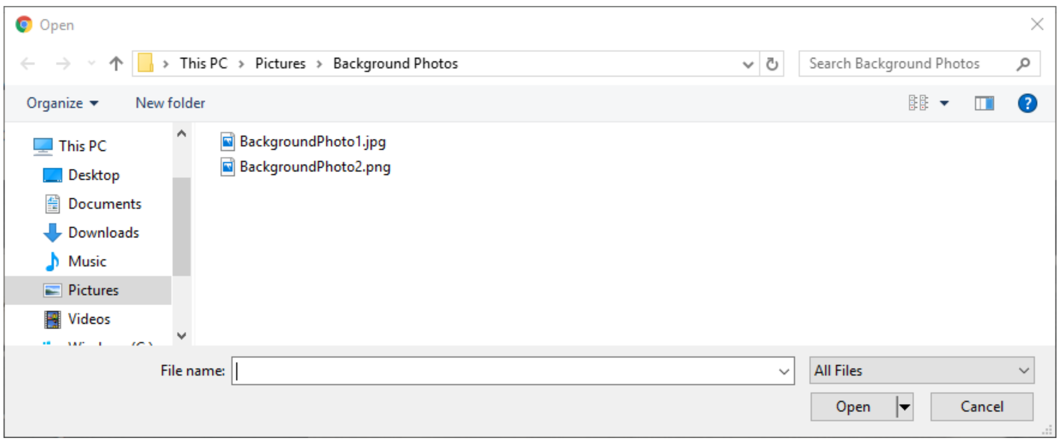
2) Click ***Change Cover Photo***.

3) A prompt displays that provides a mechanism for adding new photos to the account for use on the page.

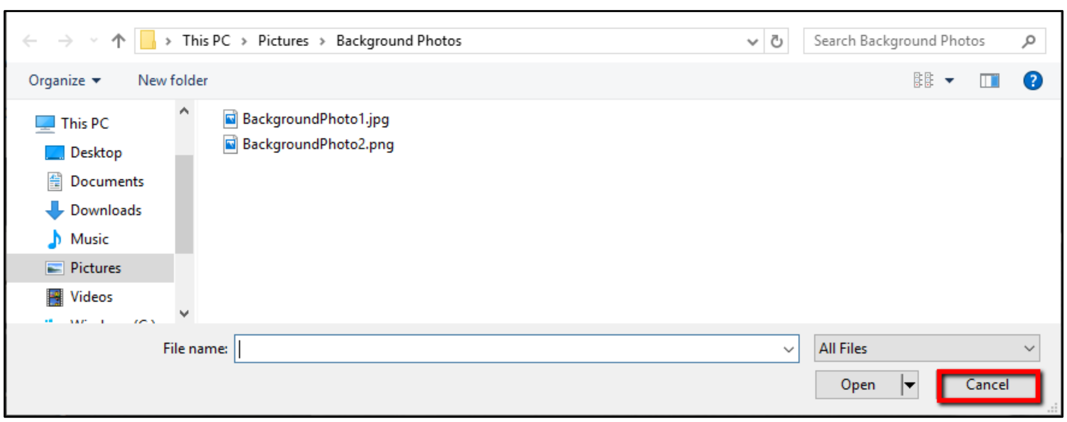


4) To add a New Cover Photo, click ***Upload***.

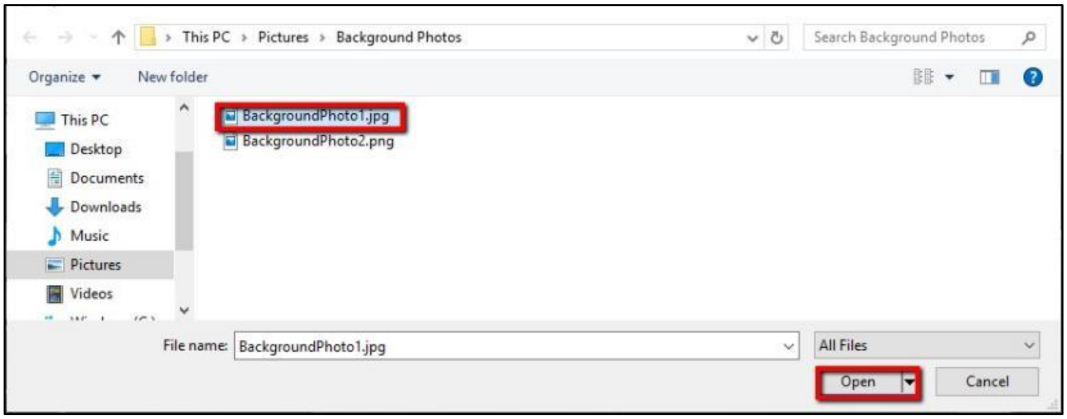
5) Use the Windows Explorer functions to locate and select the appropriate photo to upload.



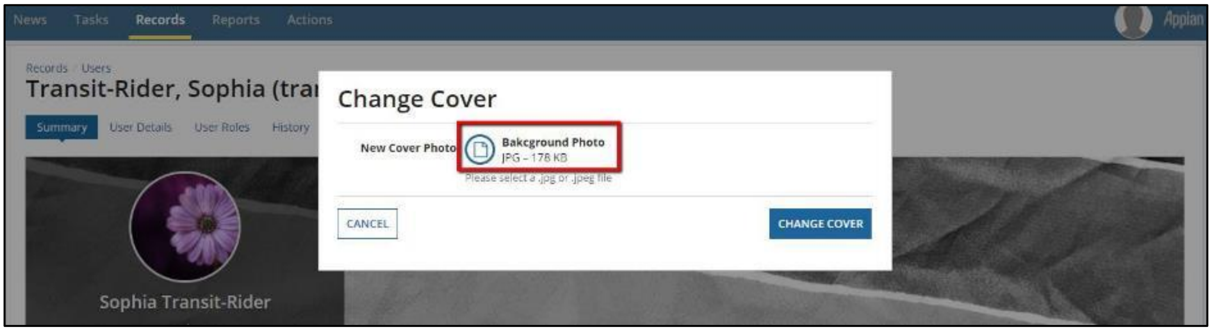
6) If the file cannot be located/identified or the user decides to abandon the photo change, click ***Cancel***.



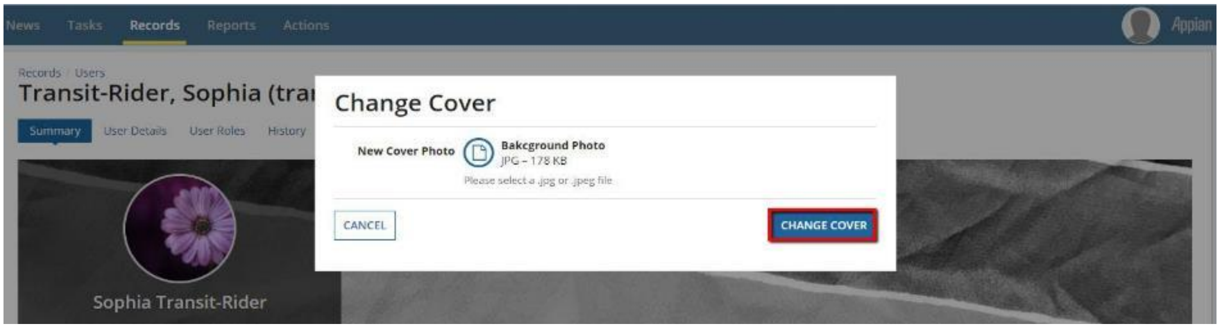
7) If the file is located/identified, click ***Open*** to add the photo to the **Profile**.



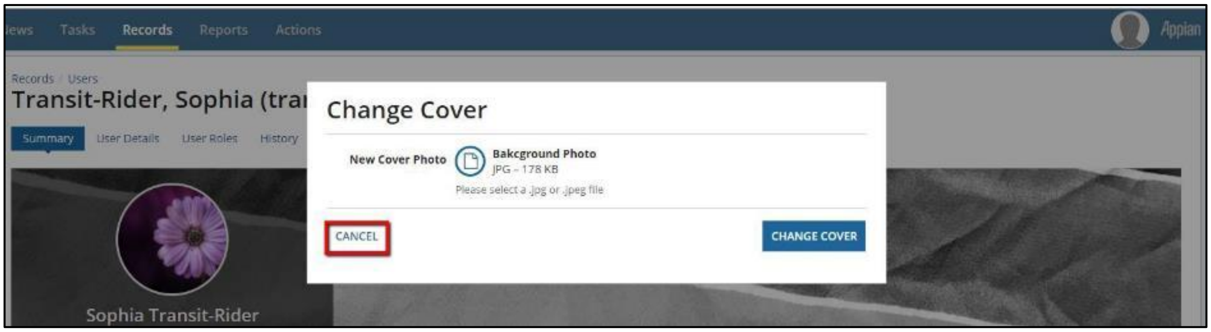
8) A prompt will display the selected file.



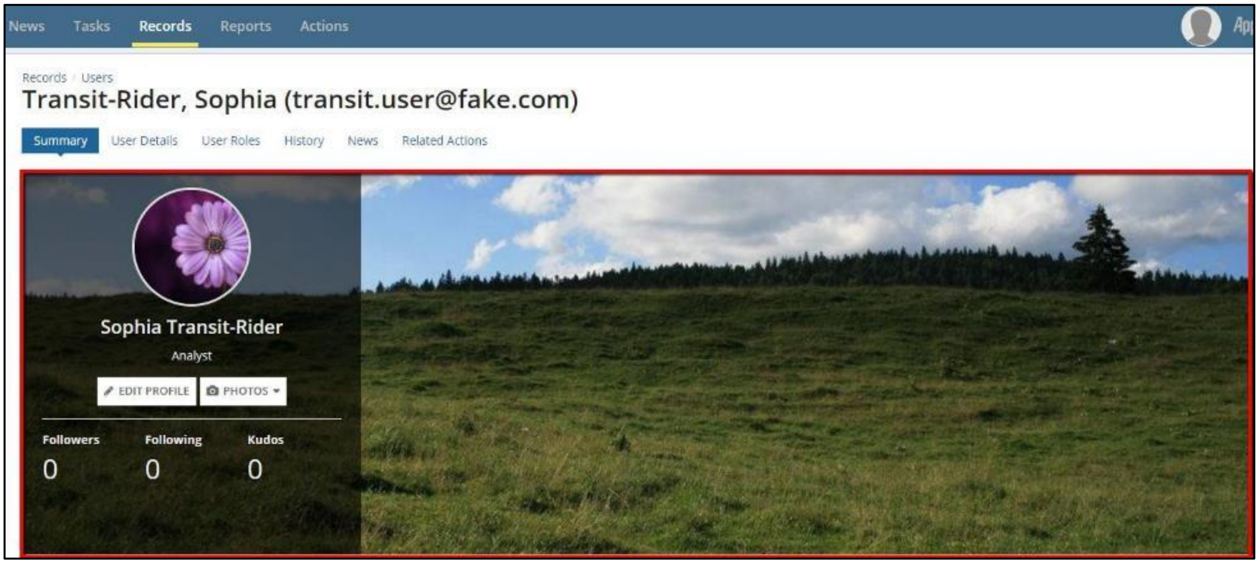
9) Click ***Change Cover***.



10) If the user decides not to upload this file (for any reason), click ***Cancel***, leaving the **Summary** page unchanged.

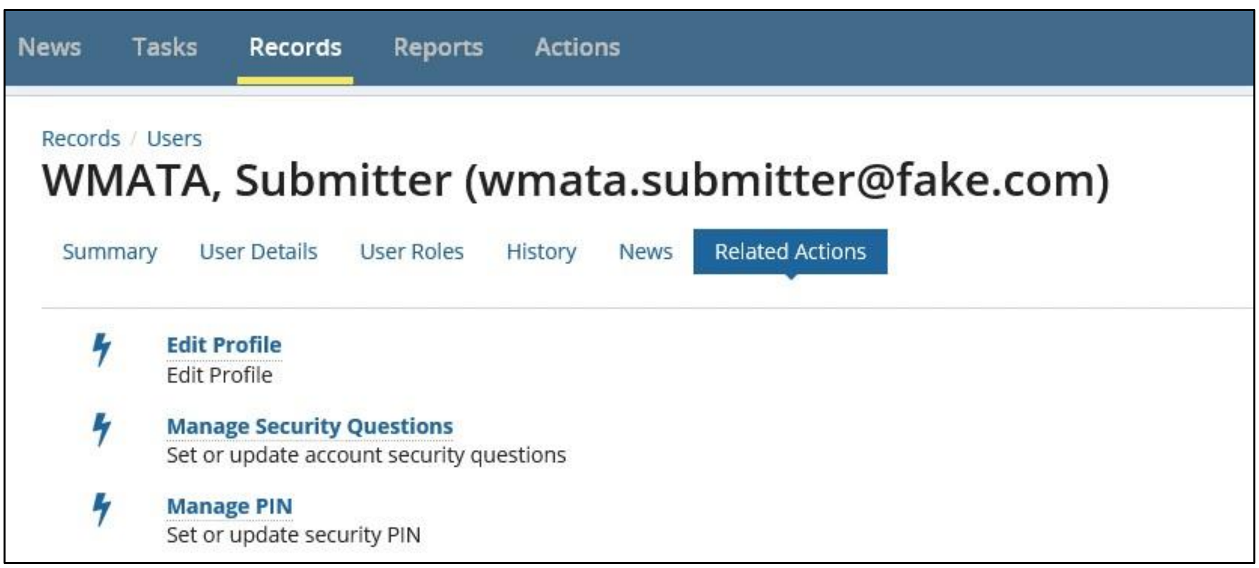


11) If the identified file is correct and the one required, select ***Change Cover***. The **User Summary Screen** will be refreshed and the selected photo will be placed appropriately in the background.



5.2 Related Actions

By selecting ***Related Actions*** users will be provided with additional options that can be performed on their **Summary** page.



5.2.1 Related Action: Edit Profile

All non-FTA users can edit their own user profile (name, contact information, and business address) using a profile related action. The only profile information users cannot self-update is their username and email address. FTA users cannot edit their profile information because their information is provided to FACES by a nightly information transfer from FTA's internal systems. If an FTA user's information is incorrect, the information must be updated in FTA's internal systems.

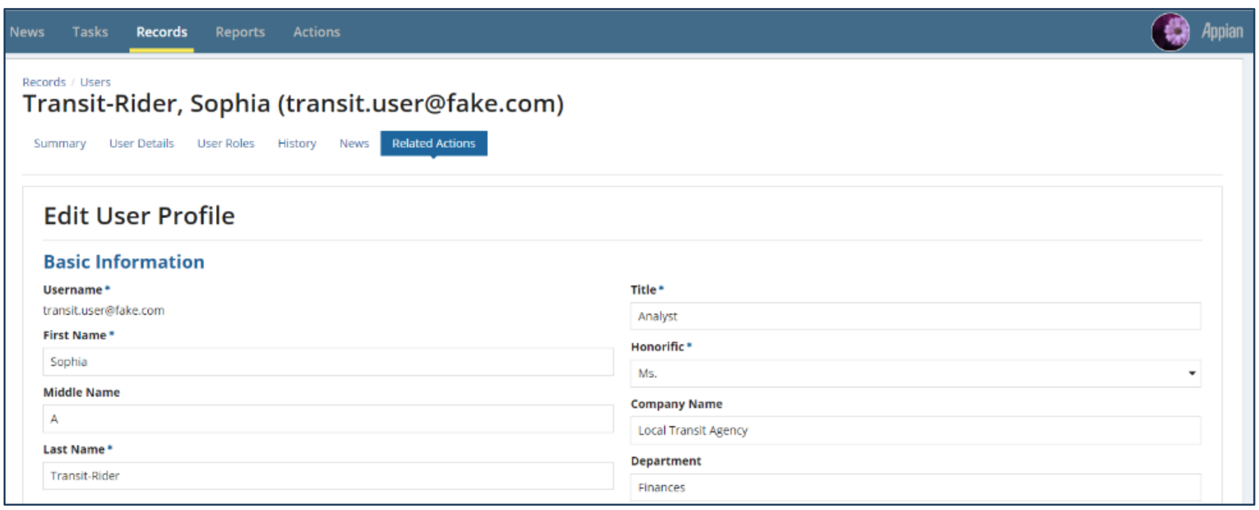
To edit the user's profile:

1) Locate the **User Profile** through either the **User Settings** page or the **Records** page.

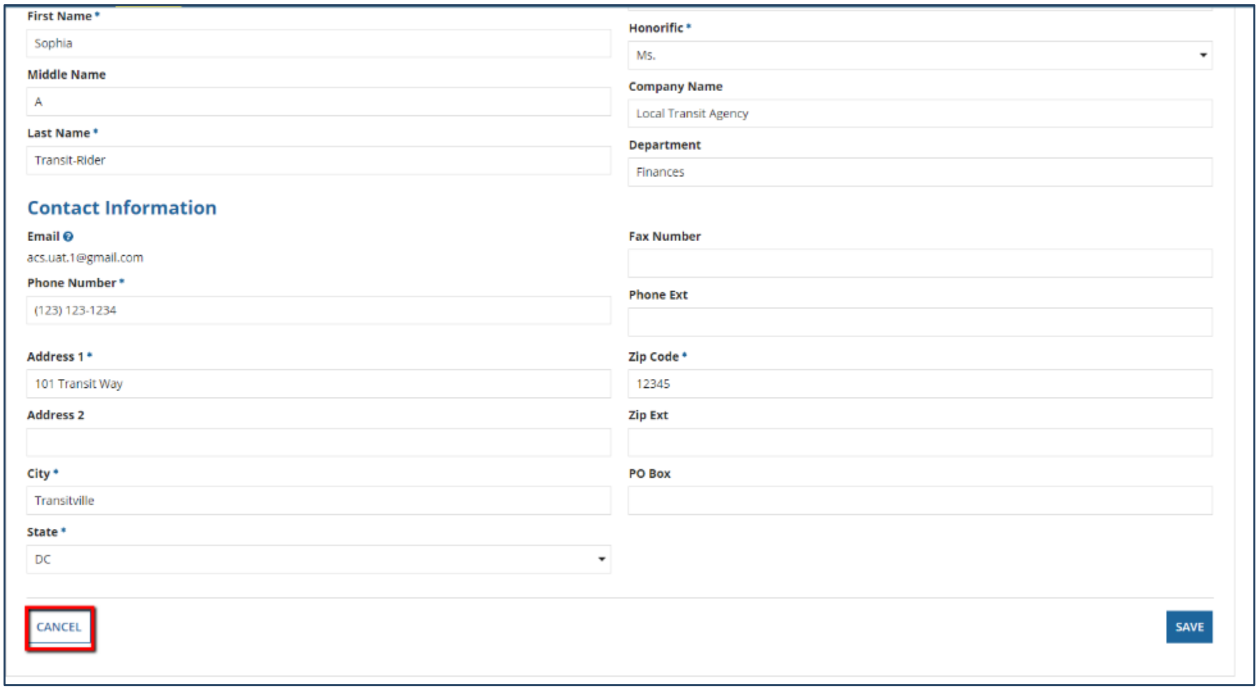
2) Select ***Related Actions***.

3) Click ***Edit Profile***.

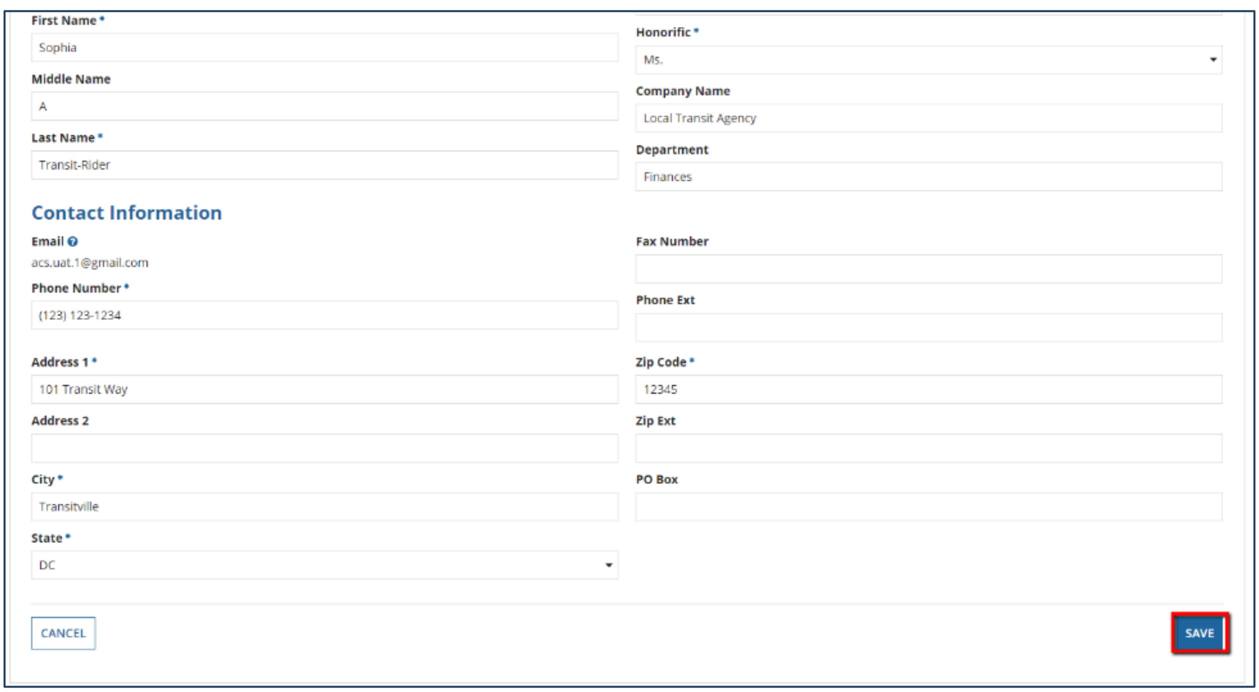
4) The **Edit User Profile** page will display with all previously saved user-associated details in editable fields.



5) Click ***Cancel*** to return to the **Related Actions** page without saving any changes.



6) Update any of the data fields as needed and then click ***Save*** to save all details. Required fields are marked with an asterisk * on the form. If required fields were missing from the previous FACES version, you will be required to add this information in order to save any other updates.



7) Selecting ***Save*** will execute a validation script to ensure that all data entered matches pre-determined rules (e.g., the PO Box field cannot contain any letters). Once the data is validated, the information is saved and the **Related Actions** page displays. The system will briefly display (within the header area

of the Related Actions page) a message that the *Action Completed Successfully*, indicating that all of changes were accepted.

5.2.2 Related Action: Set Security Questions/Answers

New user accounts are automatically assigned a **Task** to set up an initial set of **Security Questions and Answers (Q&As)** to ensure the security of the account and to provide a mechanism to re-establish access when lost due to a lockout, etc. To begin that process, the user must be assigned a **Task** to ***Set Security Q&As***.

A few rules apply to the setting of **Security Q&As**:

a) All users can set up and manage three (3) security questions through the **Manage Security Questions** page.

b) Questions must be selected from an FTA approved list and 3 distinct questions must be selected.

c) Answers must contain at least three (3) characters and cannot be used for more than one question.

d) Users must correctly answer their existing questions to change them.

e) Users have three (3) attempts within a calendar day to answer their security questions correctly before they are locked out of the action.

f) Users cannot see the **Manage Security Questions** page on any other user's account.

g) Users will receive an automated email notification any time their questions have been updated.

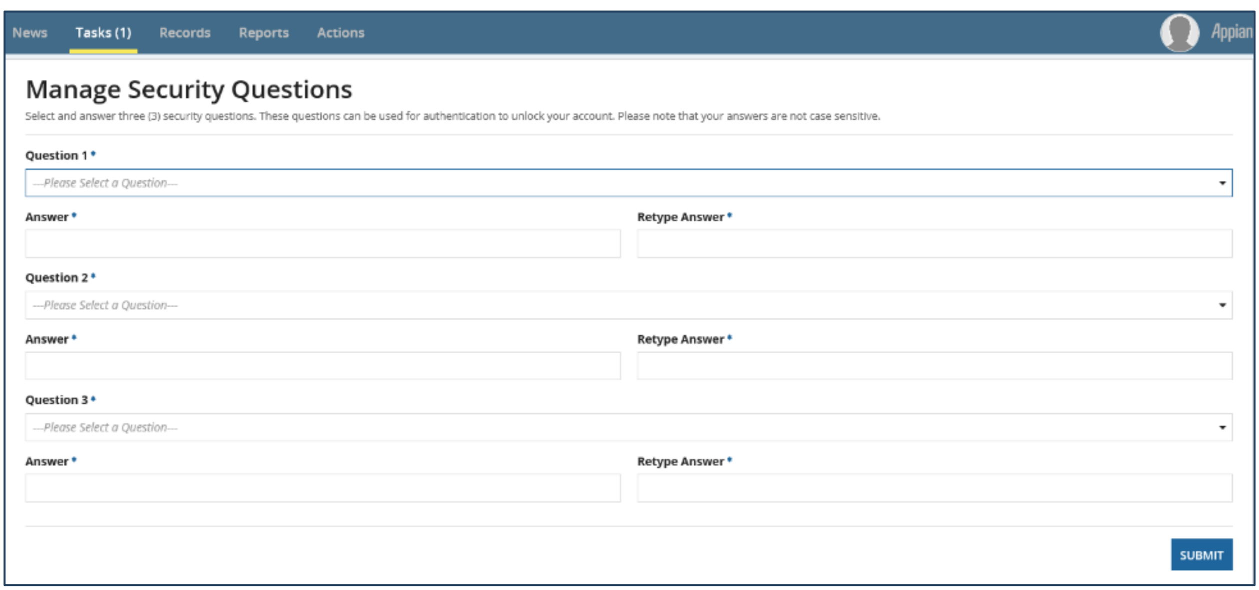
To being the process of setting one's own security questions:

1) Locate the **User Profile** through either the **User Settings** page or the **Records** page.

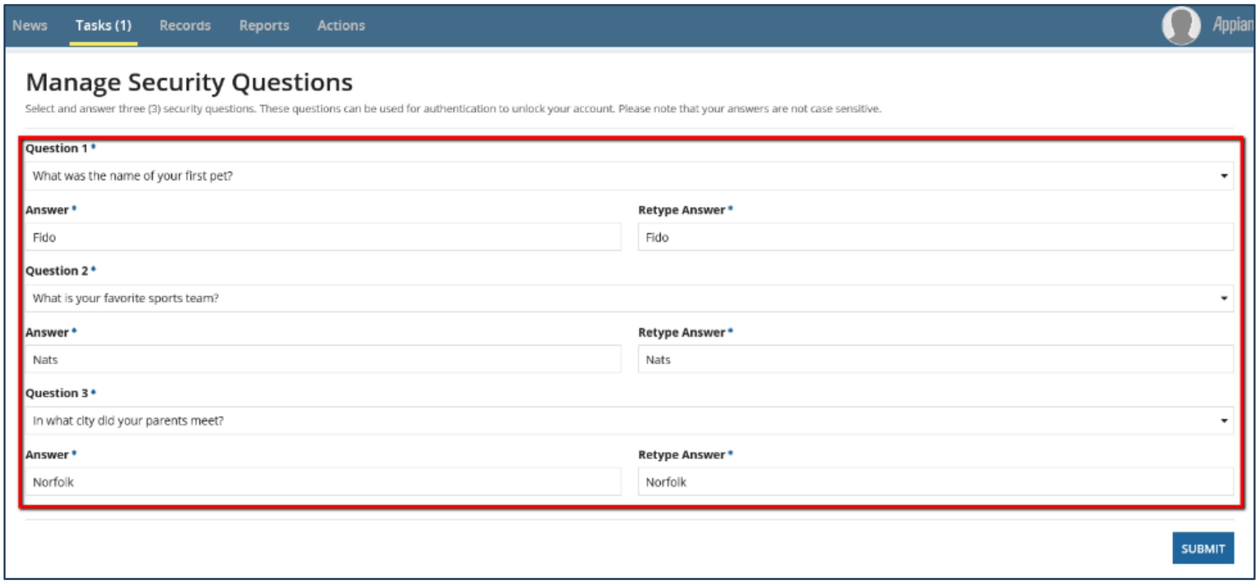
2) Select ***Tasks***.

3) Click ***Set Security Q&As***.

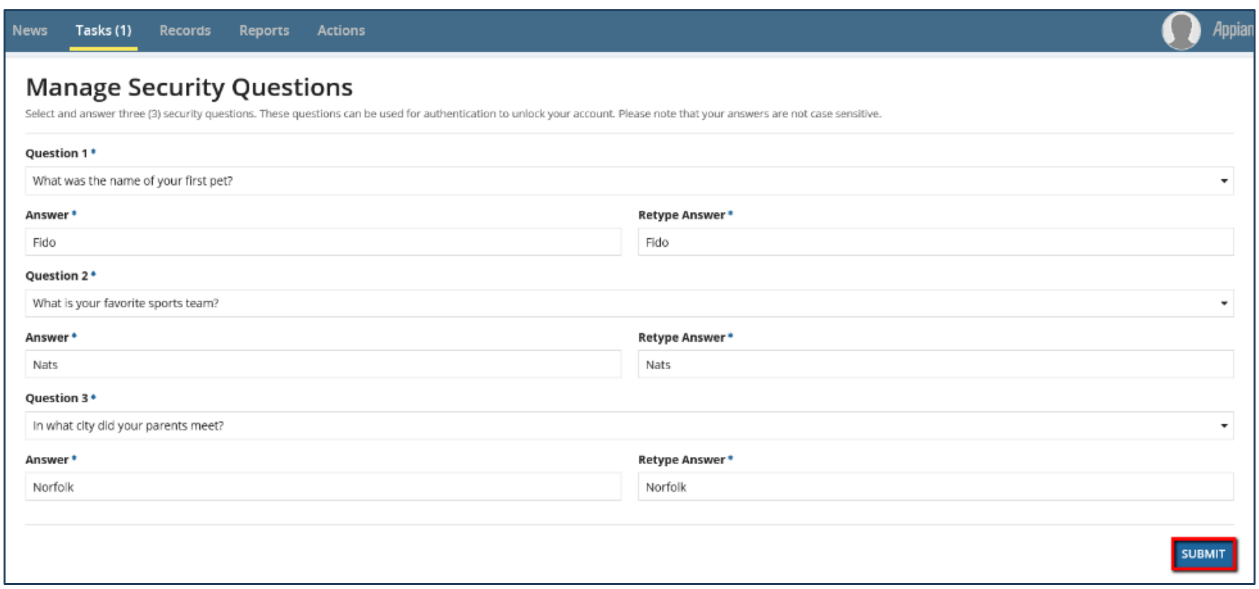
4) The **Manage Security Questions** page displays, providing three areas for the user to select from a dropdown of questions and to enter their own answers to those questions.



5) Select the question for each of the three security questions and enter the appropriate answer.



6) When all three questions have been selected and answers provided, click ***Submit***.



7) The **Tasks** tab will display with the just completed ***Set Security Q&As*** task being cleared from the page.

5.2.3 Related Action: Manage Security Questions/Answers

FACES provides for a set of questions to add security to some of its functions. Three security questions, as set by the users themselves, are required to complete specialized actions

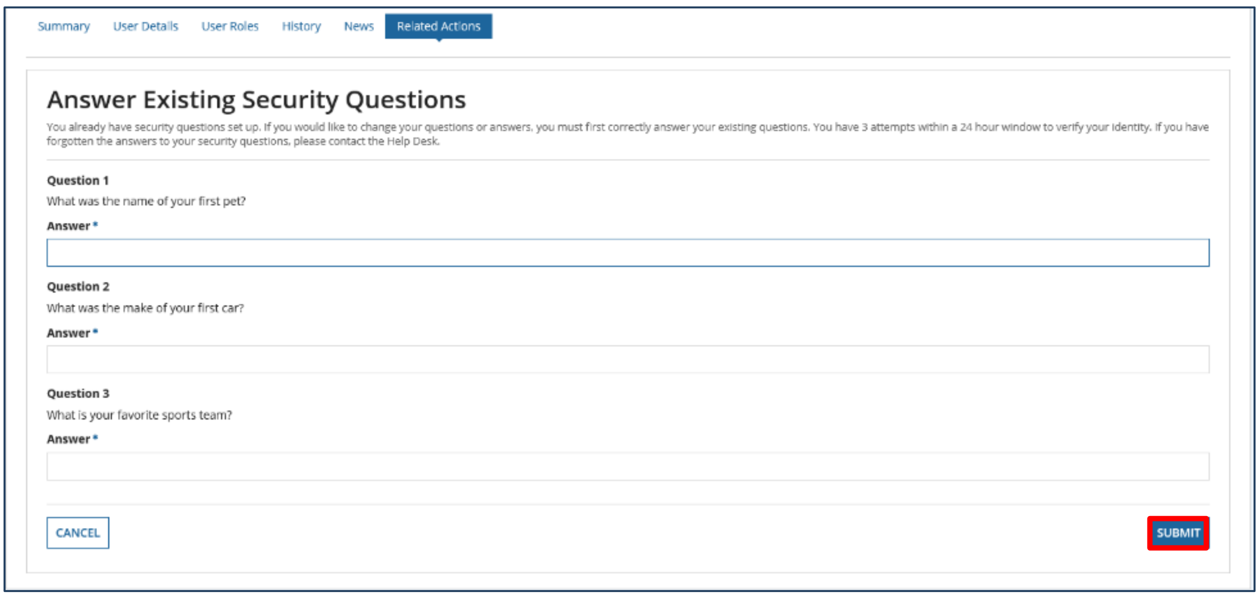
To begin the process of managing one's security questions:

1) Locate the **User Profile** through either the **User Settings** page or the **Records** page.

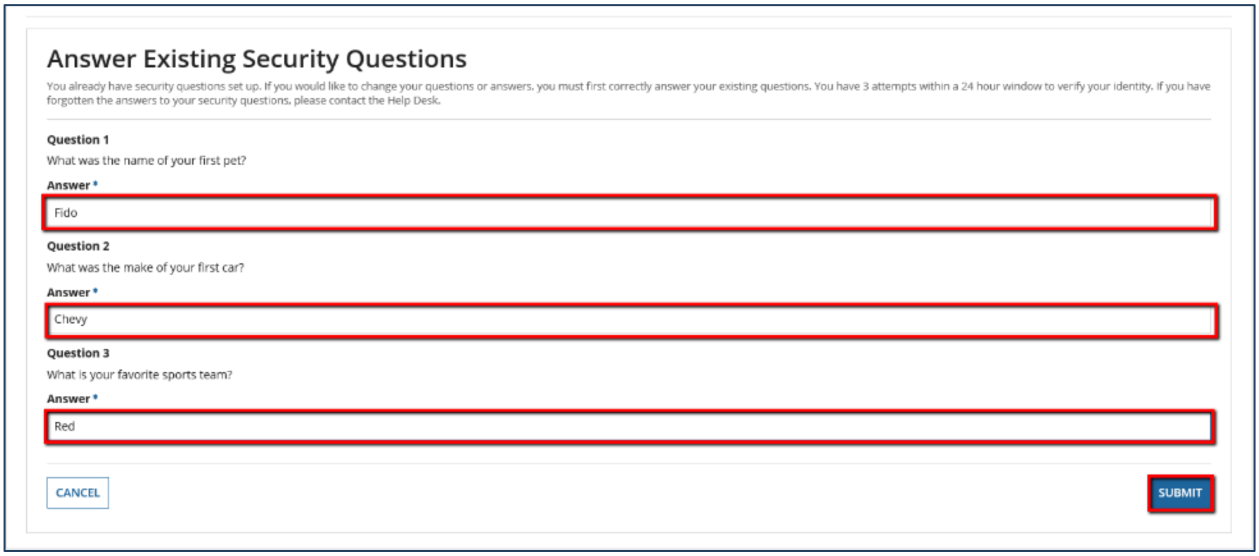
2) Select ***Related Actions***.

3) Click ***Manage Security Questions*** from the **Related Actions** page.

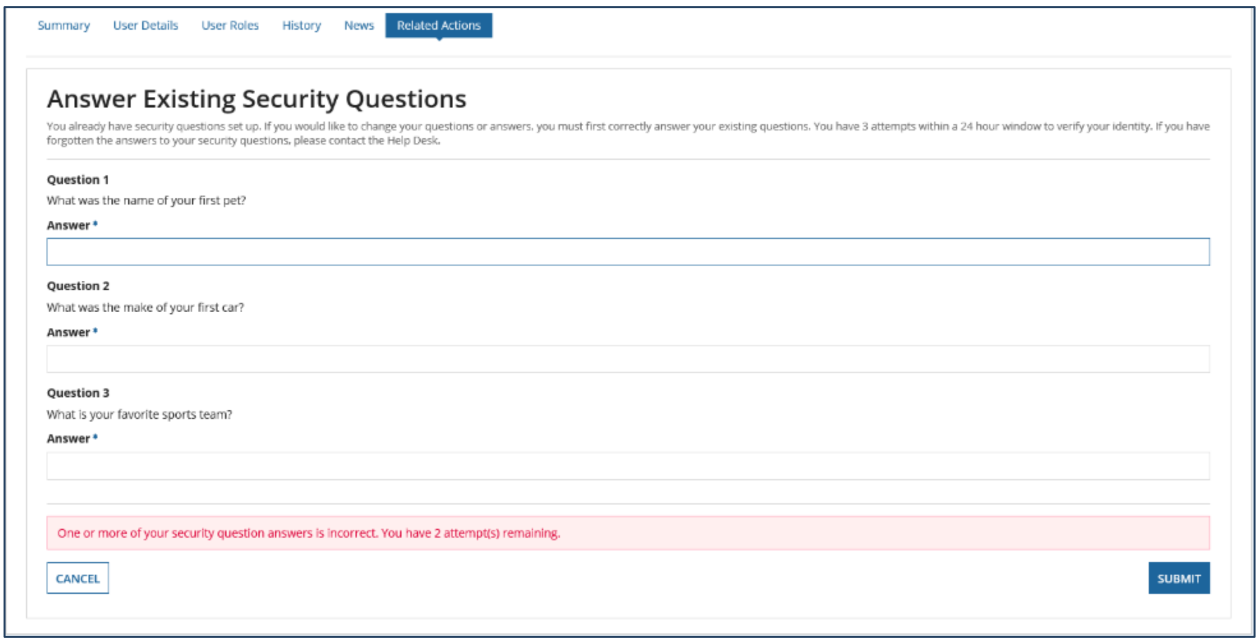
4) If there are existing security questions associated with the user profile, the **Answer Existing Security Questions** page displays. This page presents three questions and gives the user three attempts (within a 24-hour period) to answer them correctly.



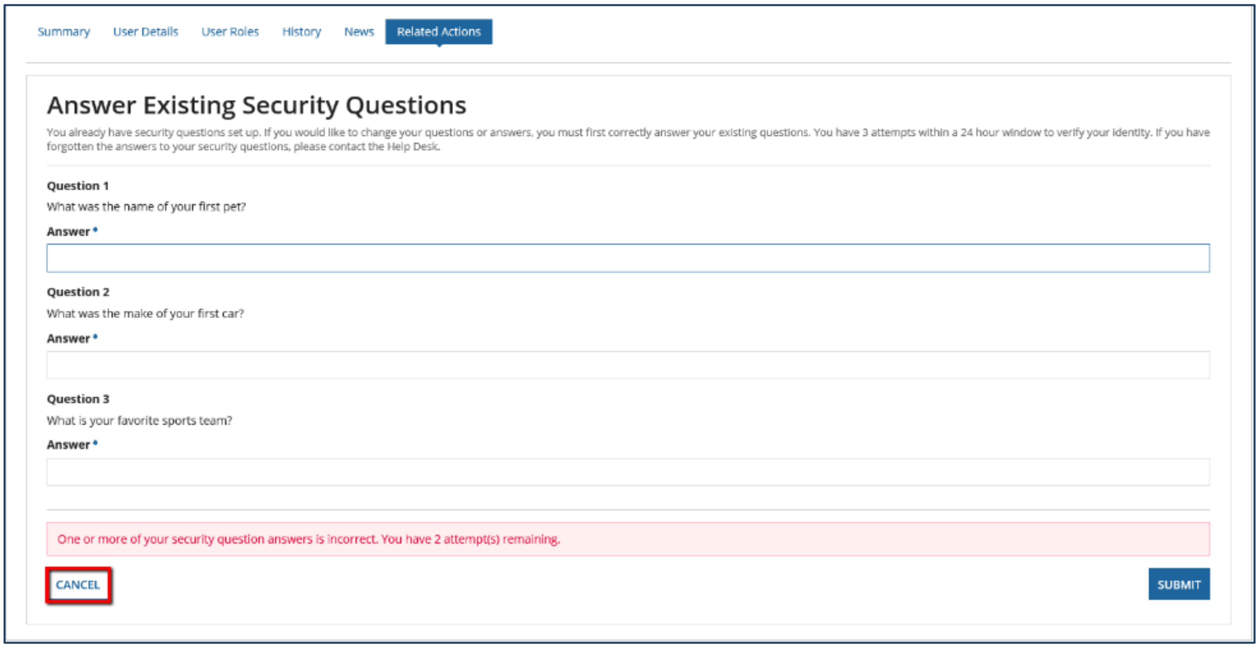
5) Enter the appropriate information and click ***Submit***.



6) If the information entered for each question is incorrect, the answers to all questions is removed and a prompt displays to alert the user that they have not entered correct answers.

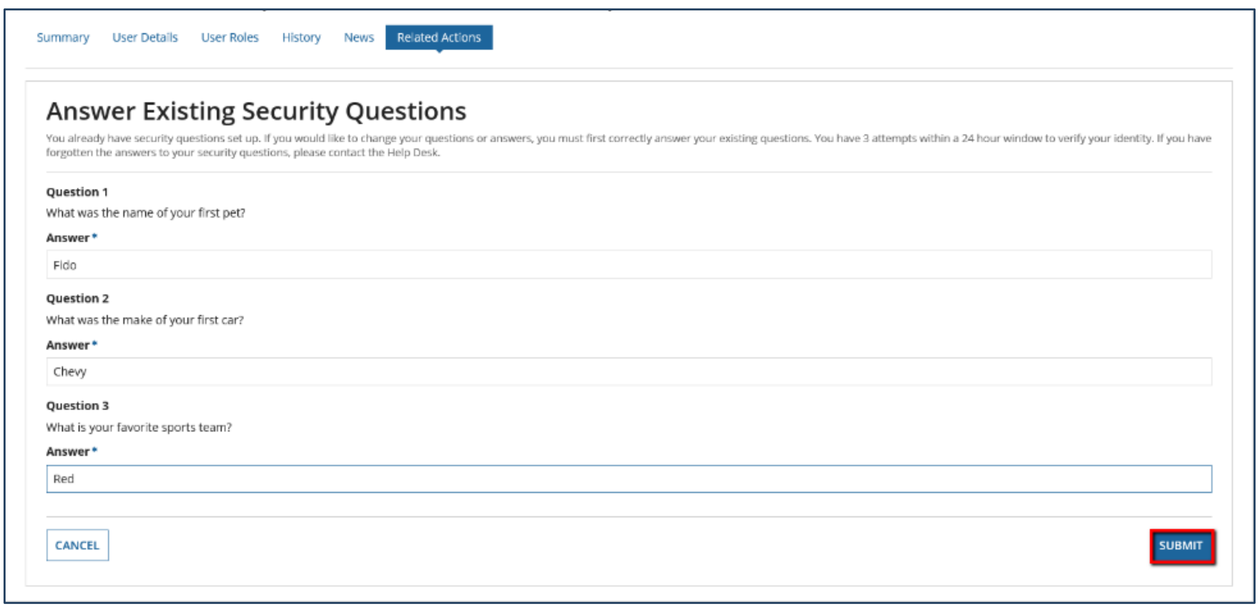


7) Click ***Cancel*** to abort the security questions page.

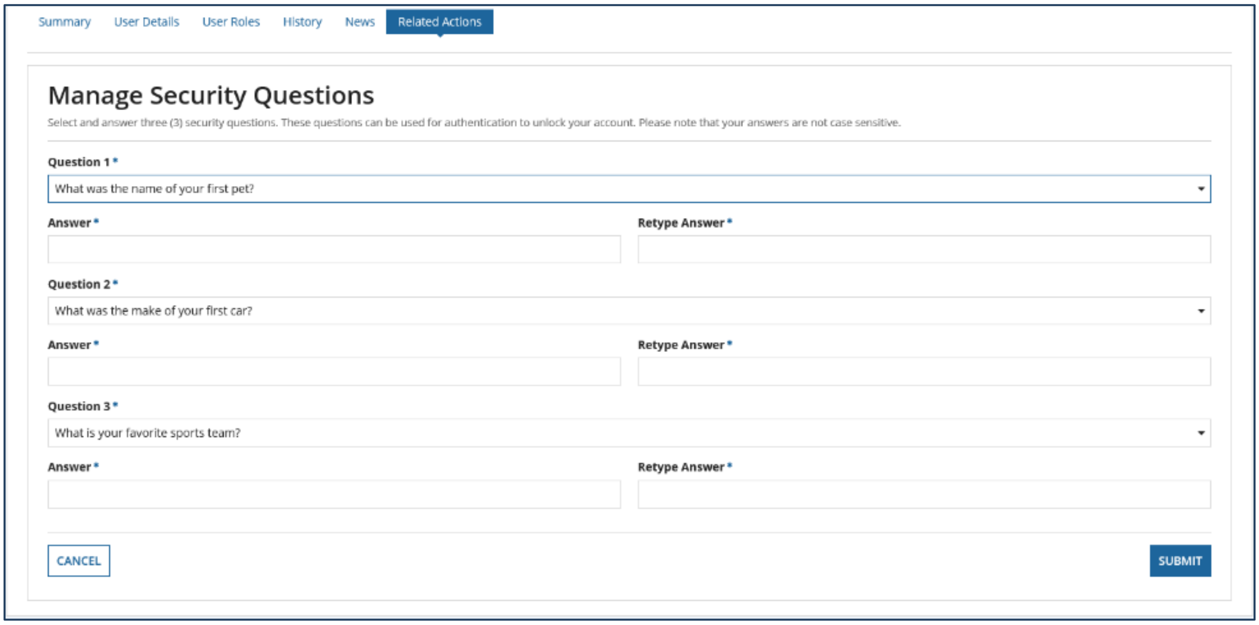


8) The **Related Actions** page is again displayed.

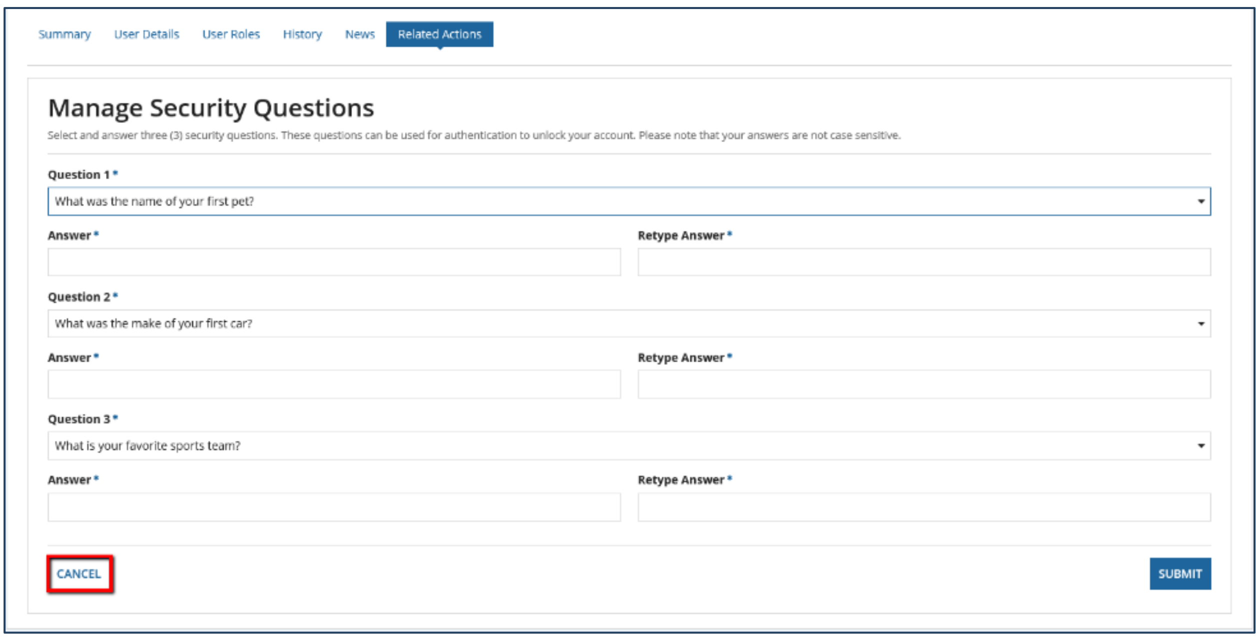
9) If the information entered has been corrected for each question, click ***Submit*** once more.



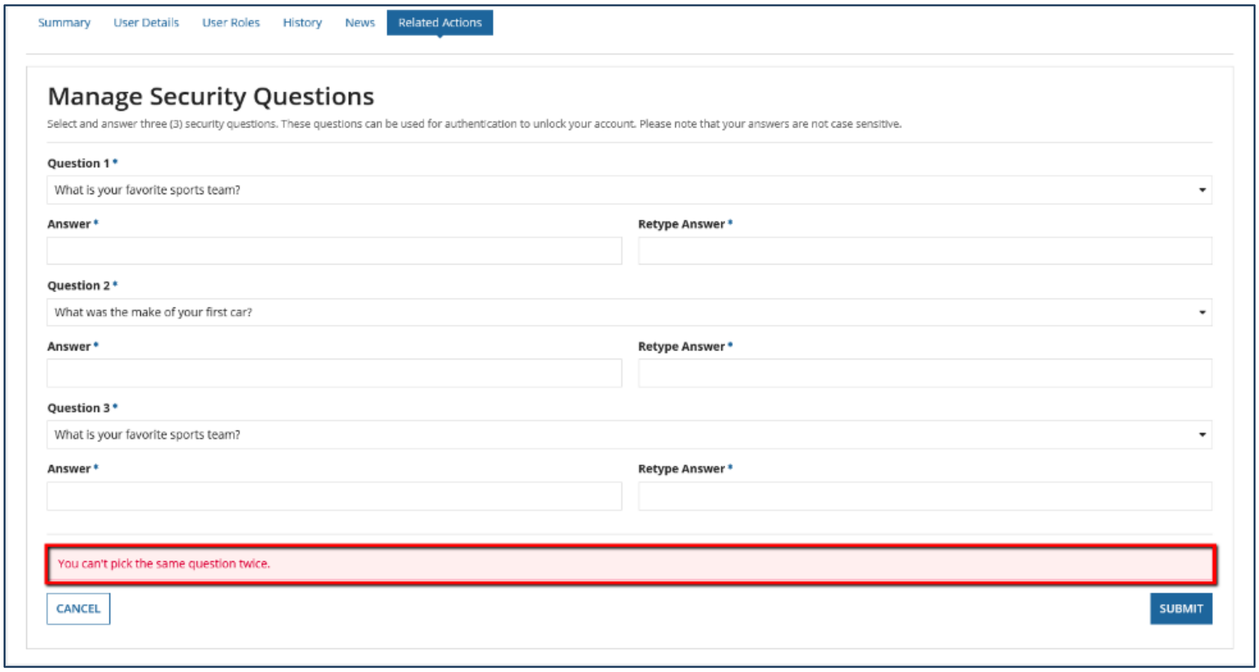
10) Once the three answers have been verified, the user is presented with a fresh page within which to enter either a fresh set of questions/answers or using one or more of the previous questions/answers and adding more.



11) Click ***Cancel*** to abort the security questions page and return to the **Related Actions** page.

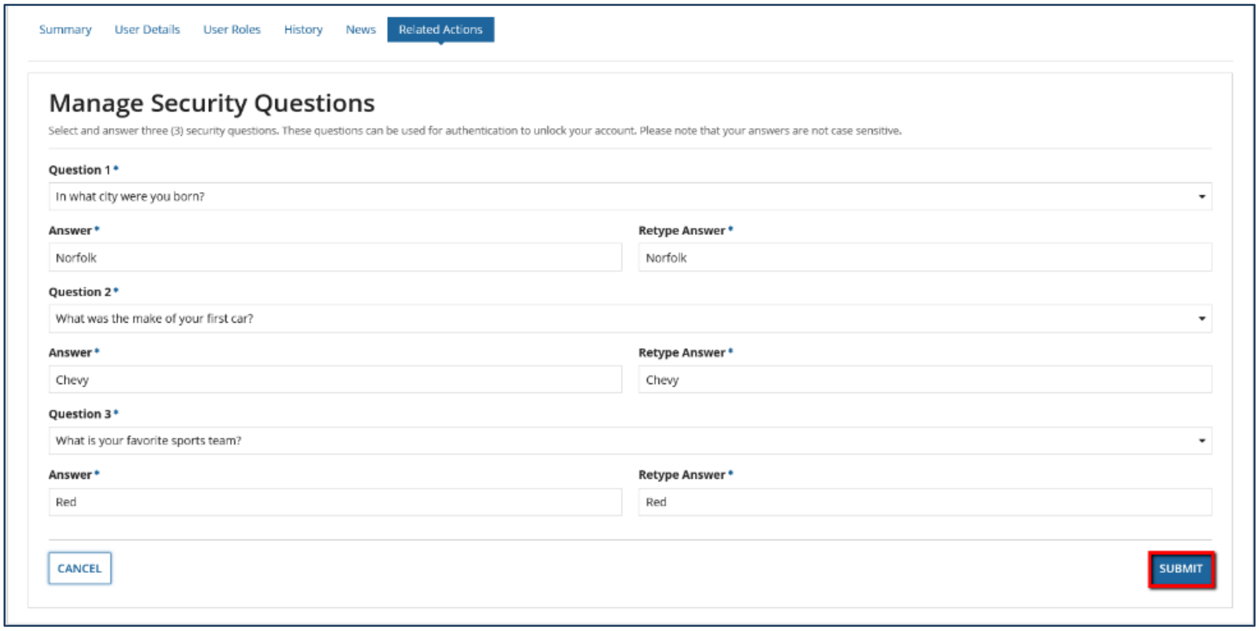


12) If a previously used question is selected from the dropdown provided, an error message is raised that warns the user that *You can't pick the same question twice*.



13) Click ***Submit*** to save any changes made to any of the questions/answers.

Note:	*Only the first question was changed.*



14) The **Related Actions** page is again displayed.

5.2.4 Related Action: Creating a PIN

Some user roles are required to have a personal identification number (PIN) to complete actions or tasks within the system. These roles include the TrAMS Submitter, Attorney, Official, and Regional Administrator. Users that have one or more of the PIN-based roles gain access to a new user profile **Related Action** to set their personal four-digit PIN code. This **Related Action** will be shown as ***Manage 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.

There are a few basic rules surrounding the use of PINs:

a) Users with PIN roles (**TrAMS Submitter**, **Official**, **Attorney**, **Administrator**) will have access to a ***Manage PIN*** profile **Related Action** to create or change a PIN.
b) No user can see the ***Manage PIN*** profile **Related Action** on any other user's account.
c) PINs must be 4-digit numeric codes (e.g., "1234").
d) To reset a PIN, a user must correctly enter their current PIN or correctly answer their Security Questions.
e) Users have 3 attempts per calendar day to reset their PIN before they are locked out of the action.
f) Users will receive an automated email notification any time their PIN has been updated.

To create the **PIN** code:

1) Locate the **User Profile** through either the **User Settings** page or the **Records** page.

2) Select ***Related Actions***.

3) Click ***Manage PIN***.

4) First time users will see the **New PIN** field. Enter a four-digit PIN code. **This is a required field**.

5) Select ***Create PIN*** so save the PIN.

6) Select ***Cancel*** to return to the **Related Actions** page without saving any changes.

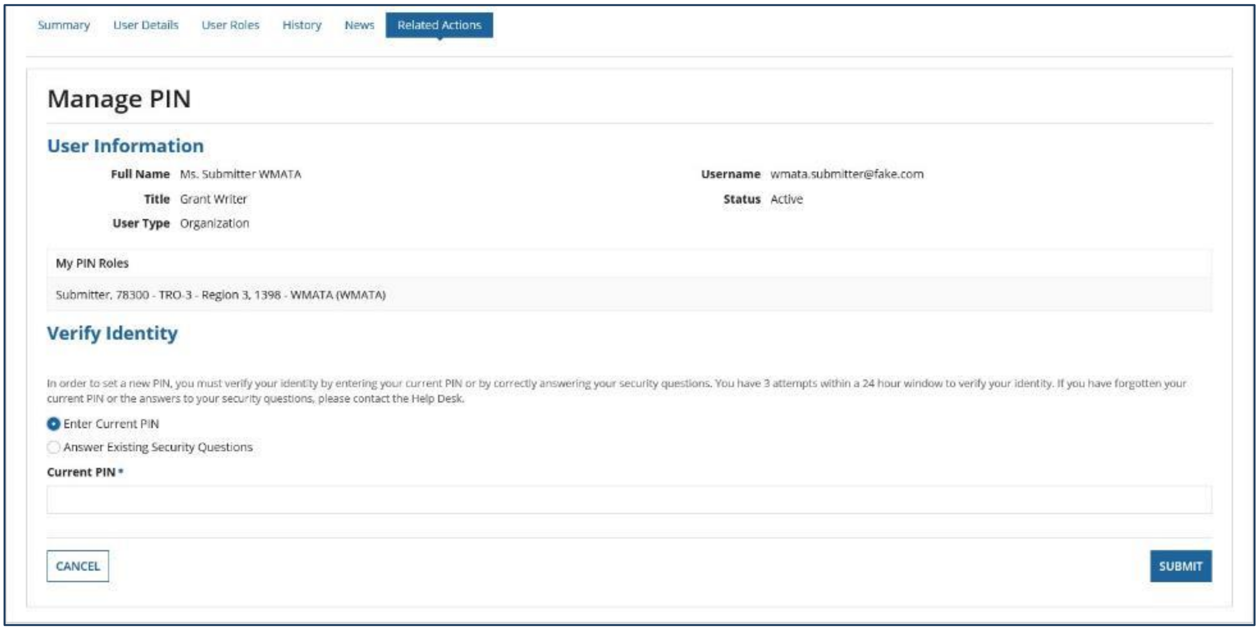
5.2.5 Related Action: Changing the PIN

Once the PIN has been created, a user may again select the ***Manage PIN*** function from the **Related Action** page to change or re-set their personal four-digit PIN code.

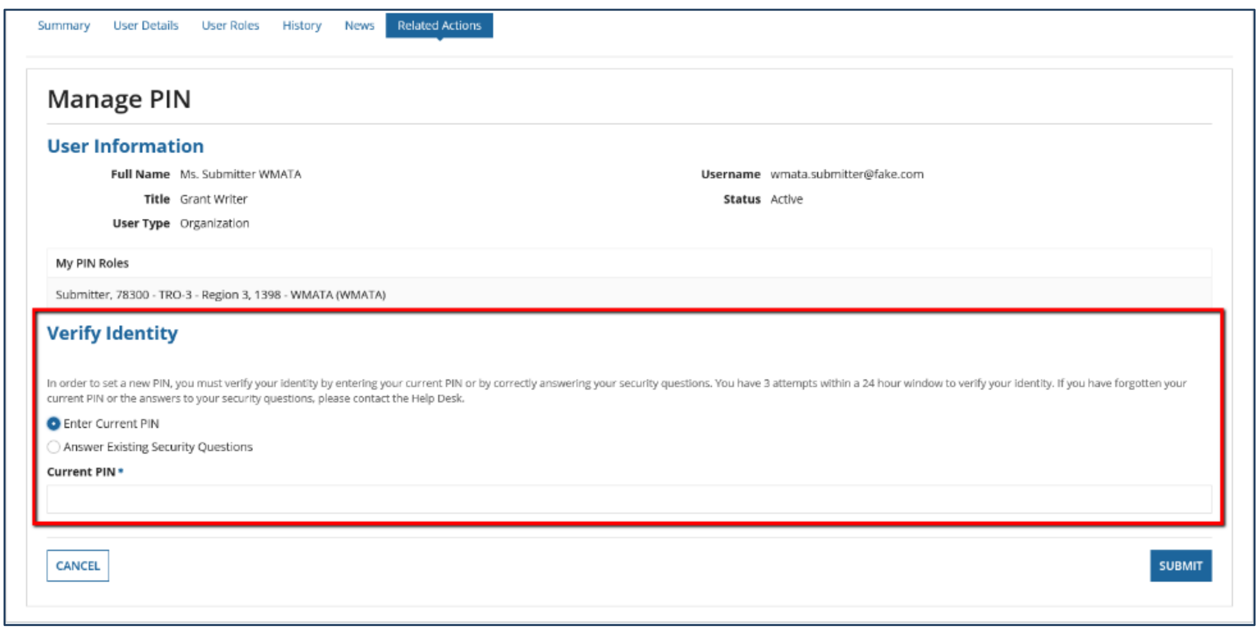
To change the PIN code:

1) Locate the **User Profile** through either the **User Settings** page or the **Records** page. Select ***Related Actions*** and then click ***Manage PIN***.

2) The **Manage PIN** page will display, containing **User Information** as well as the roles to which the PIN has been applied.



3) The user is provided with two separate mechanisms by which they can verify their identity. One includes simply entering the PIN (if known). The other allows the user to verify their identify by answering their security questions.

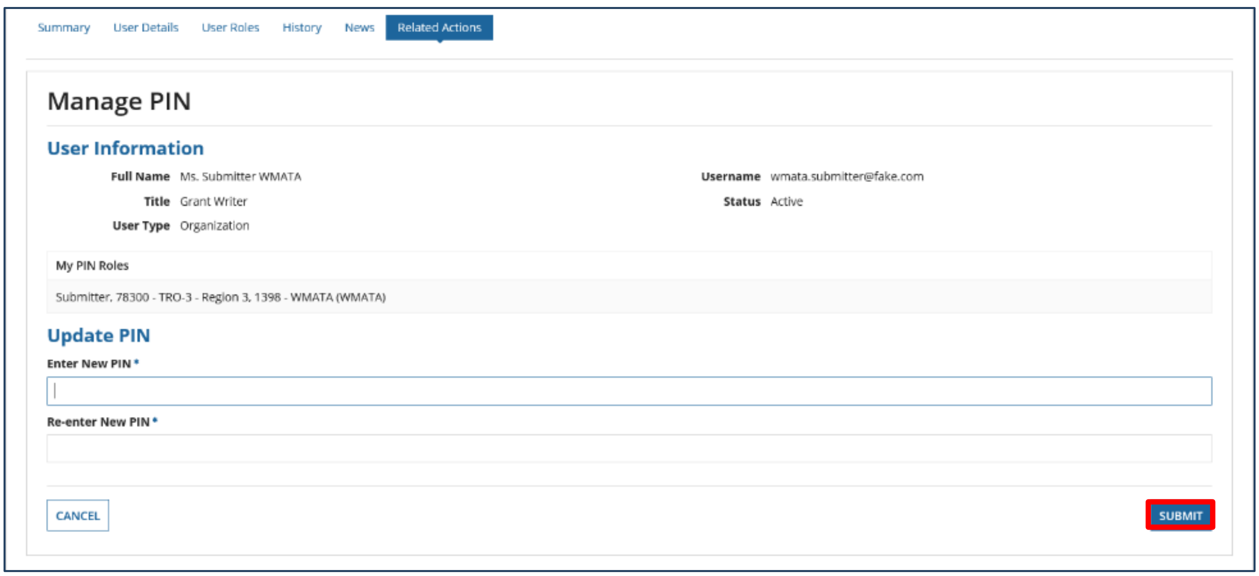


4) Select ***Answer Existing Security Questions*** by selecting the radio button next to that item. This will cause the three questions to be presented for the user to enter the verified information.

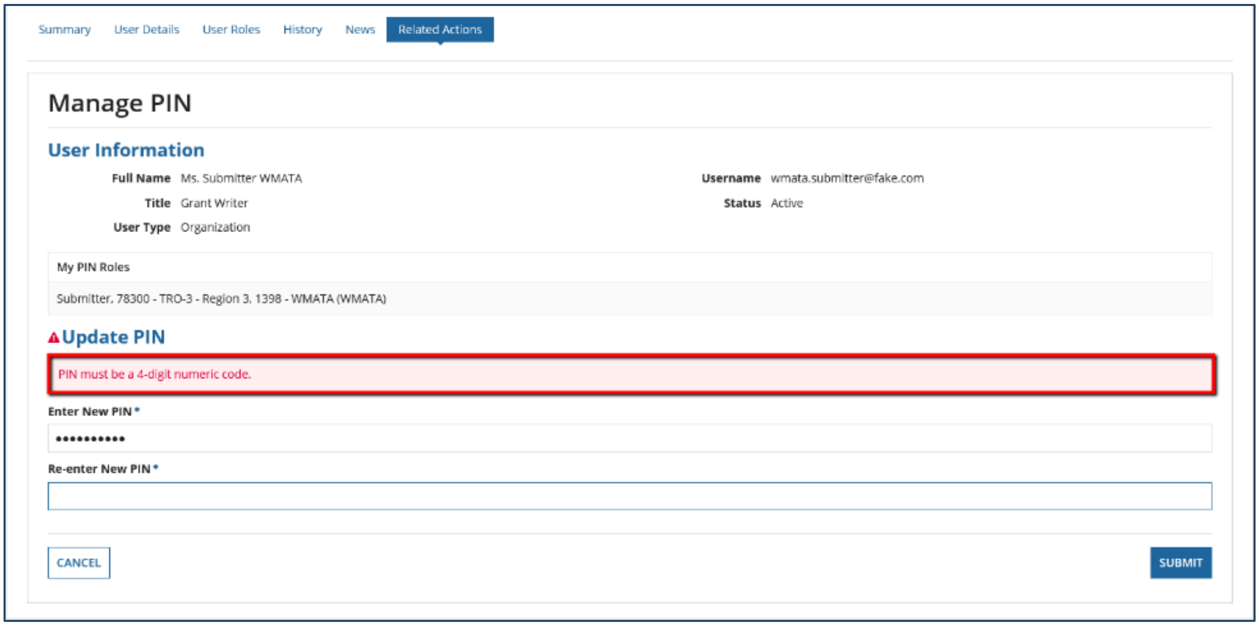
5) Click ***Cancel*** to abort the security questions page and return to the **Related Actions** page.

6) Complete the information and click ***Submit***.

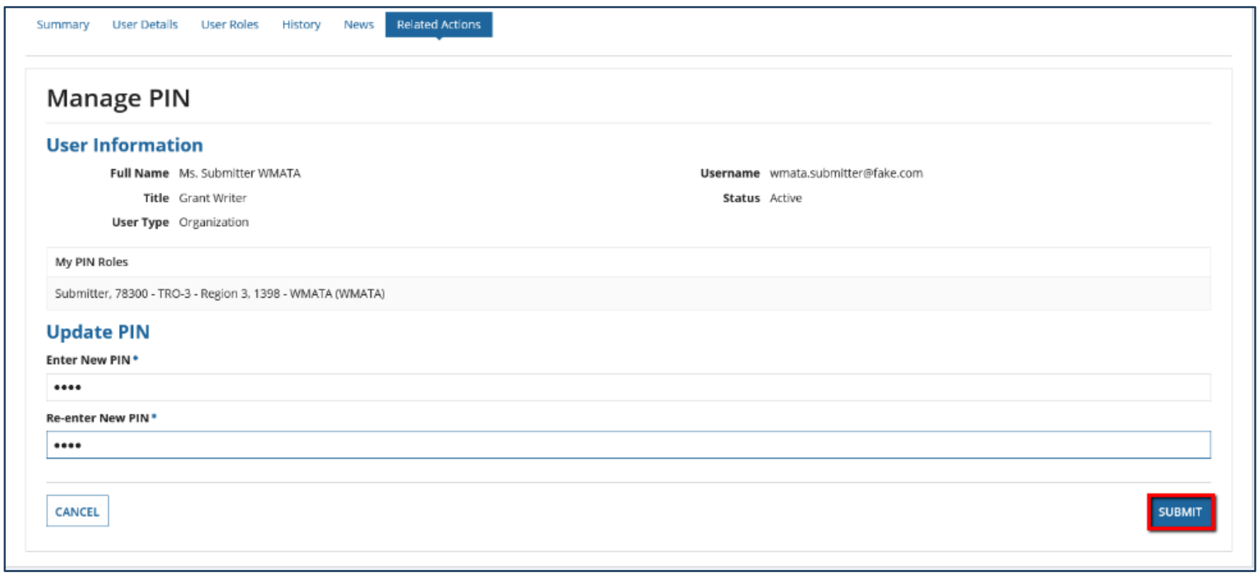
7) After entering all of the information for the security questions and clicking ***Submit***, the user is presented with the **Update PIN** page, allowing them to enter a new PIN to be associated with their role(s).



8) The user enters a new PIN and re-enters the same PIN for confirmation. If, however, the PIN is not exactly four characters (not less, not more), an error message is raised that *PIN must be a four-digit numeric code*.



9) Correct the PIN and click ***Submit***.



10) The **Related Actions** page displays.

Note:	*If the user cannot remember either their existing PIN or security question answers, the user must contact the Help Desk for assistance.*

5.3 A Locked Account

FTA complies with U.S. DOT Information Technology (IT) Security guidelines. FACES uses several security features to ensure that only valid and active users have access to the FTA platform. One of those features is the User Lockout function. An automatic account lockout occurs after 60 days of user inactivity (i.e. after 60 days of the user failing to log in to the FTA platform). The lockout also occurs when the user is required to comply with an annual user recertification. Annual user recertification verifies that each user has valid system access and the correct user roles. A user will be locked if the user is not recertified during the recertification window. These security features apply to all software systems that rely on FACES for access.

Users with locked accounts can still log onto the FTA platform but they will be unable to complete any actions on their account or specific to their roles. The standard tabs (***News***, ***Tasks***, ***Records***, ***Reports***, and ***Actions***) will contain a limited amount of data and security-related actions. For example, no tasks will be available.

Locked users can unlock their accounts using one of two methods: (1) correctly answering their existing security questions; or (2) submitting an unlock request. Both methods are available via a single action on the **Actions** tab. It is preferred that all users attempt to self-unlock their accounts by answering their previously setup security questions before submitting an unlock request; this is the quickest and most efficient route to unlocking an account. However, if a user is locked due to recertification, the user will not be able to use self-unlock to unlock his or her account. Once an account is unlocked, the user's access privileges will be fully restored.

5.3.1 Answer Security Questions

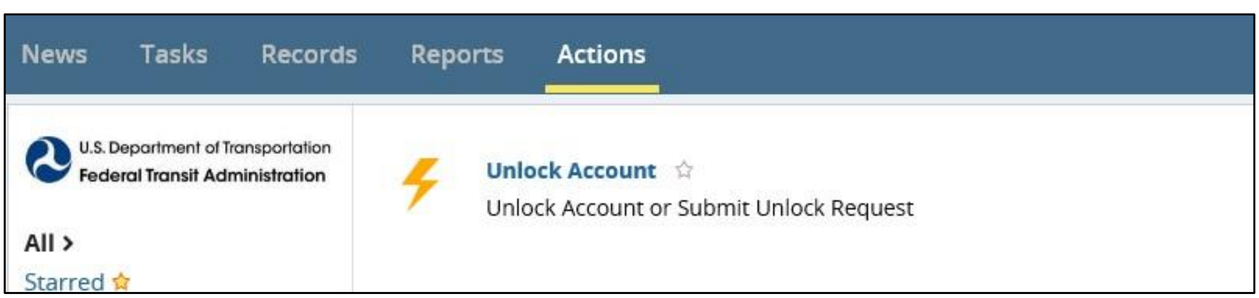
If the account is locked and security questions were previously set up, the user can attempt to unlock the account by answer their security questions through the ***Unlock Account*** link on the **Actions** tab.

Note:	*See* Related Action: Set Security Questions/Answers *or* Related Action: Manage Security Questions/Answers *for instructions on setting up Security Questions. User Security Questions cannot be modified while the account is locked.*

The user is allowed three (3) attempts per calendar day to correctly answer the security questions. Users who have not set up security questions or who cannot remember the correct answers to their questions must instead submit an unlock request.

To unlock the account via security questions:

1) Navigate to the **Actions** tab.

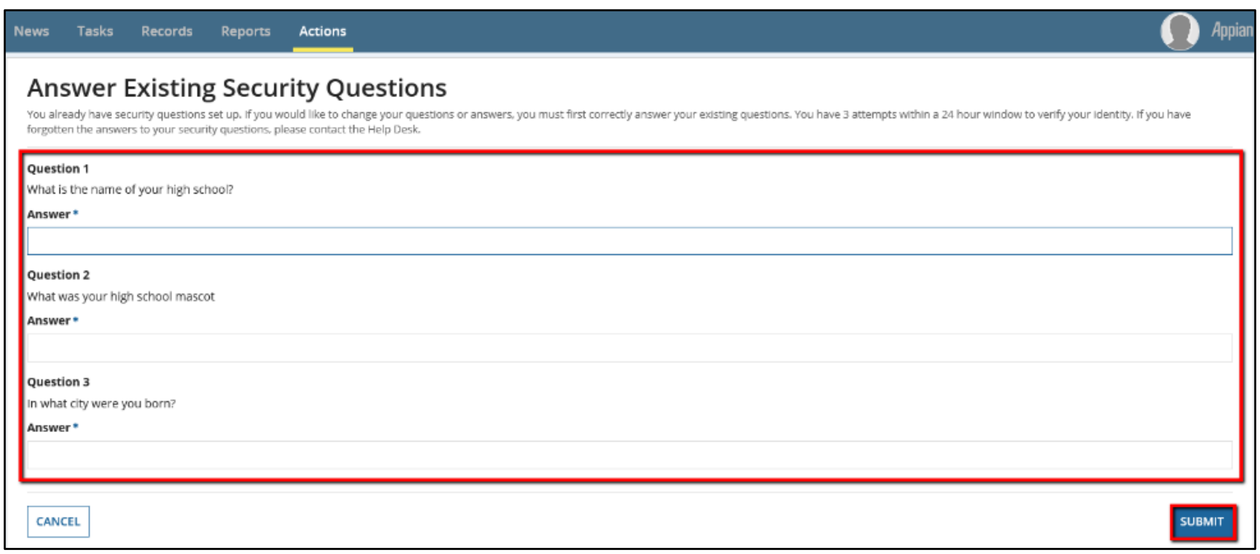


2) Click ***Unlock Account***.

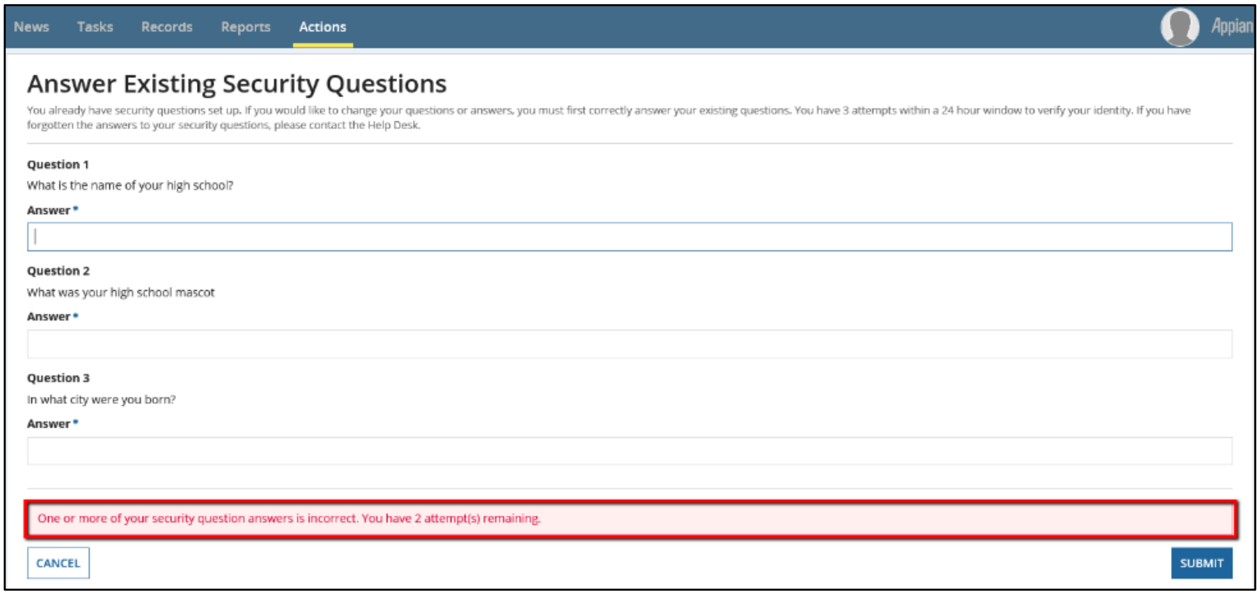
3) If **Security Questions** have already established, then click ***Answer Security Questions*** from the **Unlock Account** page and then click ***Submit***.

4) Provide the correct answers to the three previously established questions and click ***Submit***.

Note:	*Answers are case insensitive.*

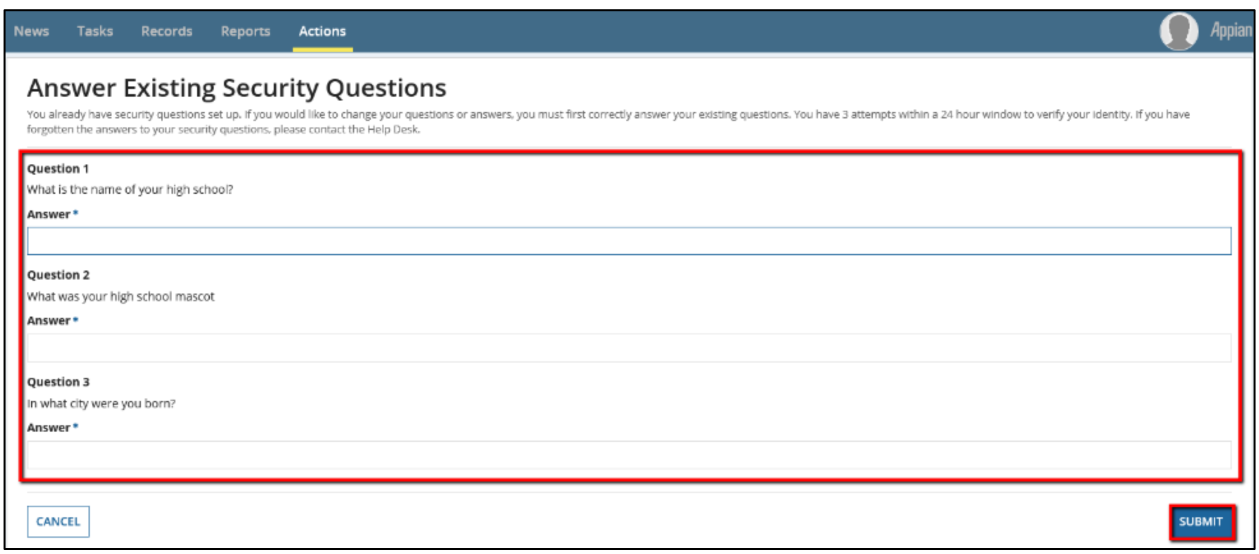


5) If incorrect information was entered, a validation error message will display that indicates the number of attempts remaining for <u>the current calendar day</u>. After three incorrect attempts, the user will be forced to wait until the next calendar day before another attempt.



6) If incorrect information was entered, all three answers will be erased regardless of which one of the three answers was actually incorrect.

7) Enter the correct information and click ***Submit***.

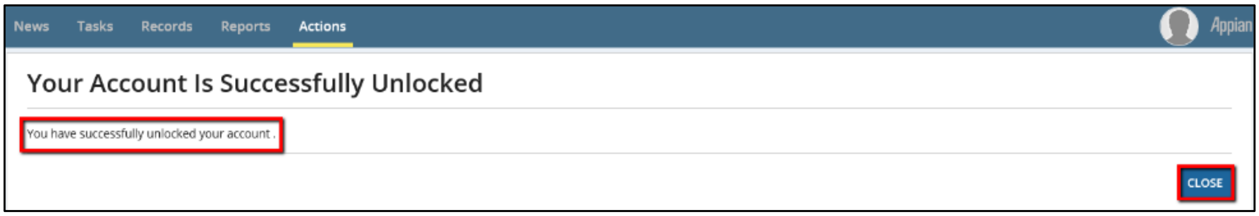


8) A message indicating **User Unlock Processing** will display.

9) Click ***Refresh***.

10) A message indicating **Your Account is Successfully Unlocked** will display.

11) Click ***Close***.



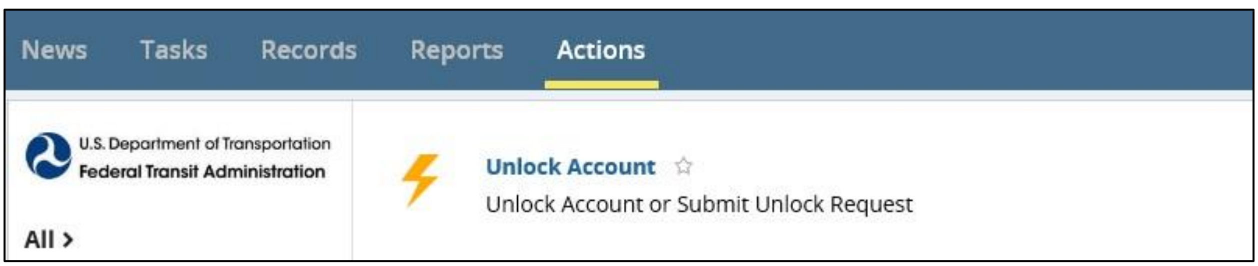
12) An email will be auto-generated and sent to the user.
13) The **Actions** page will display with the **Unlock User** action removed.

5.3.2 Submit Unlock Request

If a user has not set up security questions or cannot remember their answers, they can submit an unlock request by selecting ***Unlock Account*** on the **Actions** tab. The unlock request is automatically routed to the appropriate approvers (User Managers, Validation Analysts, LSMs, or GSMs). If an organization does not have a User Manager or the locked user is the User Manager, the request will go to the next level approver. If the user belongs to multiple organizations, the request will go to each of organization's user management chain.

To submit an unlock request:

1) Log into FACES.
2) Navigate to the **Actions** tab.



3) Click ***Unlock Account***.

4) Select the ***Send a Request to Unlock Your Account*** option, enter any comments pertinent to regaining access, and then click ***Submit*** to finalize the action.

5) A message indicating **Unlock Request Successfully Submitted** will display.

6) Click ***Close***.

7) The request for the account unlock will automatically be routed to the appropriate approver(s).

After submitting the unlock request, the **User Manager, LSM, Validation Analyst, User Manager Supervisor, FTA Signer or GSM** (as appropriate) will receive an email notification to review the submitted request. They can either approve or deny the request. The user will be notified via email of either decision.

If the request is approved, the account will unlock and all previous permissions will be restored. If the request is denied, the account will remain locked. If the account remains locked, the user should call their appropriate **User Manager, Validation Analyst, LSM, or GSM** directly to resolve the issue. If the appropriate **User Manager** is not known, the user can call the Help Desk. Once an unlock request has been submitted, the user cannot self-unlock their account via security questions or submit a new unlock request.

6 Interacting with Other Users

Users may view the profiles of other users within their specific organizations. To access other users' information, that user's record must first be located by searching within the list provided after selecting ***Users*** on the **Records** tab.

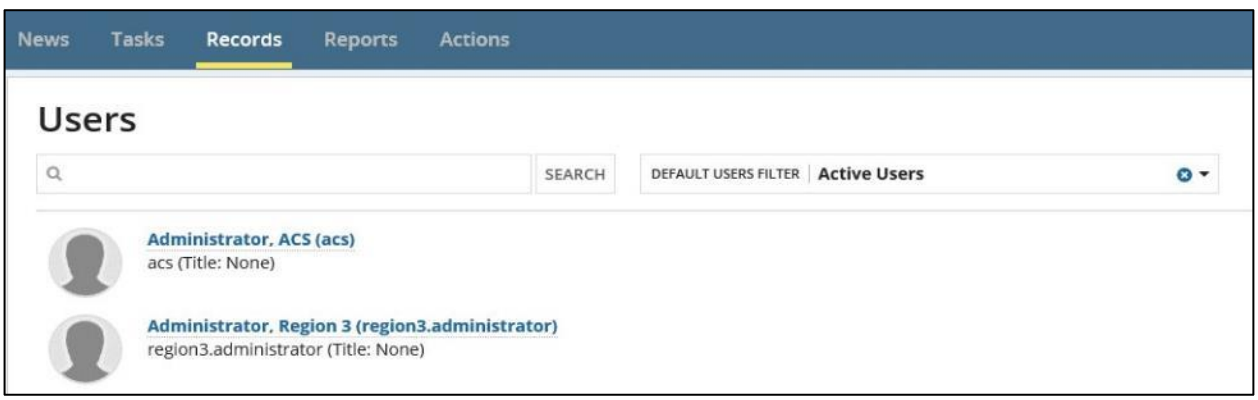
The **User Summary Page** is the landing page when a user has selected another user's record from the **Records** tab. This page consists of the user's basic contact information and any news items related to that user. When viewing another user's **User Summary Page**, users will have the option of ***following*** them or providing them with ***kudos***.

6.1 Locating a User Profile from the Records Tab

To locate another user's profile(s) within the organization, from the **Records** tab:

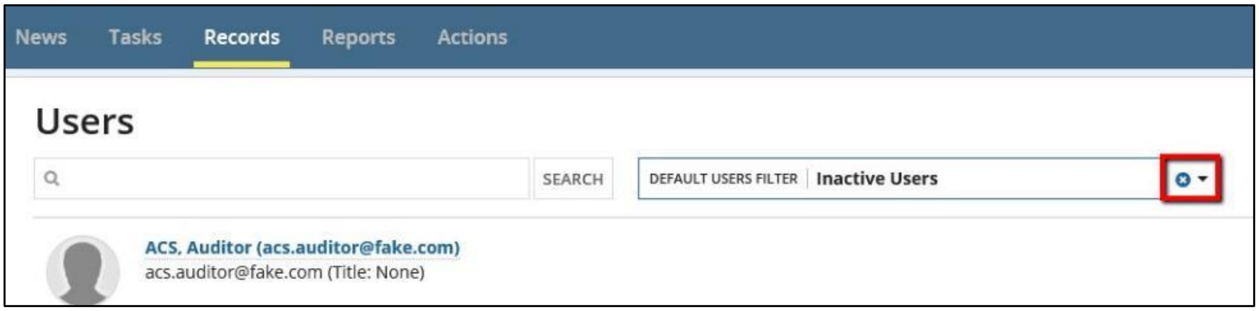
1) Select ***Records***.

2) Click the ***Users*** record type to view the users in the organization (see sample users below).

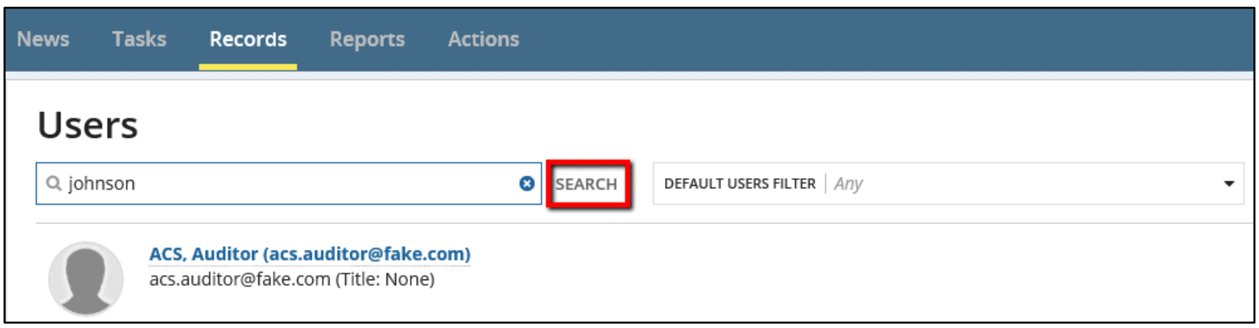


3) To limit the list of Users displayed, select the right-hand navigation arrow to narrow the list to either ***Active*** or ***Inactive*** users. ***Active*** users can log in to the system. ***Inactive*** users have deactivated accounts and cannot log in to the system.

4) Return to the full list of users by de-selecting the Active/Inactive Users listing:

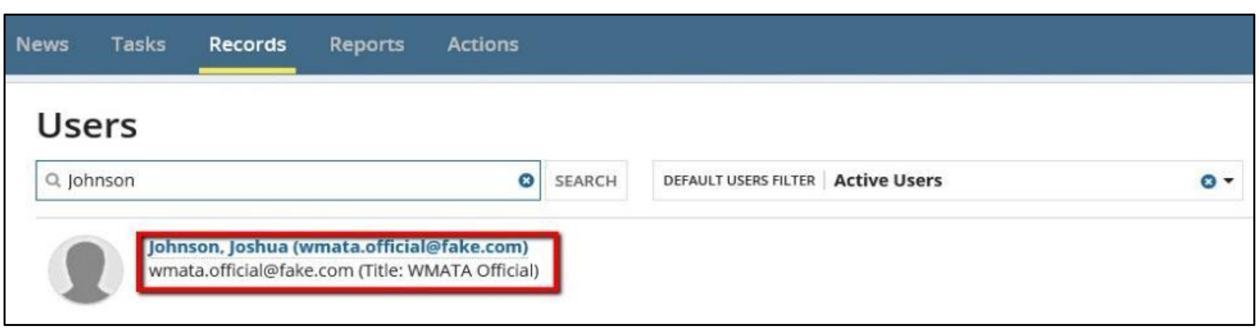


5) To limit the list to a single user or a group of users with common characters in their name, enter the name (or partial name) of the appropriate user or group in the **Search** box. Click ***Search***.



6) Restricting the list to all users with a set of letters (e.g., *Johnson*) in their name provides a smaller list of records to review as shown on the page below.

7) Once the list contains the appropriate user name, click the blue User Name (a hyperlink) to open that user's **User Summary Page**.



8) The **User Summary Page** displays.

6.2 Viewing User Details

User Details are "view only" and are split between multiple pages for legibility: The ***User Details*** page, the ***User Roles*** page, and the ***History*** page. The ***User Details*** page and the ***User Roles*** page are visible to all users that can see the record. The ***History*** page is only visible to the user himself or herself and to the user's managers (User Managers, Validation Analyst, LSMs, GSMs).

Organization users may see their own profiles and the profiles of other users within their organization. FTA users may see any other FTA user within their system and all organization users that fall within their assigned cost center. External user privileges vary by user type.

6.4.1 User Details Page

The ***User Details*** page consists of two groups of essential information about the user: account information and contact information.

1) The Account Information section provides basic information about the user:

    a) User Type: Displays the user type. This classification impacts what roles and permissions the user can have. The available types are: Organization (e.g. NTD Reporters, TrAMS Recipients), FTA (FTA staff), and External (Auditors, Contractors, or DOL subtypes).

    b) Created On: The date the user's access was initially created in the system

    c) Username: The name the users uses to log in to the system (this is unique and set to the user's email at the time of account creation).

    d) First Name, Middle Name, and Last Name: User's first, middle, and last name(s).

    e) Status: The status of the user's account. Accounts can be: Active, Active (Locked), or Deactivated. *Active* users can log in to the system and have full access to their account privileges. *Active (Locked)* users can log in to the system but their account is locked, and they have very restricted privileges. *Deactivated* users cannot log in to the system at all.

f) Last Login Date: Last day the user logged on to the FTA platform.

g) Title: User’s title. For FTA users, the title will match the user’s title in the FTA directory. For non-FTA users, this is optional and can be any text combination.

h) Honorific: Term used to address the user formally – options include Mr., Mrs., Ms., and Dr.

i) Company Name: The name of the company the user represents. This field may or may not be populated.

j) System: A comma separated list of FTA systems the user can access on the platform, e.g. NTD.

2) The contact information section provides more specific details with which to contact the user. This information generally represents the user’s business/office contact information.

6.4.2 User Roles Page

The ***User Roles*** page also consists of two main parts: A Roles section, and, if applicable, a section listing User Managers for the selected user. The User Managers section is not visible for FTA users and most External users.

1) The Roles section provides basic information about the user’s assigned roles (or Approved or Pending roles will be included in this section). The information about each role includes:

a) Role: The title of the role assigned to the user.

b) Role Category: The category or grouping of roles to which the specific role belongs (e.g. Recipient, Reporter, FTA Staff).

c) System: The platform system to which the role category is associated (e.g. TrAMS, NTD and DGS).

d) Cost Center: FTA cost centers are high-level divisions within FTA. All organizations are assigned to a cost center. Cost centers represent specialized headquarters functions or geographic regions. For FTA users, the cost center assignment indicates for which cost center the user can execute the role. For organization users (e.g. TrAMS Recipients or NTD Reporters), this is the cost center associated with the assigned organization. Note that some FTA systems use cost center assignments as part of their business processes while others do not.

e) Organization: This field is N/A for FTA and most external users. For organization users, this field lists the specific organization for which the role has been granted. The user can only perform that role for the specific organization.

f) Document: A hyperlink to any documentation justifying the role assignment. Documents are required for a small subset of roles but can be uploaded for any role.

g) Status: Indicates whether the role is active or has been requested. Users have all permissions associated with active roles. Users do not have permissions associated with Pending roles until the roles are approved.

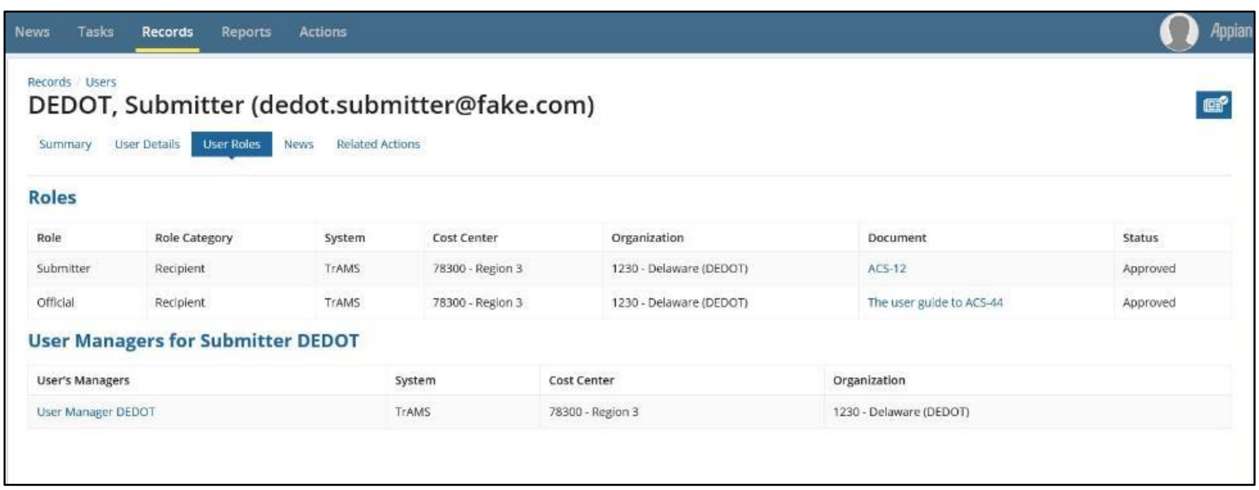
2) The User Managers section provides details related to the user's management. This section serves as a way for a user to quickly identify who they need to contact if they have account issues. Information about each user manager includes:

a) User Manager Name: Name of the user manager. This is hyperlink to the manager's profile.

b) System: Lists the FTA system (e.g. TrAMS, NTD, DGS) in which the user has management privileges.

c) Cost Center: The FTA organization in which the user's management privileges fall.

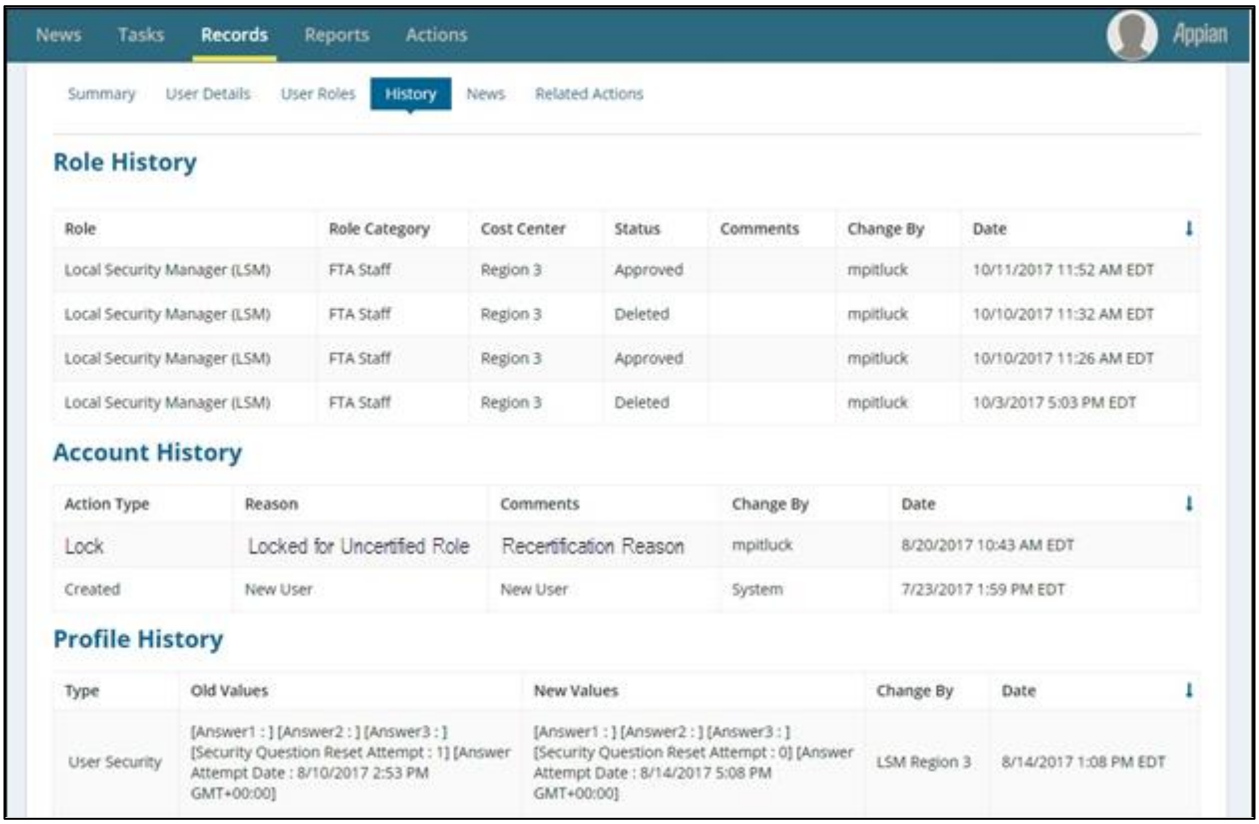
d) Organization: The name of the specific organization (ID, Name, and Acronym) that the user can manage.



6.4.3 History Page

The ***History*** page contains user audit information. It consists of three sections: *Role History*, *Account History,* and *Profile History.* The ***History*** page for each user is only visible by the user themselves and their user management chain (**User Managers, Supervisors, Validation Analyst, User Manager Supervisor , FTA Signer, LSMs,** and **GSMs** as appropriate). Limited history information is available for changes prior to the FACES 3.0 deployment in November 2017.

- The *Role History* section shows all role adds and deletions. This section includes any comments about the role change, the username of the individual completing the change, and the date and time of the change.
- The *Account History* section contains information about major account changes (account creation, deactivation, reactivation, lock, and unlock). This section includes reasons for the account change, any comments about the change, the username of the individual completing the change, and the date and time of the change.
- The *Profile History* section contains information about any changes to the user profile (e.g. last name change, address change, change in title). This section shows the original value, the new value, the individual who completed the change, and the date and time of the change.



Role History

Role	Role Category	Cost Center	Status	Comments	Change By	Date
Local Security Manager (LSM)	FTA Staff	Region 3	Approved		mpitluck	10/11/2017 11:52 AM EDT
Local Security Manager (LSM)	FTA Staff	Region 3	Deleted		mpitluck	10/10/2017 11:32 AM EDT
Local Security Manager (LSM)	FTA Staff	Region 3	Approved		mpitluck	10/10/2017 11:26 AM EDT
Local Security Manager (LSM)	FTA Staff	Region 3	Deleted		mpitluck	10/3/2017 5:03 PM EDT

Account History

Action Type	Reason	Comments	Change By	Date
Lock	Locked for Uncertified Role	Recertification Reason	mpitluck	8/20/2017 10:43 AM EDT
Created	New User	New User	System	7/23/2017 1:59 PM EDT

Profile History

Type	Old Values	New Values	Change By	Date
User Security	[Answer1 :] [Answer2 :] [Answer3 :] [Security Question Reset Attempt : 1] [Answer Attempt Date : 8/10/2017 2:53 PM GMT+00:00]	[Answer1 :] [Answer2 :] [Answer3 :] [Security Question Reset Attempt : 0] [Answer Attempt Date : 8/14/2017 5:08 PM GMT+00:00]	LSM Region 3	8/14/2017 1:08 PM EDT

7 User Management

7.1 User Management Responsibilities

User management responsibilities include user creation, role assignments, deactivation, reactivation, and unlocking. Responsibilities vary somewhat by management level. At the lowest level, each organization will have one or more users assigned to the **User Manager** role. FTA approval is required to obtain or assign the **User Manager** role to any individual. The **User Manager** for an organization can perform the following actions for users within their organization:

- Create and Manage Users
- Assign and remove user roles
- Edit user profile information
- Manage role documentation
- Deactivate and Reactivate users
- Unlock users
- Recertify users

FTA **Supervisors** can perform the same actions as user managers but only for FTA users within their cost center.

FTA **Validation Analyst** can manage all FTA users within their cost center, organization users within any organization that belongs to their cost center, and external contractors. Validation Analyst can also approve role request from User Managers.

FTA **LSM**s can manage all FTA users within their cost center, organization users within any organization that belongs to their cost center, and external contractors. FTA LSMs can also approve role requests from User Managers.

FTA **GSMs** can create and manage all other users within their system (e.g. TrAMS or NTD).

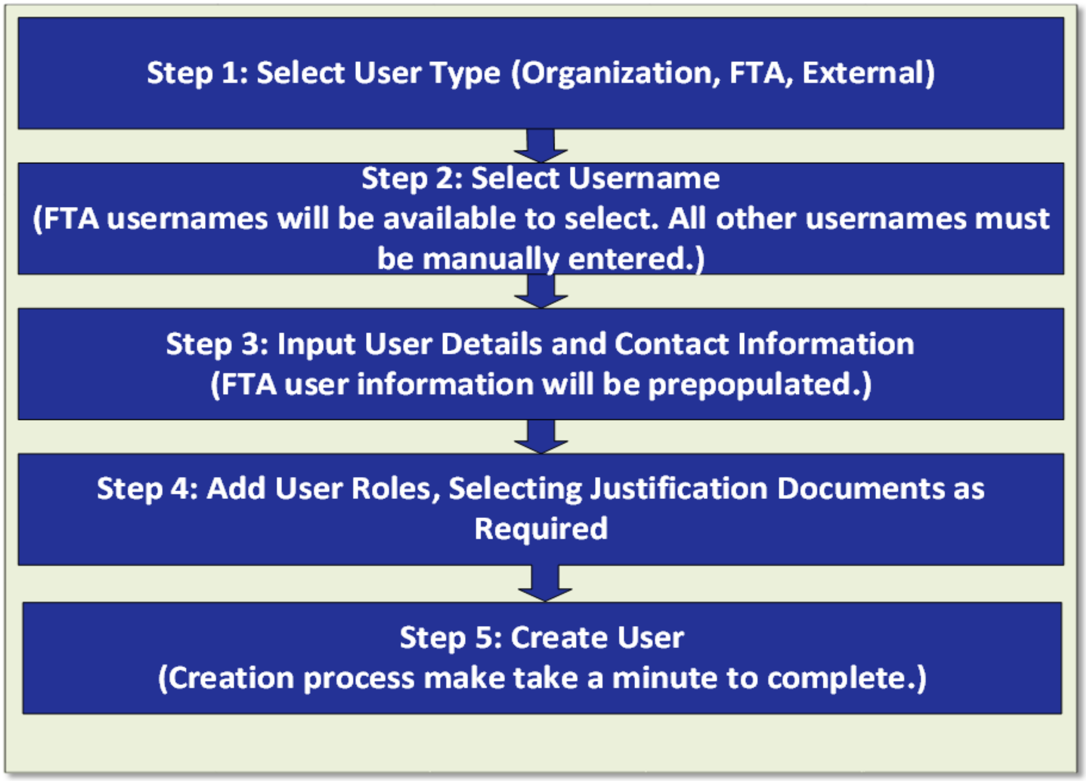
User Manager Supervisor can create, manage and recertify users within their system.

Privileges	User	Supervisor	Validation	LSM	GSM
Users authorized to manage	Users in same organization	FTA users in same Cost	Organization, FTA, and contractor users	Organization, FTA, and contractor users in same Cost	All users in Platform System
Responsibility	**User**	**Supervisor**	**Validation**	**LSM**	**GSM**
Create New Users	Yes	Yes	Yes	Yes	Yes
Assign and remove user	Yes	Yes	Yes	Yes	Yes
Approve elevated roles	No	No	Yes	Yes	Yes
Edit user profile	Yes	No	Yes	Yes	Yes
Manage role	Yes	Yes	Yes	Yes	Yes
Deactivate and	Yes	Yes	Yes	Yes	Yes
Unlock users	Yes	Yes	Yes	Yes	Yes
Recertify users	Yes	Yes	Yes	Yes	Yes

The remainder of this section presents an overview of each of the user management activities and responsibilities.

7.2 User Creation

The following presents an overview of the six-step process required for creating a new user of any type:



There are explicit rules controlling user creation:

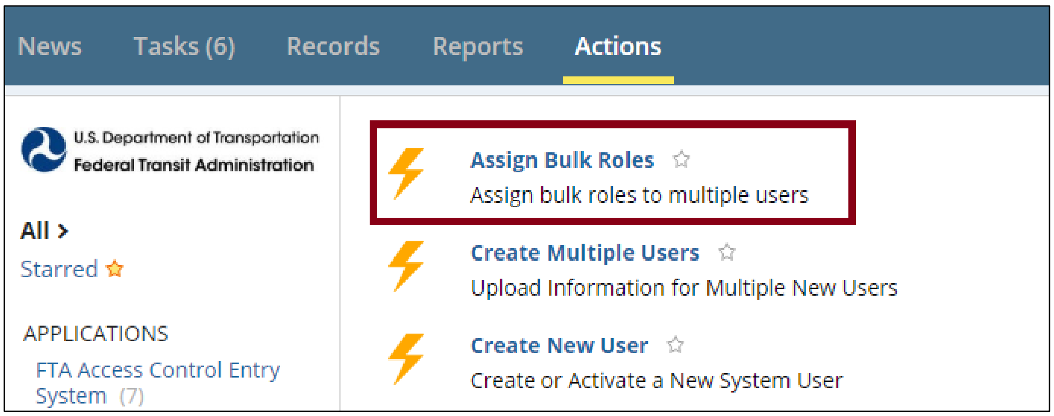
1) Only users with the roles **User Manager**, **Supervisor, Validation Analyst, Local Security Manager (LSM)**, and **Global Security Manager (GSM)** are approved to create users using the ***Create and Manage Users*** action.
2) Users can only create user and add roles for which they have privileges.
3) Organizational **User Managers** can create other organizational users.
4) External **User Managers** can create other external users (e.g., DOL).
5) FTA **Supervisors** can create FTA users.
6) **LSMs, Validation Analyst and GSMs** can create users of any type.
7) When a username is entered to create a new user, the system will flag any user that already exists and present the creator with the option of going to the ***Manage Roles*** action to add roles to that existing user.
8) A user's username must be a valid email address.
9) Name, contact, and business address information is required when creating a new user.
10) A user cannot be created unless at least one role is assigned to the user.
11) Some roles require justification documents and/or approval by users with higher privileges.
12) Only roles matching the new user's type can be added to the user.

7.2.1 Action: Assign Bulk Roles

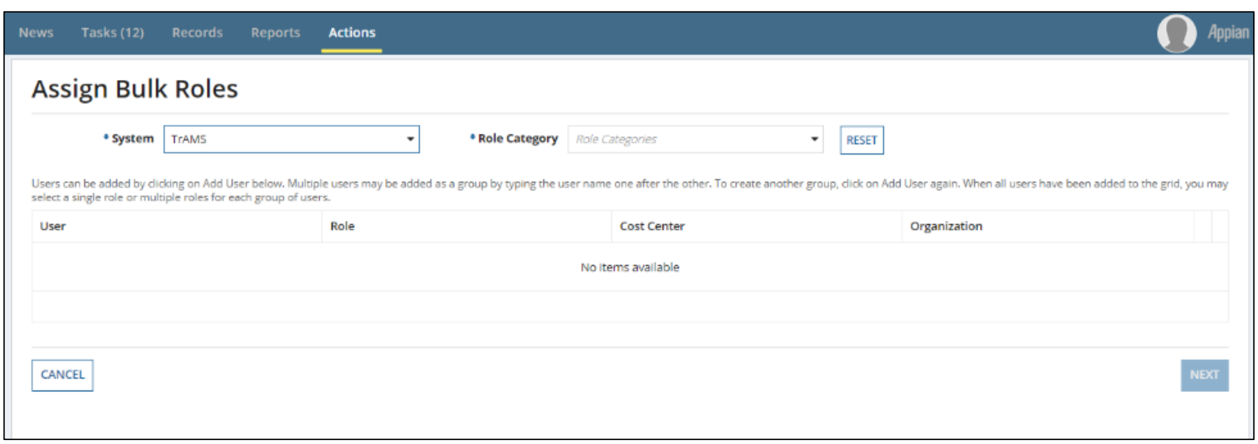
If more than one user or external user needs to be assigned to a new user role, the **User Manager**, **Validation Analyst**, **LSM**, or **GSM** may bulk assign user roles through this action. The assignment process will provide validations and will only allow users to be assigned to roles that are valid for them. This action is useful when paired with the **Create Multiple Users** form or any other time where many users must be assigned to new roles.

To assign bulk roles at once:

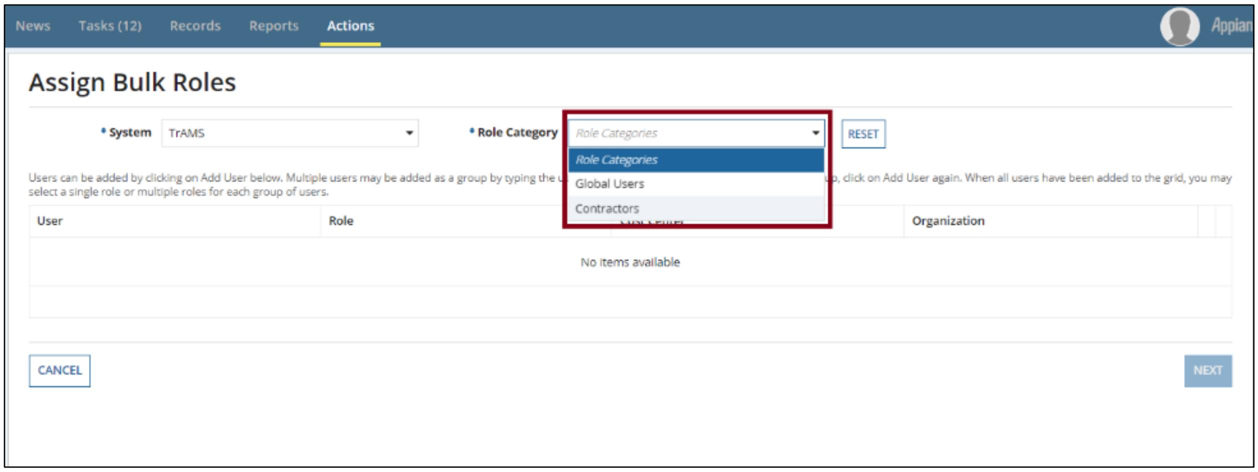
1) Click the ***Assign Bulk Roles*** from the **Actions** tab.



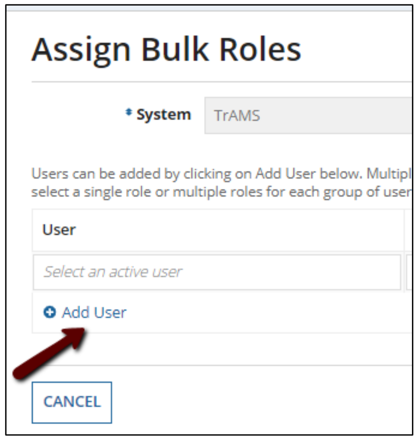
2) The **Assign Bulk Roles** page displays the available users to assign new roles based on the user assigning the roles, and the users to be assigned to a role.

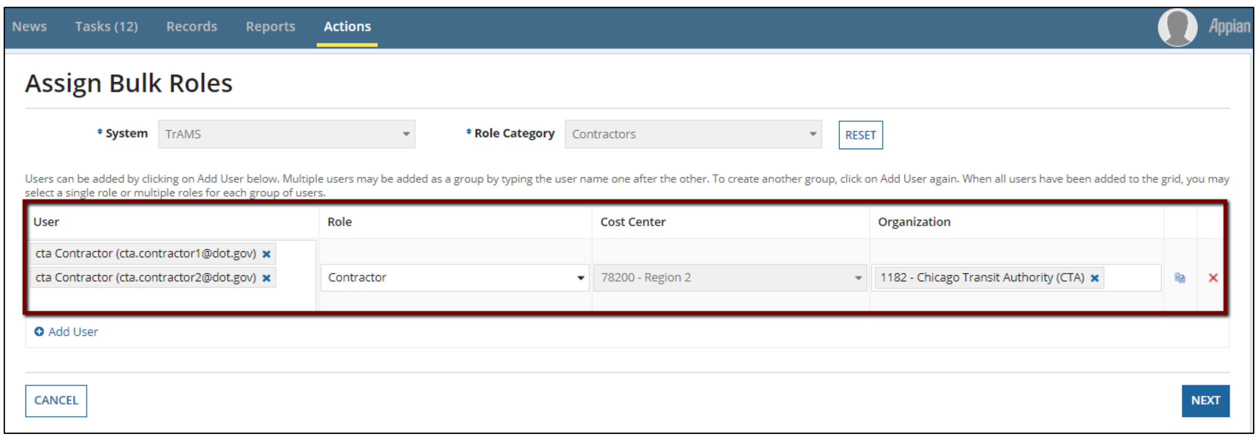


3) The user manager is displayed a short list of user roles from the Role Category. Select the relevant user role category for which the users will be assigned from.

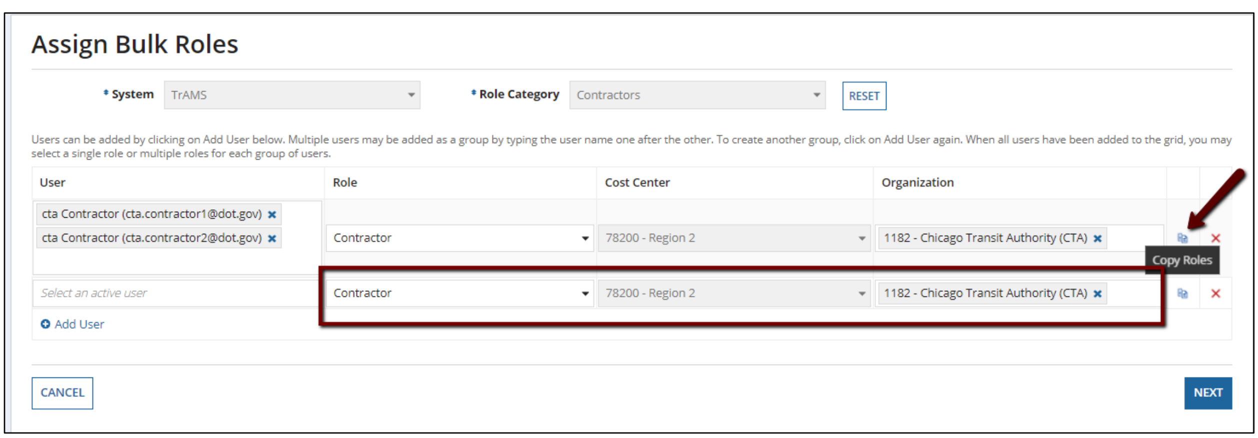


4) Once the role category is selected, the user manager can add users clicking on the link "**Add user**". Multiple users may be added as a group by typing the username one after other. When all users have been added to the grid, you may select a single role or multiple roles for each group of users. To create another set of users, click on **Add User** again.

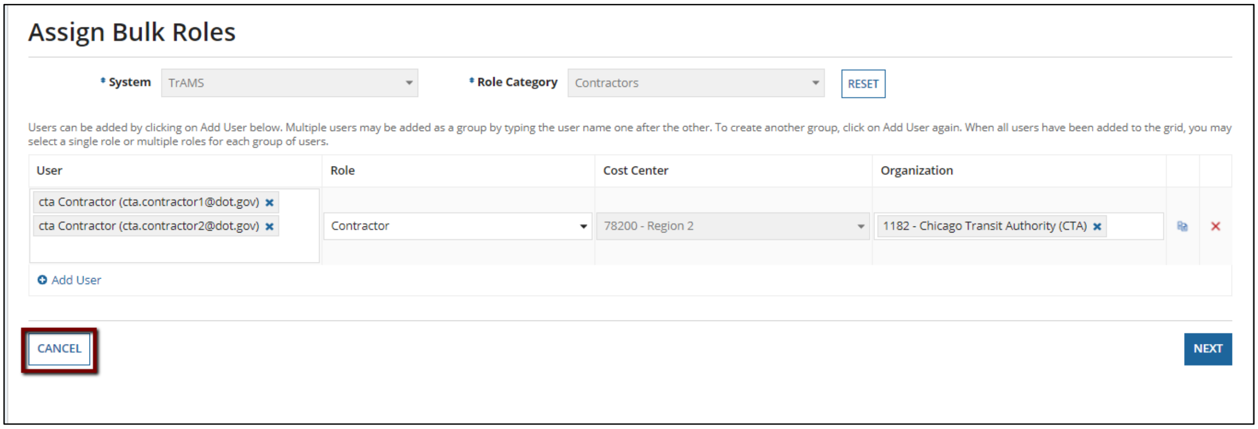




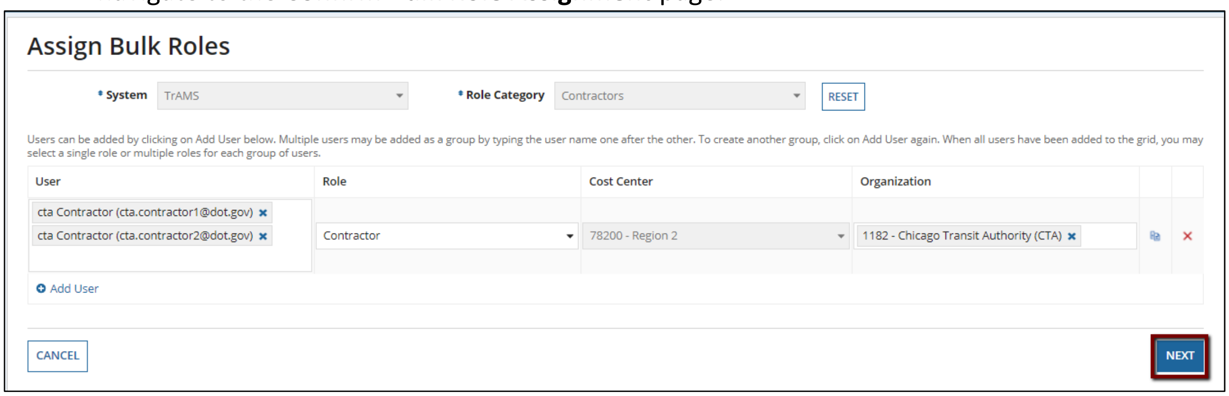
5) The logged in user is given an option to copy the same set of role combination in a new row and can add more roles or organizations in addition to the copied set. After that he can select the users in user column like step 4



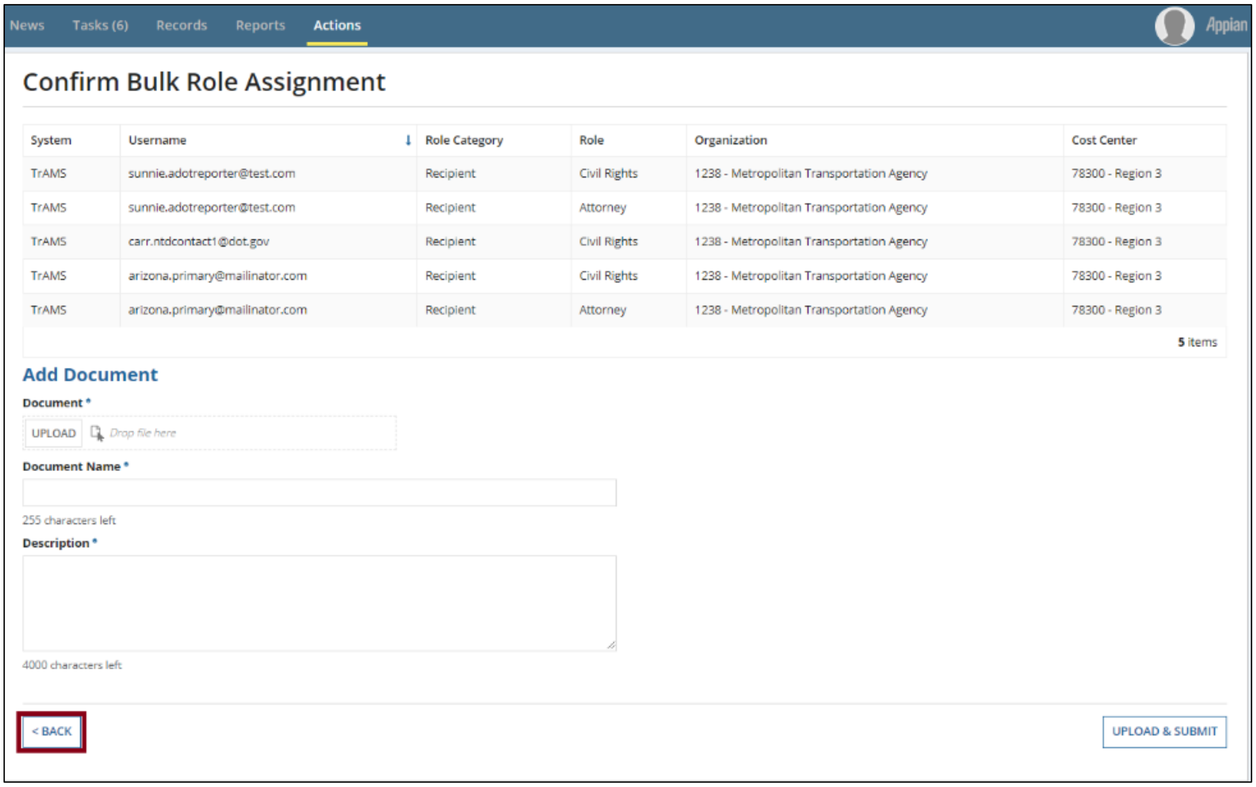
6) The logged in user will have the option to cancel this process at any time by pressing the cancel button in the lower left-hand corner of the screen.



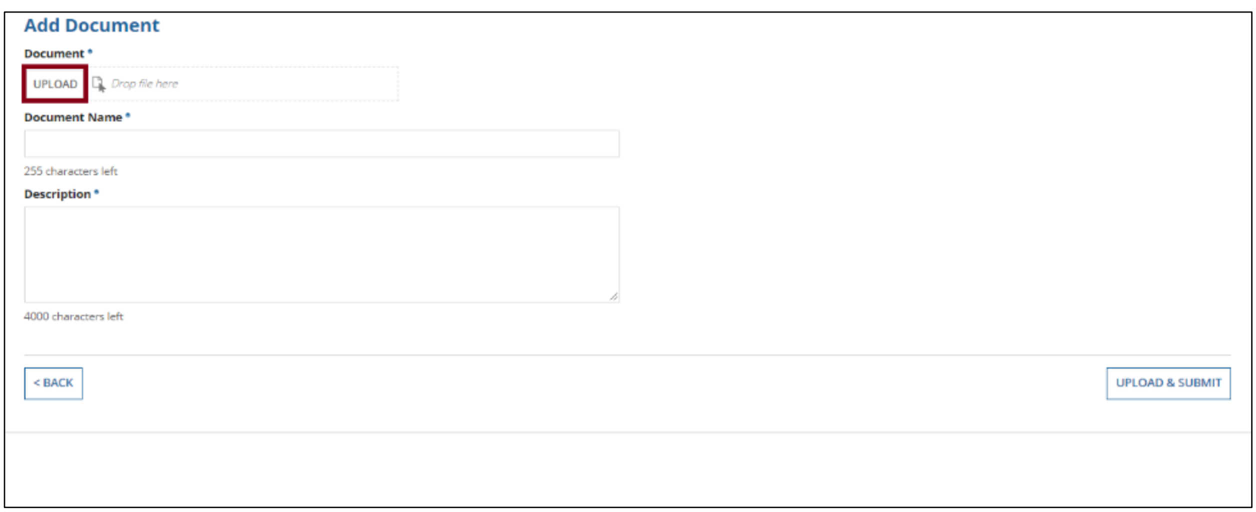
7) Once the logged in user has added all users to be assigned new roles, click the **Next** button to navigate to the **Confirm Bulk Role Assignment** page.



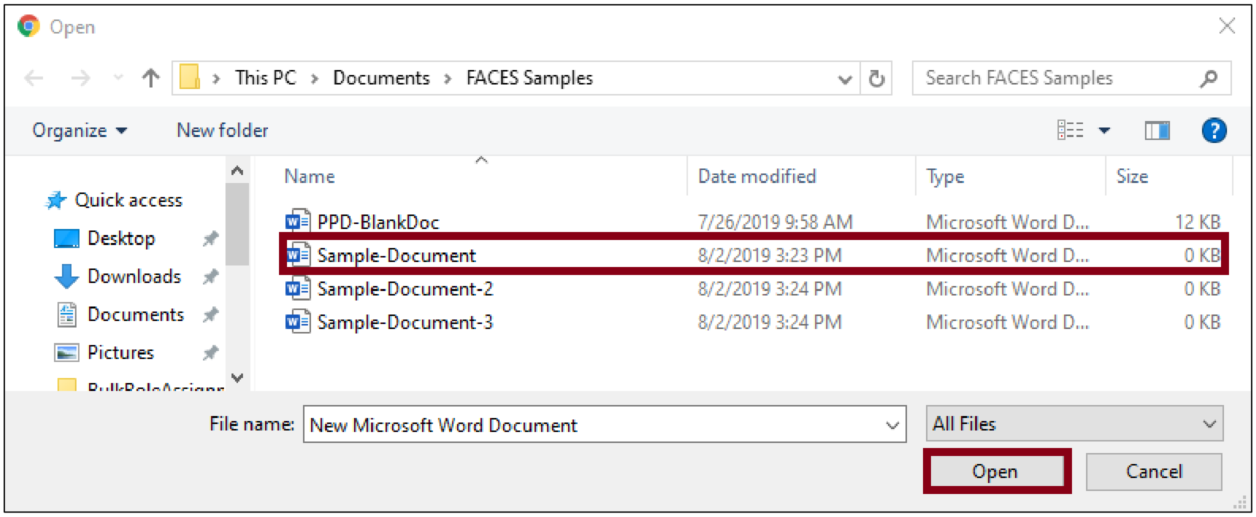
8) On the **Confirm Bulk Role Assignment** page, the logged in user will be able to confirm the bulk assignments. Should a user be assigned a role that they are not supposed to be assigned to, the user manager can go back to the **Assign Bulk Roles** page and remove any necessary users or roles by clicking the **Back** button.



9) If necessary, the **Confirm Bulk Role Assignment** page will prompt the user manager to upload a justification document to be attached for confirming the roles. Click the **Upload** button to select a single justification document to upload for all roles.

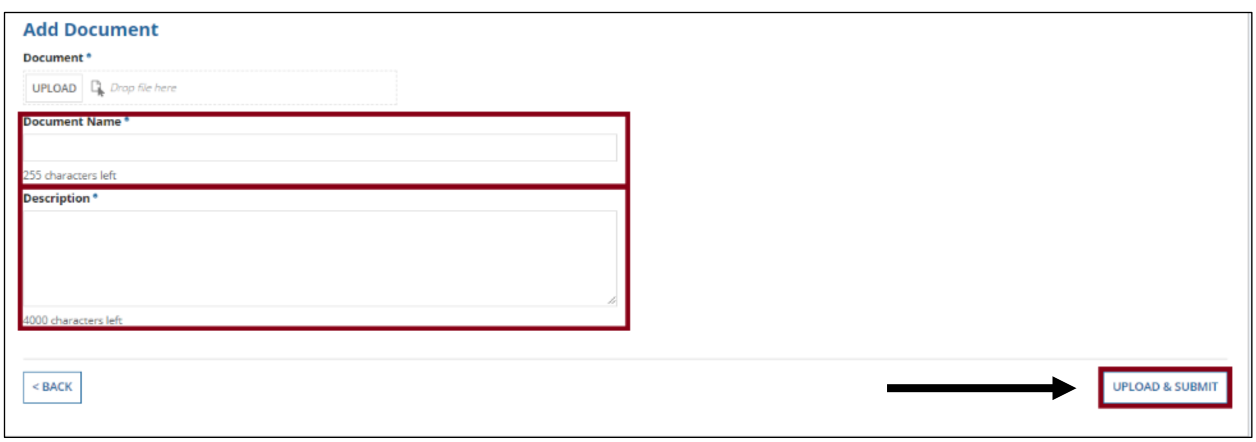


10) After clicking the **Upload** button, select the document that you wish to upload in the Windows file browser and click open.



11) After selecting the justification document to upload, the user manager may delete that document upload and select again by hovering over the document icon and pressing the below displayed icon.

12) After the upload is finished, the user manager will have to give a title and brief description of the justification document before clicking the **Upload & Submit** button to finish the bulk role assignment.



13) After clicking the **Upload & Submit** button, the request will be processed and the user manager will be returned to the **Actions** page.

7.2.2 Action: Create and Manage Users

User Managers, Supervisors, Validation Analyst, LSM, and GSMs have access to the ***Create and Manage Users*** action. This action allows a new user of any type (Organization, FTA, and External) to be added to the system, however, individual ability to create users of different types is restricted. The process for creating organization and external users are slightly different from the process to create FTA users. The two main processes will be described in separate subsections so that appropriate screenshots can be shown.

7.2.2.1 Organization and External Users

This section describes user creation for organization and external users. The steps are presented in generic terms but show screenshots for an organization user as this is the most common type of user creation. The term user manager in lower case letters is used to generically refer to any of the user management roles that can create organization or external users (User Managers, LSMs, and GSMs).

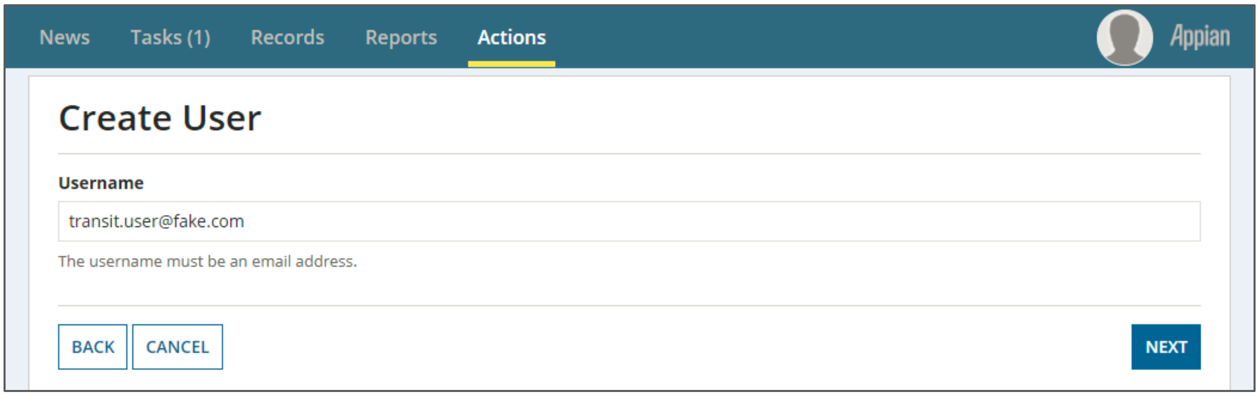
To add a new user:

2) Log in to the system as a user manager and click ***Create and Manage Users*** from the **Actions** tab.

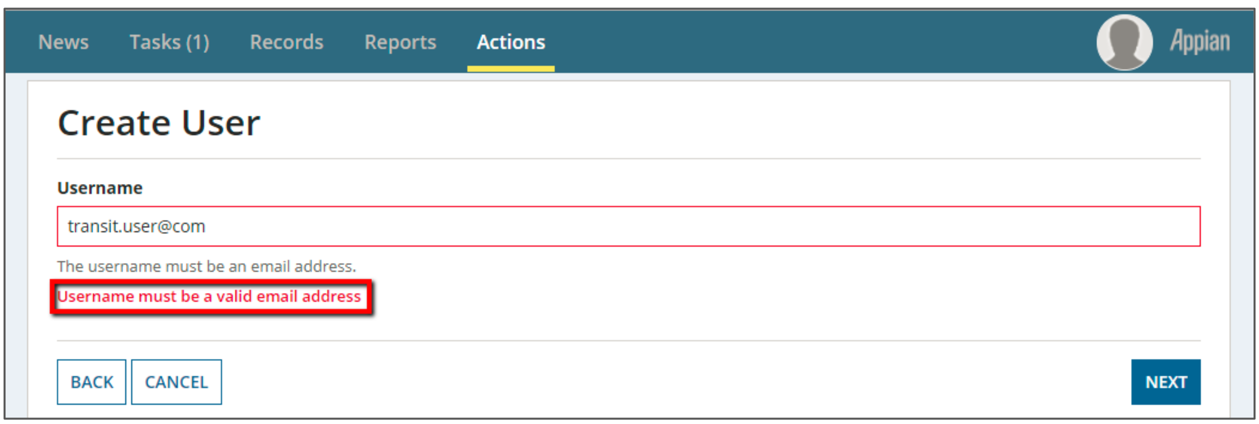
3) The user manager is presented with a short list of user types from which to select. Each type has its own set of role limitations. Depending on the user manager's privileges, the user type may be preselected and locked. DOT Users as shown in the following screenshot.

4) Select the appropriate user type (as applicable) and then click ***Next***.

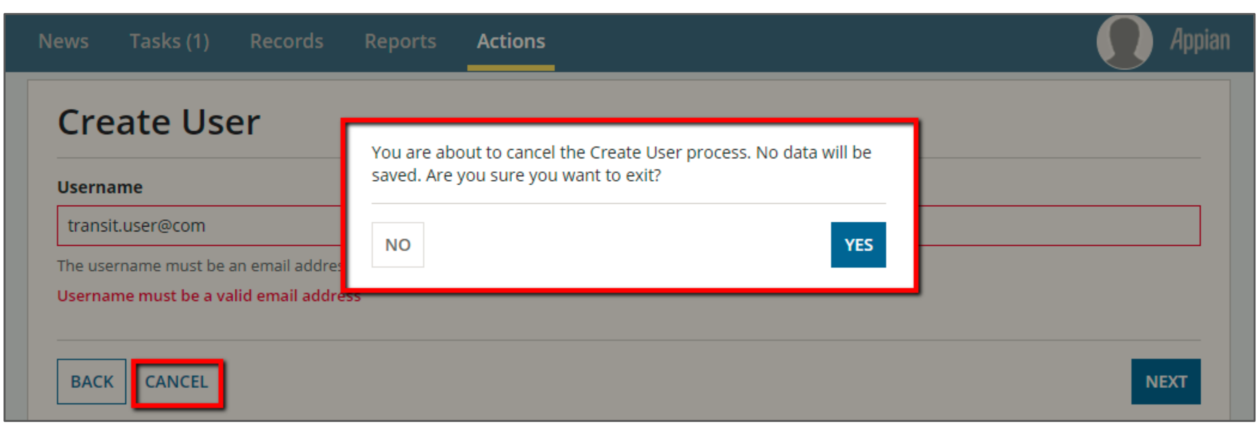
5) The first information about a user required is their username, based on a valid email address. **This is a required field** and will function as the user's login. Email addresses should be provided in lowercase. Each Username field must be unique and cannot be changed after creation. Validation checks will confirm uniqueness before moving to the next step



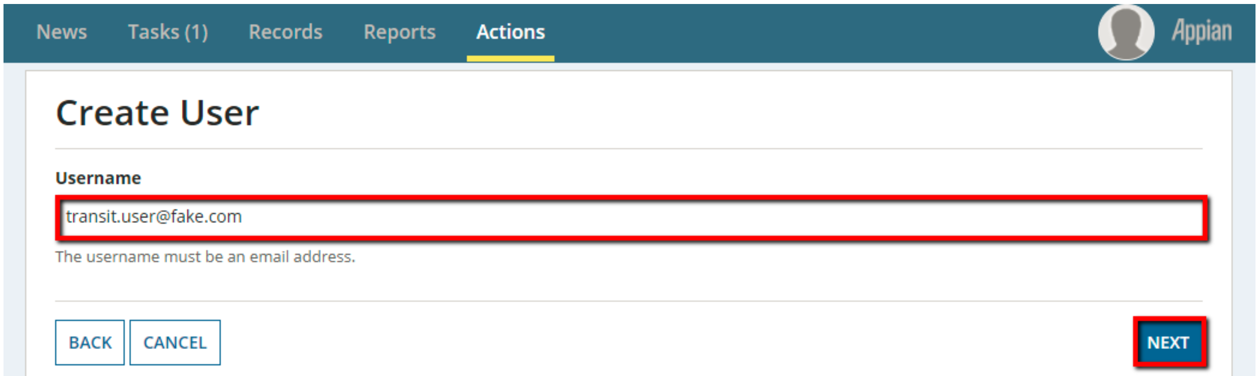
6) Enter an email address and tab forward.
7) If the email is rejected as invalid, the page will display an error message.



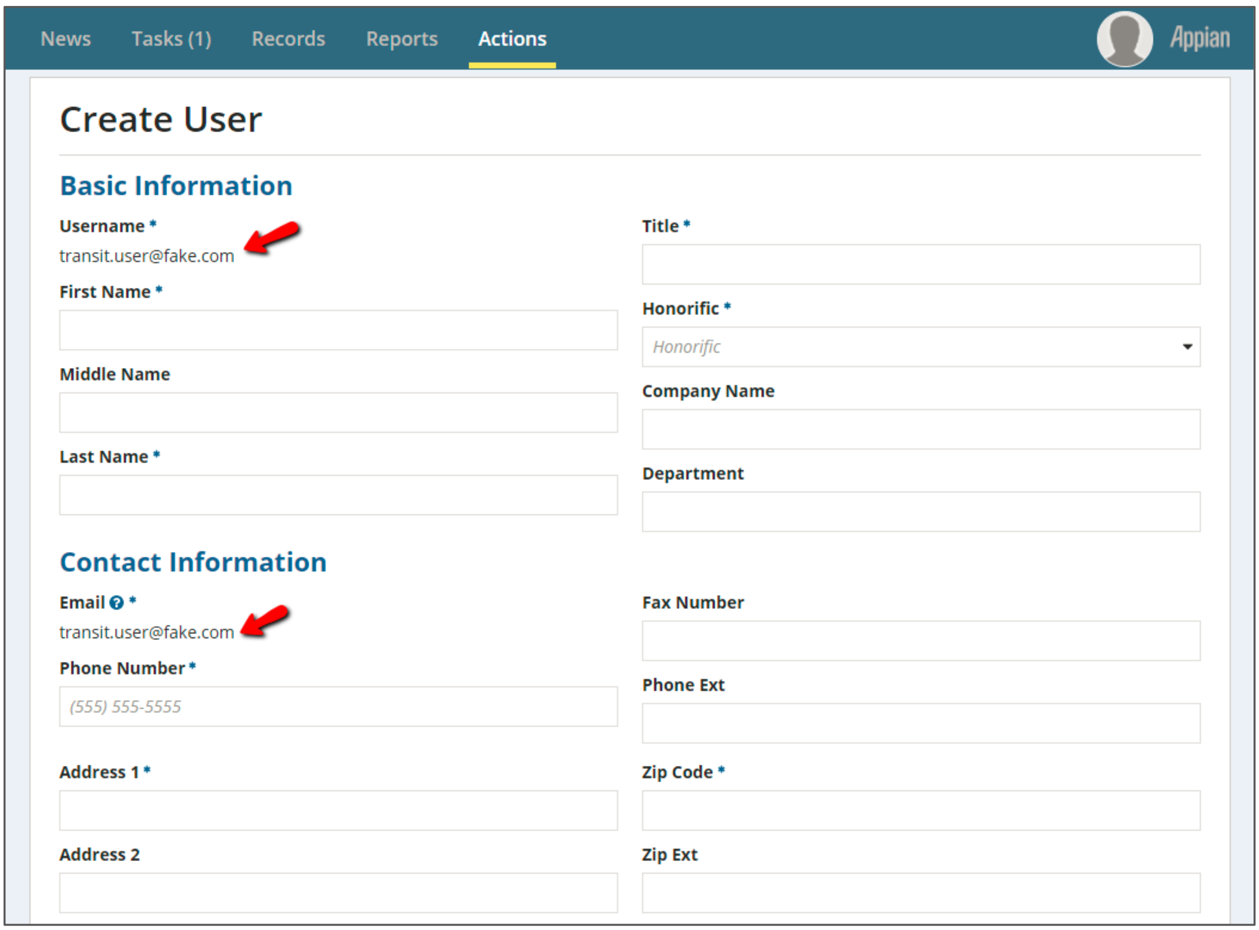
8) At any point in the ***Create and Manage Users*** process, the user may click ***Cancel*** to end the process. On cancelling the Create and Manage Users process, no data entered for that user will be retained.



9) If the email is accepted as valid, the ***Next*** button will be activated, allowing selection.



10) Click ***Next***, launching the ***Create User*** page. The Username and Email fields will be pre-populated.



11) Enter the Basic Information for the following fields:

a) The <u>username</u> just entered displays in the *Username* field but cannot be changed.

b) Enter the user's <u>first name</u> in the *First Name* field (35-character limit). This is a required field.

c) Enter the user's <u>middle name</u> in the *Middle Name* field (35-character limit).

d) Enter the user's <u>last name</u> in the *Last Name* field (35-character limit). This is a required field.

e) Enter the user's job title in the *Title* field. This is a required field.

f) Enter an honorific for the user in the *Honorific* field. This is a required field (i.e., Mr., Ms.).

g) Enter the user's company information in the *Company Name* field.

h) Enter the user's department in the *Department* field.

i) System information is entered only by the Global Security Manager.

12) The ***Create User*** page also provides data fields for Contact Information:

a) The valid email address displays once more in the *Email* field. Again, the email address cannot be altered or edited once the email has been accepted.

b) Enter the user's work business phone number in the *Work Phone* field. This is a required field (20-character limit).

c) Enter the user's business phone number extension in the *Phone Number Extension* field (10-character limit).

d) Enter the user's business fax number in the *Fax Number* field (20-character limit).

e) Enter the first line of the user's business address in the *Address 1* field (60-character limit).

f) Enter the second line of the user's business address in the *Address 2* field (60-character limit).

g) Enter the city for the user's business address in the *City* field (60-character limit; no numeric).

h) Select the state for the user's business address from the dropdown menu provided under the *State* field.

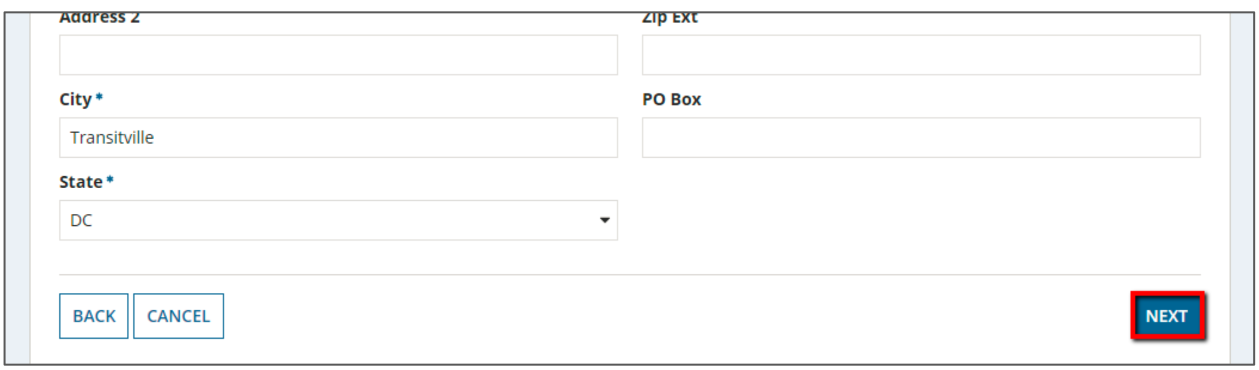
i) Enter the ZIP Code for the user's business address in the *ZIP Code* field (5-character limit).

j) Enter the ZIP Code Extension for the user's business address in the *ZIP Code Extension* field (4-character limit).

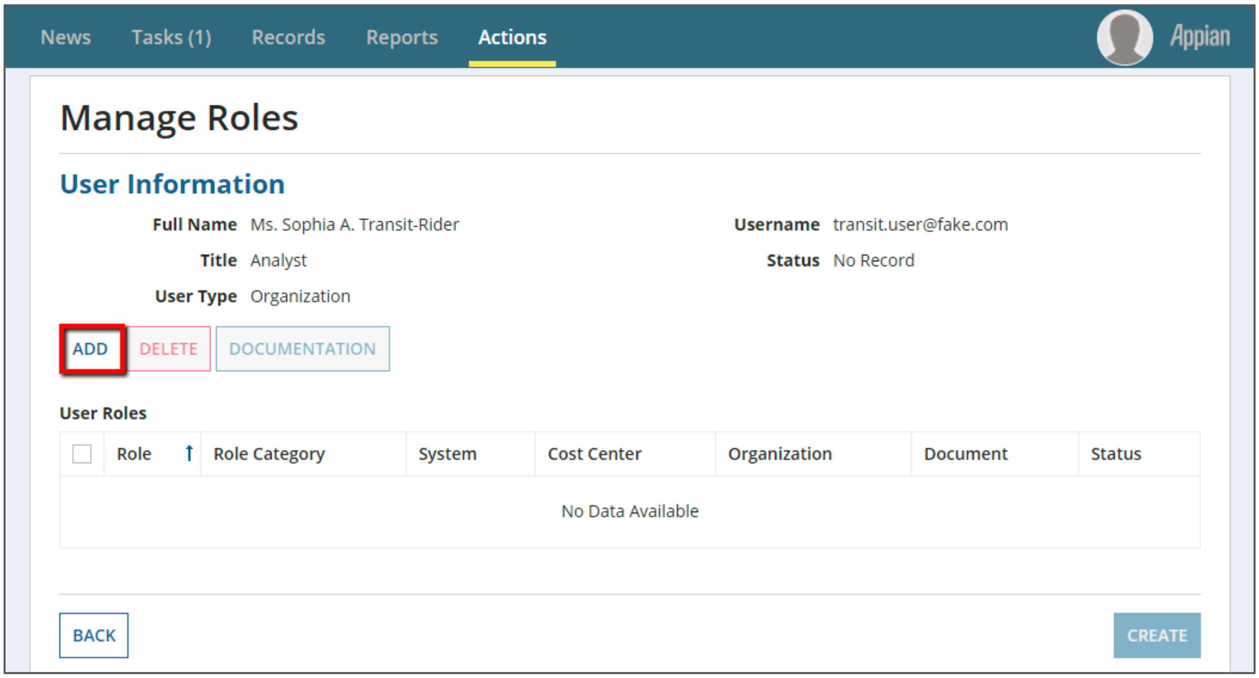
k) If necessary, enter the associated Post Office Box in the *PO Box* field (35-character limit).

Note:	*PO Box is limited to numeric values and cannot contain alphabetical characters.*

12) After all required details have been entered, click ***Next***.

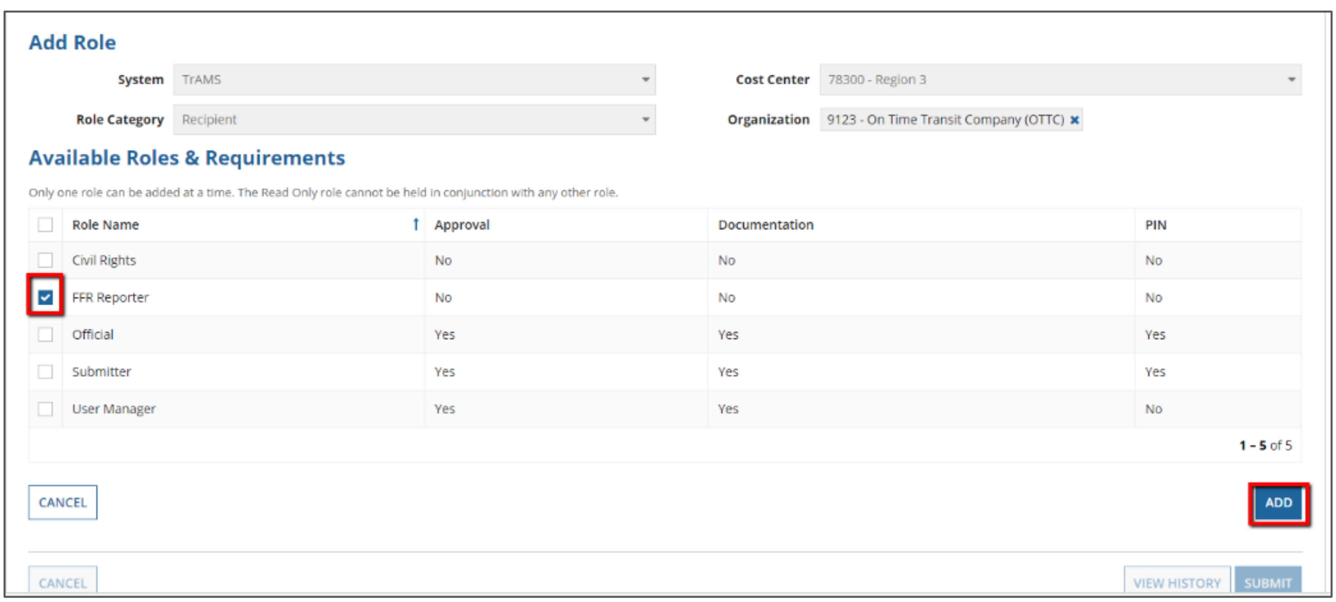


13) The **Manage Roles** page displays. Click ***Add***.

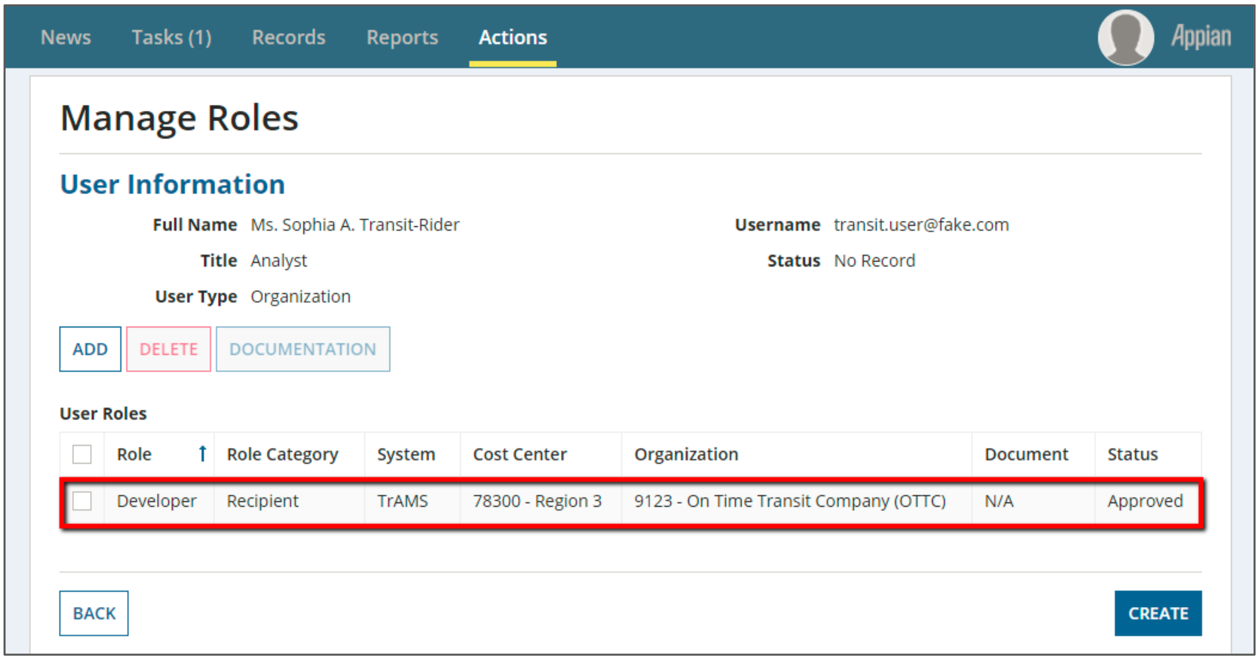


14) The role filters (System, Role Category, Cost Center, Organization) must be populated for the available roles to display. For most User Managers, these filters will automatically populate, and the fields will be locked on the screen. LSMs, Validation Analyst, and GSMs may need to select a Cost Center and Organization for the 'Available Roles' to display.

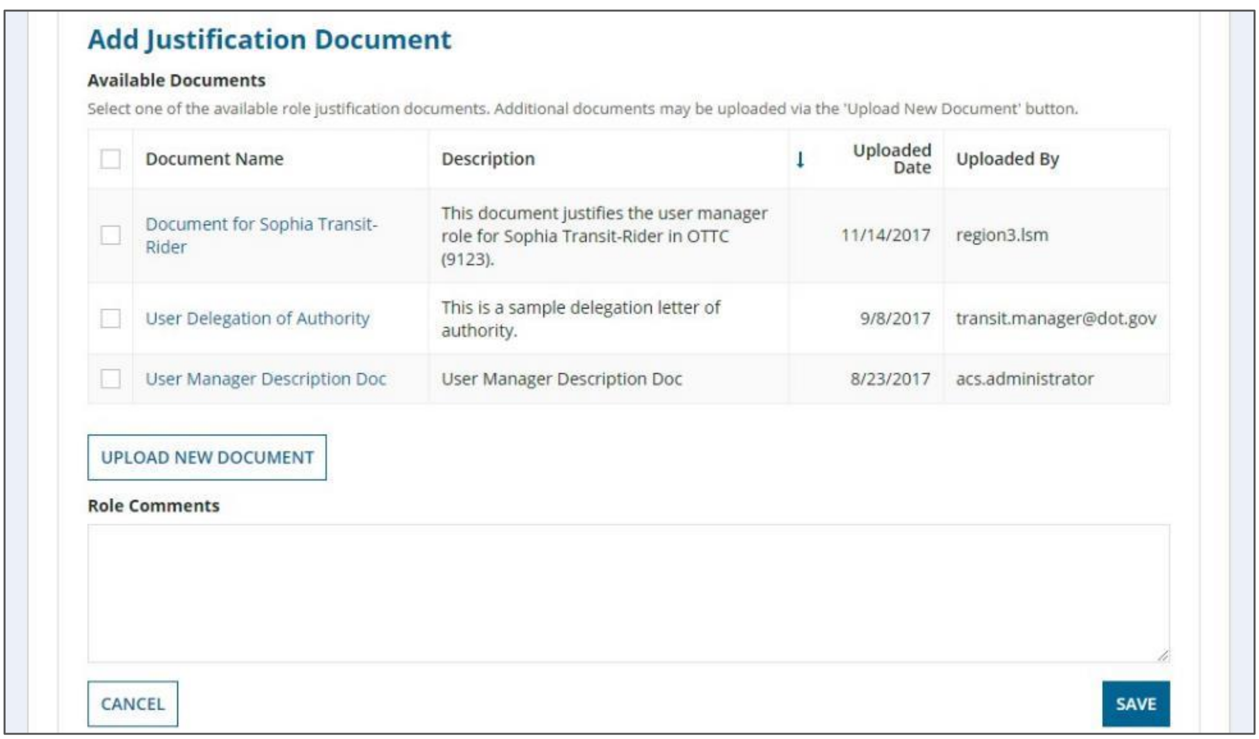
15) Click the checkbox next to the role to select a role for the user. Only one (1) role can be selected at a time. In the screenshot below, only roles available to TrAMS Recipients are listed. These roles will be granted only for the Organization that is listed. Once the role is selected, then click ***Add***.



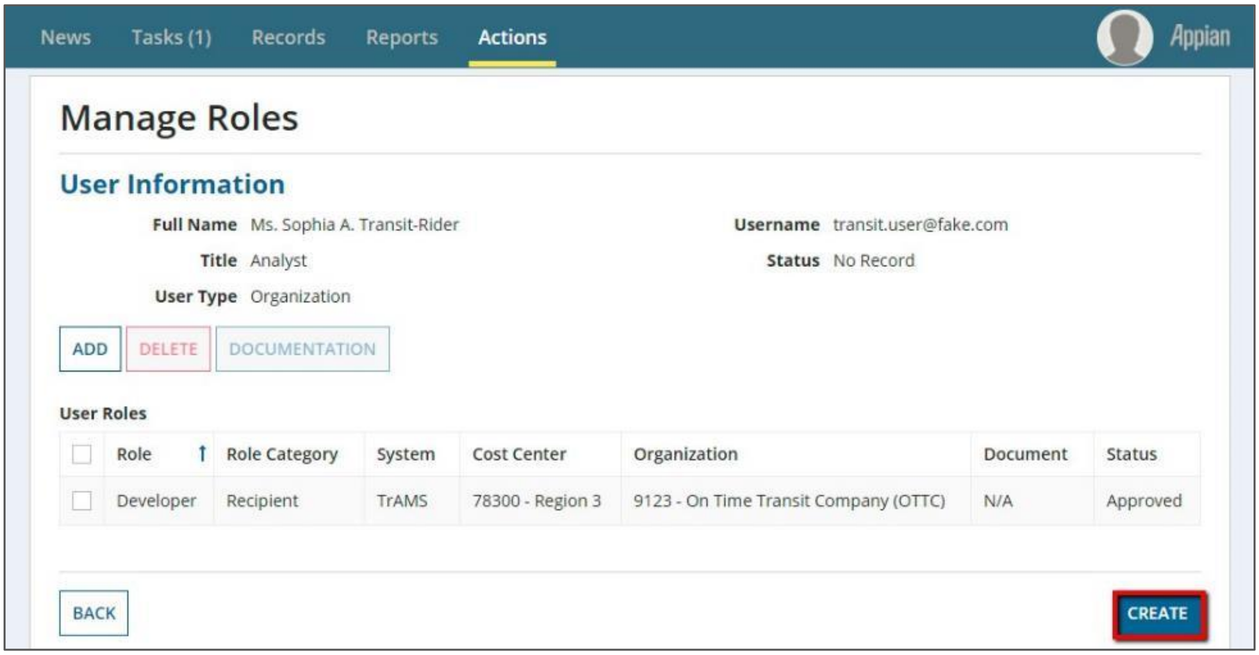
16) The **Manage Roles** page will display with the updated user role(s) assigned.



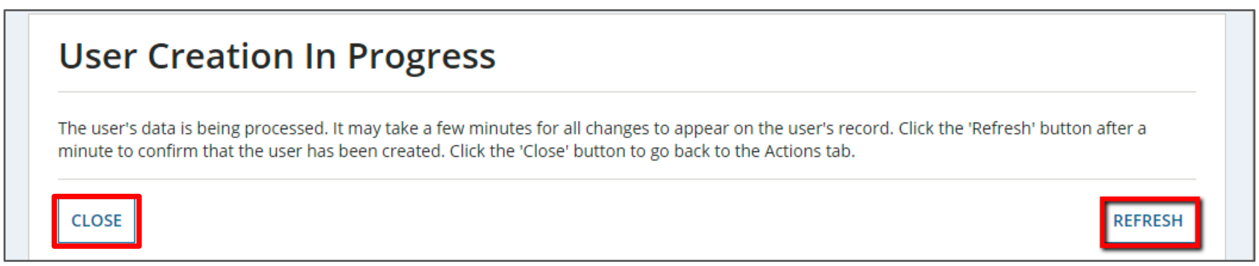
17) If the role requires a justification or delegation of authority document, the **Add Justification Document** section will display. In this case, select a pre-uploaded justification document or upload a new one. This process is discussed in detail in Section 7.3.2.1.



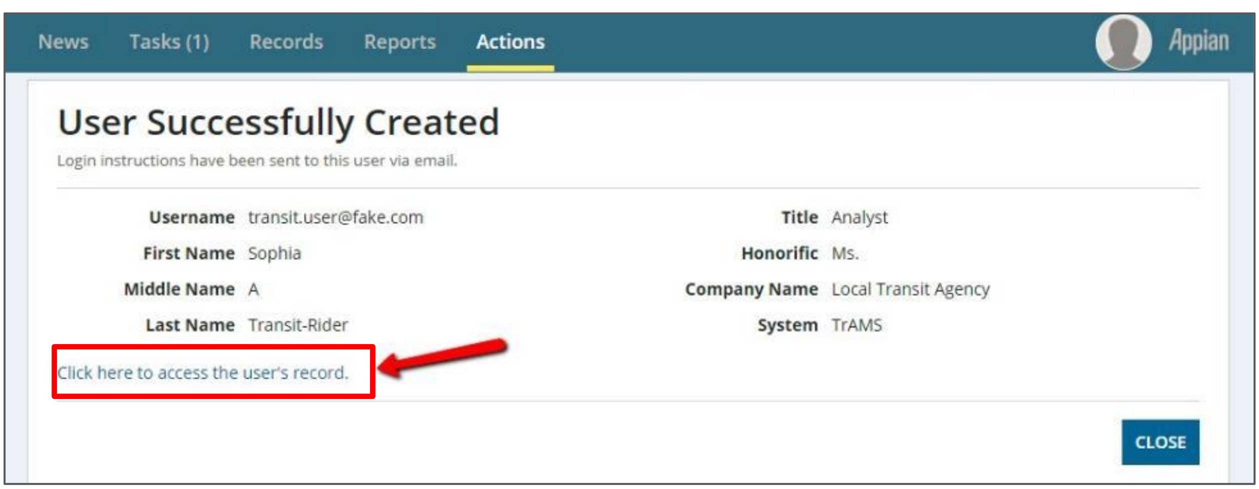
18) When all roles have been added, click ***Create*** to complete user setup.



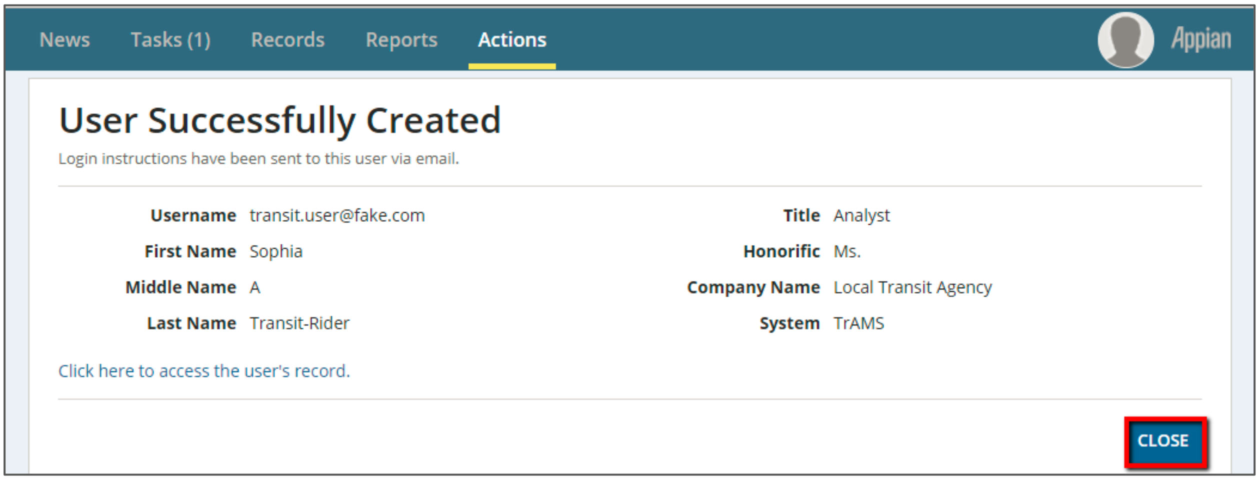
19) A **User Creation in Progress** page will display. You can click ***Close*** to leave the screen without impacting the user creation process. If you want to verify that the user record is created, wait about a minute and then click ***Refresh.***



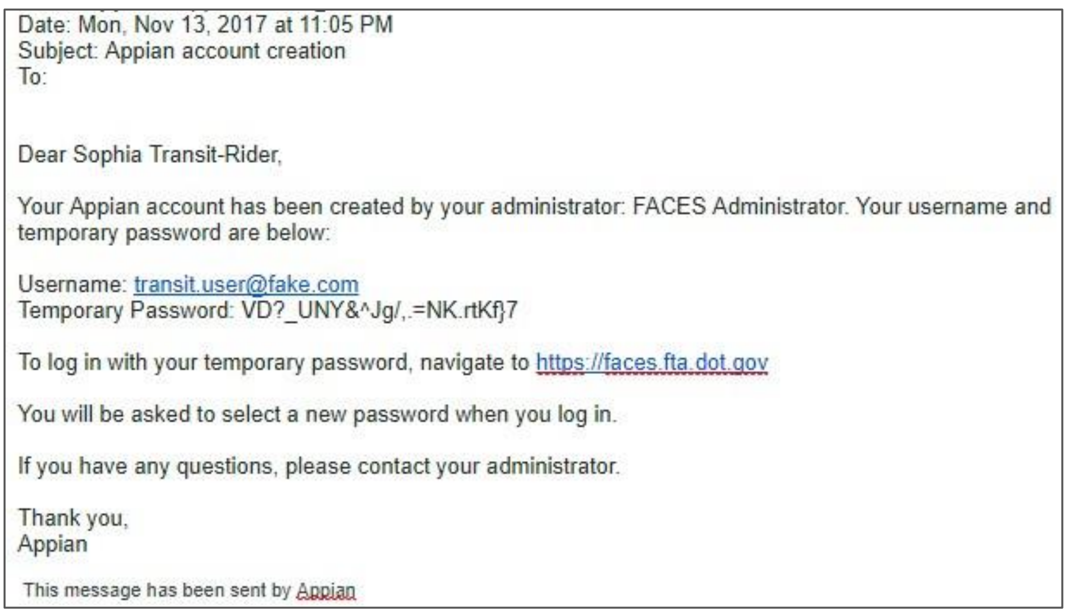
20) The **User Successfully Created** page displays with the user's summary information. You can click the link below the user's last name to go directly to the user's profile.



21) Click ***Close*** to return to the **Actions** page instead.



22) The user will receive two (2) automatic emails alerting them to the account setup. The first email is a default email from the underlying software (Appian), with a link to the login page, their username, and an initial/temporary password. The second email will contain information about the FTA platform and the roles the user has been assigned.


Date: Mon, Nov 13, 2017 at 11:05 PM
Subject: Appian account creation
To:

Dear Sophia Transit-Rider,

Your Appian account has been created by your administrator: FACES Administrator. Your username and temporary password are below:

Username: transit.user@fake.com
Temporary Password: VD?_UNY&^Jg/,.=NK.rtKf}7

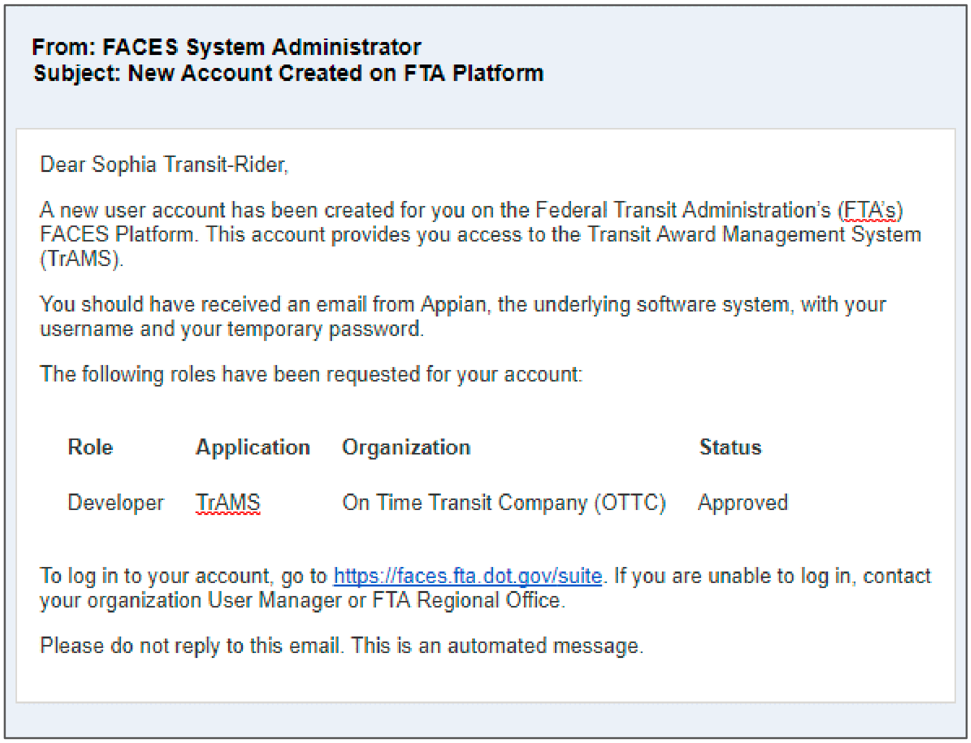
To log in with your temporary password, navigate to https://faces.fta.dot.gov

You will be asked to select a new password when you log in.

If you have any questions, please contact your administrator.

Thank you,
Appian

This message has been sent by Appian



From: FACES System Administrator
Subject: New Account Created on FTA Platform

Dear Sophia Transit-Rider,

A new user account has been created for you on the Federal Transit Administration's (FTA's) FACES Platform. This account provides you access to the Transit Award Management System (TrAMS).

You should have received an email from Appian, the underlying software system, with your username and your temporary password.

The following roles have been requested for your account:

Role	Application	Organization	Status
Developer	TrAMS	On Time Transit Company (OTTC)	Approved

To log in to your account, go to https://faces.fta.dot.gov/suite. If you are unable to log in, contact your organization User Manager or FTA Regional Office.

Please do not reply to this email. This is an automated message.

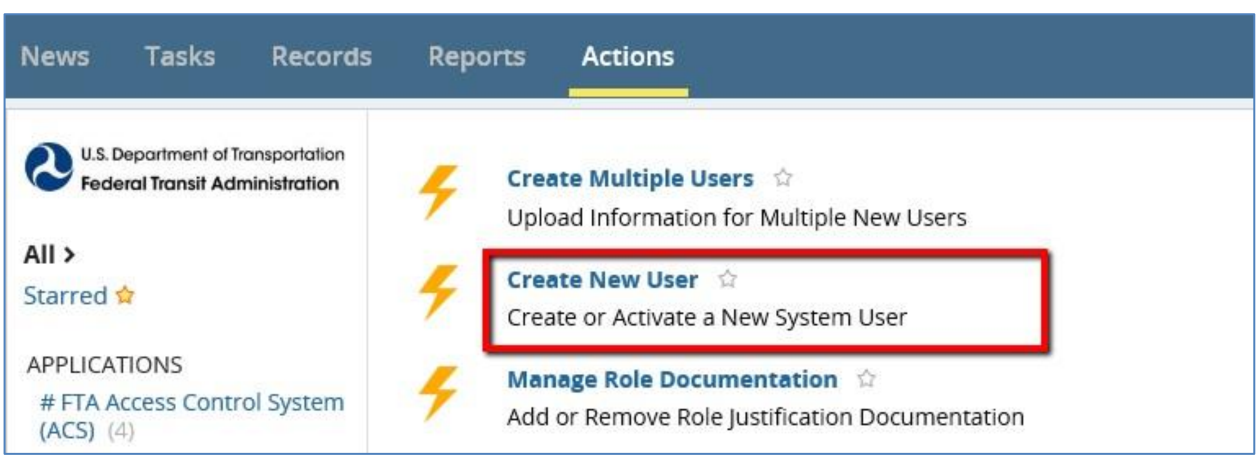
7.2.2.2 FTA Users

This section describes user creation for FTA users. FTA user information is passed to FACES each night from the FTA databases. Throughout the steps, the term user manager in lower case letters is used to generically refer to any of the user management roles that can create an FTA user (Supervisors, LSMs, and GSMs).

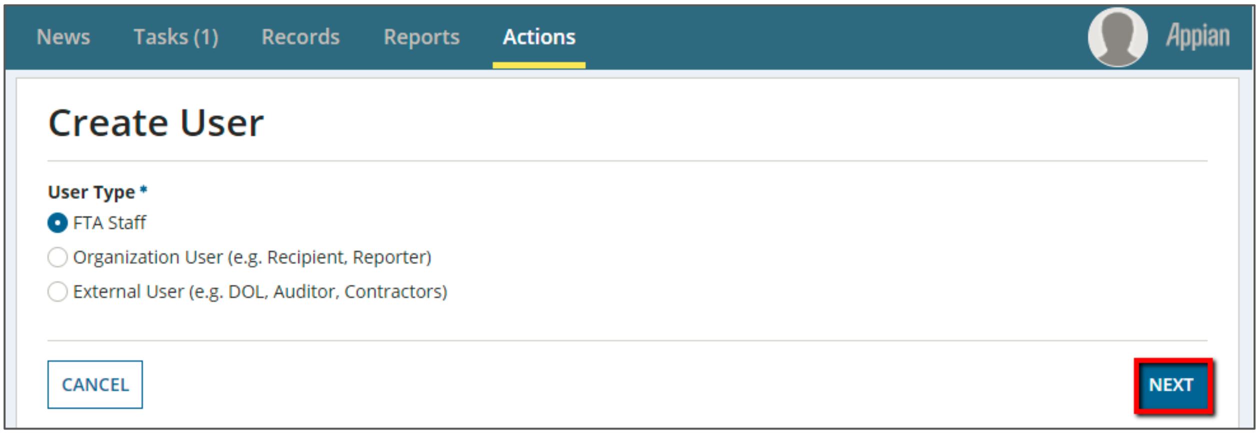
To add a new FTA user:

To add a new user:

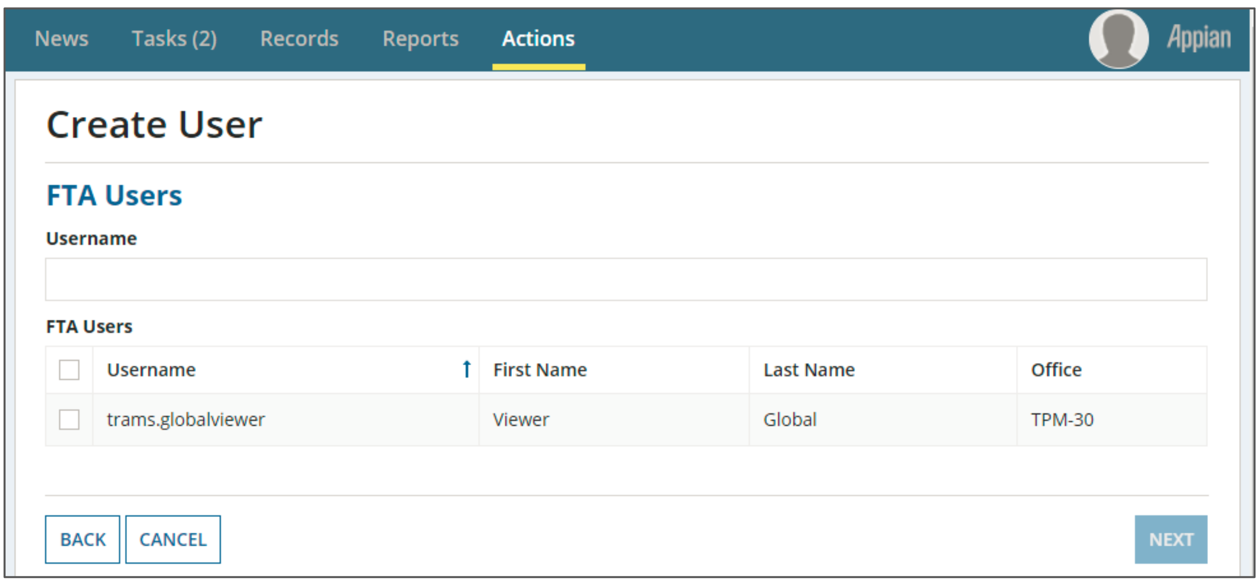
1) Log in to the system as a user manager and click ***Create and Manage Users*** from the **Actions** tab.



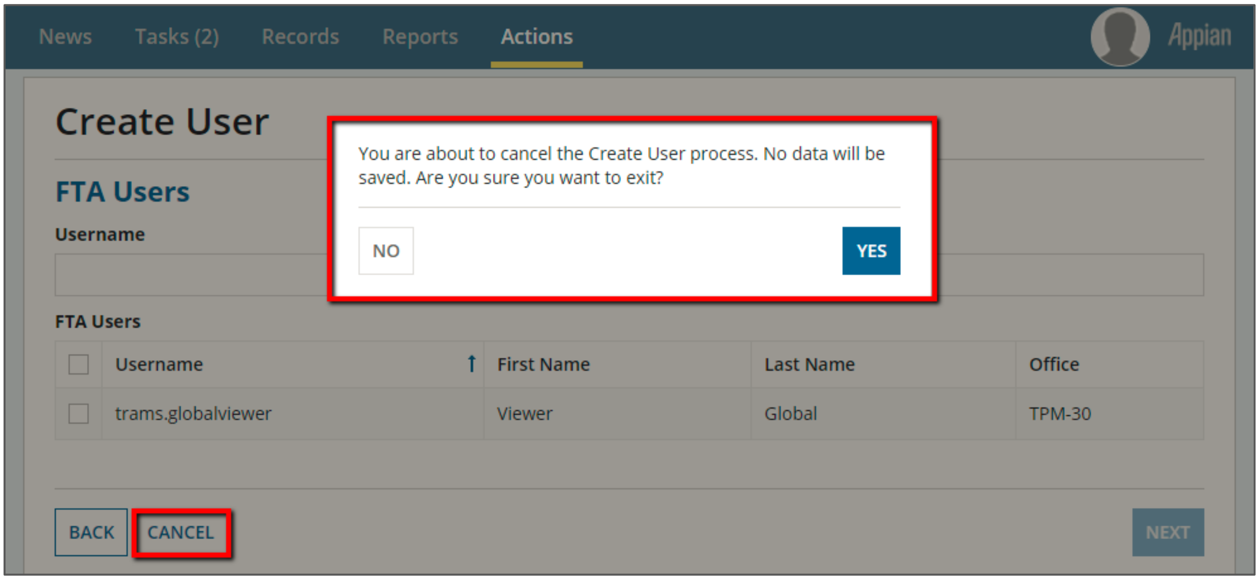
2) The user manager is presented with a short list of user types from which to select. Click *FTA Staff* and click ***Next.***



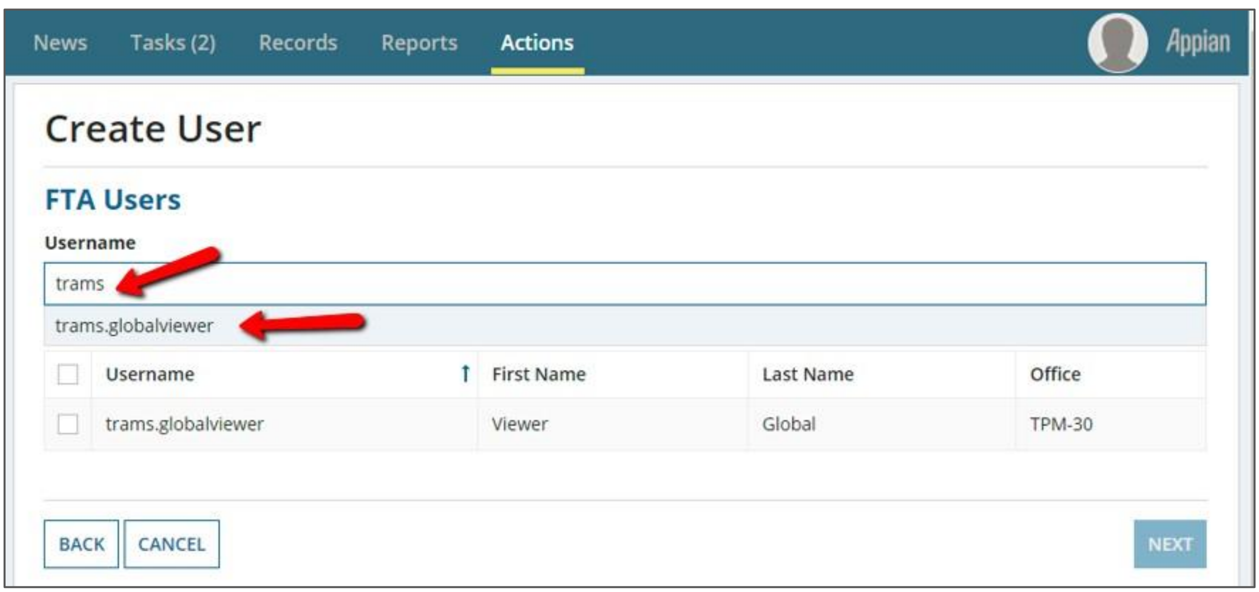
3) A screen will open containing a list of FTA users ready to be activated. The user will only see FTA users who belong to their approved Cost Centers (Office).



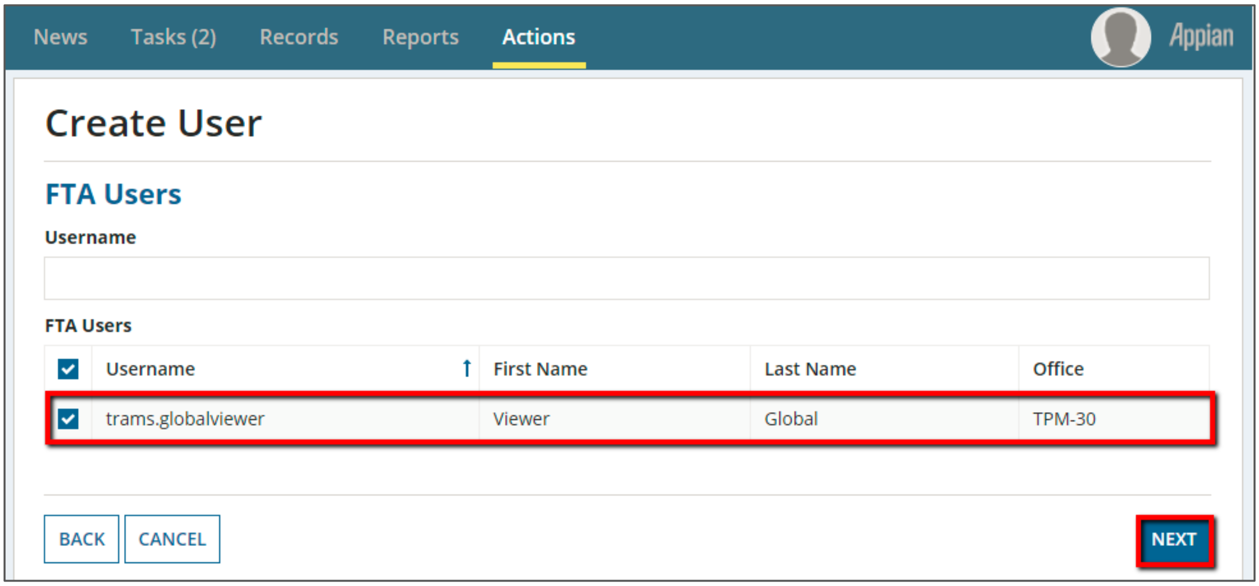
4) At any point in the ***Create and Manage Users*** process, the user may click ***Cancel*** to end the process. On cancelling the Create and Manage Users process, no data entered for that user will be retained.



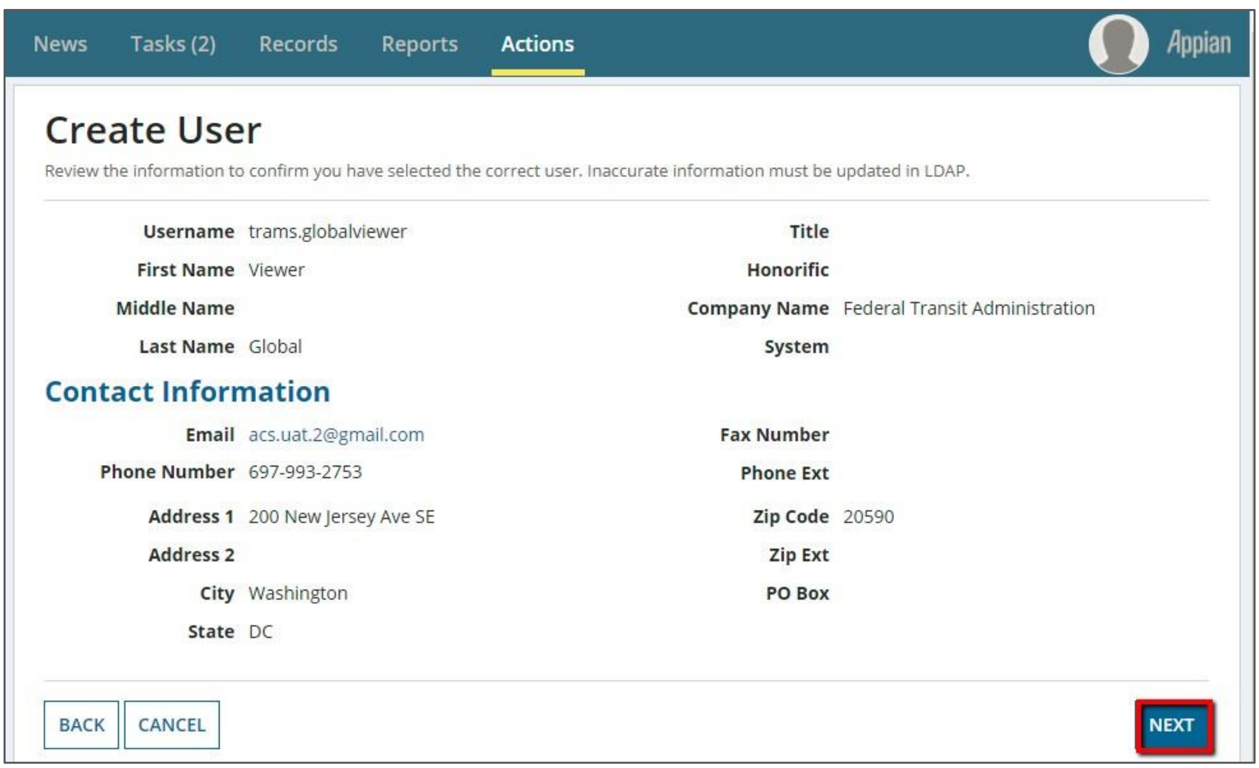
5) You can search for a user by username.

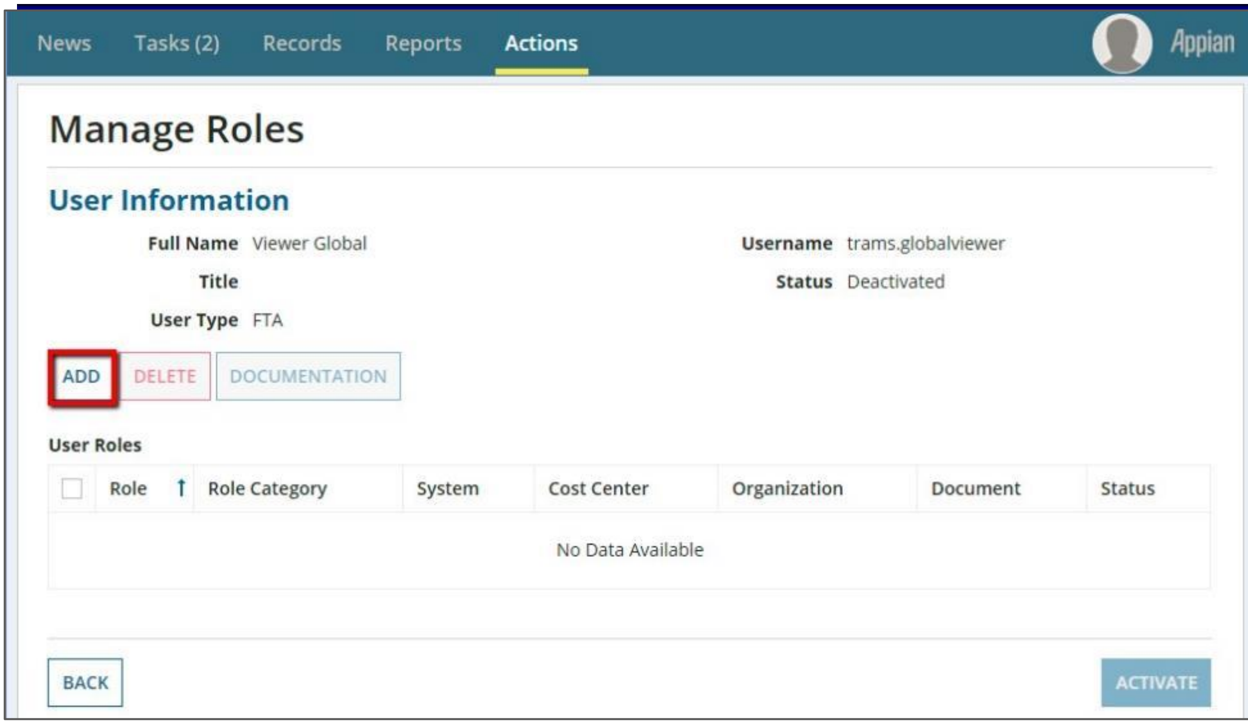


6) Select the checkbox next to the desired user and click the ***Next*** button. Only one user can be selected at a time.



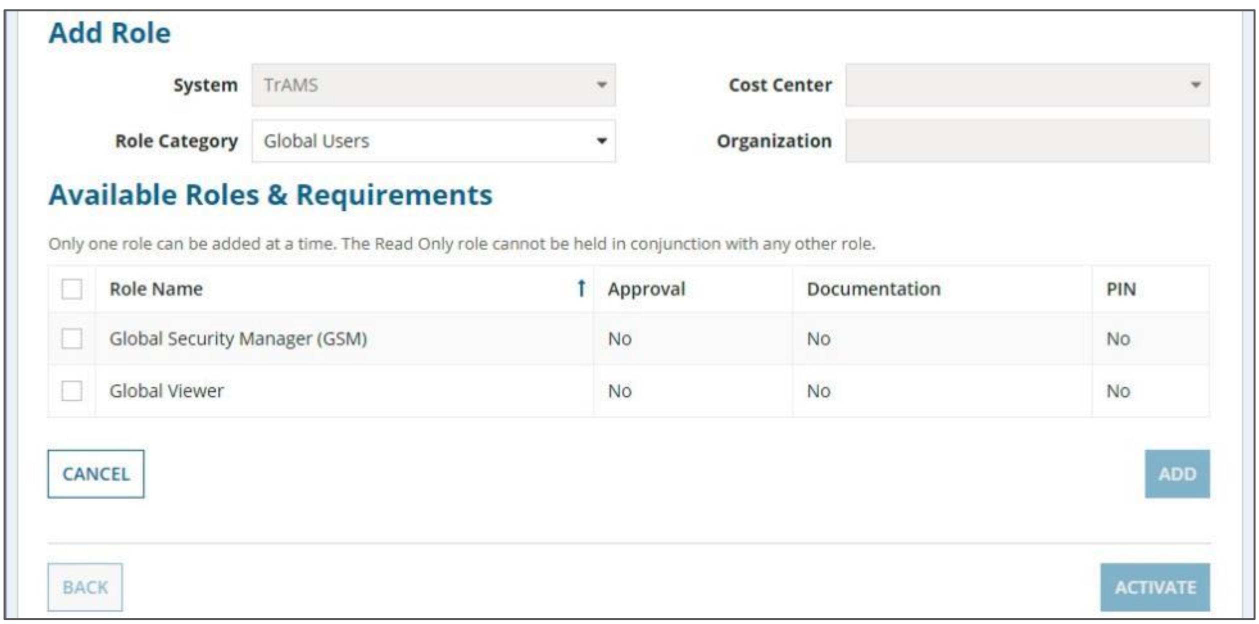
7) The ***Create User*** page will display the user's information in a read-only format. Any changes must be made through FTA's internal systems. Review the user's information to confirm the correct user was selected, then click ***Next***.



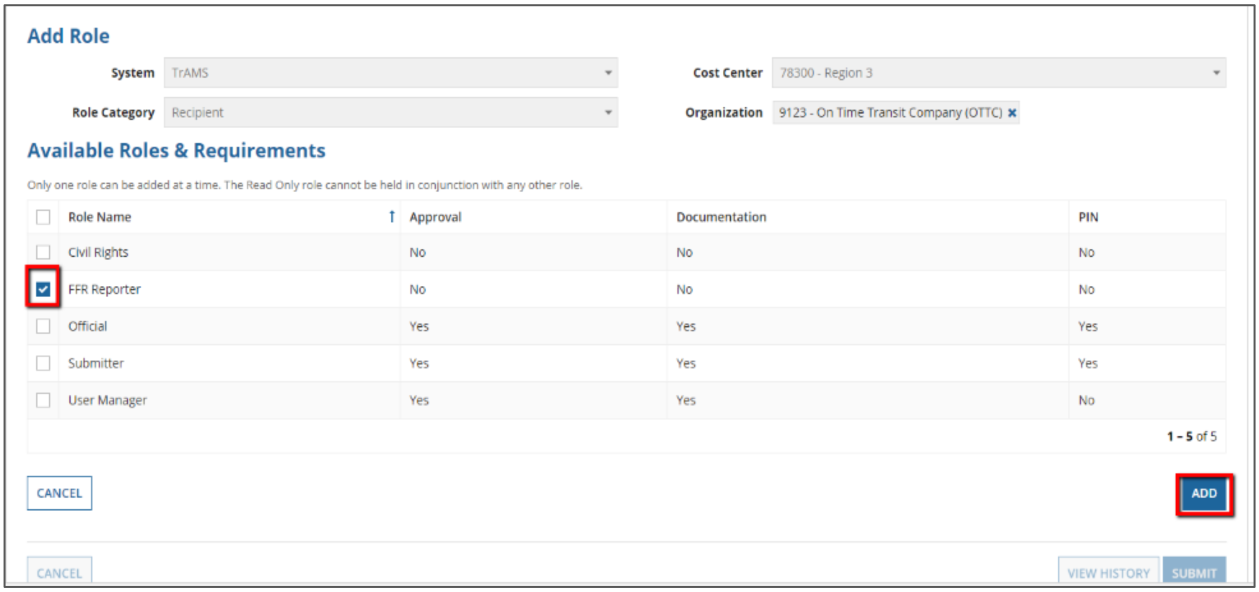


8) The **Manage Roles** page displays. Click ***Add***.

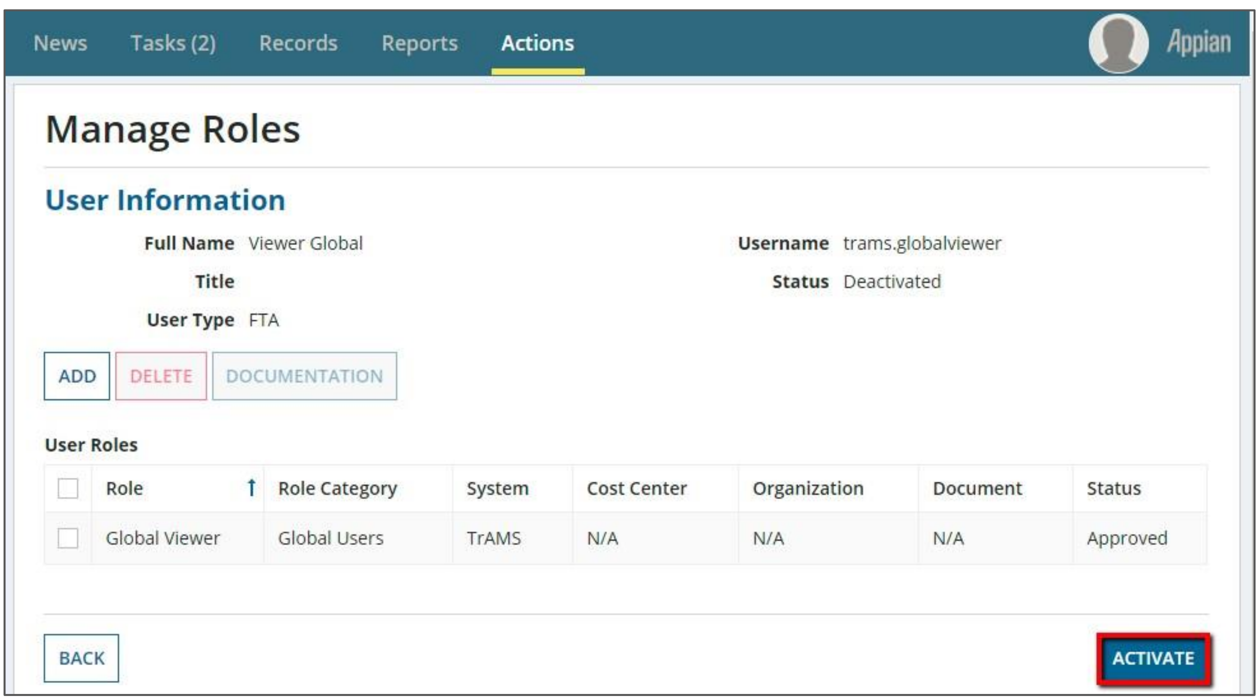
9) The role filters (System, Role Category, and often Cost Center) must be populated for the available roles to display. Global users only need a System and Role Category selected.



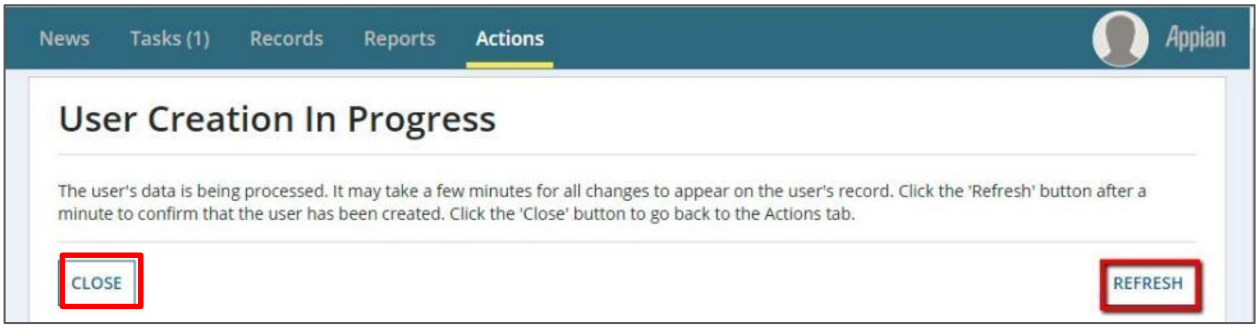
10) Click the checkbox next to the role to select a role for the user then click ***Add***. Only one (1) role can be selected at a time. In the screenshot below, only roles available to TrAMS Global Users are listed. These roles will be granted only for the entire system.



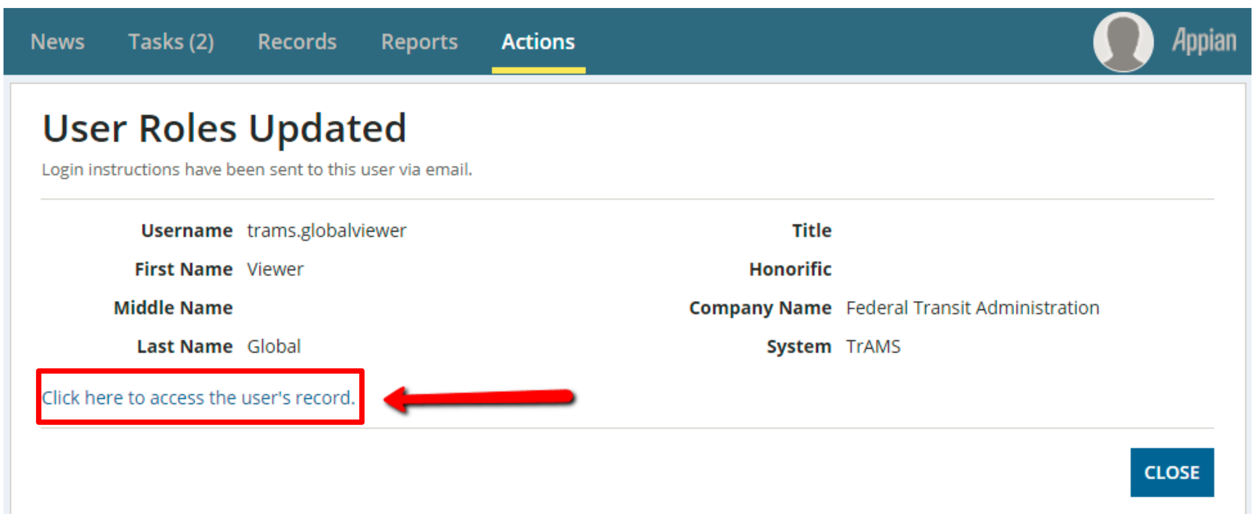
11) The **Manage Roles** page will display with the updated user role(s) assigned. Add additional roles as needed. When ready, click ***Activate*** to complete the user's setup.



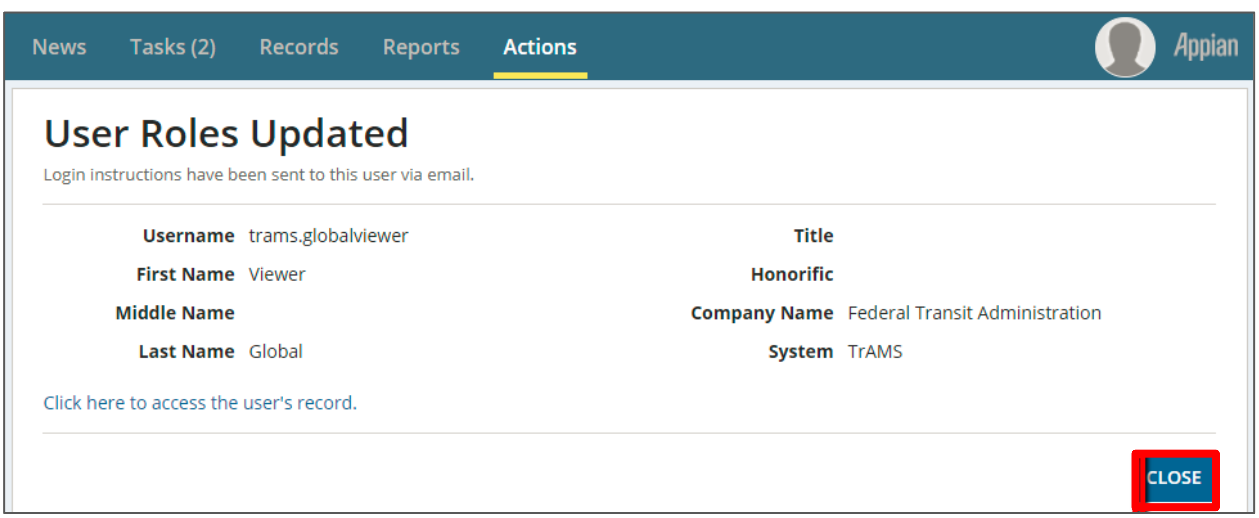
12) A **User Creation in Progress** page will display. You can click ***Close*** to leave the screen without impacting the user creation process. If you want to verify that the user record is created, wait about a minute and then click ***Refresh.***



13) The **User Successfully Created** page displays with the user's summary information. You can click the link below the user's last name to go directly to the user's profile.



14) Click ***Close*** to return to the **Actions** page instead.



15) The user will receive two (2) automatic emails alerting them to the account setup. The first email is a default email from the underlying software (Appian), with a link to the login page, their username, and an initial/temporary password. The second email will contain information about the FTA platform and the roles the user has been assigned.

Date: Mon, Nov 13, 2017 at 11:05 PM
Subject: Appian account creation
To:

Dear Global Viewer,

Your Appian account has been created by your administrator: FACES Administrator. Your username and temporary password are below:

Username: trams.globalviewer
Temporary Password: VD?_UNY&^Jg/,.=NK.rtKf}7

To log in with your temporary password, navigate to https://faces.fta.dot.gov

You will be asked to select a new password when you log in.

If you have any questions, please contact your administrator.

Thank you,
Appian

This message has been sent by Appian

From: FACES System Administrator
Subject: New Account Created on FTA Platform

Dear Global Viewer,

A new user account has been created for you on the Federal Transit Administration's (FTA's) FACES Platform. This account provides you access to the Transit Award Management System (TrAMS).

You should have received an email from Appian, the underlying software system, with your username and your temporary password.

The following roles have been requested for your account:

Role	Application	Organization	Status
Global Viewer	TrAMS	On Time Transit Company (OTTC)	Approved

To log in to your account, go to https://faces.fta.dot.gov/suite. If you are unable to log in, contact your organization User Manager or FTA Regional Office.

Please do not reply to this email. This is an automated message.

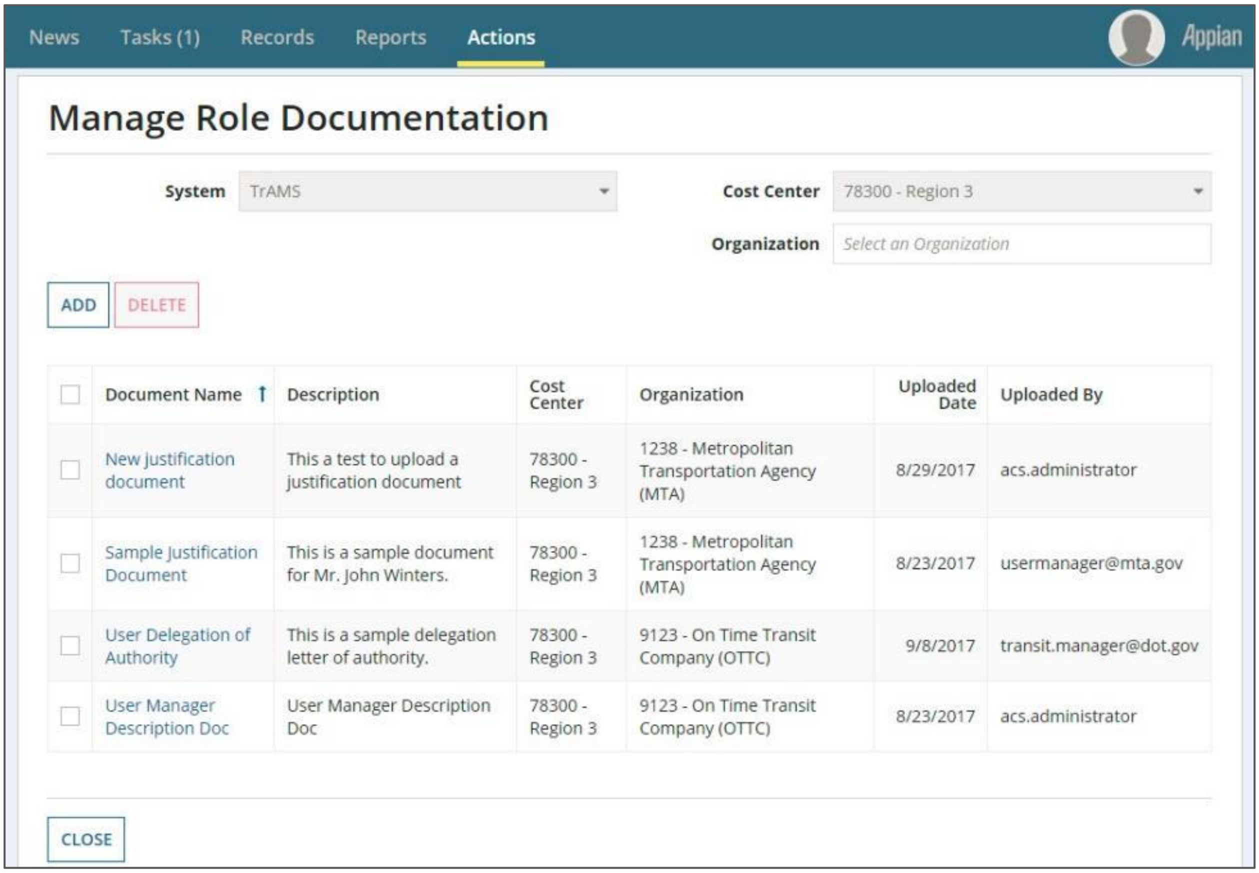
7.2.3 Action: Manage Role Documentation

Some roles require justification for their assignment to a specific user. The TrAMS **Submitter**, **Attorney**, and **Official** roles require a Delegation of Authority letter from the agency's CEO justifying the assignment of the role to the specific user. Justification documentation can be uploaded in advance of role assignment via the ***Manage Role Documentation*** action or uploaded at the time the role is added on the ***Manage Roles*** form as shown in section 7.2.1, and 7.3.2,. At the time of upload, documentation is tagged to the user's organization. During role assignment, the document is then tagged to the specific role and the specific user. A single document can be used for any combination of roles and users (presuming these roles and user are mentioned within the document).

To upload role documentation in advance of role assignment:

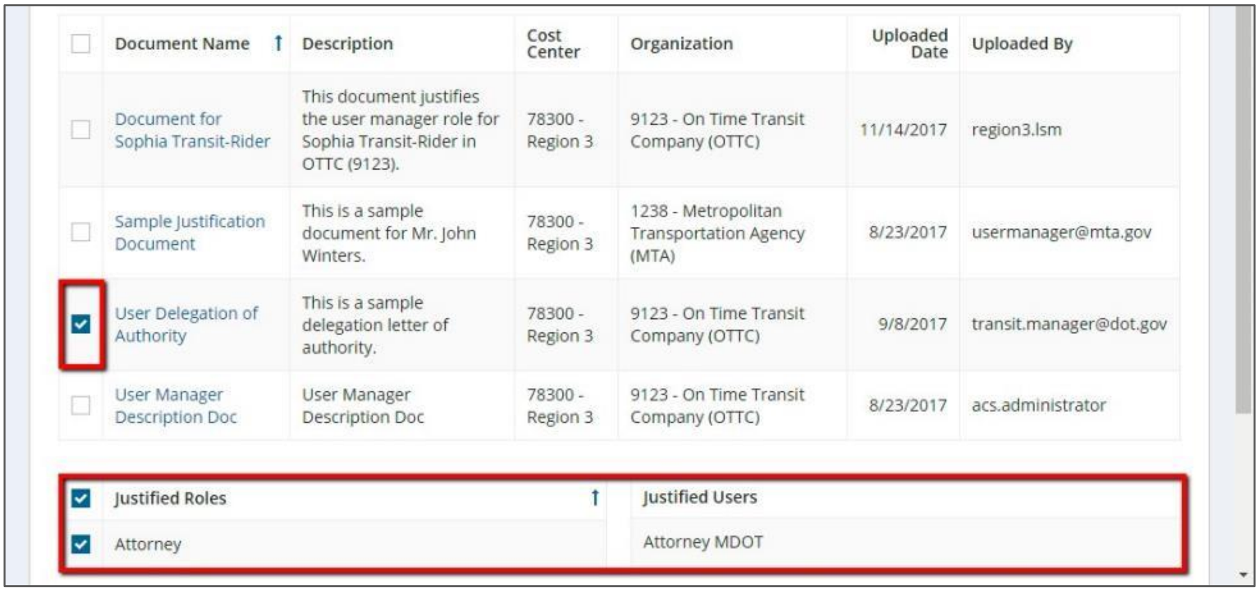
1) Select ***Manage Role Documentation*** from the **Actions** tab.

2) The **Manage Role Documentation** page displays showing available role documents. User Managers can view, add, or delete documents for their organization(s). Validation Analyst and LSMs can view, add or delete documents for their Cost Center(s) and any organization(s) within their Cost Center(s).

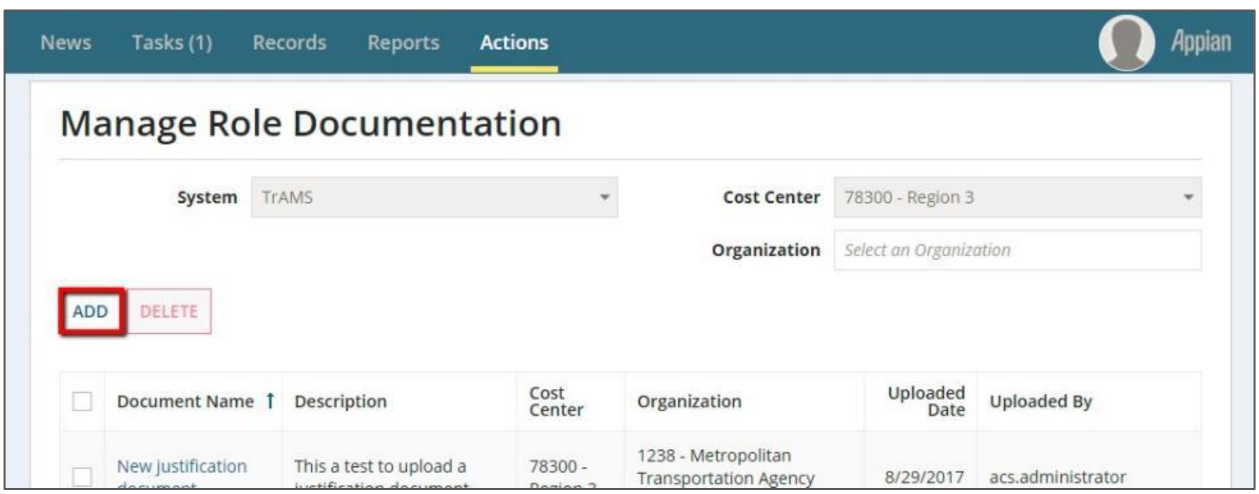


3) To download a copy of a document, simply click the document name link.

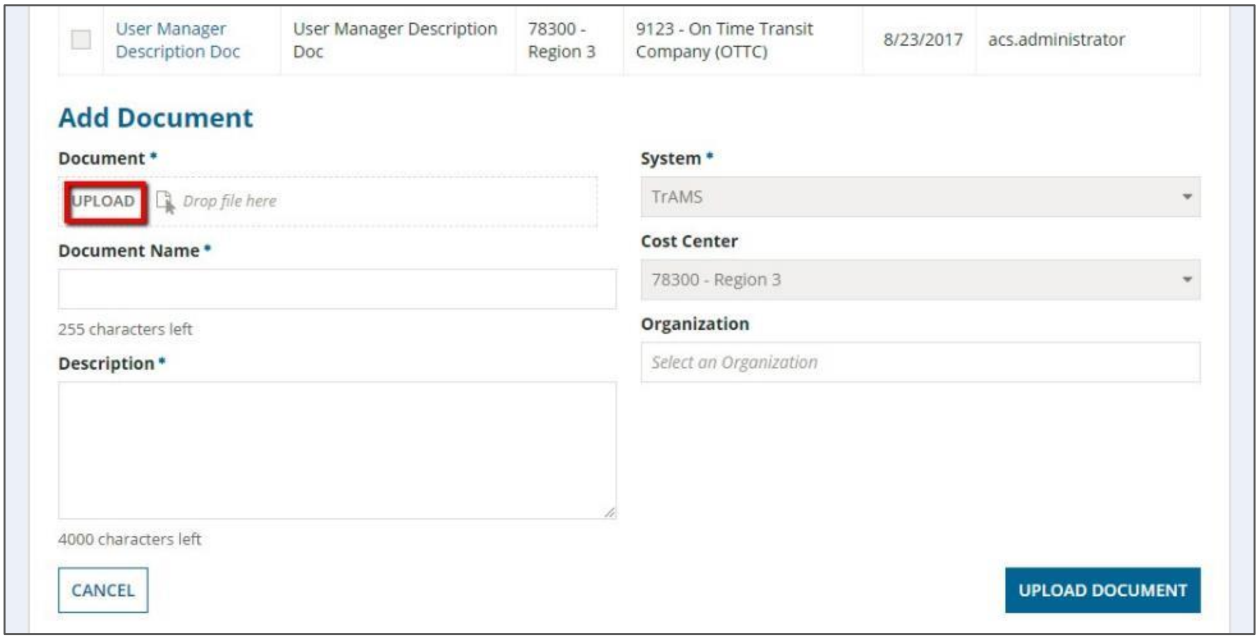
4) To view a list of user roles and user tied to an existing document, click the checkbox next to the document record. Beneath the document grid a list of justified roles will display. Click a specific role name to show all users with that role.



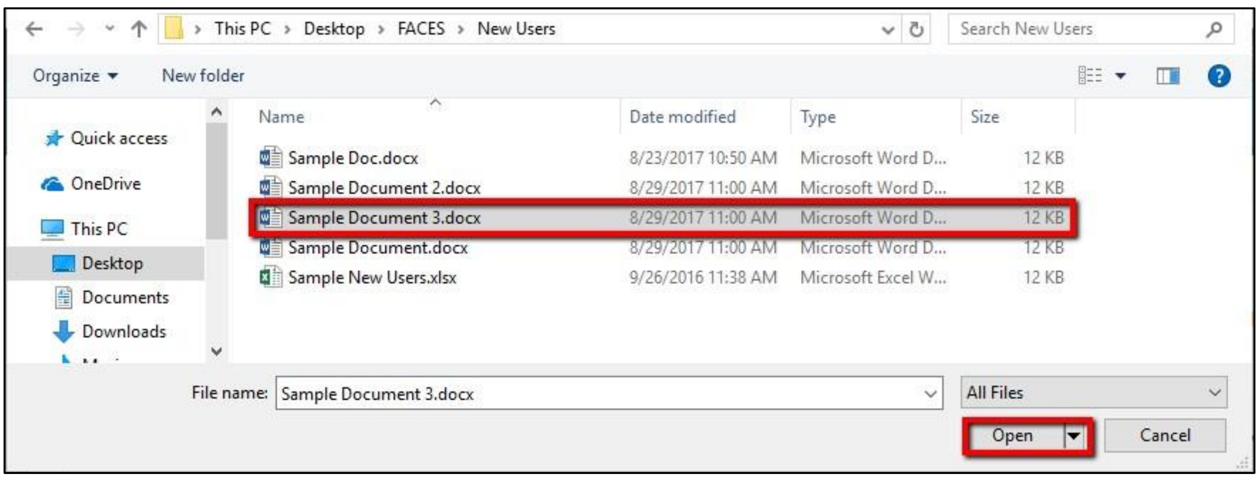
5) To upload a new document Click ***Add***.



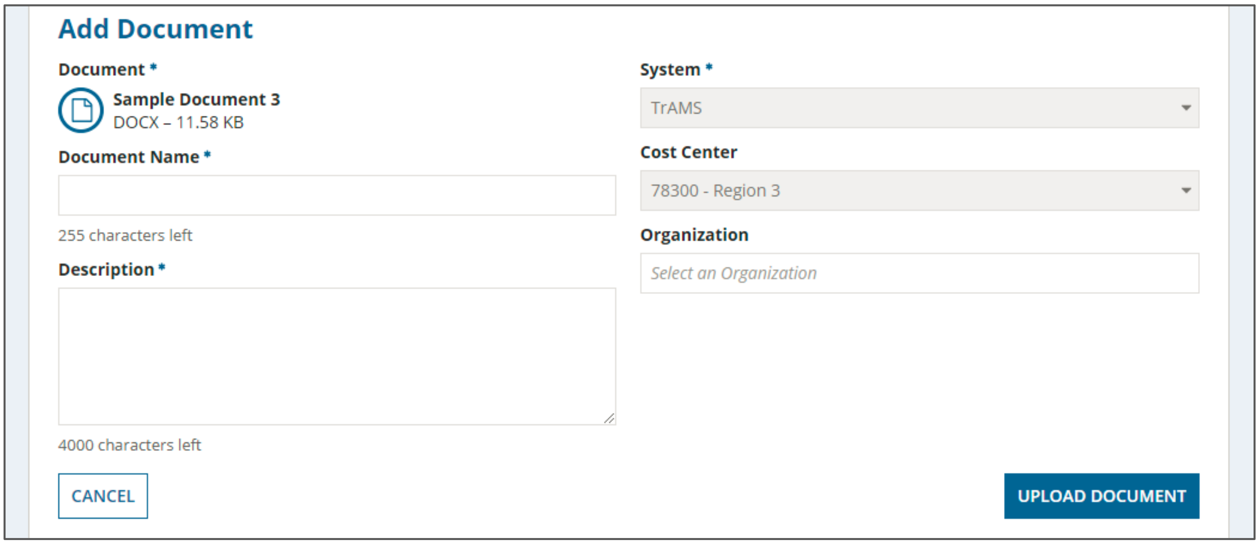
6) The ***Add Document*** section will display beneath the list of available documents. Click ***Upload*** to browse for one or more documents to add to the document repository.



7) Using the Windows browse function, find and click the document to upload.

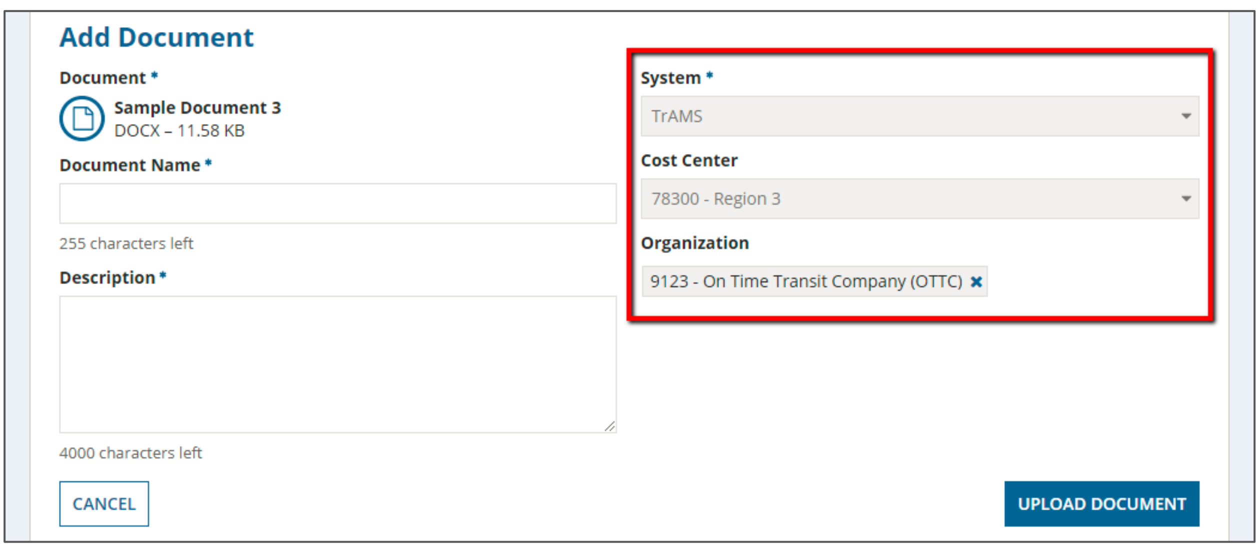


8) Once the document has been identified, click ***Open***. The selected document will upload.



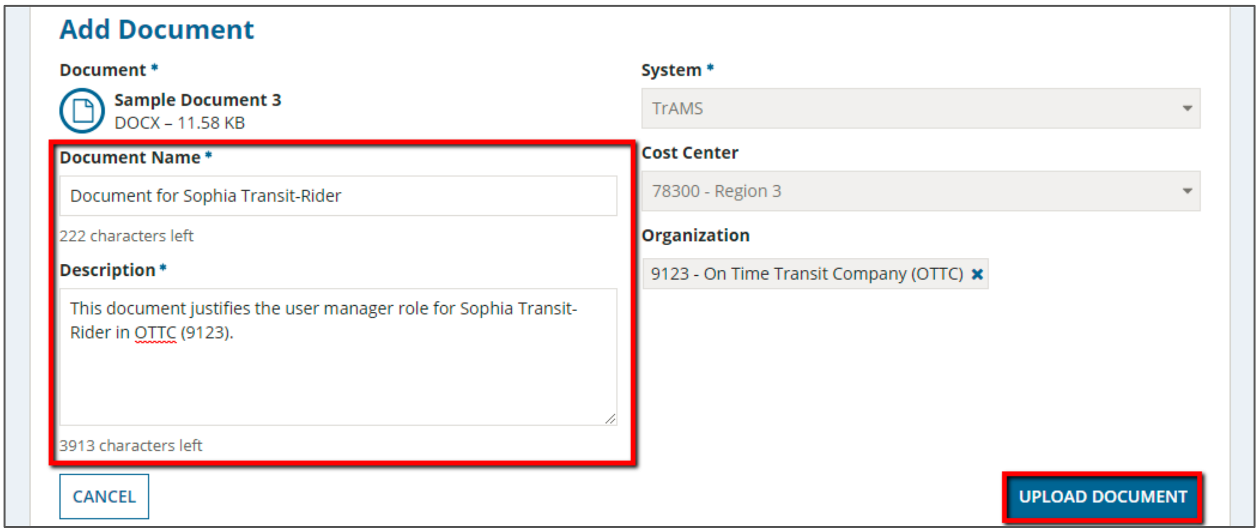
9) To select a different document, hover over the document file name and click the "X" that displays. You can then click ***Upload*** to choose a new document.

10) If the user is a User Manager for a single organization, the **System**, **Cost Center**, and **Organization** fields will be assigned by default to the user's organization. Validation Analyst, LSMs and GSMs may need to populate some of these fields.

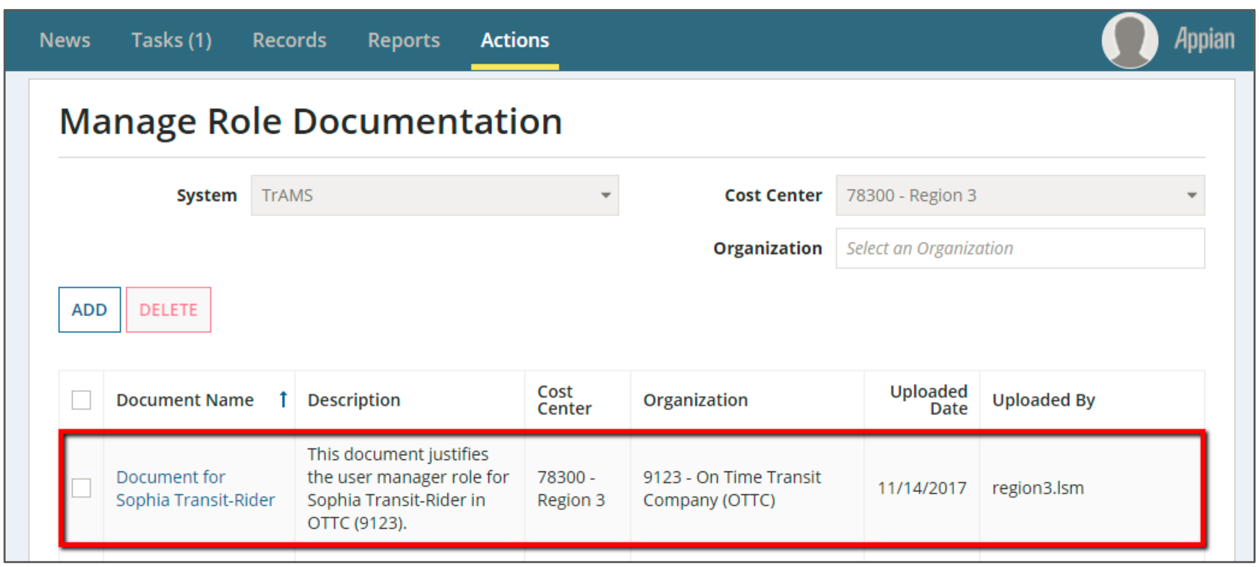


11) This page requires descriptive information to be entered to make the document accessible to other users and to explain the document contents.
    i) Document Name: A clear document name is essential for other users to know what the document's purpose and coverage. Document names cannot exceed 255 characters.
    ii) A description that provides even more details about the document's intent, content, etc., is also advisable. Descriptions cannot exceed 4000 characters.

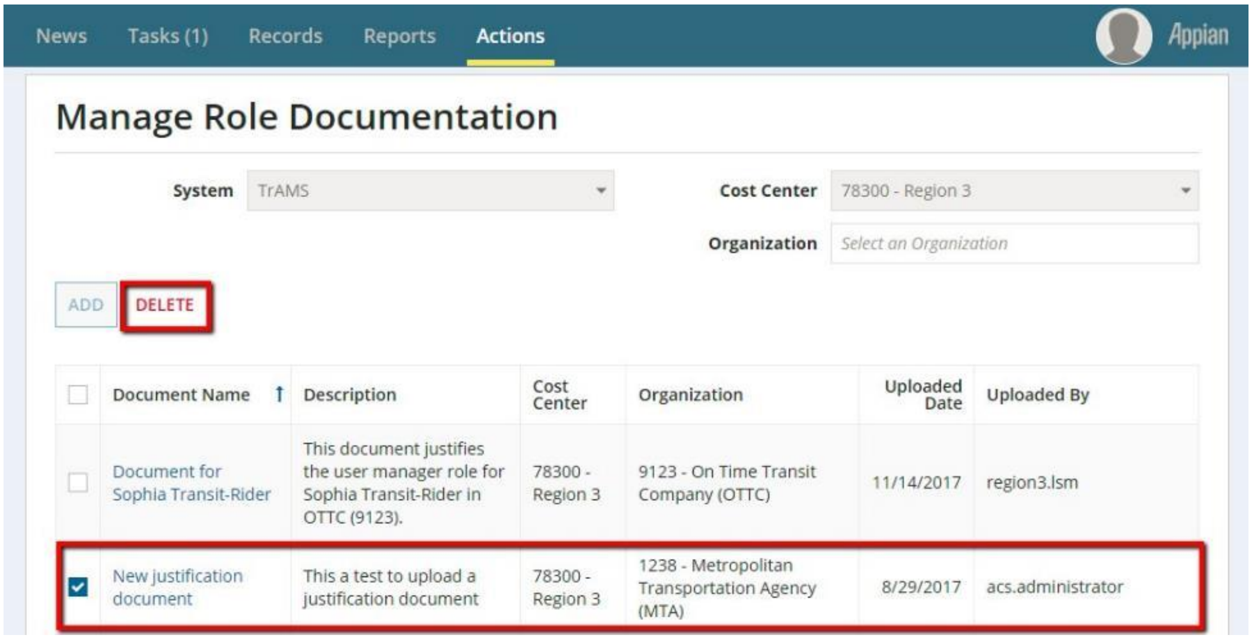
    Once the information for the document is finalized, click ***Upload Document***.



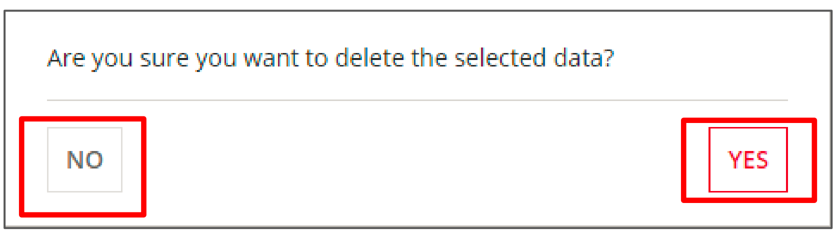
12) The document is added to the list of available documents with its Document Name, Description, Cost Center, Organization, Upload Date, and the UserID of the person who uploaded it.



13) To remove a document from the system, the user simply highlights the document to be removed by selecting the check box associated with it and clicking ***Delete***. Users can only delete documents that have not yet been selected to support user role assignment. Only one document can be deleted at a time.

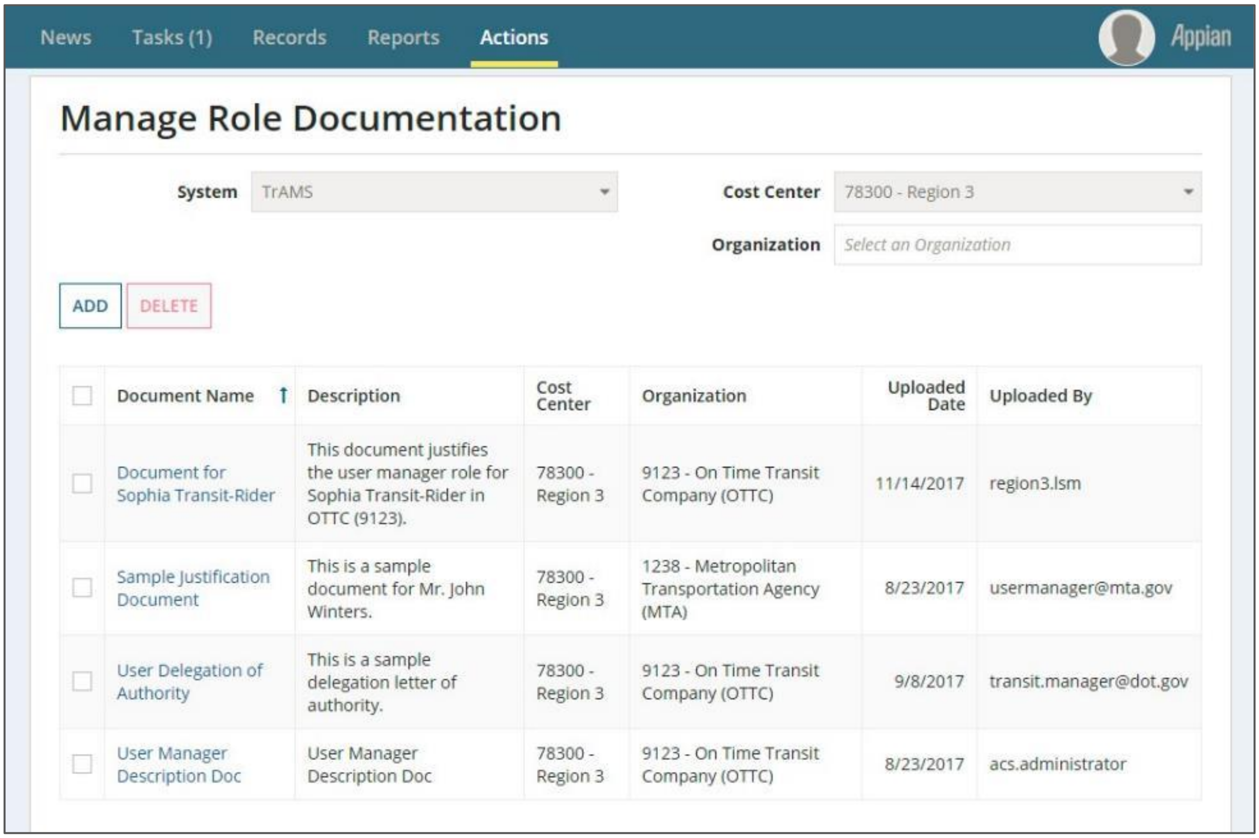


14) A dialog box displays that requires the user to confirm the deletion.

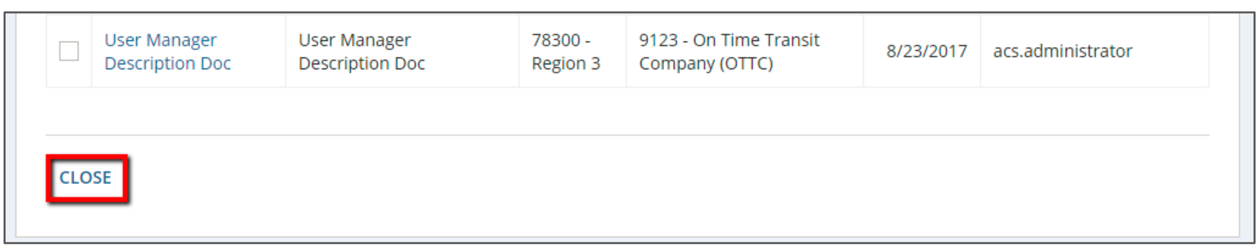


15) Click ***Yes*** to delete the document. Click ***No*** to cancel.

16) Once a document is deleted, the screen will refresh and the remaining documentation displays on the **Manage Role Documentation** page.



17) If no further documentation needs to be uploaded or removed, click ***Close*** to return to the **Actions** tab.



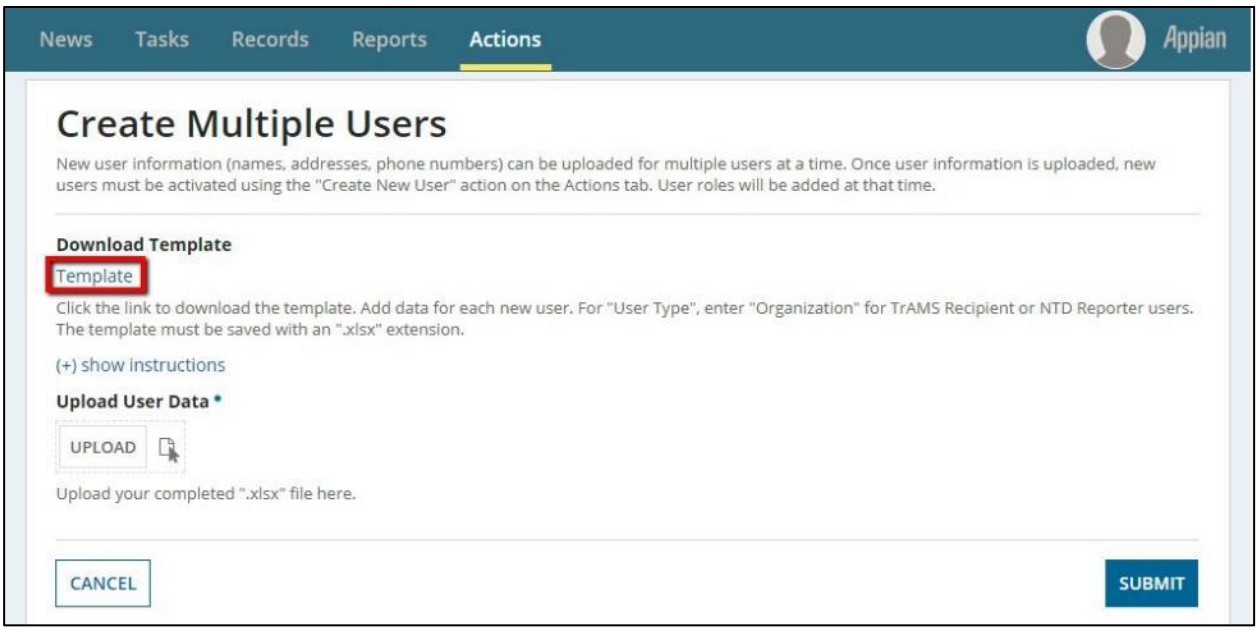
7.2.4 Action: Create Multiple Users

If more than one organization or external user needs to be created, the **User Manager**, **Validation Analyst, LSM,** or **GSM** may bulk load their profile information into the system through the use of a Microsoft Excel file. A file template is provided by the system and must be used. FTA users cannot be uploaded through this action. The upload process will perform data validations and will only upload users that pass all validations. This action is useful when new organizations are added to your system and many users need to be imported at once. At this time, user roles must be added separately using the standard ***Manage Roles*** form.

To upload multiple user information at once:

1) Click the ***Create Multiple Users*** from the **Actions** tab.

2) Download the user information template by clicking the hyperlink that says ***Template***.



3) The template will contain the follow fields for user data. Almost all fields are required. In the template for each user provide the following details for each new user:

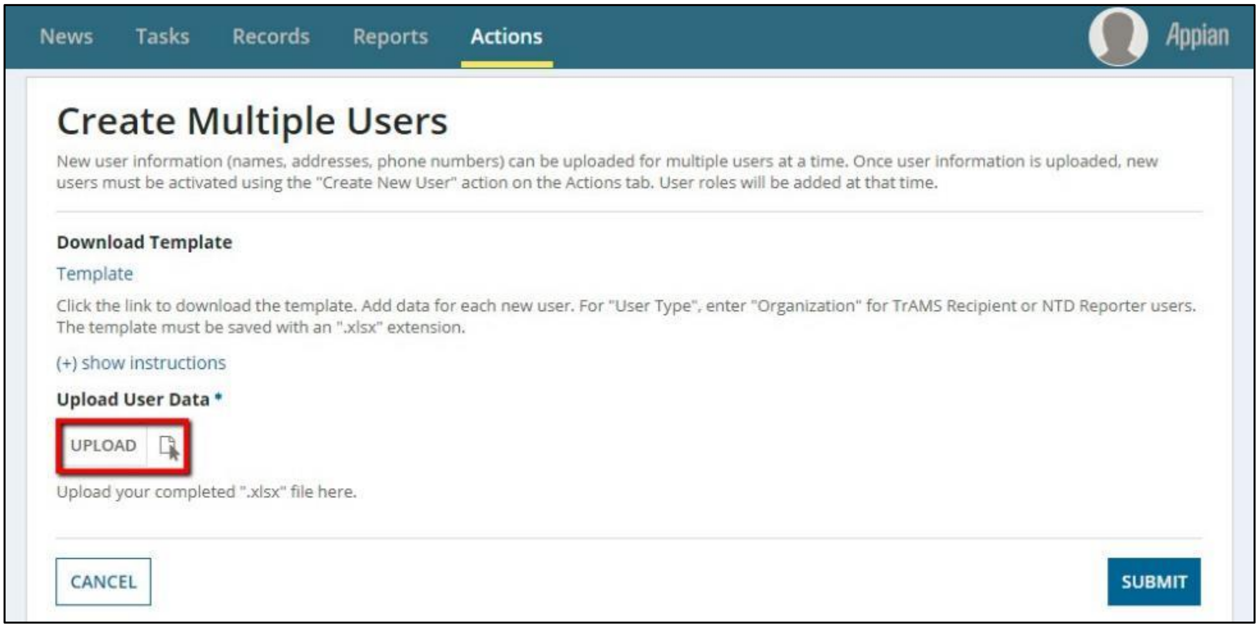
Field	Required	Data Entry Rules
User Type	Yes	Must be Organization, DOL, Auditor, or Contractor. *Enter Organization for TrAMS Recipient or DGS Recipient or NTD Reporter users; enter DOL for DOL Users; enter Auditor for FTA Auditors; enter Contractor for FTA Contractors. This field will dictate the types of roles that can later be added to the user.*
Email (username)	Yes	Entry must be a valid email entered in all lowercase characters. This will become the user's identification (login) for the system.
First Name	Yes	Cannot contain any special characters (e.g. $) or numbers.

Field	Required	Data Entry Rules
Last Name	Yes	Cannot contain any special characters (e.g. $) or numbers.
Title	Yes	Must not exceed 255 characters.
Honorific	Yes	Must be Mr., Mrs., Ms., or Dr. (*periods required*).
Office Phone Number	Yes	Must be formatted like a phone number (e.g., (555) 555-5555). Cannot be just a 10-digit number (e.g. 5555555555).
Address 1	Yes	Must begin with a street number (e.g., "1207 Maple St") or a PO (e.g., "PO Box 412").
Address 2	No	
City	Yes	Cannot contain special characters (e.g. $) or numbers.
State or Territory	Yes	Must be a verified 2-character US state or US territory abbreviation.
Zip Code (5 digits)	Yes	Must be a 5-digit number. If the leading zeros are being stripped from '.xlsx' document, begin the zip code with an apostrophe (e.g. '01234).
Company	No	Must not exceed 255 characters.
Department	No	Must not exceed 255 characters.

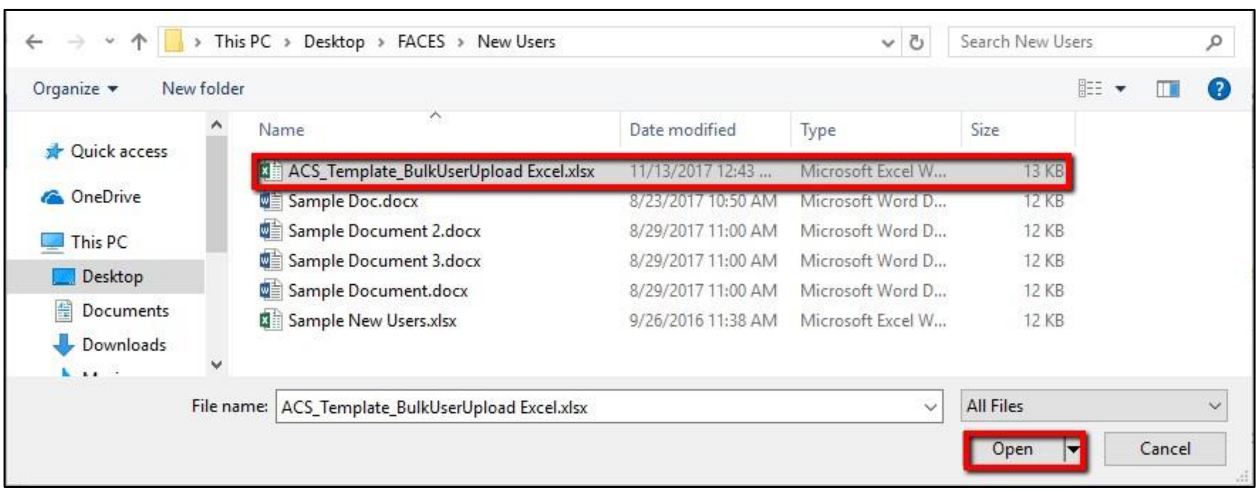
4) The file must be saved with an ".xlsx" file extension. (A sample file with four users is shown below.)

	A	B	C	D	E	F	G	H	I	J	K
2	**User Type**	**Email (username)**	**First Name**	**Last Name**	**Title**	**Honorific**	**Office Phone Numbe**	**Address 1**	**Address 2**	**City**	**State or Territory**
3	Organization	jsmith1@fake.com	John	Smith	Analyst	Mr.	(123)123-1234	101 Ninth St.		Transitville	IL
4	Organization	jsmith2@fake.com	Jessica	Smith	Analyst	Dr.	(123)123-1234	101 Ninth St.		Transitville	IL
5	Organization	jsmith3@fake.com	Jerry	Smith	Analyst	Mr.		101 Ninth St.		Transitville	IL
6	Organization	jsmith4@fake.com	Josie	Smith	Analyst	Mrs.	(123)123-1234	101 Ninth St.			IL

5) When the file ready to be uploaded, click ***Upload*** on the **Create Multiple Users** page to locate the Excel (.xlsx) file.

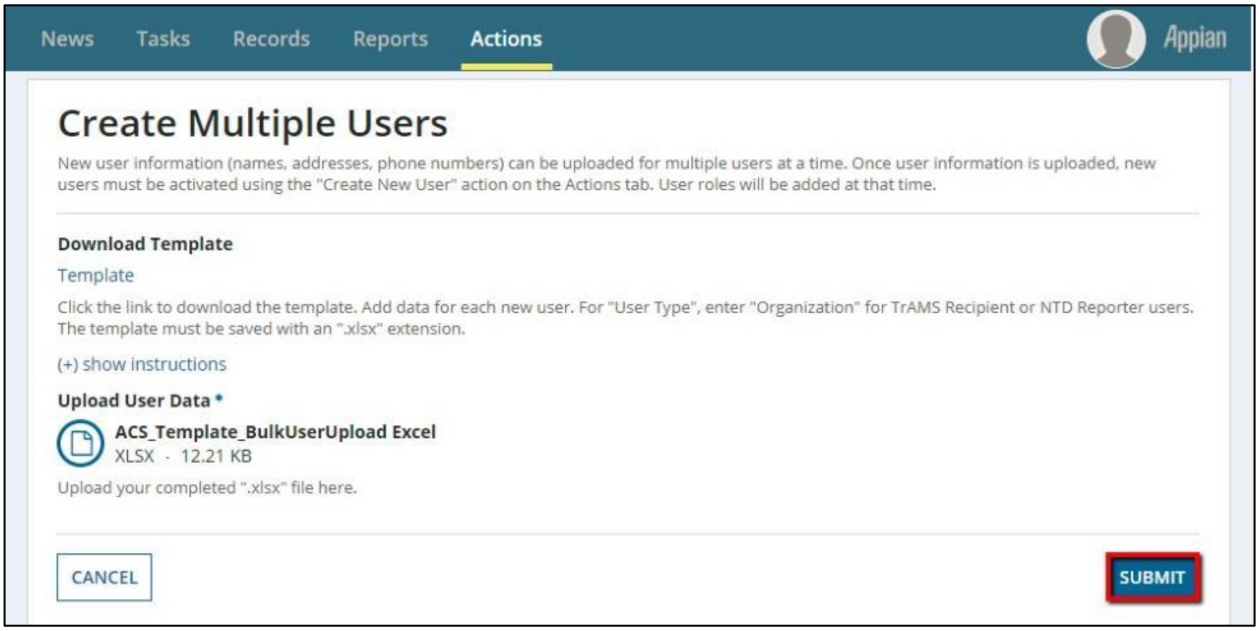


6) Use the Windows browser capabilities to locate the file to be uploaded. Click ***Open*** to add the file to the system.

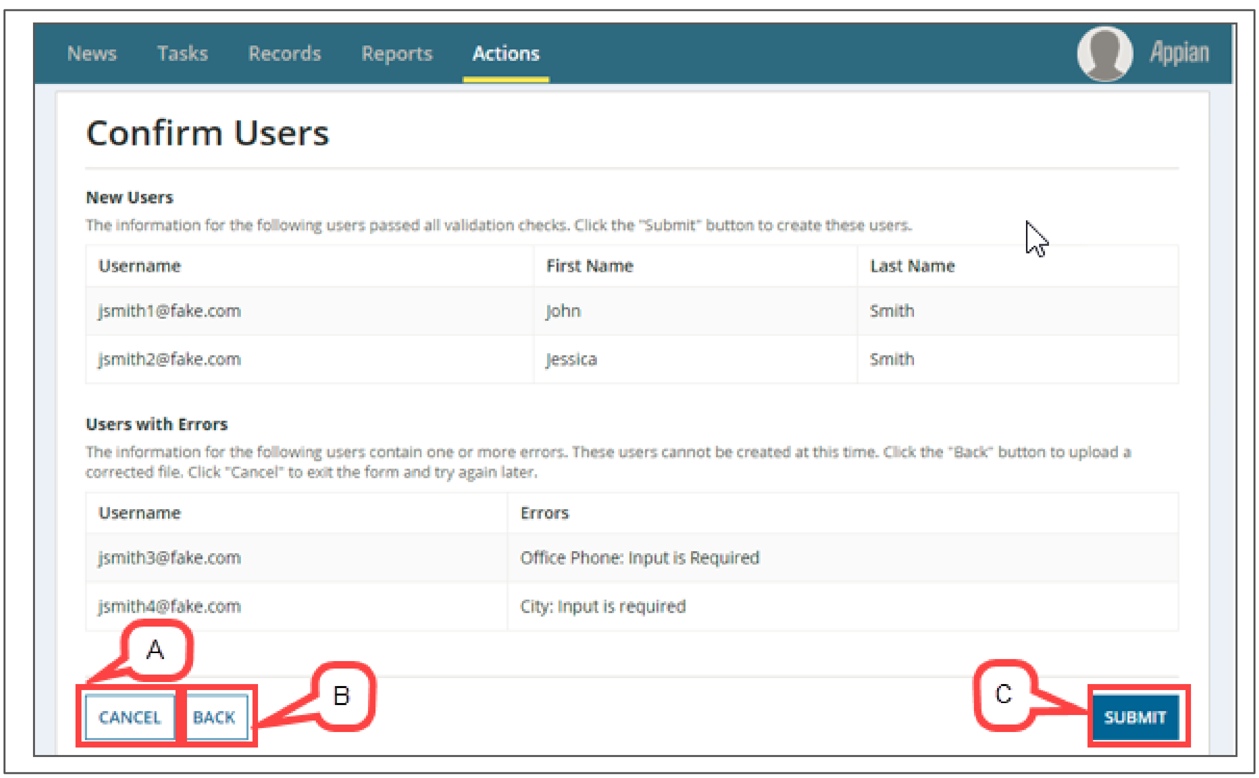


7) The file that was selected is listed on the upload page.

8) Click ***Submit***. This will begin the data upload and validation.

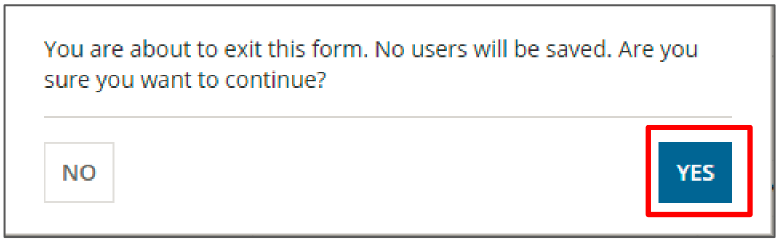


9) The ***Confirm Users*** page will open. The system will display the users in the file that can be uploaded (***New Users***) and the users that have data issues (***Users with Errors)***. For each user with issues, specific error messages will be given to help correct the user data.

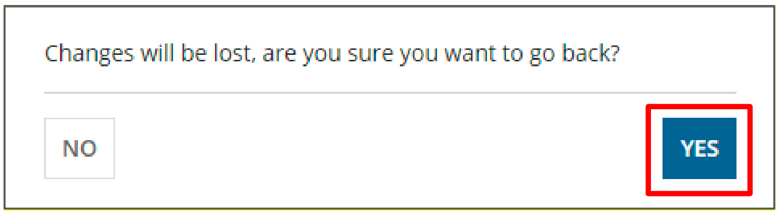


10) The user may:

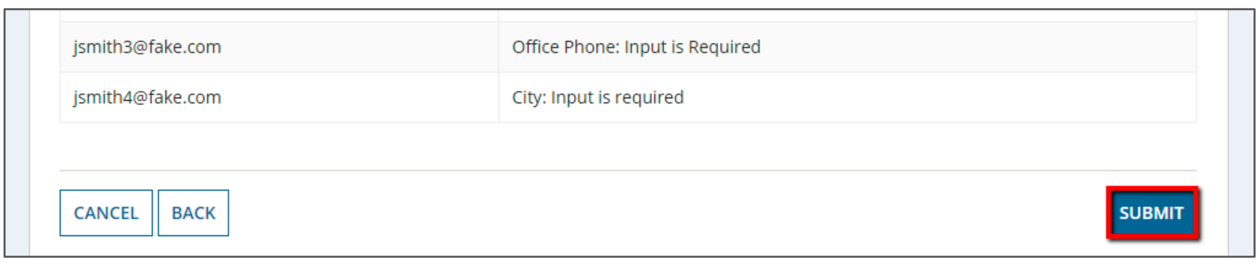
a) Select ***Cancel*** to return to the **Actions** page. Click ***Yes***.



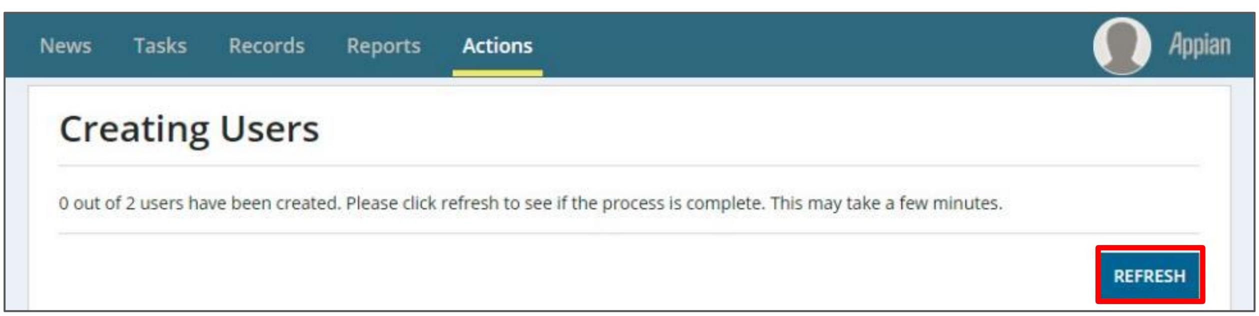
b) Select ***Back*** to return to return to the previous page and select a new file. Click ***Yes***.



c) Click ***Submit*** to confirm the users and complete the upload of all users that passed validation checks. Only users that passed validation will have user records created.



11) The **Creating Users** form will display. Click ***Refresh*** to see how many users have been created. The process may take several minutes.

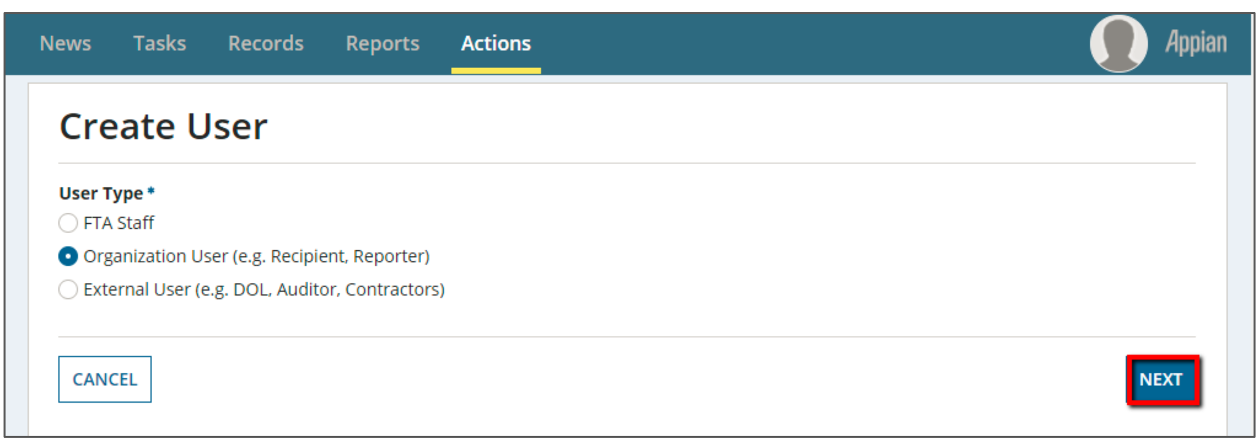


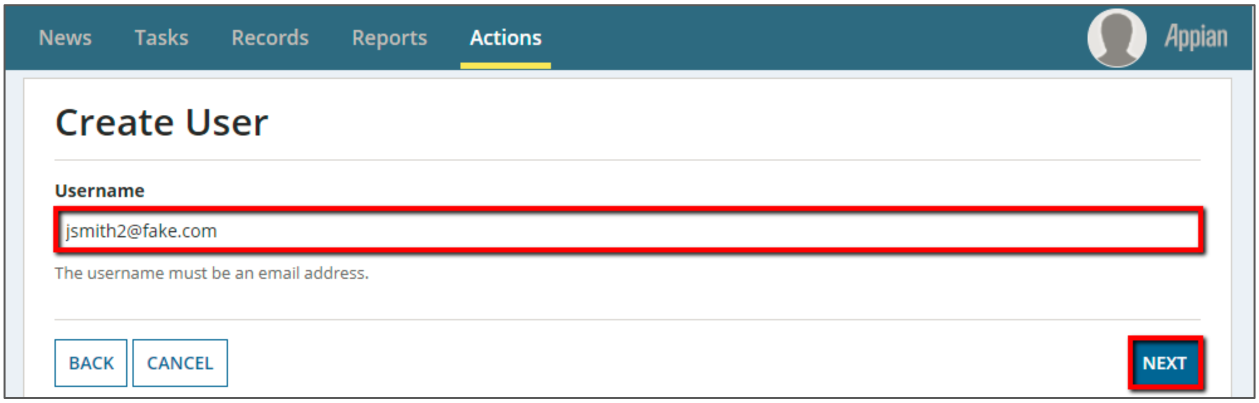
12) Once the users have been added to the system, clicking ***Refresh*** will display the **Users Created** screen. Click ***Close*** to return to the Actions tab.

13) To finalize user setup, **User Manager** will need to locate each user to add user roles. Users will be unable to login until roles are added. The same individual that uploaded the user data does not need to be the person to activate the accounts. If multiple user managers exist for an organization, this responsibility can be shared.

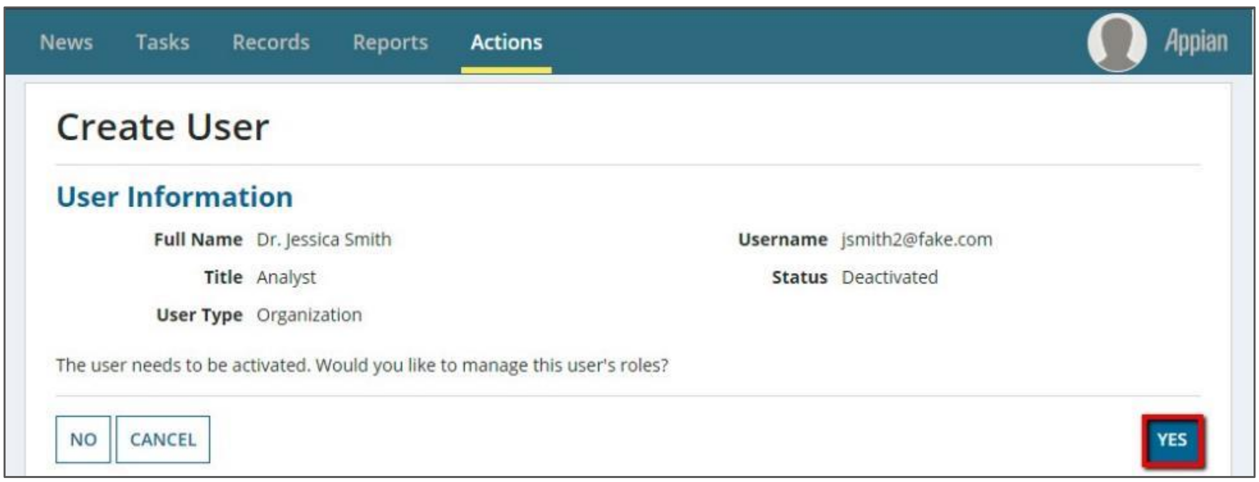
14) To locate a new user to finalize, go to the ***Create and Manage Users*** action.

15) Select the appropriate user type, enter the user's username and click ***Next***.

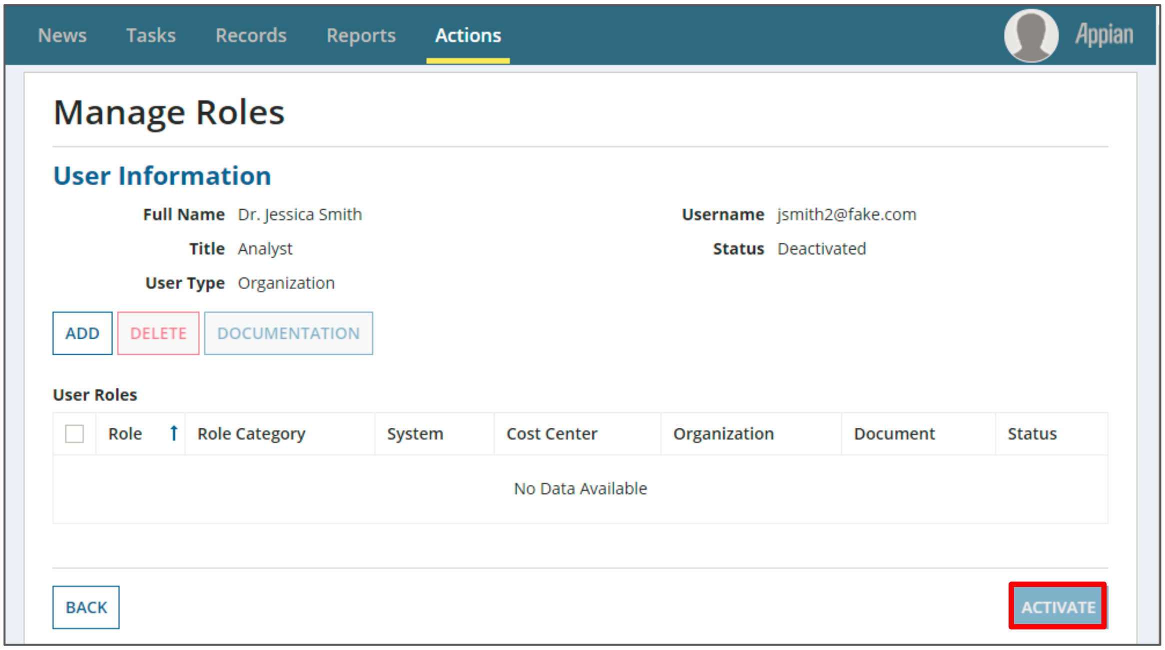




16) A page will display a message that the user needs to be activated. You will be given the option to navigate to ***Manage Roles*** for that user. Click ***Yes*** to proceed to ***Manage Roles.***



17) Follow the standard process for adding roles to the user and then click ***Activate.*** The user will be notified that their account has been established at this point.

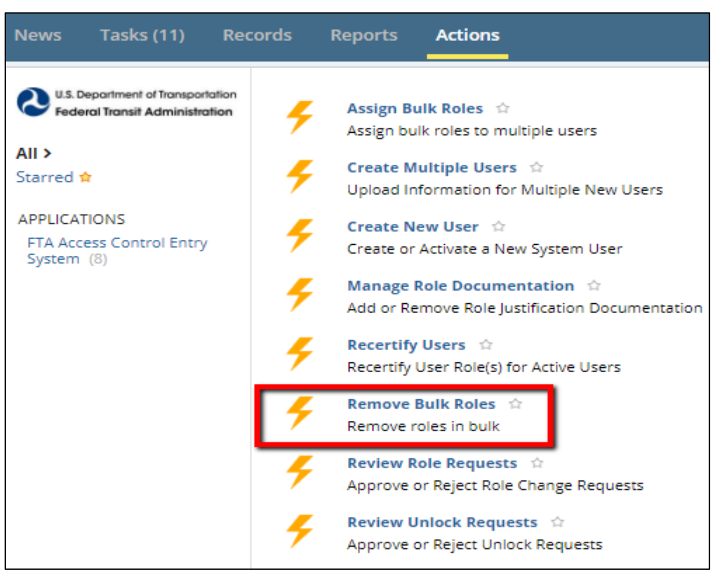


7.2.5 Remove Bulk Roles

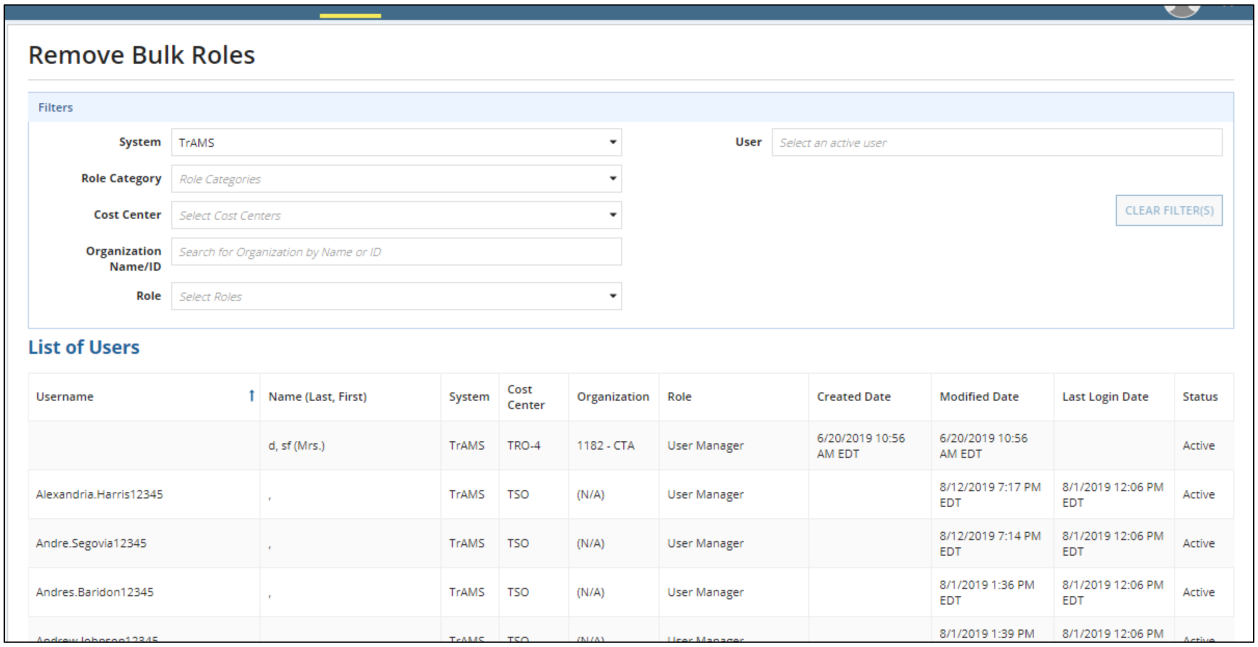
If more than one user or external user's user roles needs to be removed from the system, the **System Admin**, **Global Security Manager**, **Validation Analyst**, **LSM** may remove user roles through this action. The role removal process will provide validations and will only allow users to remove the user roles that are not valid for them anymore.

To remove bulk roles at once:

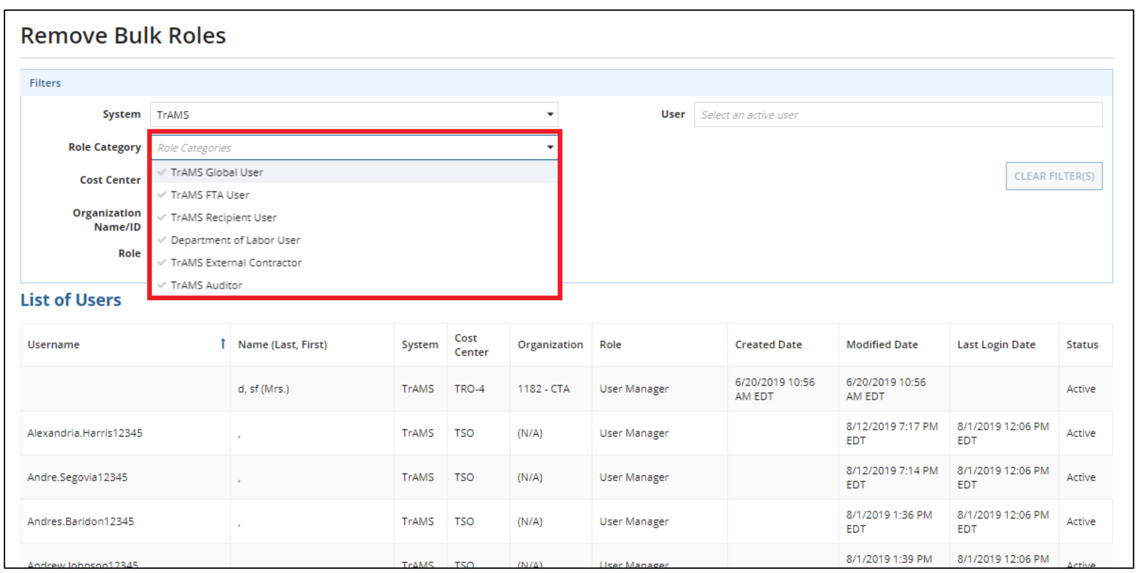
1) Click the ***Remove Bulk Roles*** from the **Actions** tab.



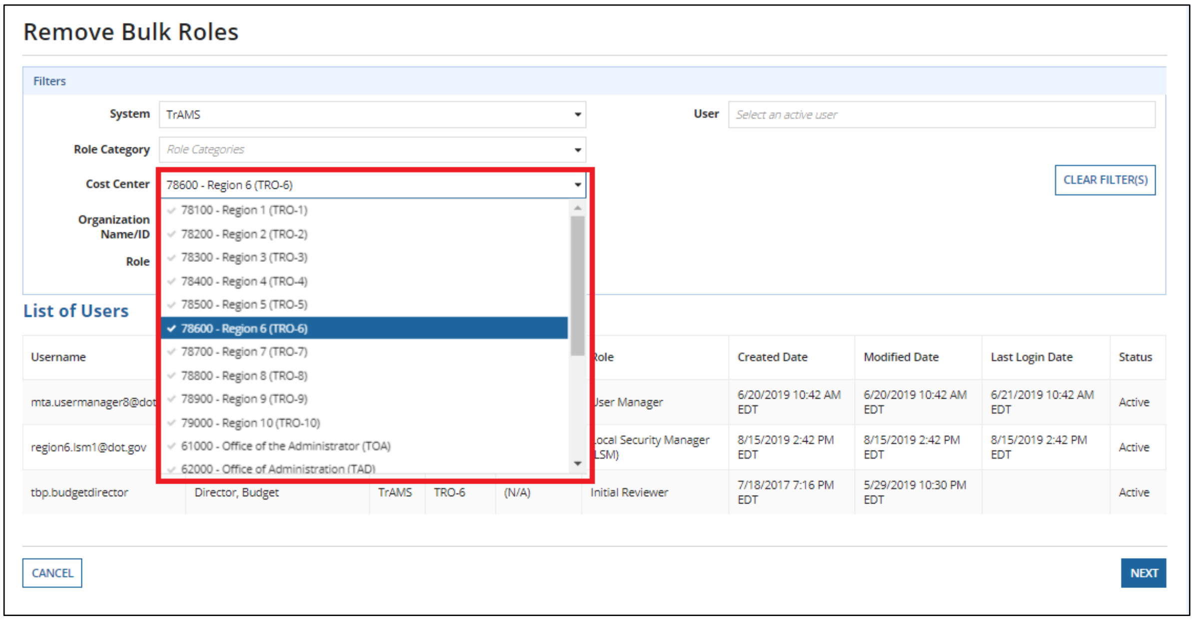
2) The **Remove Bulk Roles** page displays the available users with existing roles they are assigned with can be removed.



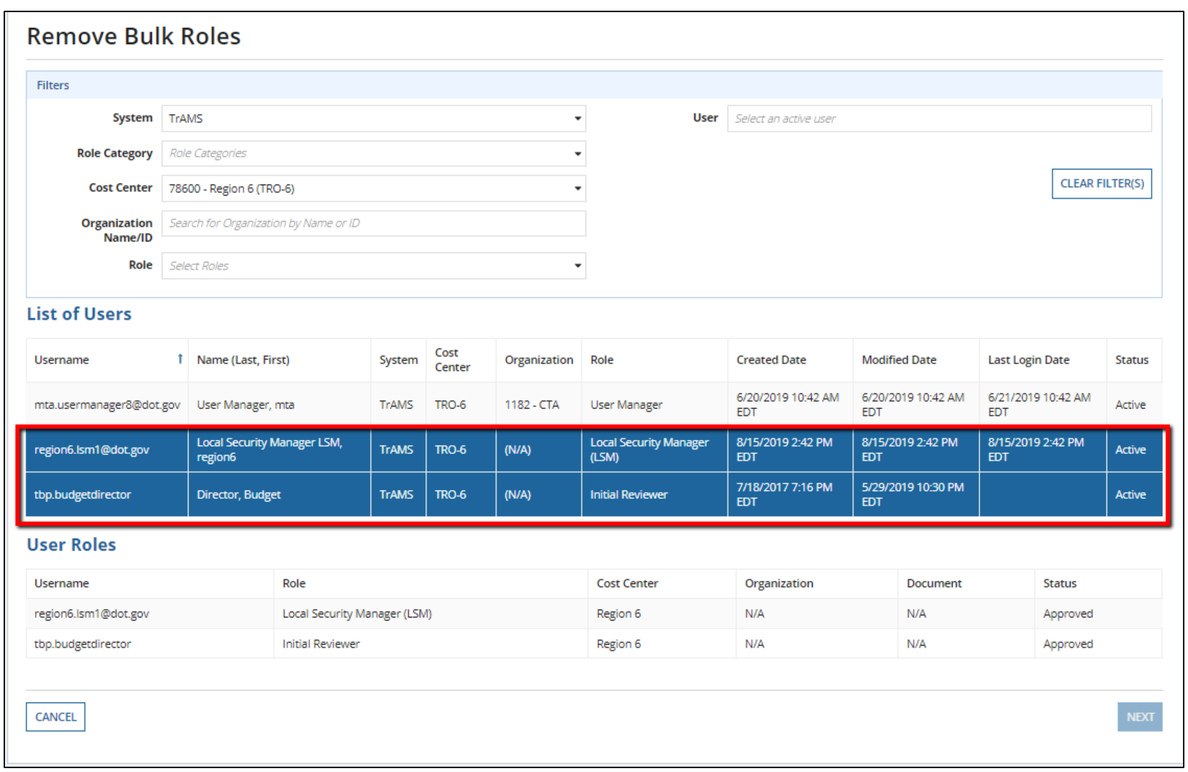
3) The user is provided with filters to narrow down specific users.



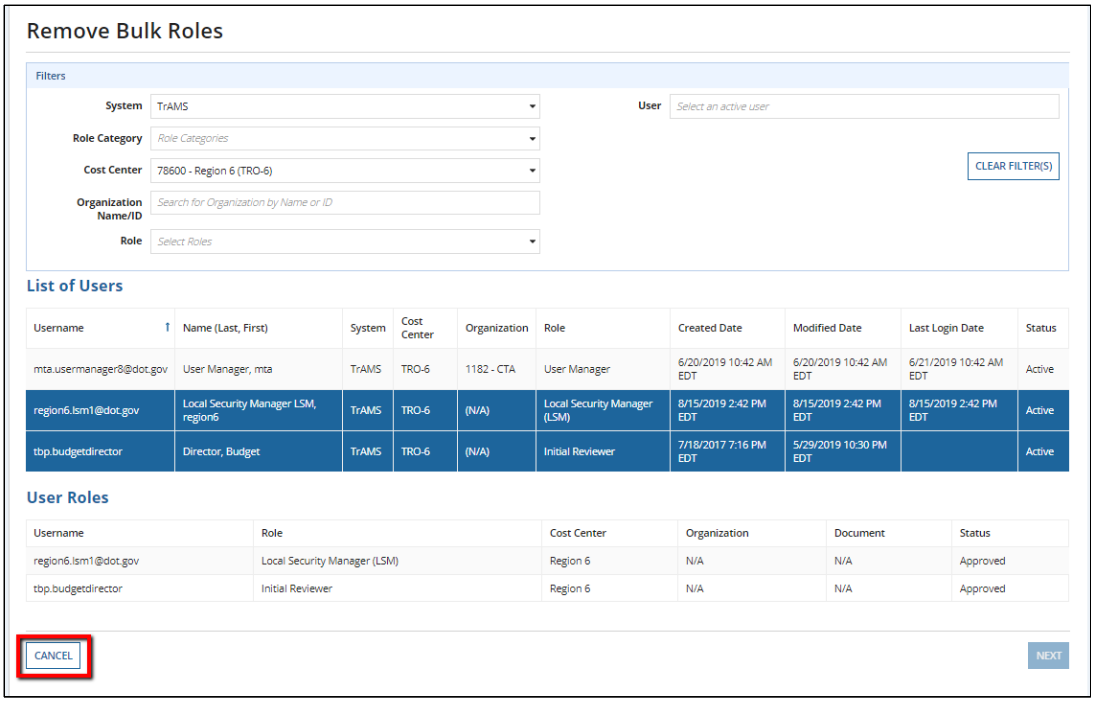
4) Select the relevant **Cost Center** to narrow down to the users who belong to the selected **Cost Center**



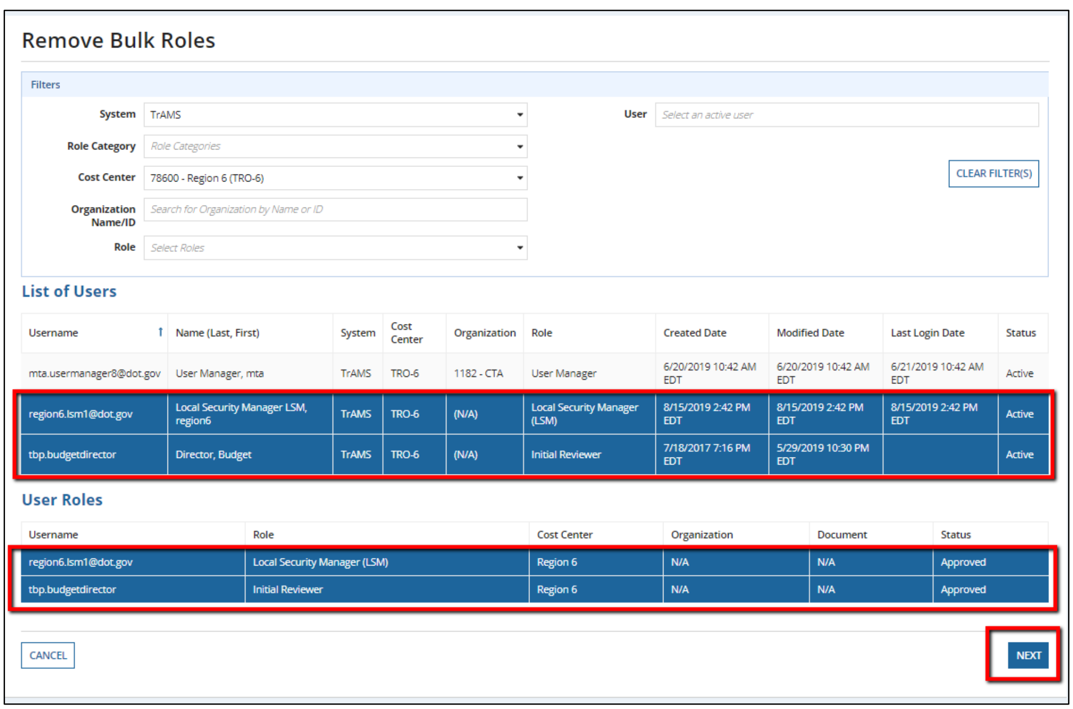
5) The user can select multiple users by clicking anywhere on user record row from the **List of Users** grid to see what roles they currently have; selected users are highlighted blue. Clicking on a selected user record again will deselect that user.



6) The user will have the option to cancel this process at any time by pressing the **Cancel** button in the lower left-hand corner of the screen.



7) The user can select multiple roles for multiple users by clicking anywhere on the rows from **User Roles** grid to remove the roles from the system. Clicking on a selected user role again will deselect that user role. Once the user has selected the users and user roles, click **Next** to navigate to the **Confirm Role Removal** page**.**



8) On the **Confirm Role Removal** page, the user will be able to confirm the bulk role removal by clicking **Confirm**. The logged in user can navigate back to **Remove Bulk Roles** page by clicking the back button if the roles are not supposed to be removed or to remove some more roles.

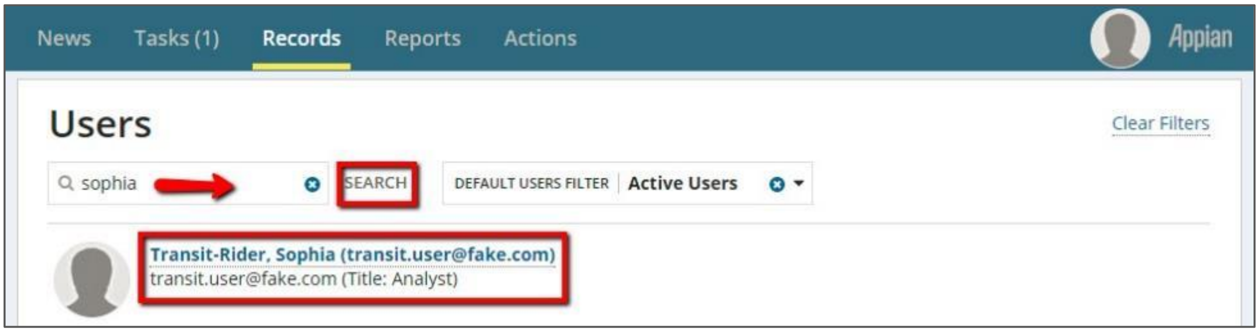
9) Click on the **Confirm** button to confirm the changes and finish the Role removal process. The logged in user will now navigate back to **Actions** page.

7.3 Managing User Records

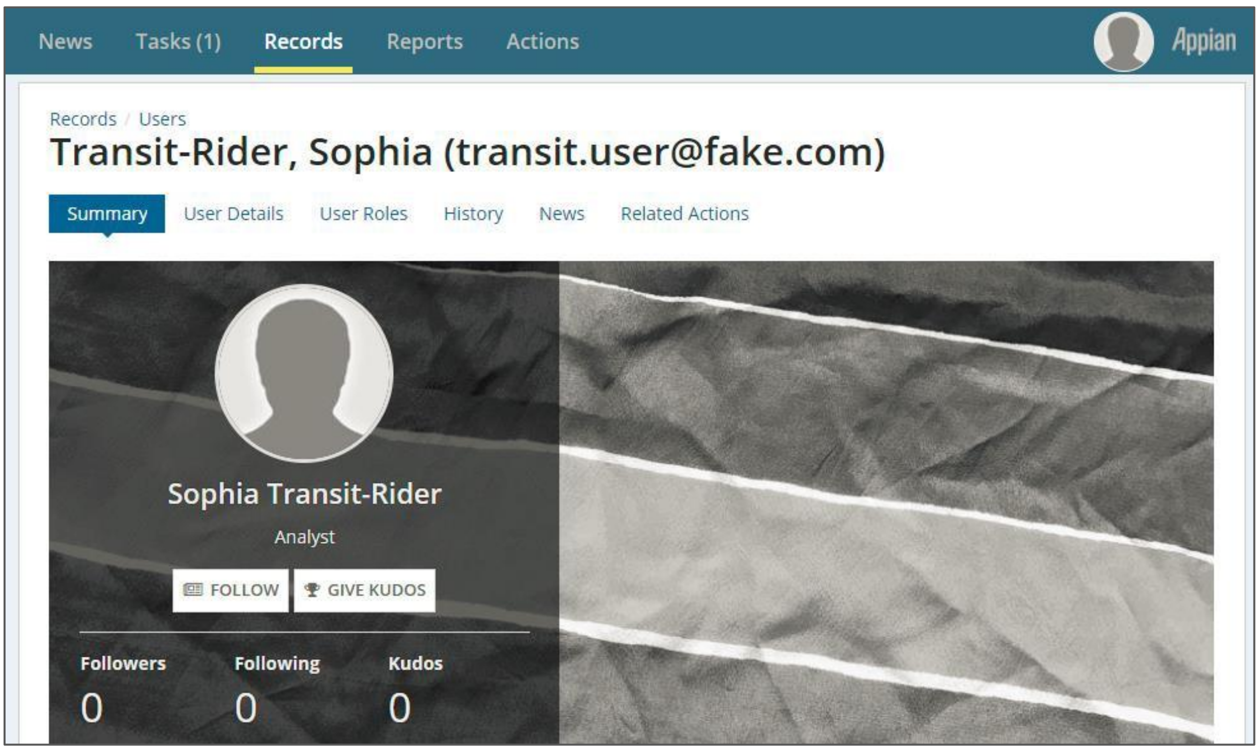
Once a user has been created, the **User Manager** is able to manage details for existing users in their organization including: managing the users' profiles, updating their roles/privileges, deactivating and reactivating users, and unlocking user accounts.

1) On the **Records** tab, click ***Users***.

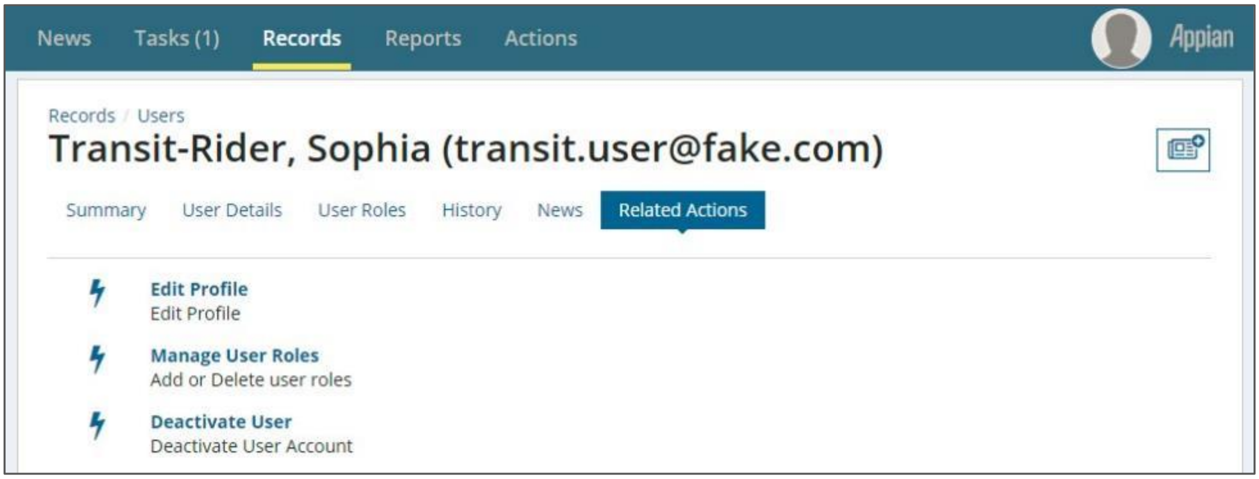
2) On the **Users** page, enter the search criteria to locate the user that requires any number of changes and click the hyperlink for that user from the list presented. Partial text searches are allowed.



3) The user record will open to the **User Summary** screen. Click ***Related Actions***.



4) From this page, the **User Manager** may ***Edit Profile***, ***Manage User Roles***, or ***Deactivate User***. The ***Reactivate User*** related action will show if the user is deactivated. Likewise, the ***Unlock User*** related action will show if the user is locked and has submitted an unlock request.



7.3.1 Related Action: Edit User Profile

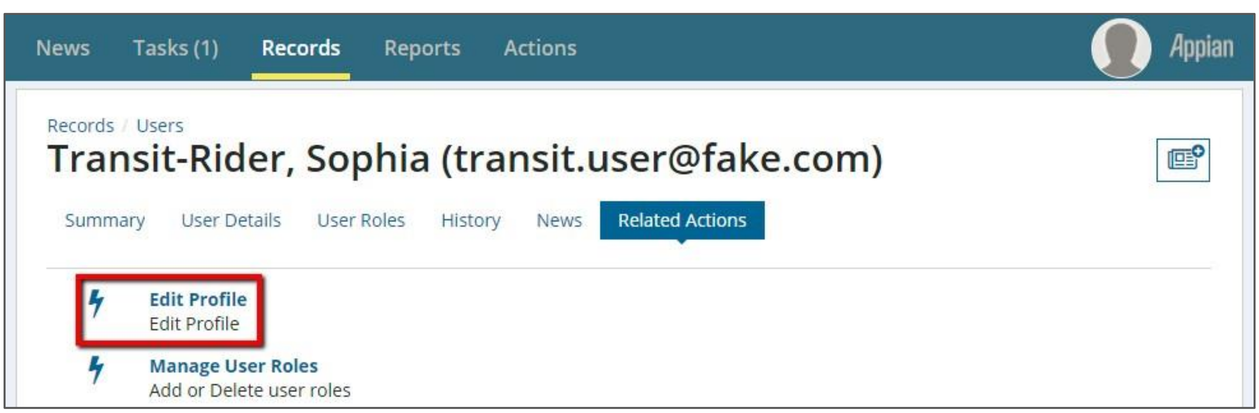
Organization and external user profiles can be edited by the users' management chains (User Manager, LSM, or GSM). All profile fields, except for username and system, can be edited by a user manager. This includes email addresses.

Note:	*Organization and external users cannot edit their own email addresses. User managers are cautioned to user email edits sparingly. Email edits are provided to prevent the need to create new user accounts when business emails change and the user's documented email is no longer valid. Email edits should not be used for "convenience" reasons (e.g. a user prefers to receive email at a personal account).*

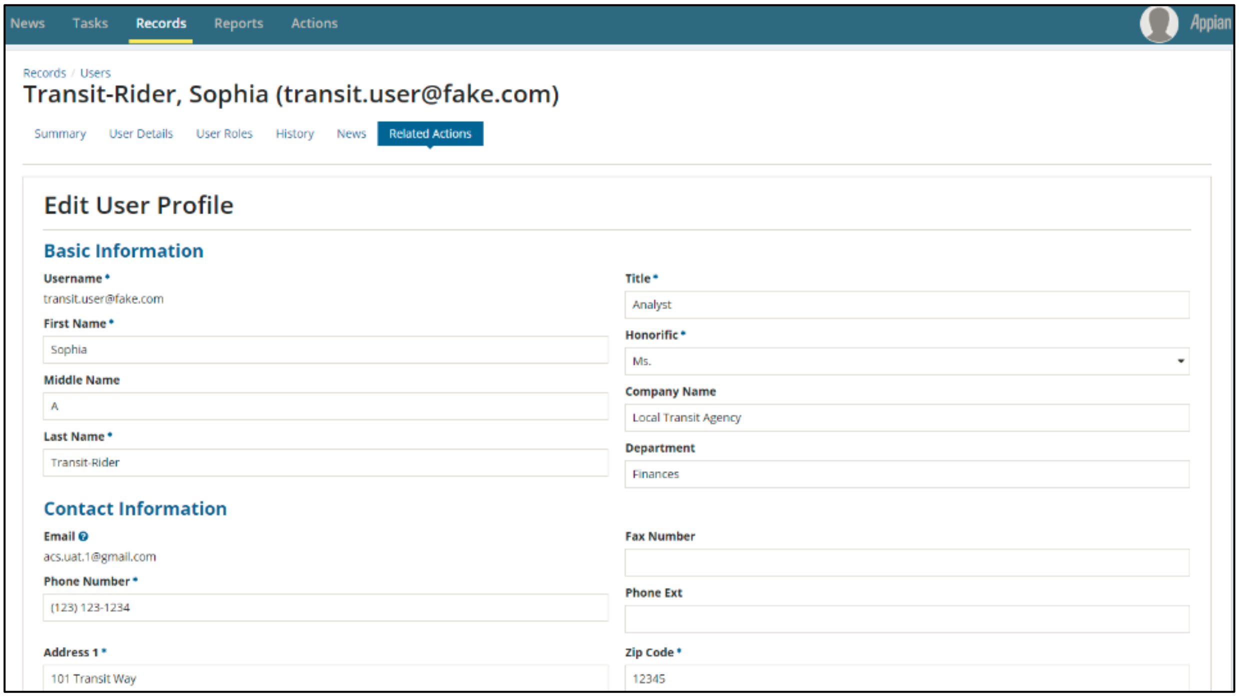
To edit a user's profile:

1) Go to the user's record and select ***Related Actions***.

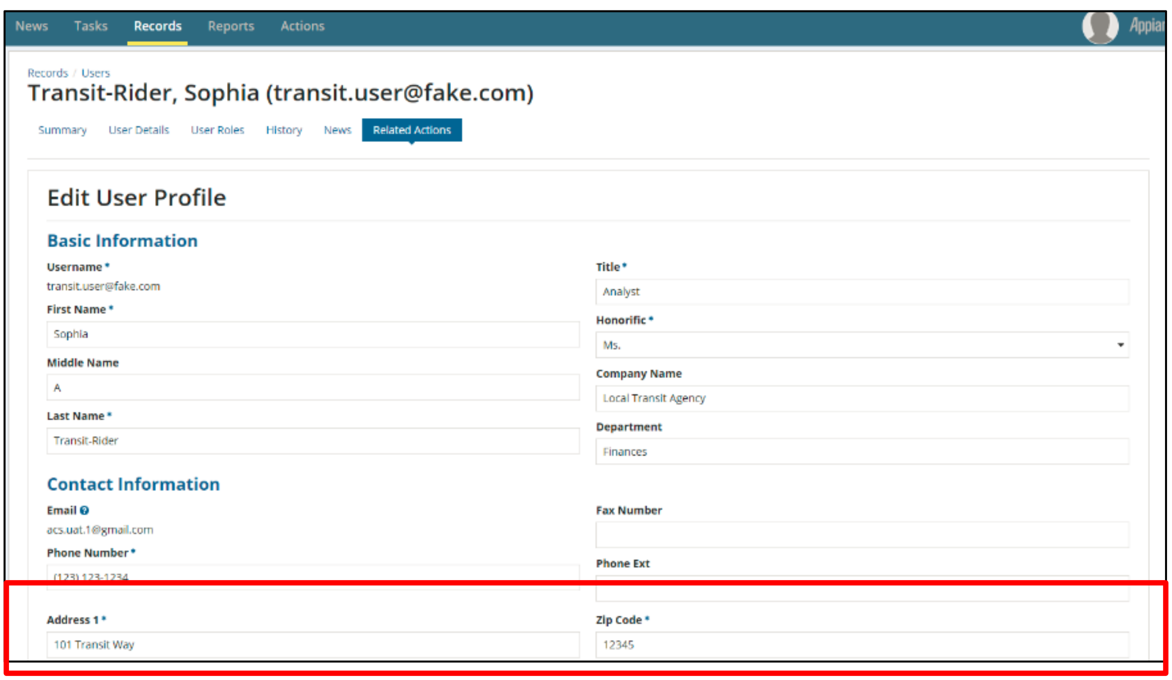
2) Click ***Edit Profile***.



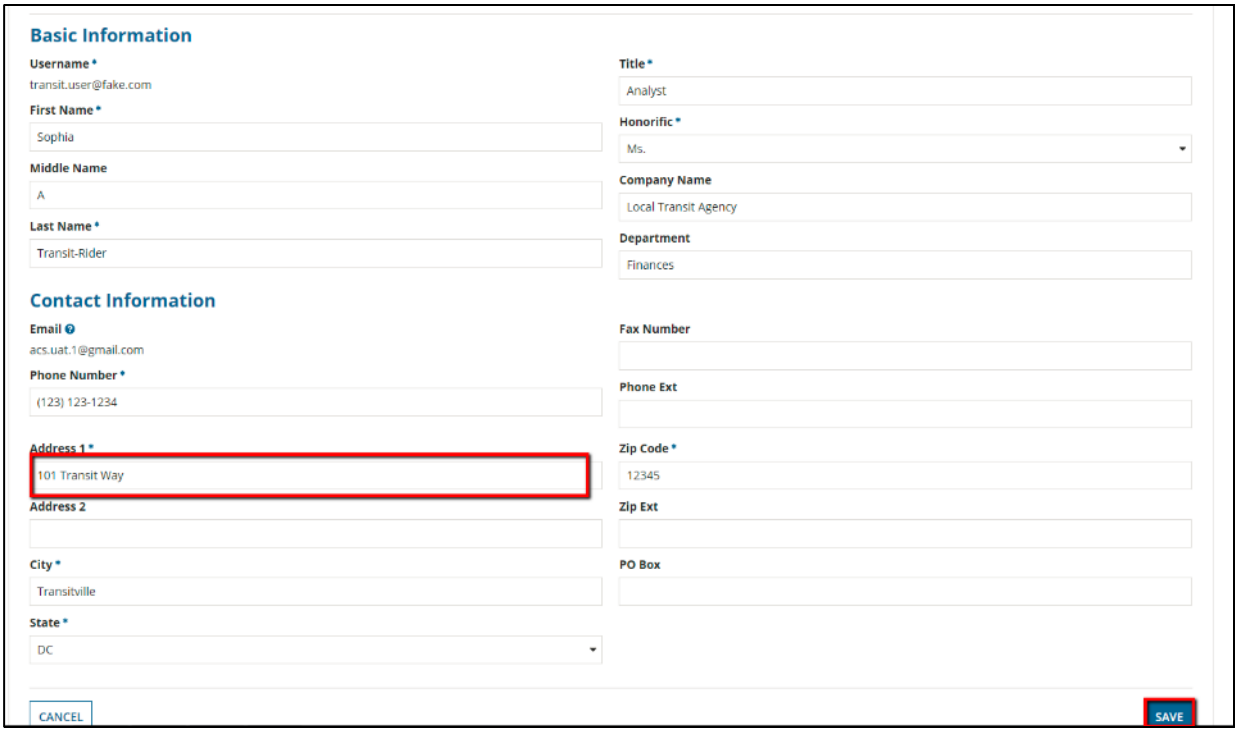
The **Edit User Profile** page will display all previously saved user information details in editable fields.



3) Make any necessary changes. The same field validations that applied at the time of user creation will still apply (e.g. checks for phone number format).



4) Click ***Save*** to update the user's profile with the new and/or changed information. It may take a few minutes for all information to save.



5) Select ***Cancel*** to return to the **Related Actions** page without saving any changes.

6) All changes should be visible on the ***User Details*** page. Additionally, an audit trail of all changes will be added to the user's ***History*** page.

7.3.2 Related Action: Manage User Roles

Once the user has been created, the **User Manager, LSM, Validation Analyst or GSM** can add or remove roles to adjust a user's access and permissions. Security rules govern which types of roles can be added or removed from a user. **User Managers** can only add or remove roles for their own organization(s). **LMSs and Validation Analyst** can only add roles within their Cost Centers. **GSMs** can add or remove any role within their associated system. To assign roles to a user in multiple organizations or across multiple systems, the **User Managers** from each organization will need to add the corresponding roles. The appropriate **GSMs or LSMs** can be contacted to facilitate role assignment or User Manager coordination. User roles can be added and deleted at the same time.

When adding/removing roles, note that users cannot have both Read Only and active roles in the same organization (or Cost Center for FTA users).

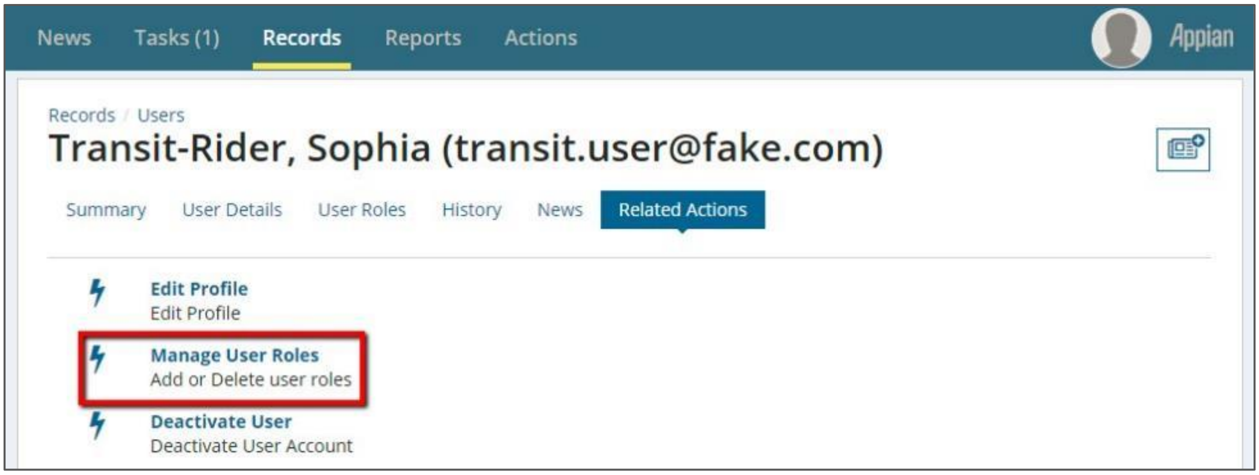
For ease in explaining, additions and deletions are presented separately within this document.

7.3.2.1 Add Role

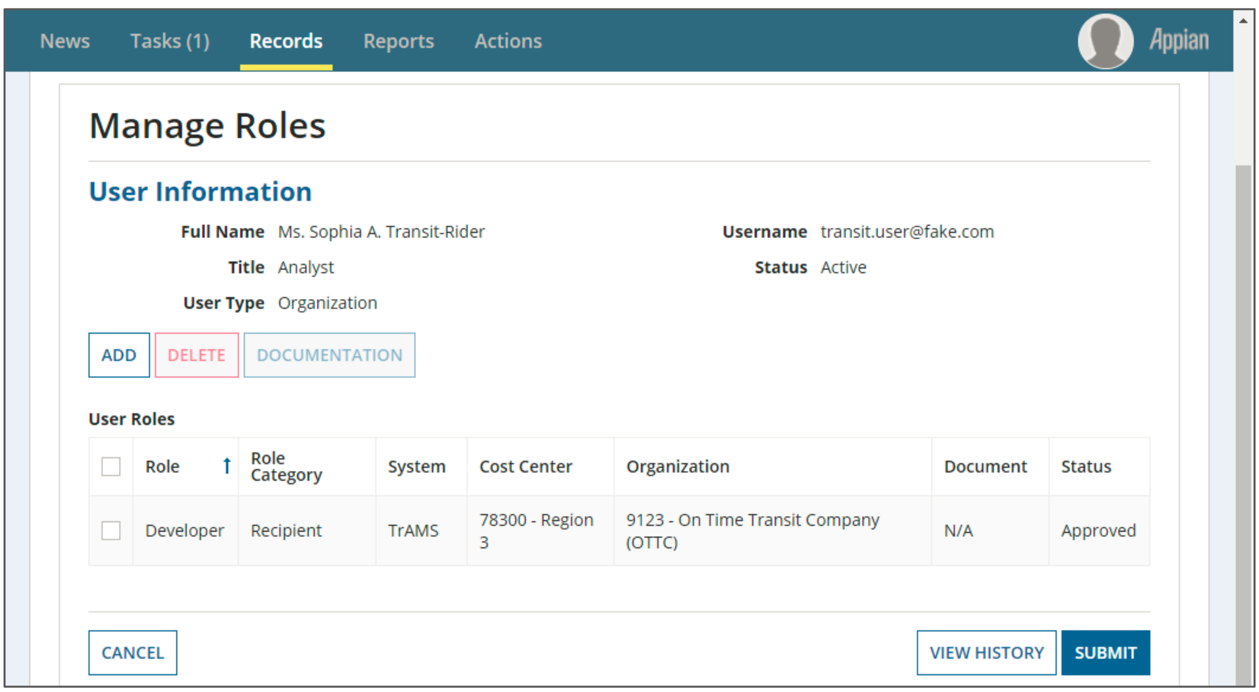
To add roles to a user:

1) Go to the user's record and click ***Related Actions***.

2) Click ***Manage User Roles***.

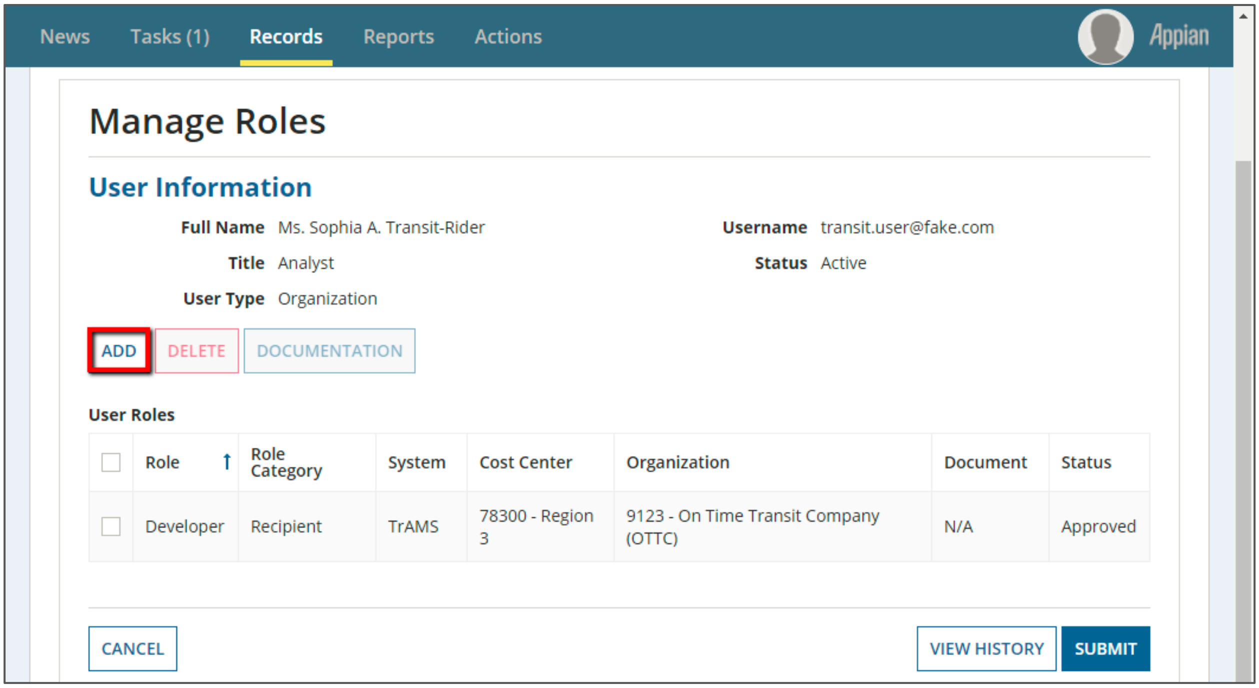


3) The ***Manage Roles*** page displays. Only roles that the user can manage are visible in the ***User Roles*** table.

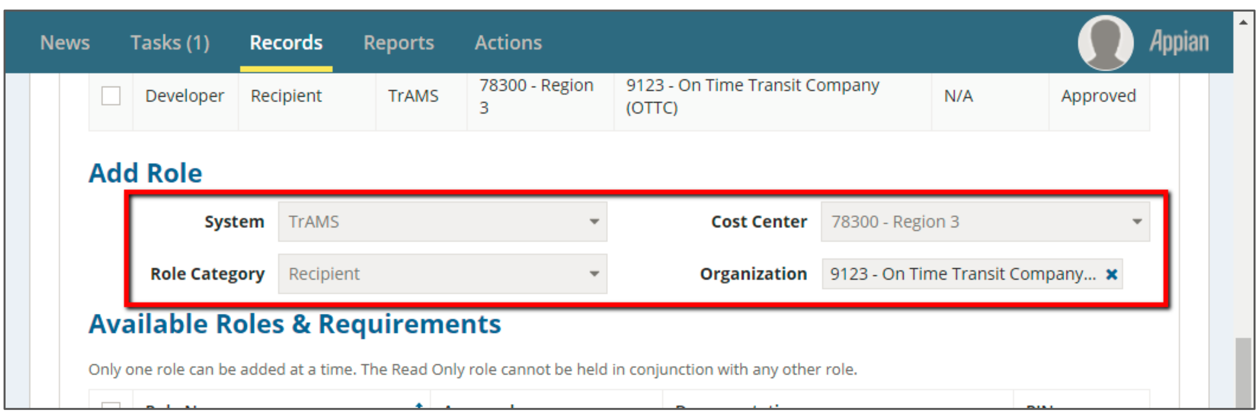


4) Select ***Cancel*** at any point in this process to return to the previous page without saving any changes.

5) Click ***Add*** to add a new role to the user.

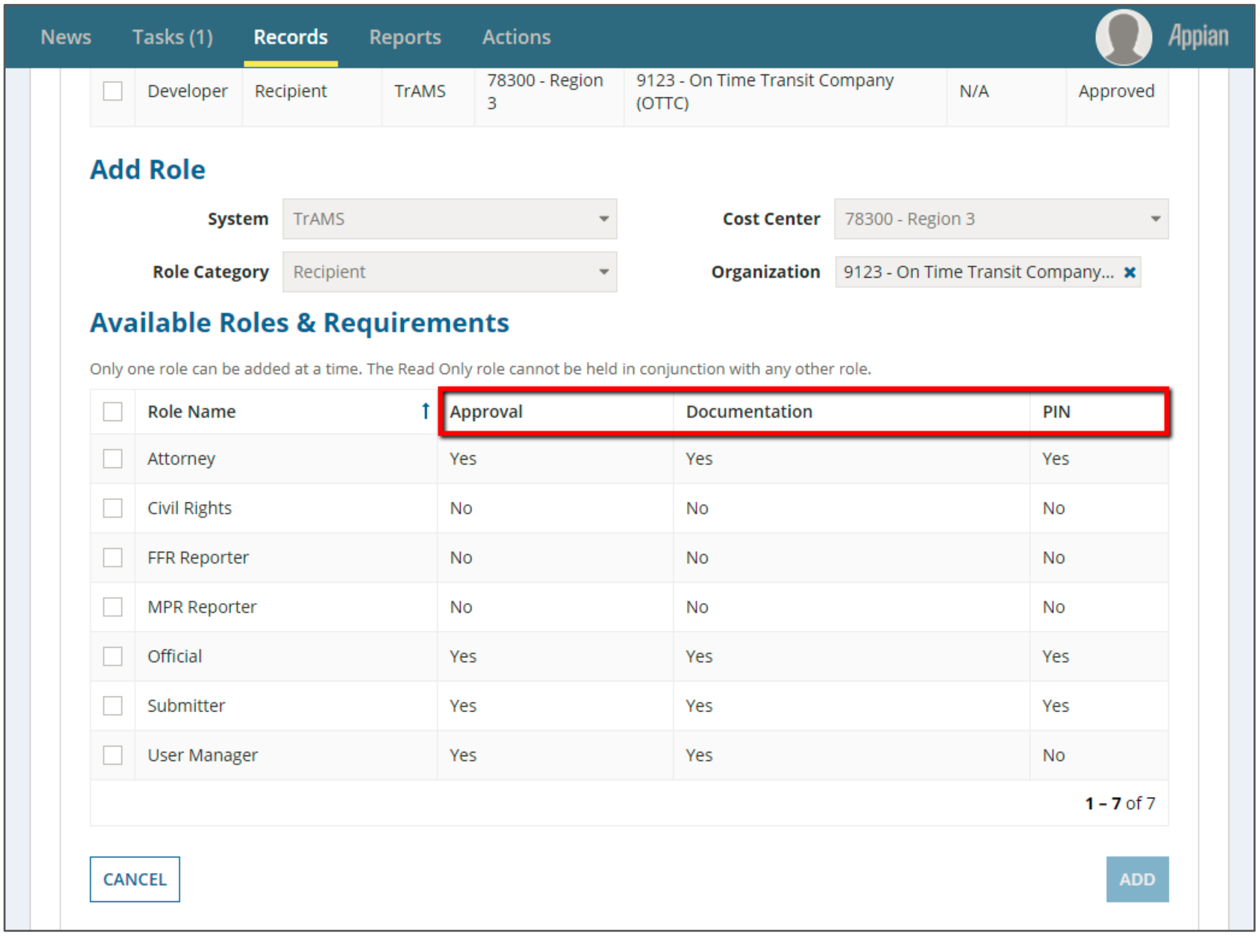


4) The role filters (System, Role Category, Cost Center, Organization) must be populated for the available roles to display. For most User Managers, these filters will automatically populate, and the fields will be locked on the screen. LSMs, Validation Analyst and GSMs may need to select a Cost Center and Organization for the 'Available Roles' to display.



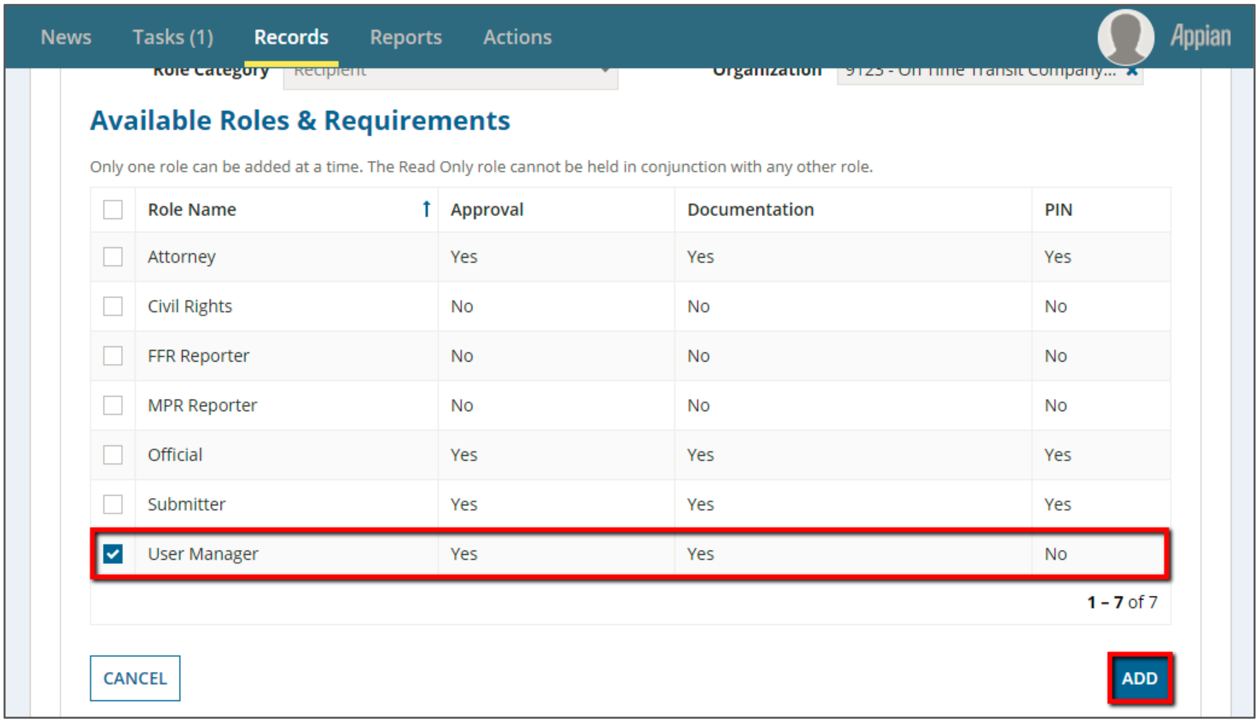
5) Potential roles for the user are listed along with default information about the user's system, role, cost center, etc. In the screenshot below, only roles available to TrAMS Recipients are listed. These roles will be granted only for the Organization that is listed.

6) Roles are further distinguished in terms of whether they require **Approval**, a justification **Document**, and/or a **PIN** for completing select actions within their system(s). Roles that require **Approval** must be approved at a level above the User Manager.

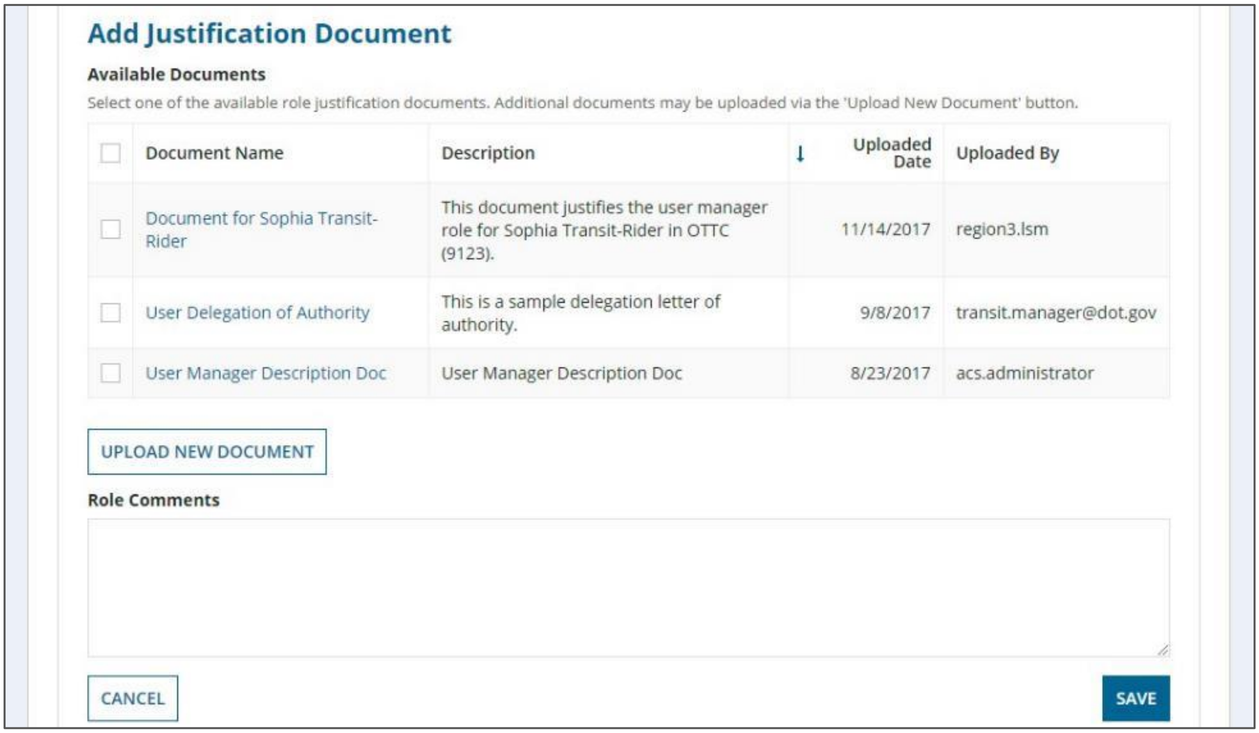


Note:	*Users cannot have a Read Only role and an active role in the same organization. If your user has a Read Only role and needs an active role, you will need to **first** delete the Read Only role.*

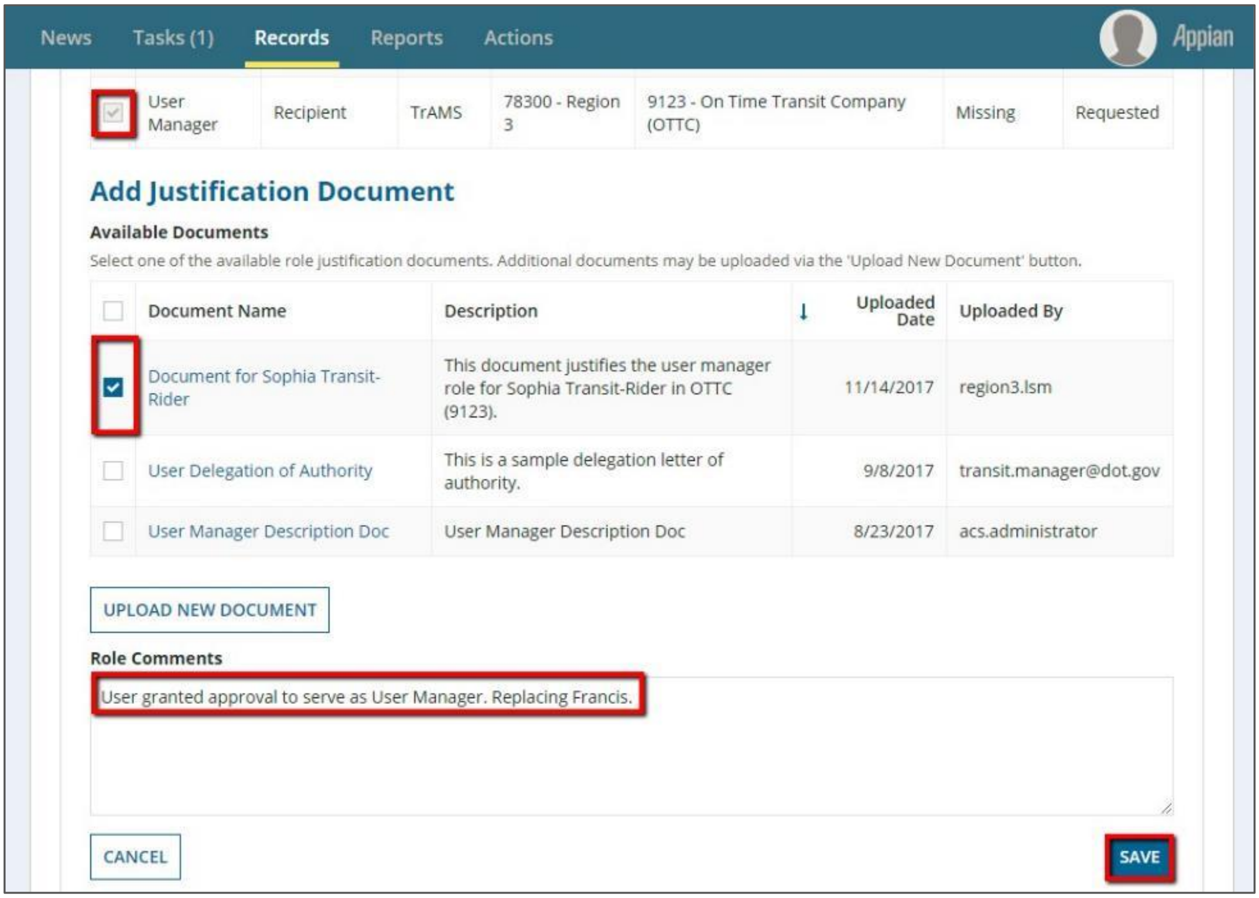
7) Select **one** of the roles presented. Only one (1) role can be added at a time. System specific rules will be enforced. See Appendix B for a list of system specific rules. Click ***Add*** to complete the assignment of a role to the individual user.



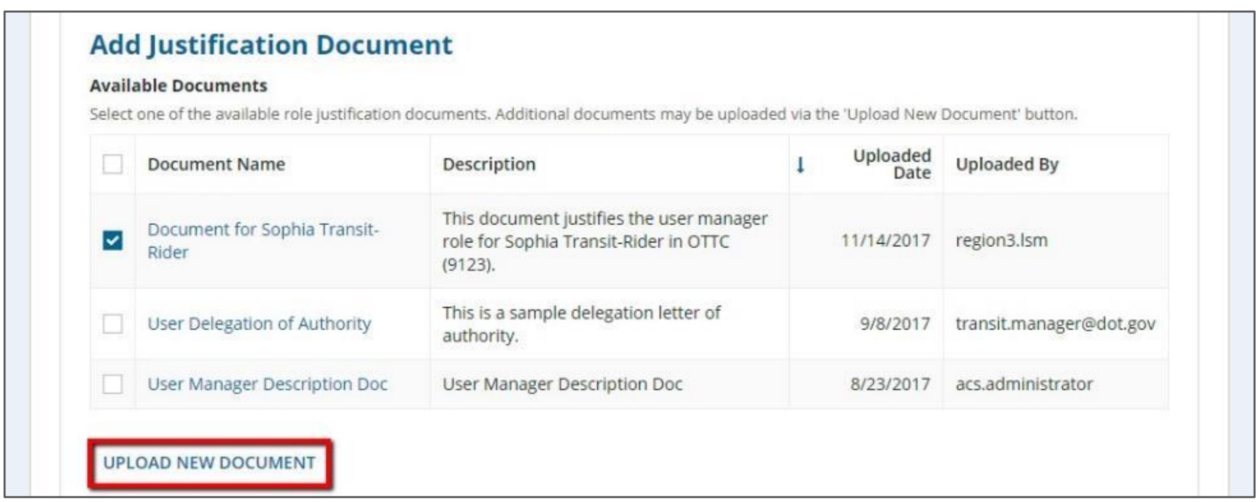
8) The user and the updated roles will display. In some cases, documentation is required before a role assignment can be submitted. In those cases, the Add Justification Document section will display. The TrAMS **Submitter**, **Attorney**, and **Official** roles all require a Delegation of Authority letter from the agency CEO to justify the role assignment. DGS and NTD **User Managers** require a letter as well. The Delegation of Authority letter template is available on the FTA public website.



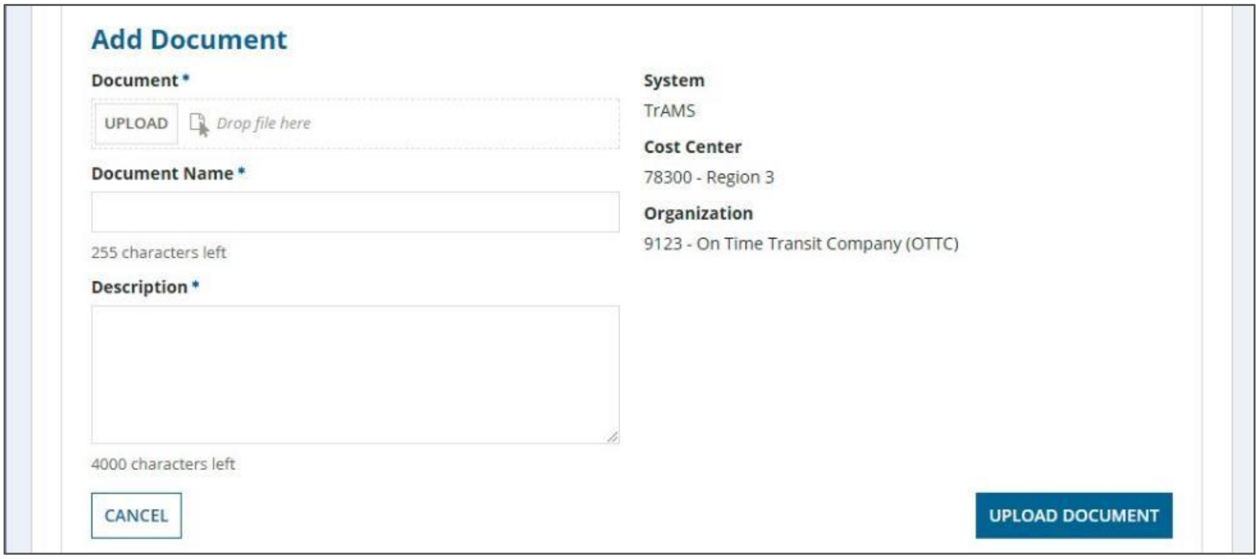
9) To associate a document with the added role, select from the list of available documents by clicking on the box next to that **Document Name**.



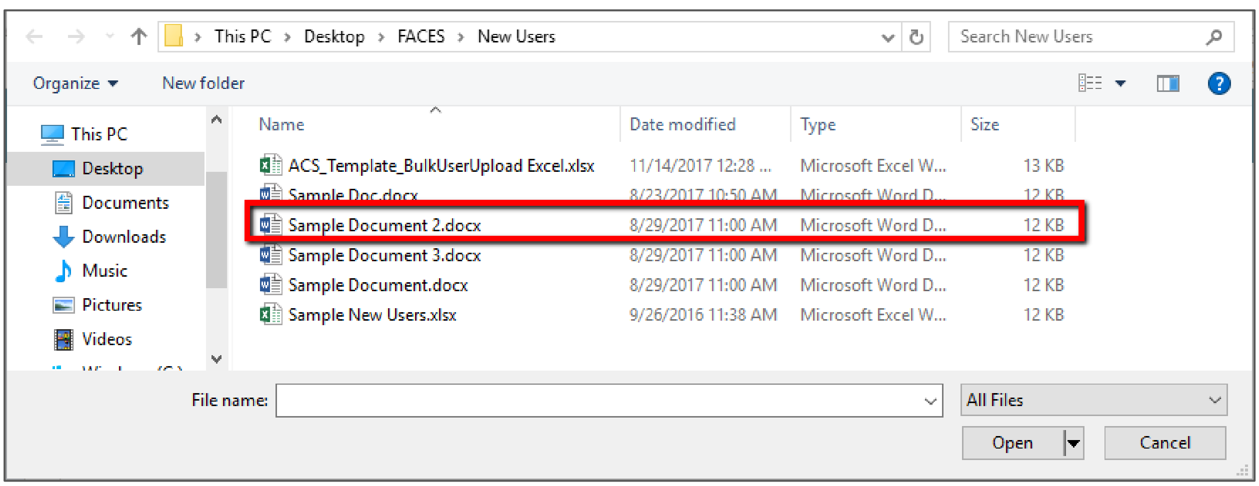
10) If the proper document isn't available, click the ***Upload New Document*** button.



11) The same upload section that is visible on the ***Manage Role Documentation*** action will display. The ***Add Document*** section will display beneath the list of available documents. Skip to Step 25 if the desired document is already available.

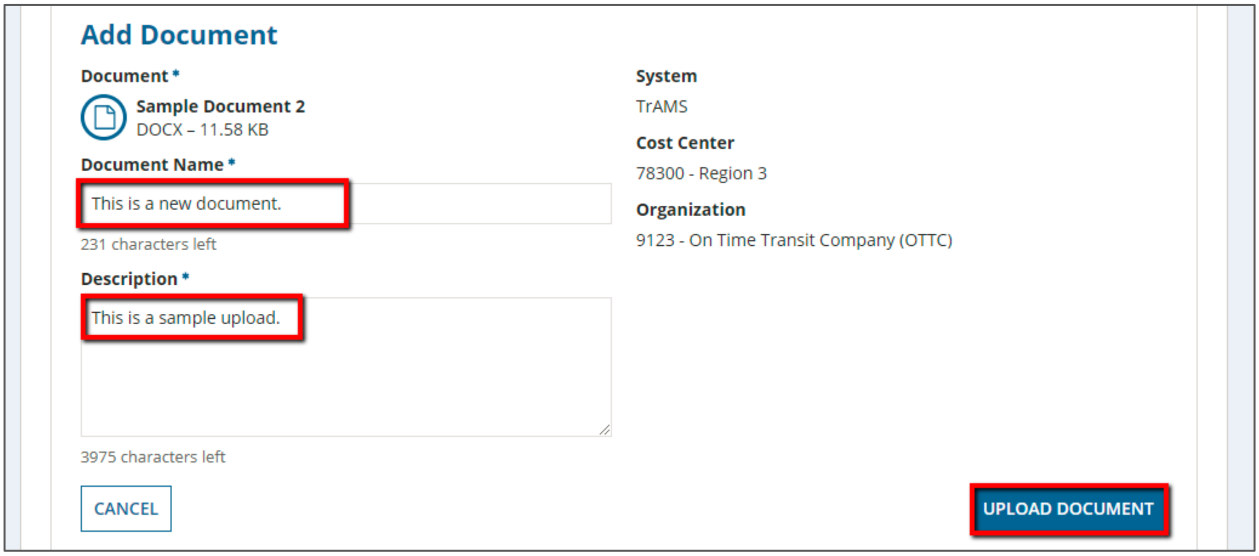


12) Click ***Upload*** to browse for the document to add. Using the Windows browse function, find and select the document to upload. Once the document has been identified, click ***Open***.



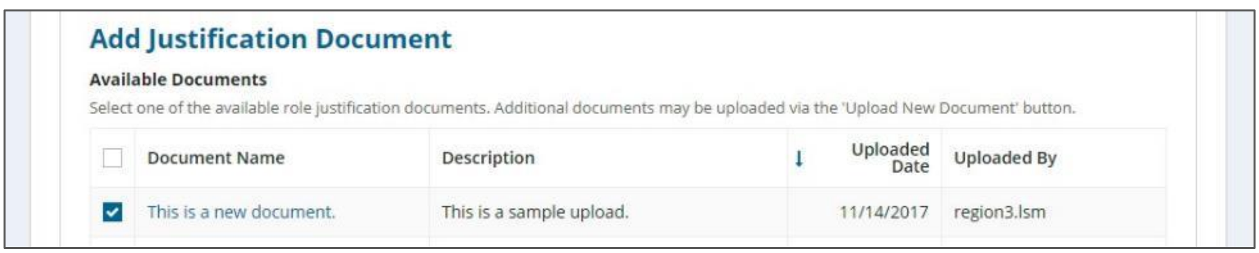
13) The appropriate document will upload.

14) Descriptive information must be entered to make the document accessible to other users and to explain what the document contains. A clear document name is essential for other users to know the document's purpose and coverage. A description that provides even more details about the document's intent, content, etc., is also advisable. Maximum characters remaining will show beneath the document name and description fields.

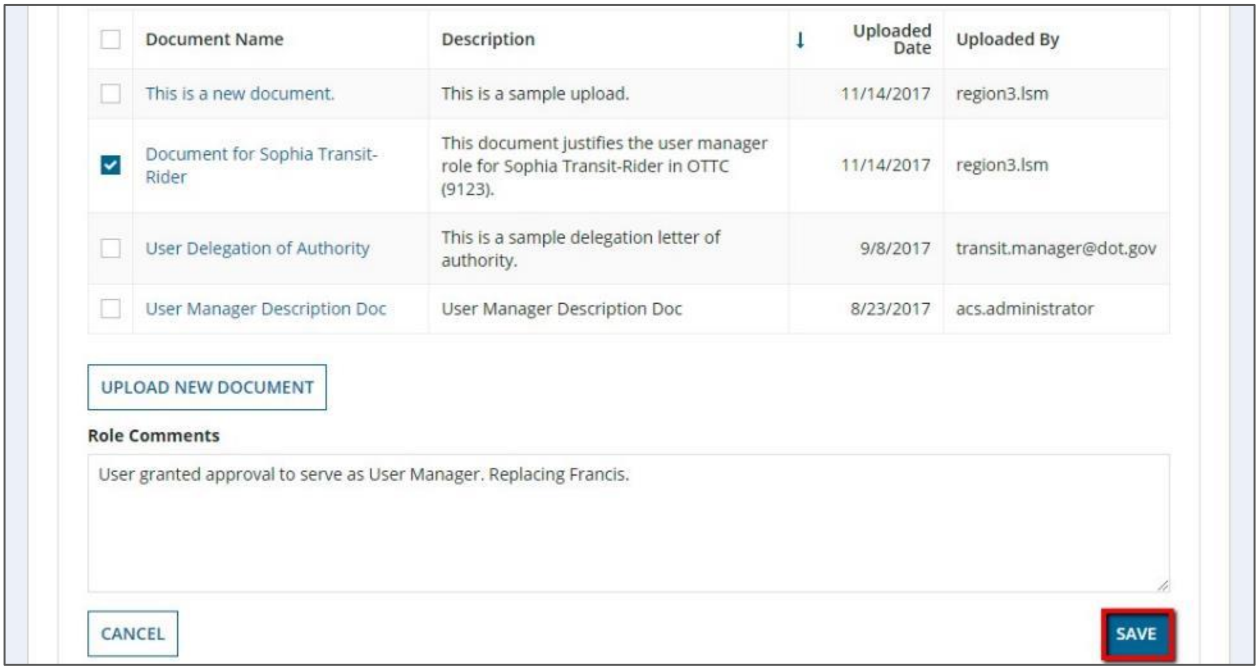


15) Once the information for the document is finalized, click ***Upload Document***.

16) The document is added to the list of available documents and is pre-selected as the appropriate document to tag to the new user role.



17) At this point, enter any comments into the **Role Comments** data entry box if there are any comments are necessary to complete the use of the document for that role, especially if the document is not obviously associated with the role. Then click ***Save***.



	Document Name	Description	Uploaded Date	Uploaded By
☐	This is a new document.	This is a sample upload.	11/14/2017	region3.lsm
☑	Document for Sophia Transit-Rider	This document justifies the user manager role for Sophia Transit-Rider in OTTC (9123).	11/14/2017	region3.lsm
☐	User Delegation of Authority	This is a sample delegation letter of authority.	9/8/2017	transit.manager@dot.gov
☐	User Manager Description Doc	User Manager Description Doc	8/23/2017	acs.administrator

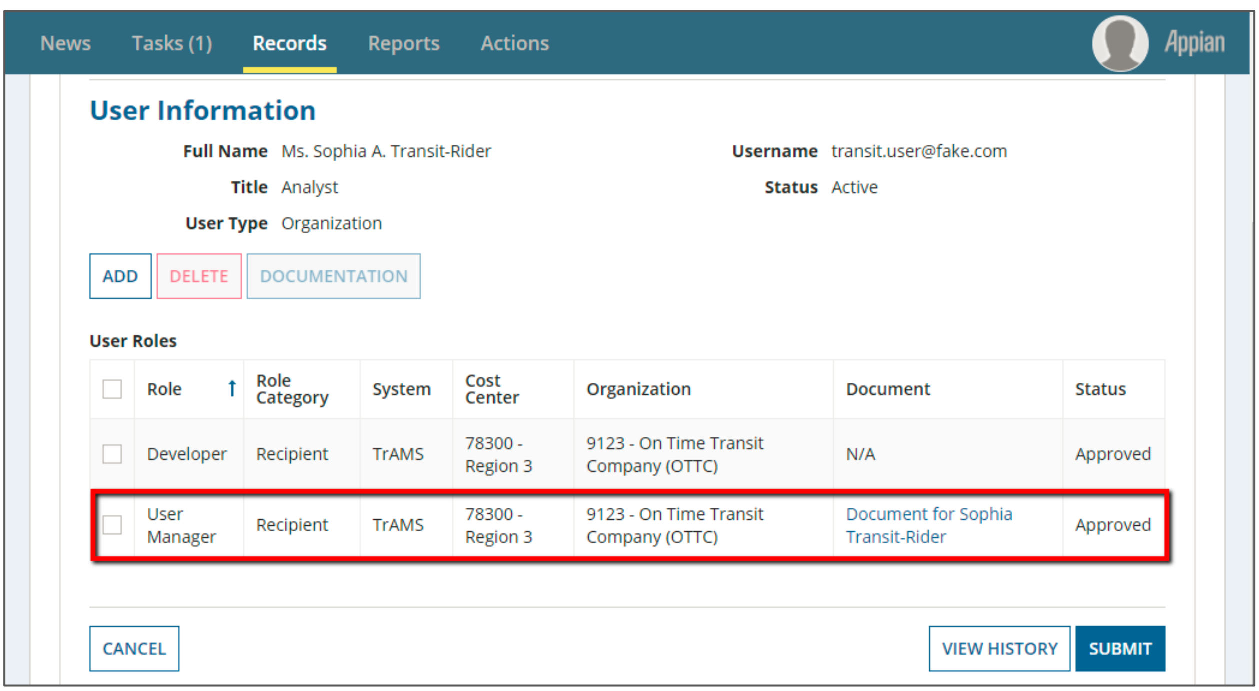
UPLOAD NEW DOCUMENT

Role Comments

User granted approval to serve as User Manager. Replacing Francis.

CANCEL SAVE

18) The Manage Roles page will redisplay with the updated role information.



News Tasks (1) Records Reports Actions Appian

User Information

Full Name Ms. Sophia A. Transit-Rider
Username transit.user@fake.com
Title Analyst
Status Active
User Type Organization

ADD DELETE DOCUMENTATION

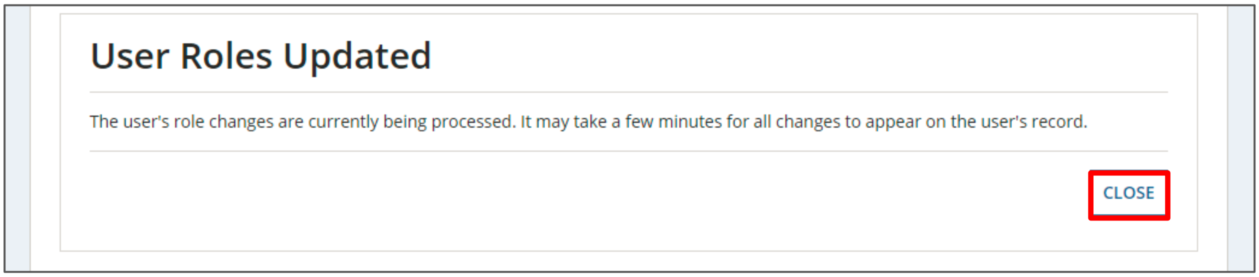
User Roles

	Role	Role Category	System	Cost Center	Organization	Document	Status
☐	Developer	Recipient	TrAMS	78300 - Region 3	9123 - On Time Transit Company (OTTC)	N/A	Approved
☐	User Manager	Recipient	TrAMS	78300 - Region 3	9123 - On Time Transit Company (OTTC)	Document for Sophia Transit-Rider	Approved

CANCEL VIEW HISTORY SUBMIT

19) Click ***Submit*** to finalize the assignment of the role(s).

20) The **User Roles Updated** page displays with a message that the roles are being processed within the system.



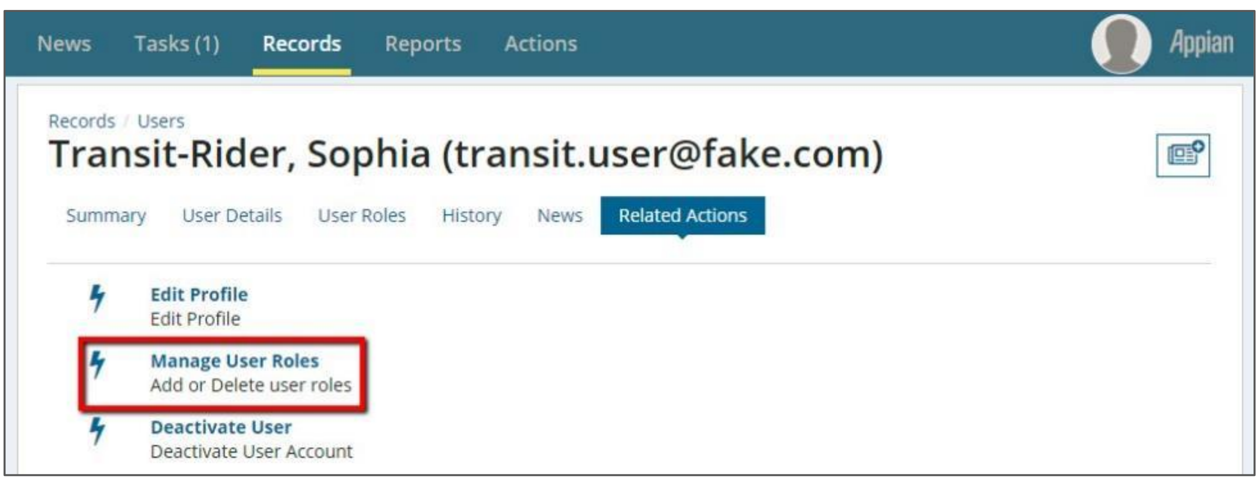
21) Click ***Close***. The **Related Actions** page displays.

7.3.2.2 Delete a Role

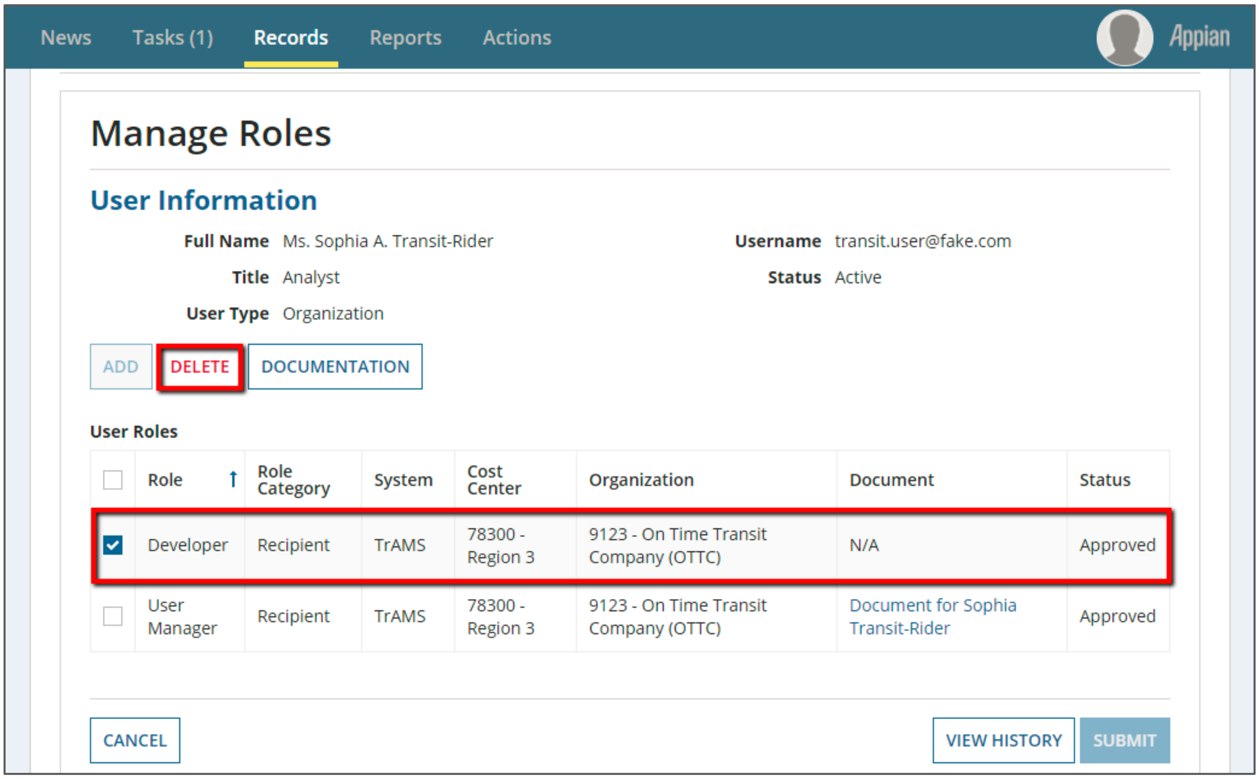
To remove a role from a user:

1) Go to the user's record and click ***Related Actions***.

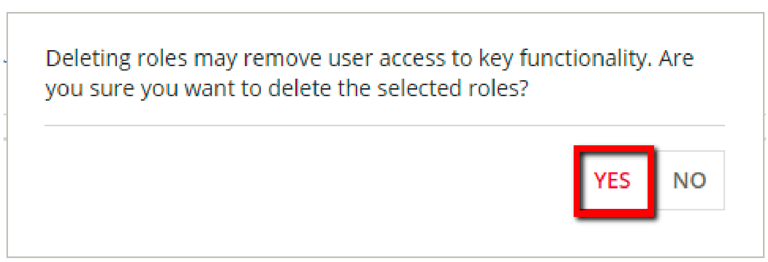
2) Click ***Manage User Roles***.



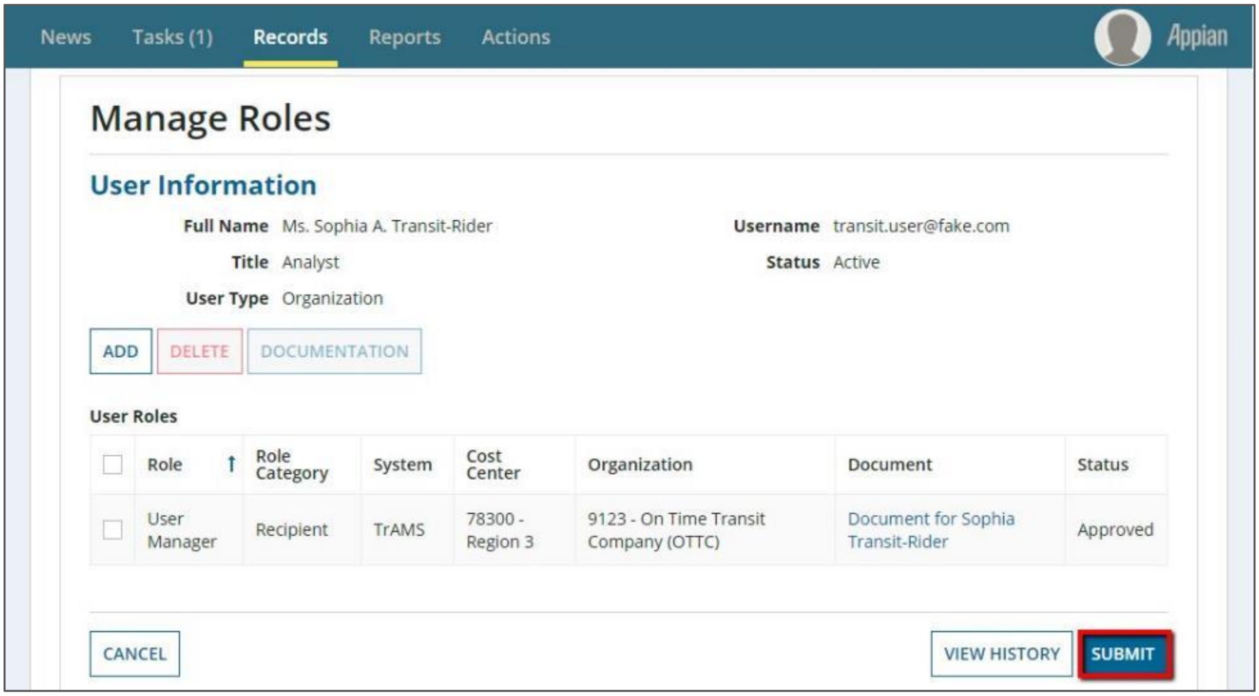
3) Select the check box associated with the role(s) to remove and click ***Delete***. Multiple roles can be removed at a time.



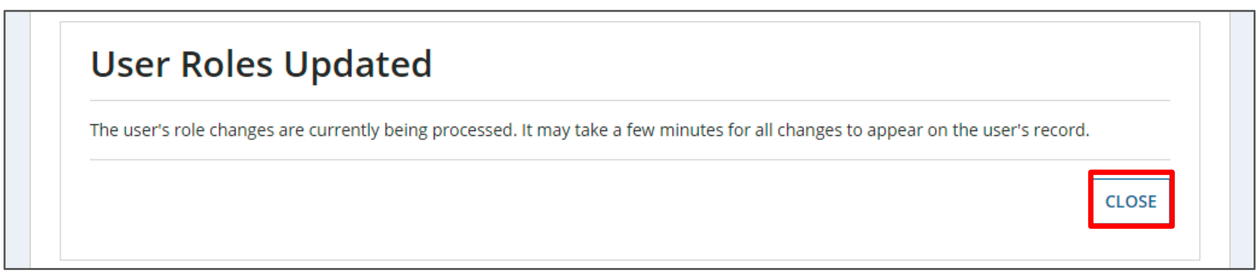
4) A prompt will display that indicates that deleting the role(s) will remove the user's access to a key functionality or process. Select ***No*** if the role should be maintained. Click ***Yes*** if the role should be removed.



5) If the role is deleted, the **Manage Roles** page will display with – the roles removed. Once all desired roles have been removed from the user's role list, click ***Submit*** to save the deletions. Click ***Cancel*** to undo any deletions and leave the form.



6) The **User Roles Updated** page will display. Click ***Close*** to return to the **Related Actions** page.

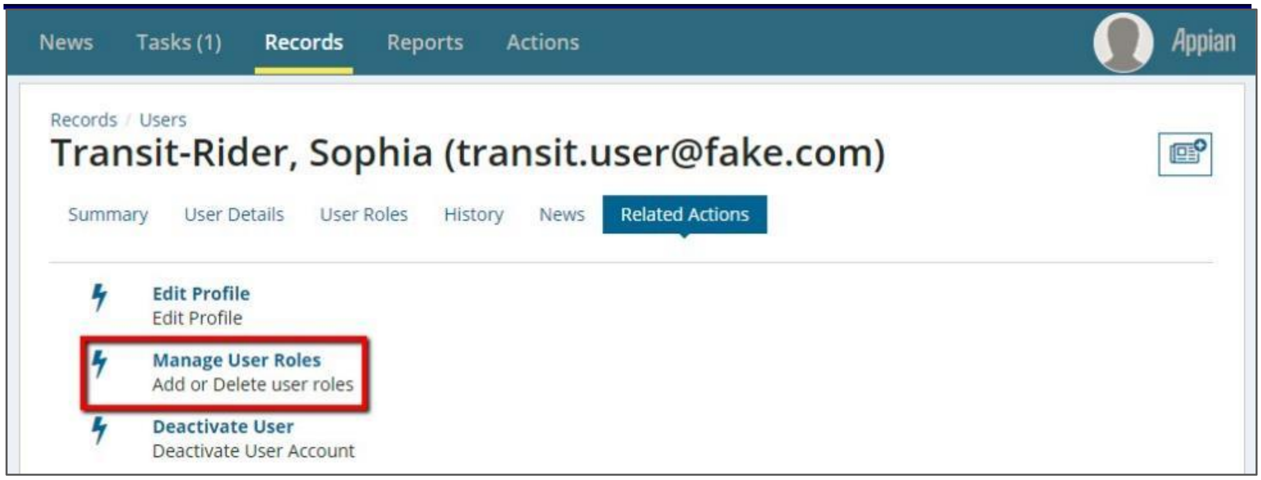


7.3.2.3 Update Role Documentation

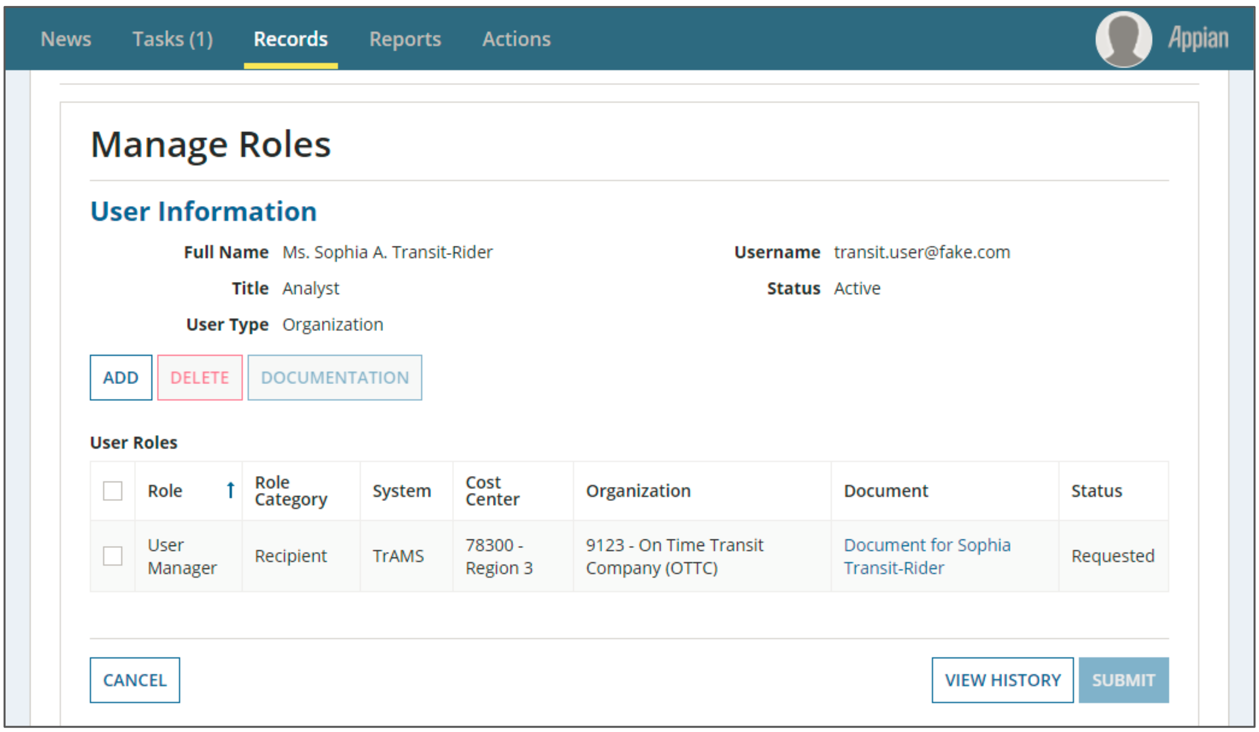
The **User Manager** may further need to manage role documentation or add a role comment for a user. Role documentation can only be updated for roles in "Requested" status. These updates may be necessary if the wrong document was uploaded or additional documentation was requested by the LSM, Validation Analyst or GSM reviewing the role request.

To manage role documentation for a user:

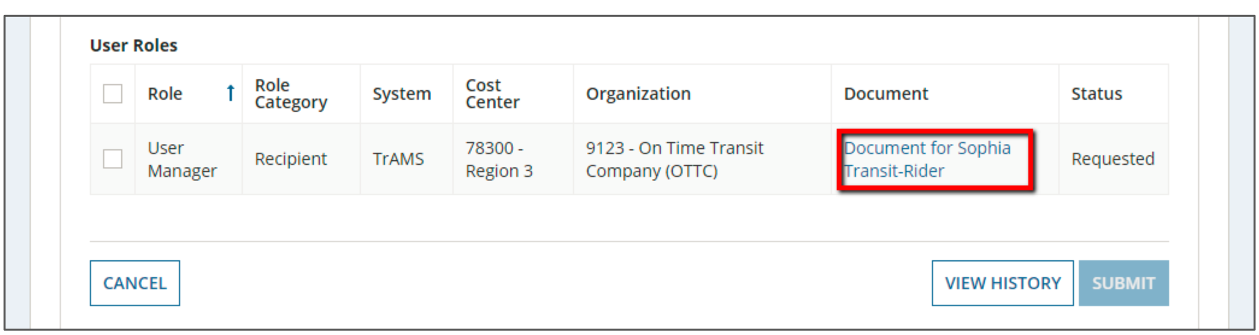
1) Go to the user's record and click ***Related Actions***.
2) Click ***Manage User Roles***



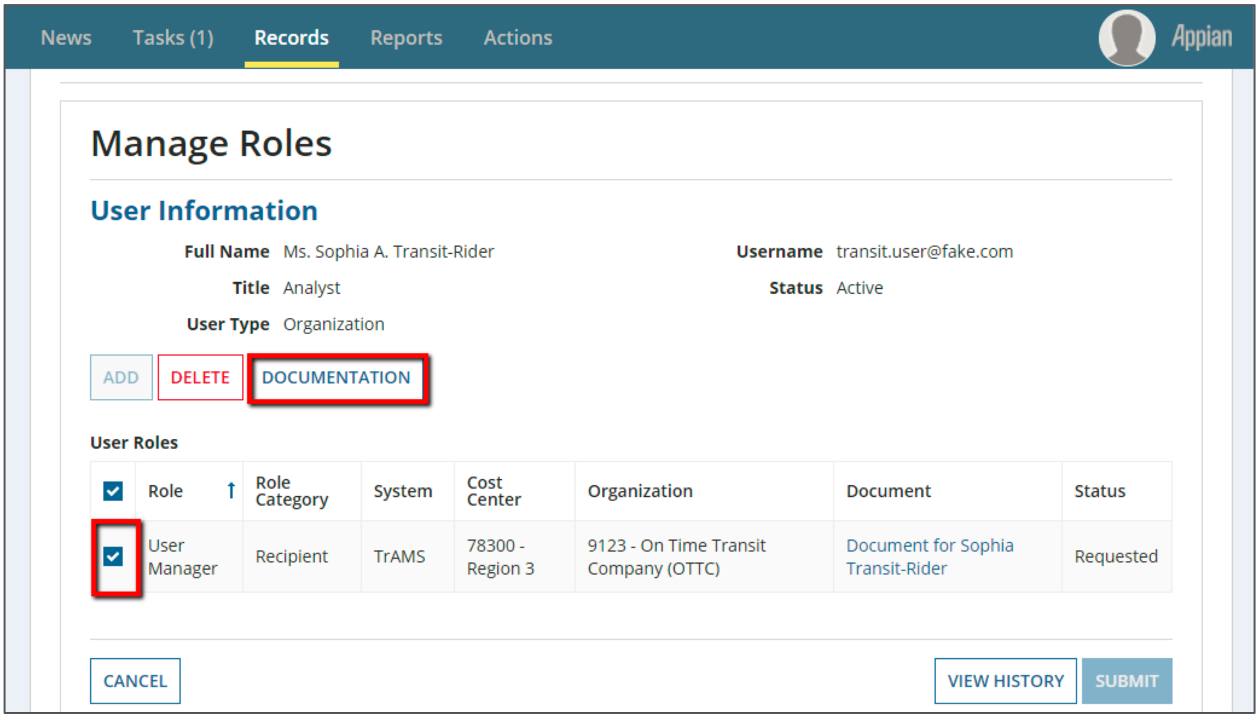
3) The **Manage Roles** page is displayed, allowing the **User Manager** to manage documentation.



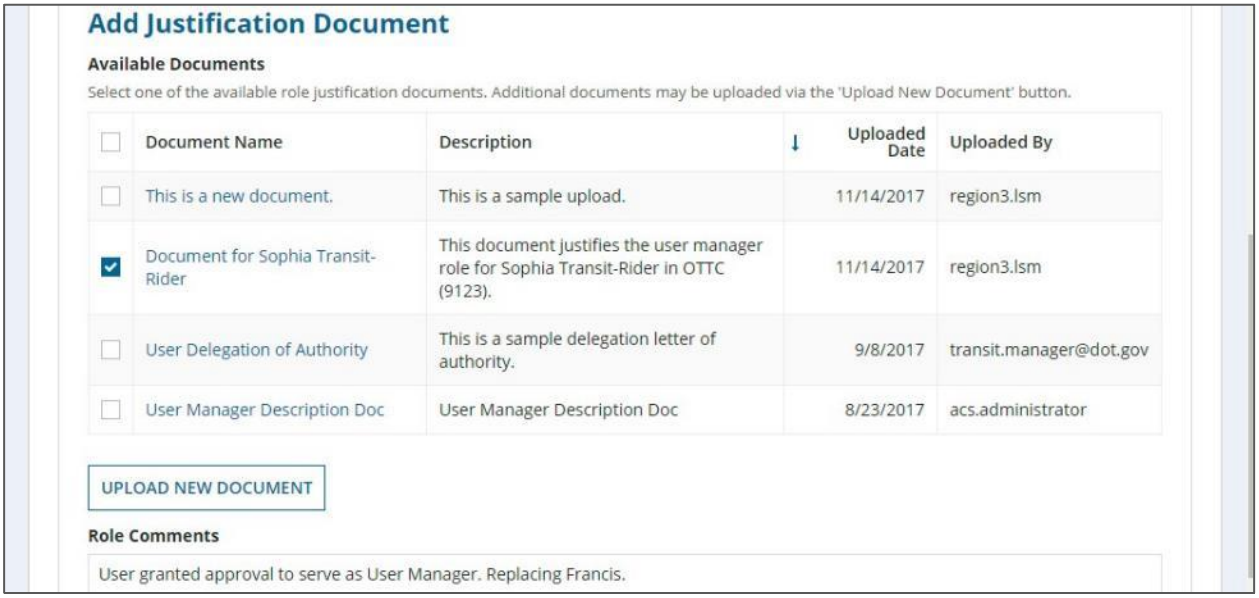
4) The **User Manager** may select the hyperlink for any document to view the contents. The associated document will open within the appropriate application for viewing. Selecting the hyperlink for the document will download the document for review.



5) To switch a justification document for a specific role, click the checkbox next to the appropriate role and then click ***Documentation***.

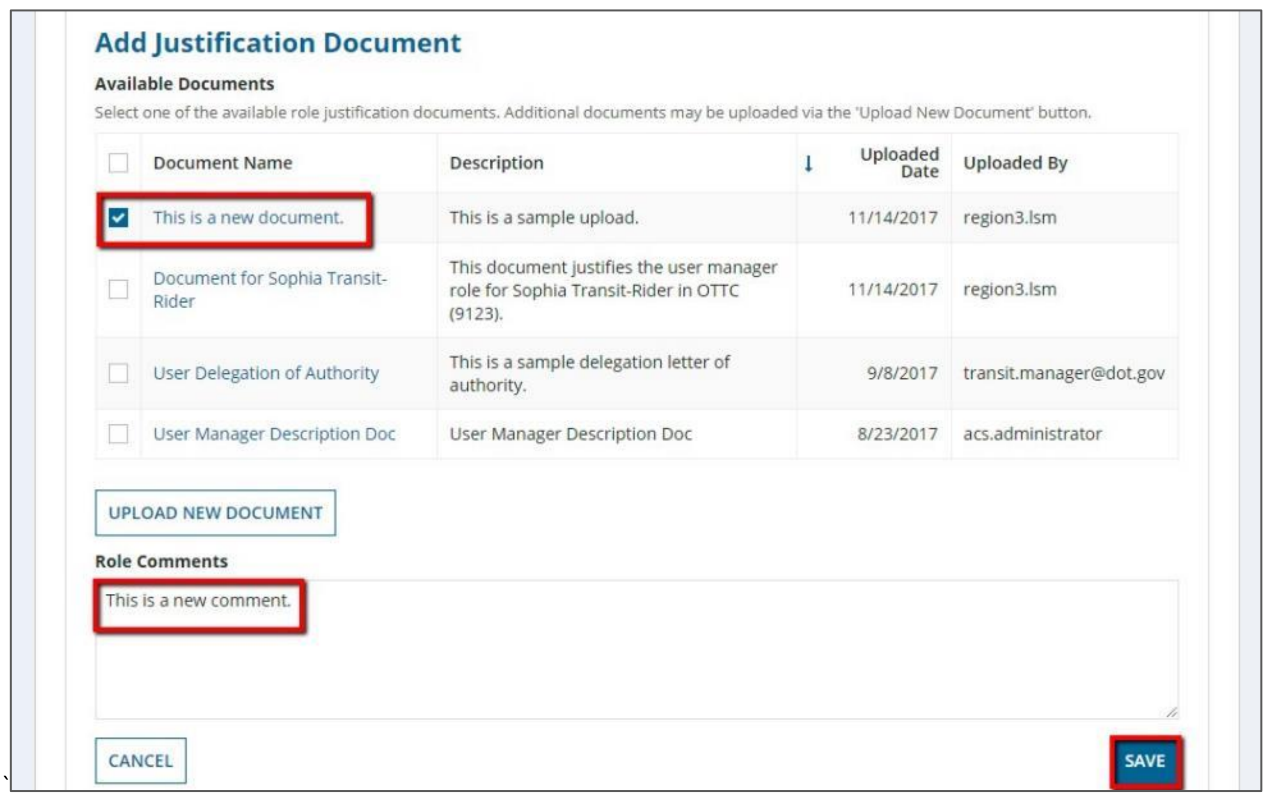


6) At this point, either select an existing document to assign to the role by clicking the required document or click the ***Upload New Document*** button to upload a new document. The same upload section that is visible on the ***Manage Role Documentation*** action will display and as described in the Add Role section. For more details on how to upload a new document, see either of these sections.

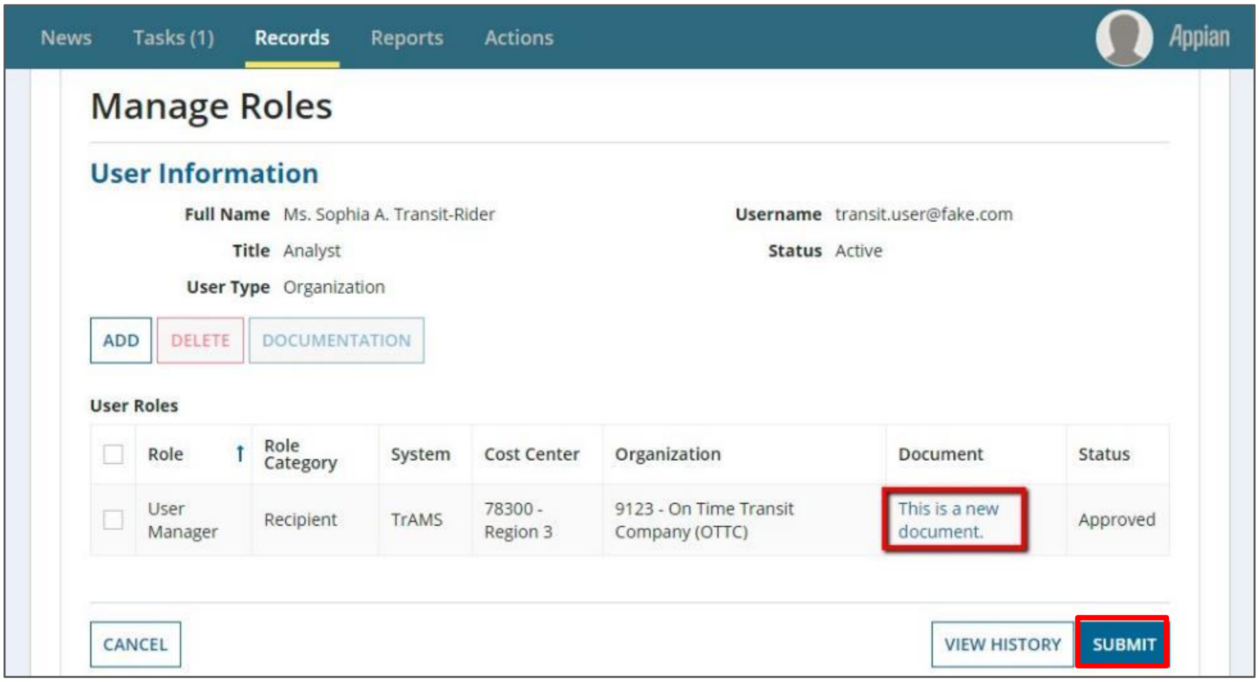


7) ***Role Comments*** can be directly added or edited. *Changes will overwrite the existing comment.*

8) Once all changes have been made, click ***Save***.

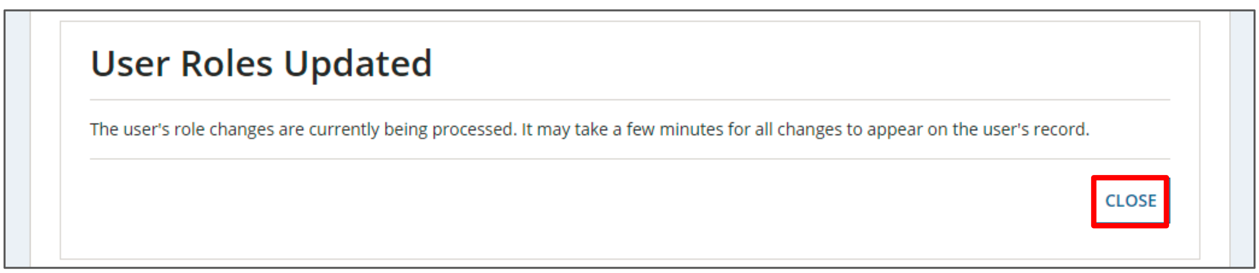


9) The **Manage Roles** page will redisplay with the updates to the role. *Comment updates will not be visible on the form.*



10) Click ***Submit*** to save the document changes.

11) A message will display indicating the user roles have been updated. Click ***Close*** to return to the **Related Actions** page.

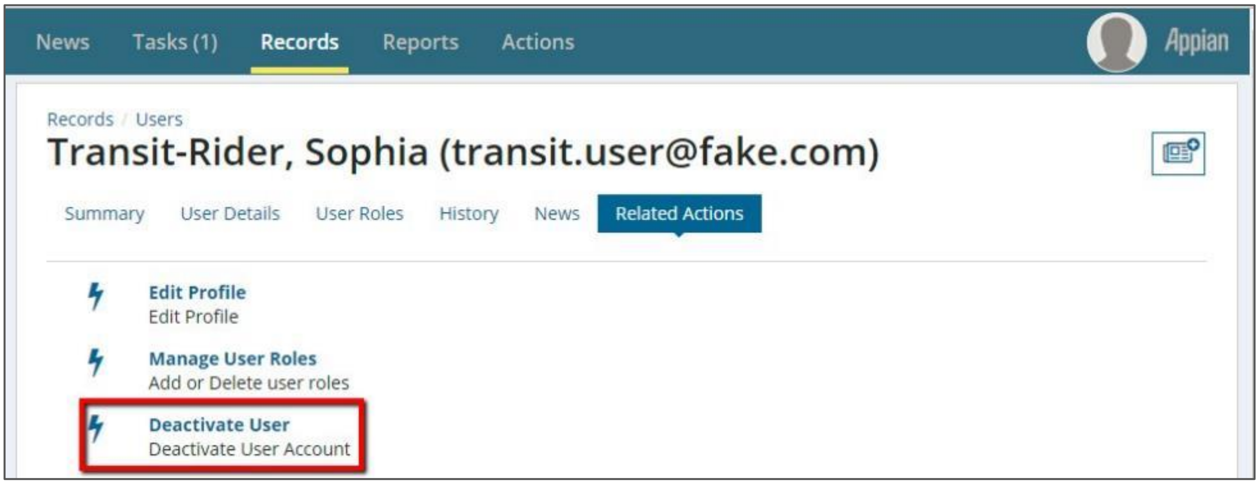


7.3.3 Related Action: Deactivate User

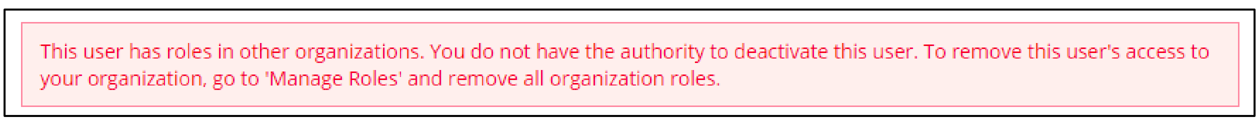
Deactivating a user will deactivate the user across the entire FTA platform – the user will be unable to log in and will have access to all systems (e.g., TrAMS, NTD and DGS) terminated. As part of deactivation, user roles are removed. Users can only be deactivated by individuals who have permission to delete all of the assigned roles. For example, if a user is associated with multiple organizations, the **User Manager** for any single organization will not be able to deactivate the user. Instead, the **User Manager** can remove user roles to remove the user's access to their organization, or, in an extreme situation, the **User Manager** can contact their **LSM or Validation Analyst** for further support. *Only users with account status Active or Active (Locked) can be deactivated. A user's status can be found on their User Details page.*

To deactivate a user:

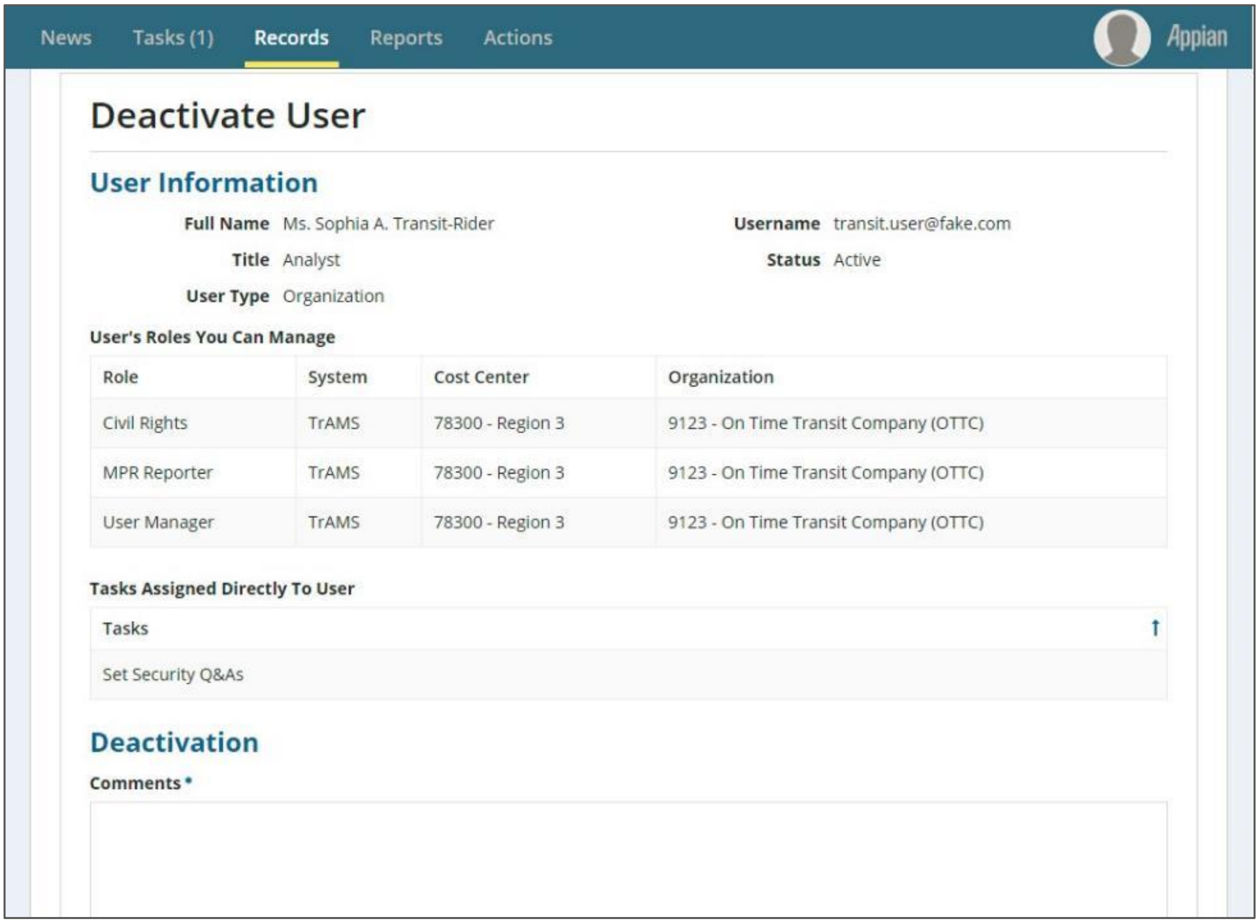
1) Go to the user's record and Click ***Related Actions*** and then click ***Deactivate User***.



2) If the User Manager, LSM, Validation Analyst or GSM does not have approval to deactivate the user, the **Deactivate User** page will display an error message. In this case, you can remove the user's access to your organization by going to ***Manage Roles*** and removing all roles for your organization(s).

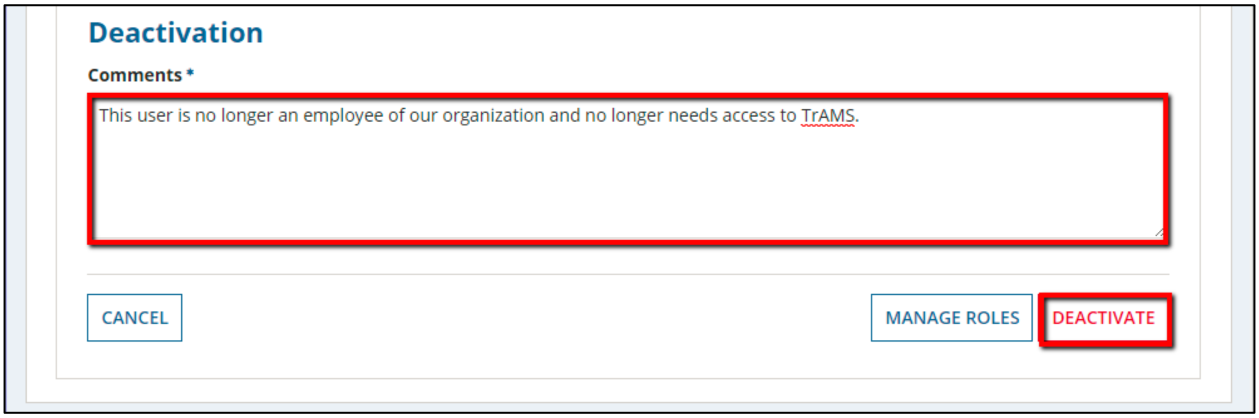


3) Otherwise, the **Deactivate User** page will display with a presentation of basic **User Information**, the **User's Roles You Can Manage**, and the **Tasks Assigned Directly** to the user.

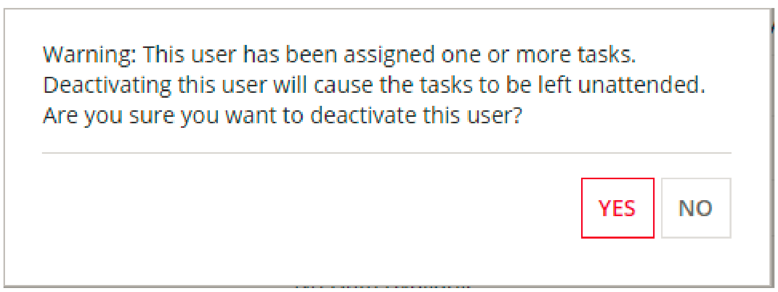


6) Click ***Cancel*** to return to the **Related Actions** page without saving any changes.

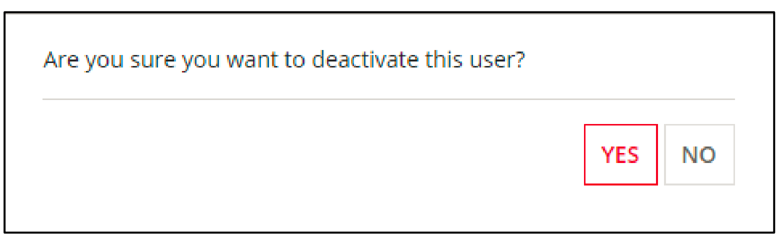
7) Enter any comments/justification for the deactivation and click ***Deactivate*** to proceed with the user deactivation. Comments are required.



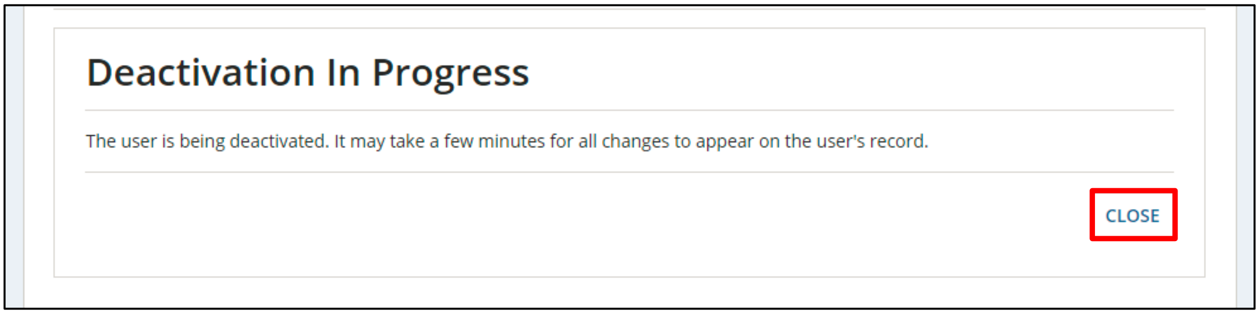
8) If any open tasks are directly assigned to the user (not to the user's role groups), the following prompt will appear: "Warning: This user has been assigned one or more tasks. Deactivating this user will cause the tasks to be left unattended. Are you sure you want to deactivate this user?" Select ***Yes*** to proceed with user deactivation. Select ***No*** to cancel the deactivation.



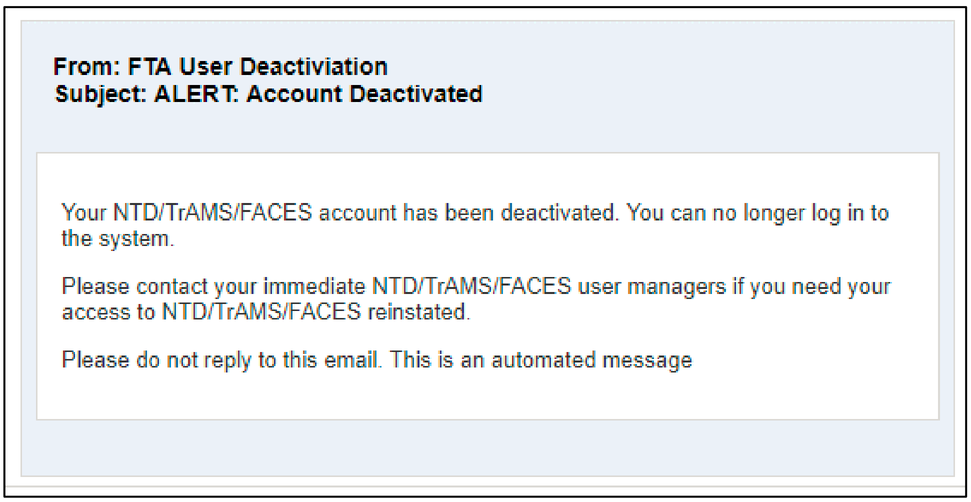
9) The user also needs to confirm the deactivation in the case where there are no unattended tasks. Select ***Yes*** when prompted with the question "Are you sure you want to deactivate this user?" to proceed with the user deactivation. Select ***No*** to cancel the deactivation:



10) On selecting ***Yes***, the system will proceed with the deactivation. The **Deactivation in Progress** page will display. Click ***Close*** to continue to the ***Related Actions.***



11) The user and all of the user's assigned managers within the system will receive an automatic email that will alert them that the account has been deactivated.



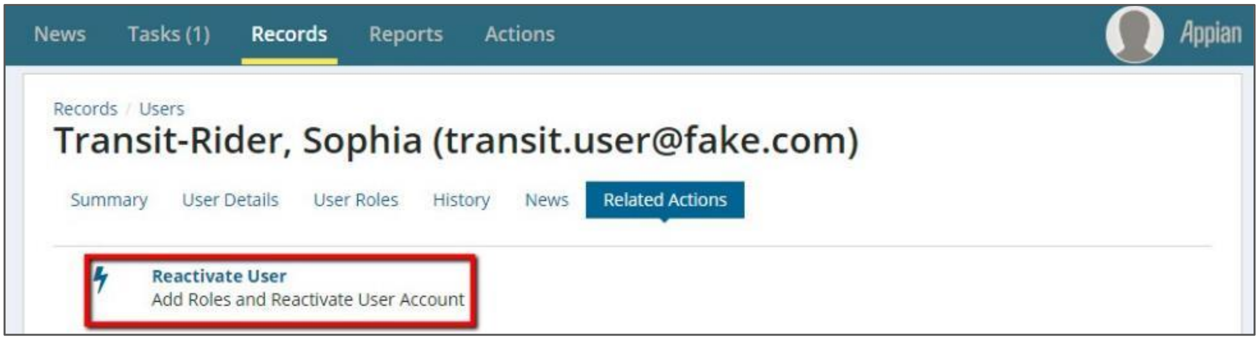
7.3.4 Related Action: Reactivate User

Inactive users may be reactivated by the **User Manager, LSM, Validation Analyst** or **GSM** of the organization that they were associated with at the time of their deactivation through the ***Reactivate User*** related action. Users can also be reactivated through the ***Create and Manage Users*** action. The second option is useful if you do not have visibility of the user's record, e.g. the user was deactivated in one organization but needs to be added to a different organization. See Section 7.2 for more information about alternate uses of the ***Create and Manage Users*** action.

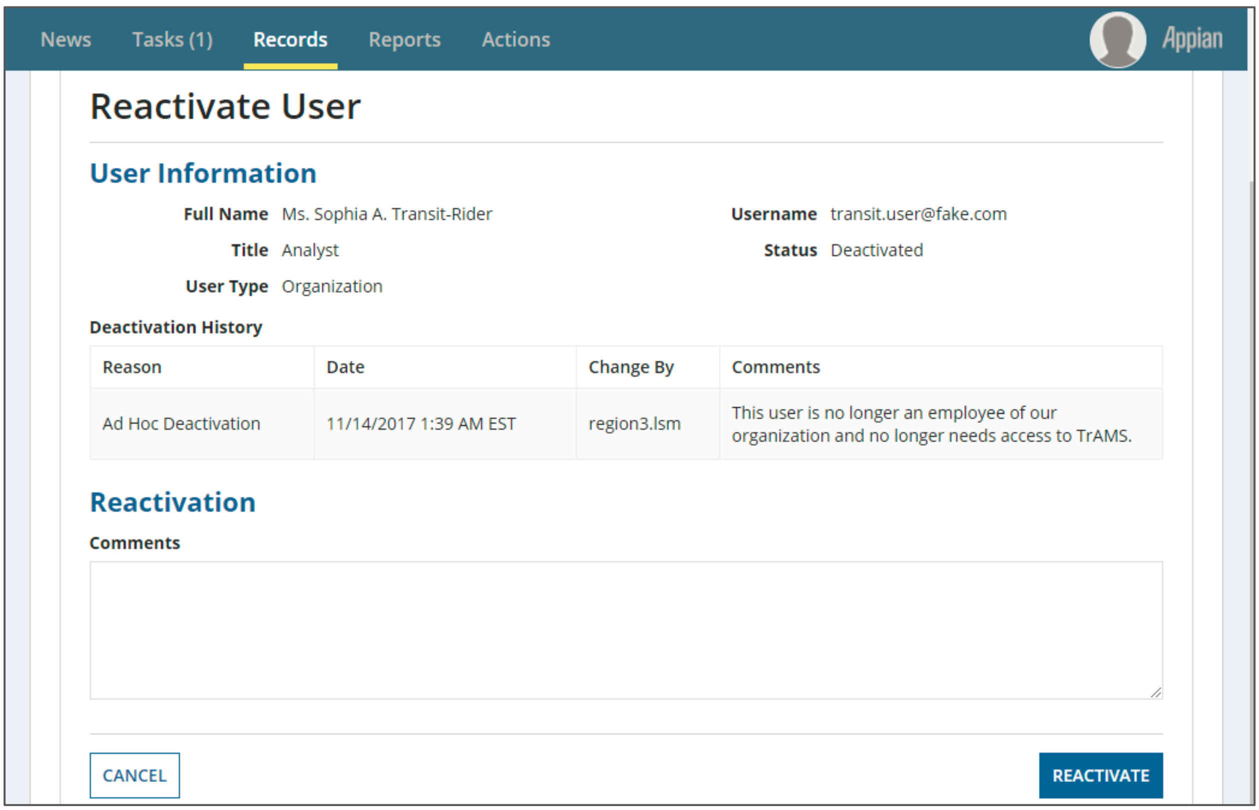
To reactivate a user with ***Inactive*** status, once the **User Summary Page** is located:

1) Go to the user's record and select ***Related Actions*.**

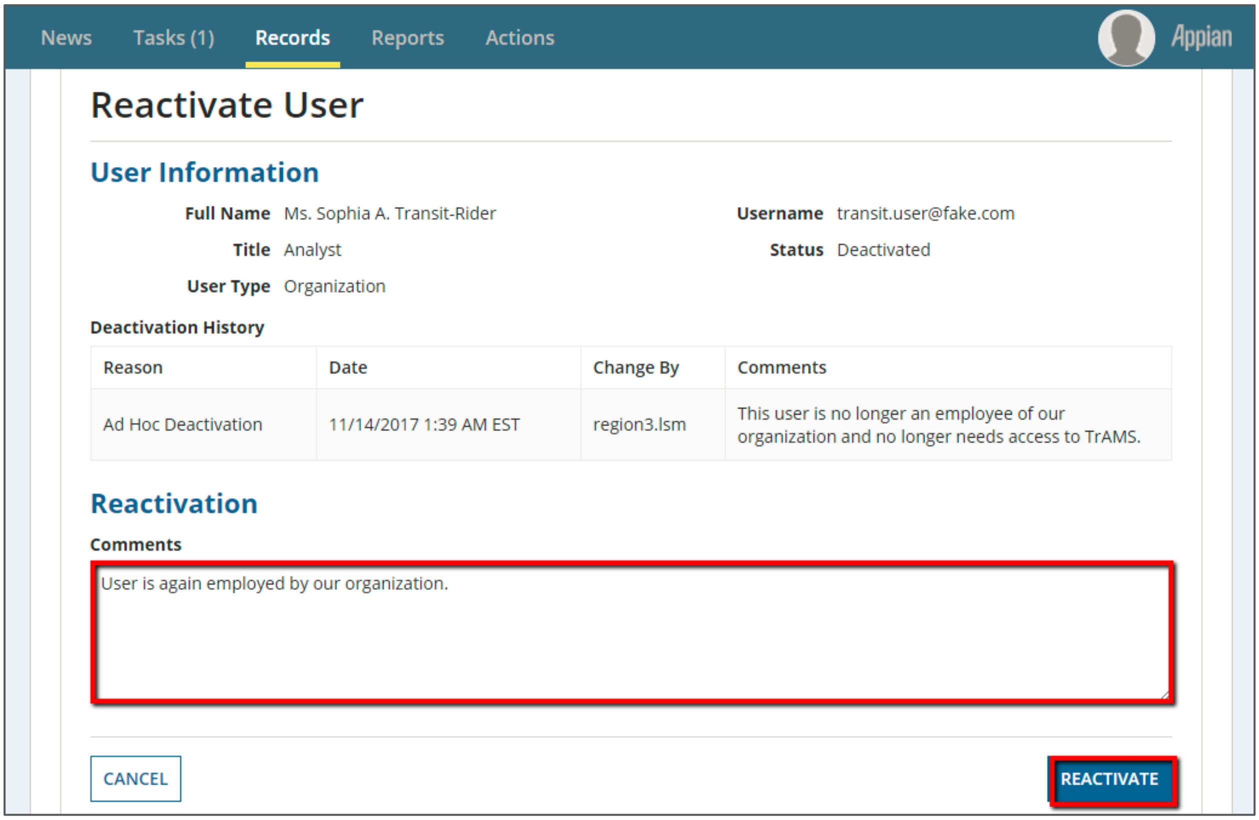
2) Click ***Reactivate User***.



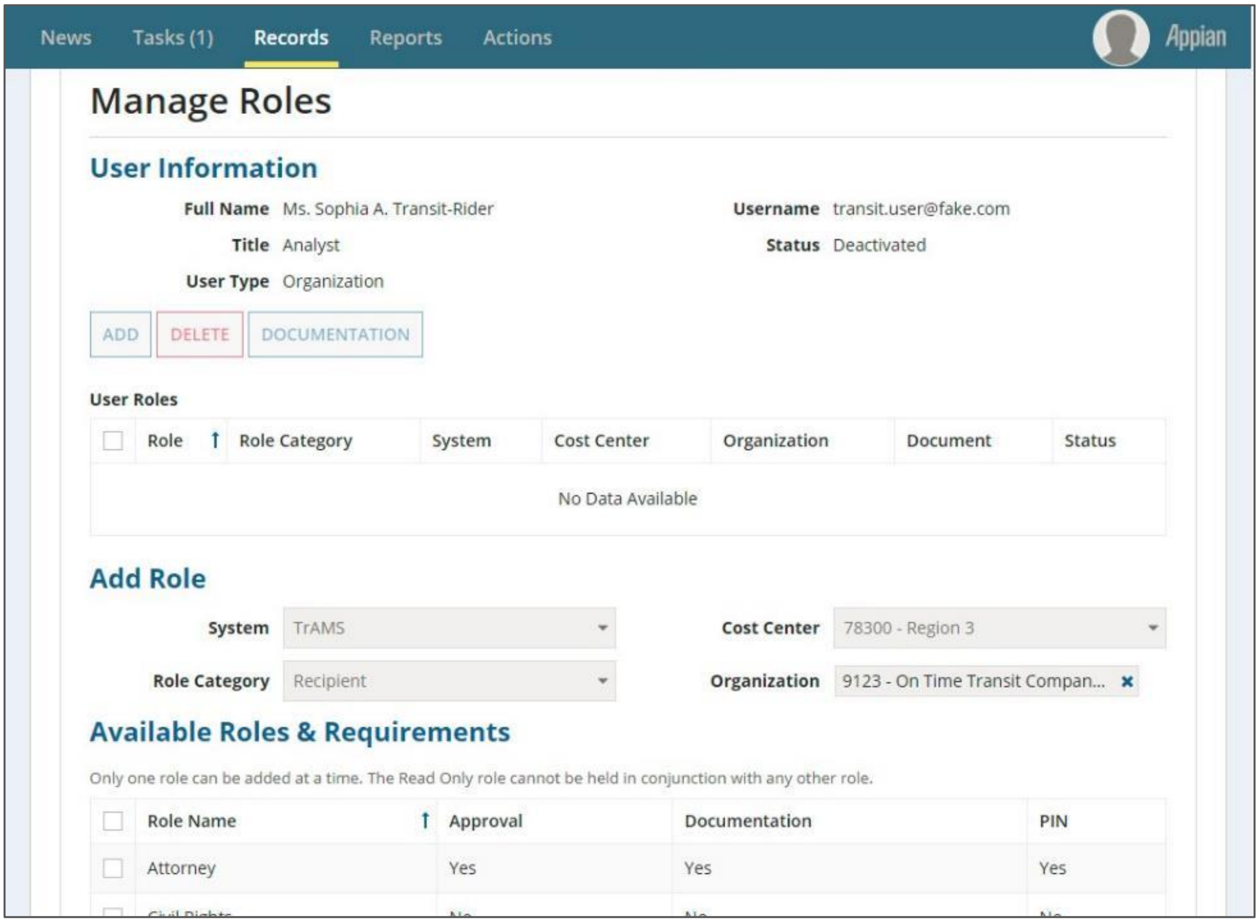
3) The **Reactivate Users** page display with basic **User Information and** showing the deactivation history. Comments justifying the reactivation are requested but not mandatory.



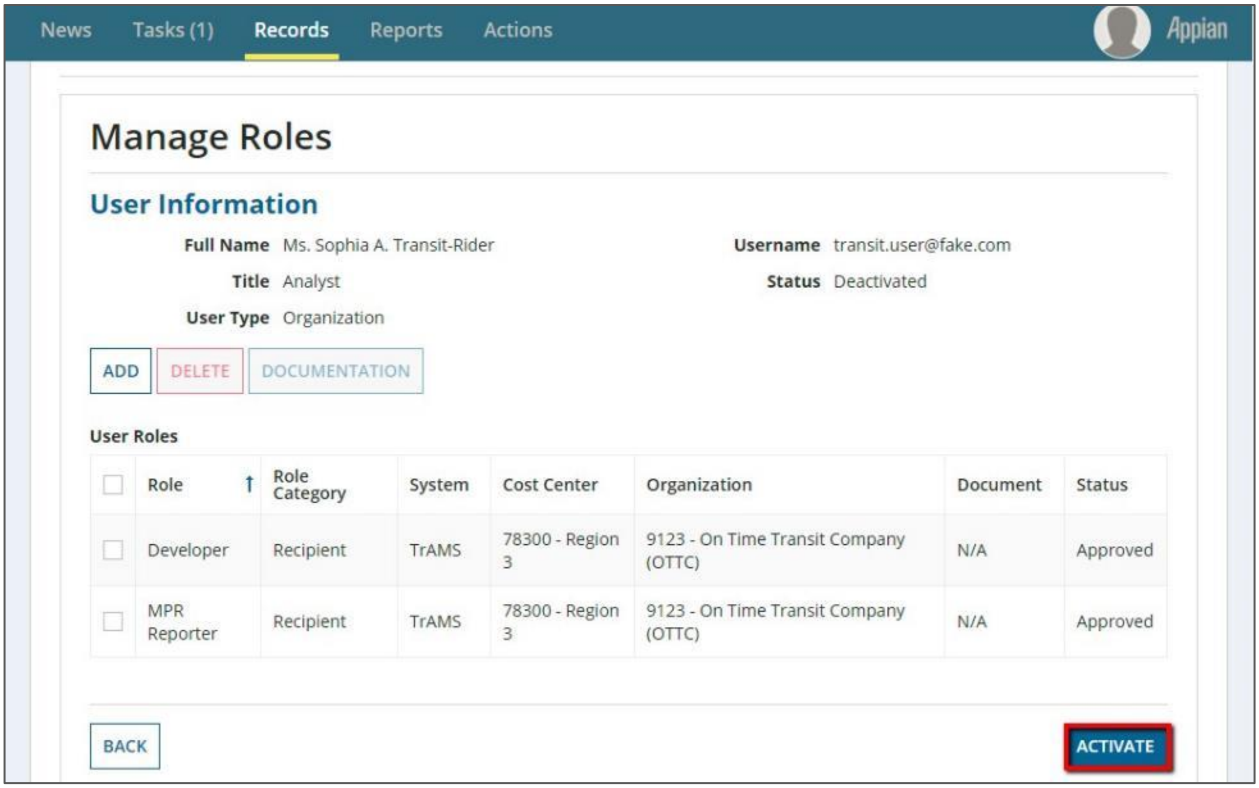
4) Enter any comments/justification for the deactivation and click ***Reactivate*** to proceed with the user reactivation.



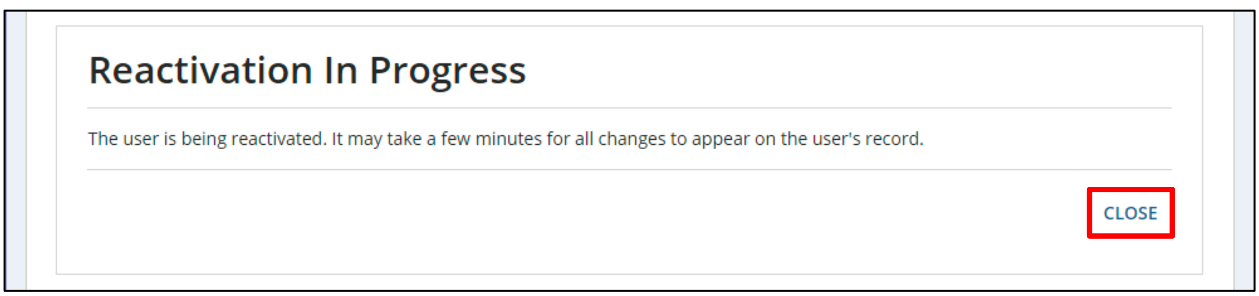
5) The ***Manage Roles*** screen will open. Add required roles for the user. The user cannot be reactivated until roles are added.



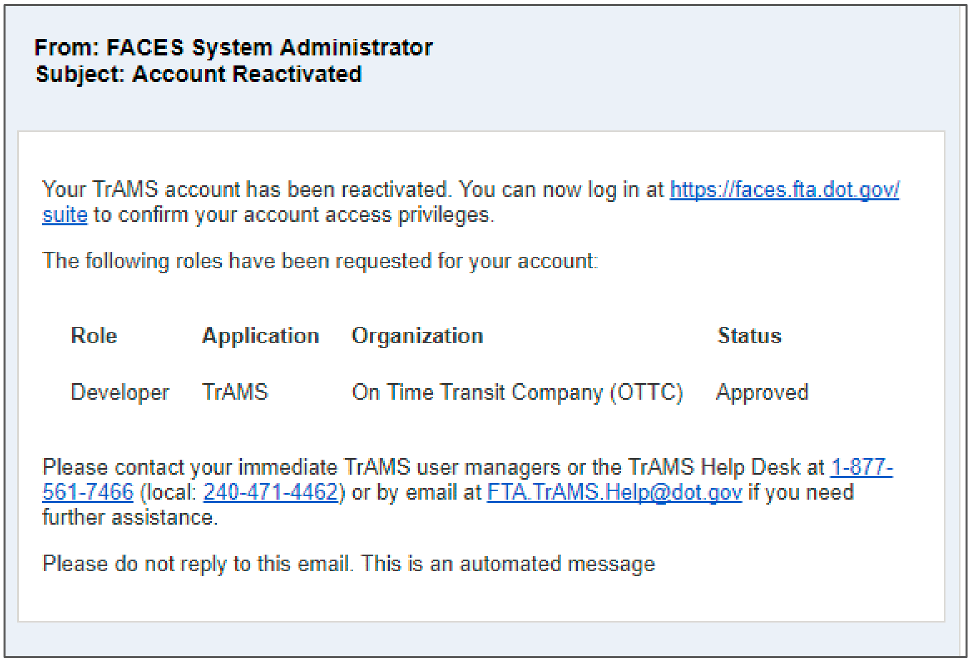
6) Add roles and then click ***Activate.***



7) A message will display that indicates the reactivation is in process. Click ***Close*** to finalize.



8) The user will receive an automatic email that will alert them that the account has been reactivated.



From: FACES System Administrator
Subject: Account Reactivated

Your TrAMS account has been reactivated. You can now log in at https://faces.fta.dot.gov/suite to confirm your account access privileges.

The following roles have been requested for your account:

Role	Application	Organization	Status
Developer	TrAMS	On Time Transit Company (OTTC)	Approved

Please contact your immediate TrAMS user managers or the TrAMS Help Desk at 1-877-561-7466 (local: 240-471-4462) or by email at FTA.TrAMS.Help@dot.gov if you need further assistance.

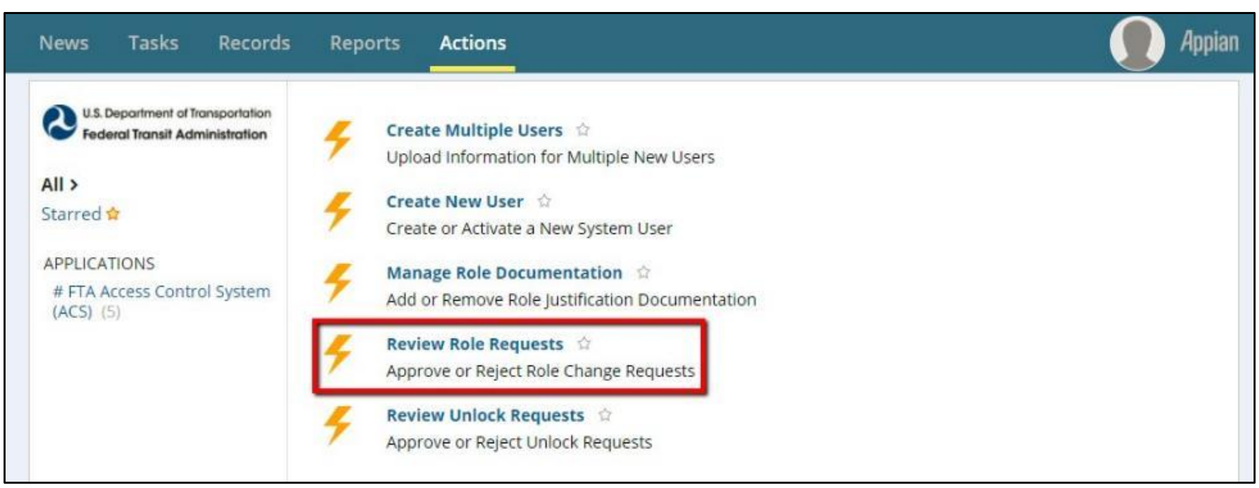
Please do not reply to this email. This is an automated message

7.3.5 Action: Review Role Requests

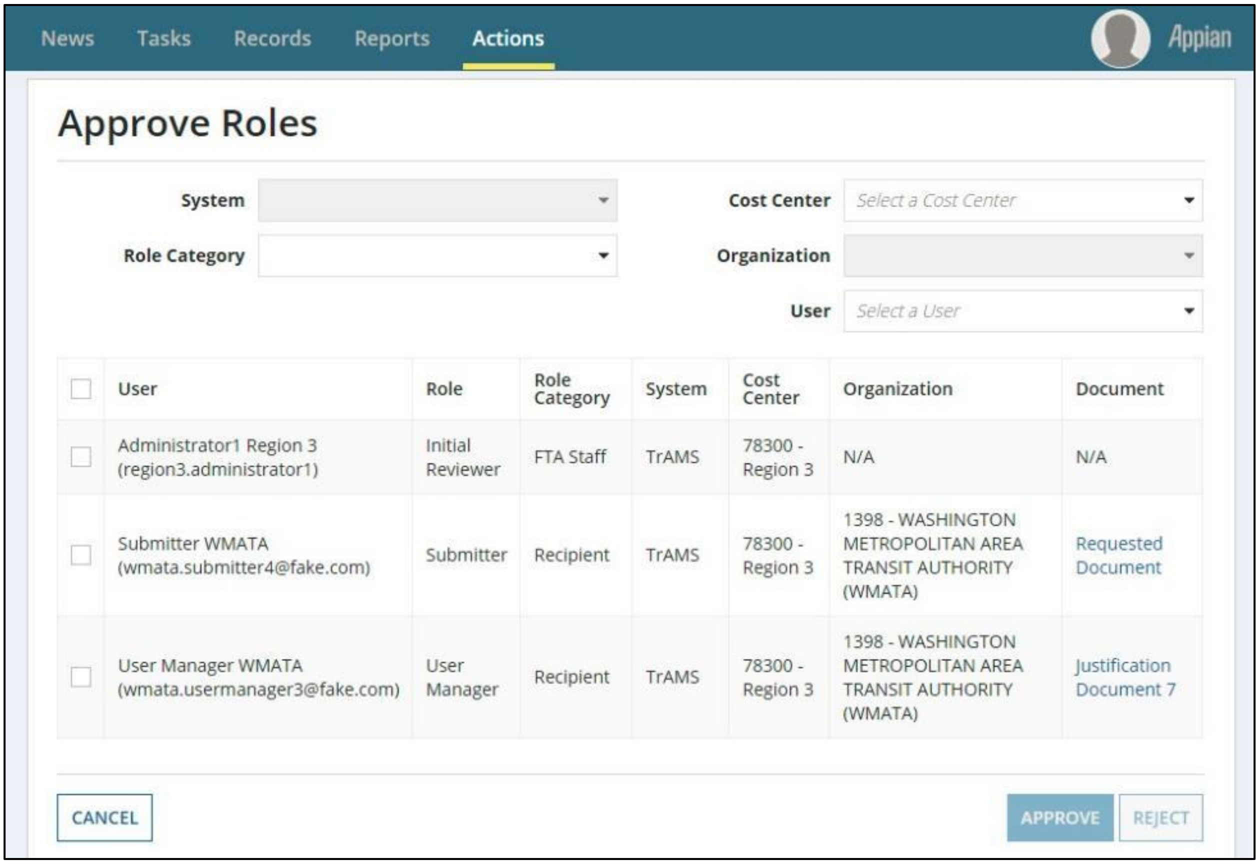
Some roles added by **User Managers** require elevated approvals. This includes the TrAMS Recipient roles (Submitter, Official, and Attorney). *No NTD or DGS roles require elevated approvals at this time.* When these roles are added on the ***Manage Roles*** page, a role request is generated. The appropriate **LSMs or Validation Analyst** will receive an email notification with a link to the ***Review Role Requests*** action. Role requests can be reviewed by any **LSM or Validation Analyst** within the appropriate Cost Center. In extreme cases, **GSMs** can also complete the role request review. **GSMs** will see all active role requests for their system.

To review a role request:

1) Go to the Actions tab and click ***Review Role Requests.***



2) The ***Approve Roles*** form will open.



News Tasks Records Reports Actions Appian

Approve Roles

System

Cost Center: Select a Cost Center

Role Category

Organization

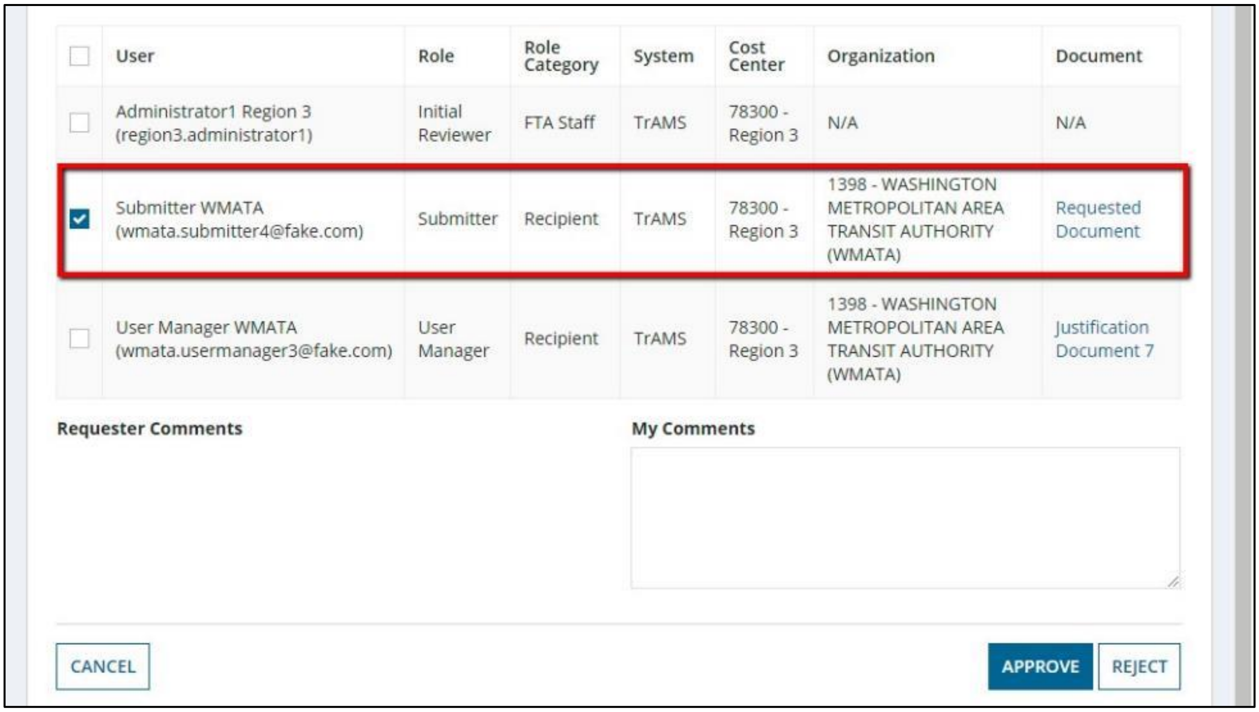
User: Select a User

	User	Role	Role Category	System	Cost Center	Organization	Document
☐	Administrator1 Region 3 (region3.administrator1)	Initial Reviewer	FTA Staff	TrAMS	78300 - Region 3	N/A	N/A
☐	Submitter WMATA (wmata.submitter4@fake.com)	Submitter	Recipient	TrAMS	78300 - Region 3	1398 - WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (WMATA)	Requested Document
☐	User Manager WMATA (wmata.usermanager3@fake.com)	User Manager	Recipient	TrAMS	78300 - Region 3	1398 - WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (WMATA)	Justification Document 7

CANCEL APPROVE REJECT

3) The pending role requests that the viewer has permissions to approve will be visible. For each request, the user’s name, username, role, a link to the justification document, and other key details will be included.

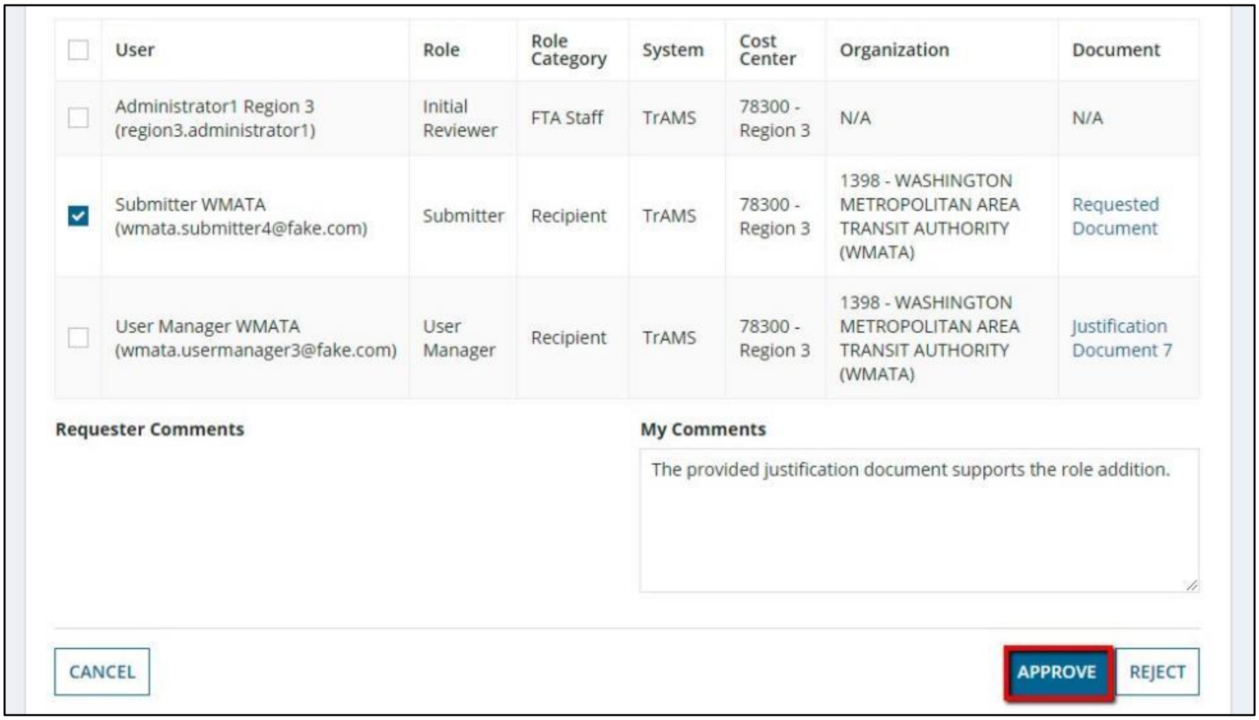
4) To review a role request, click the checkbox next to the user's name.



5) Additional details about the request will display beneath the table of requests. The reviewer can see any comments made by the requestor.

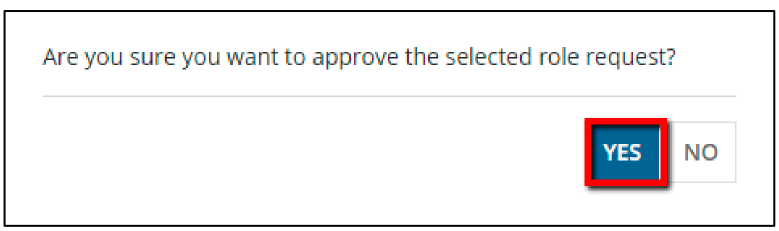
6) To review the associated justification document, click the document hyperlink in the table. The document will download.

7) When the reviewer has reached a decision, enter any comments in the *My Comments* box and then click either ***Approve*** or ***Reject***. Comments must be 4000 characters or less.

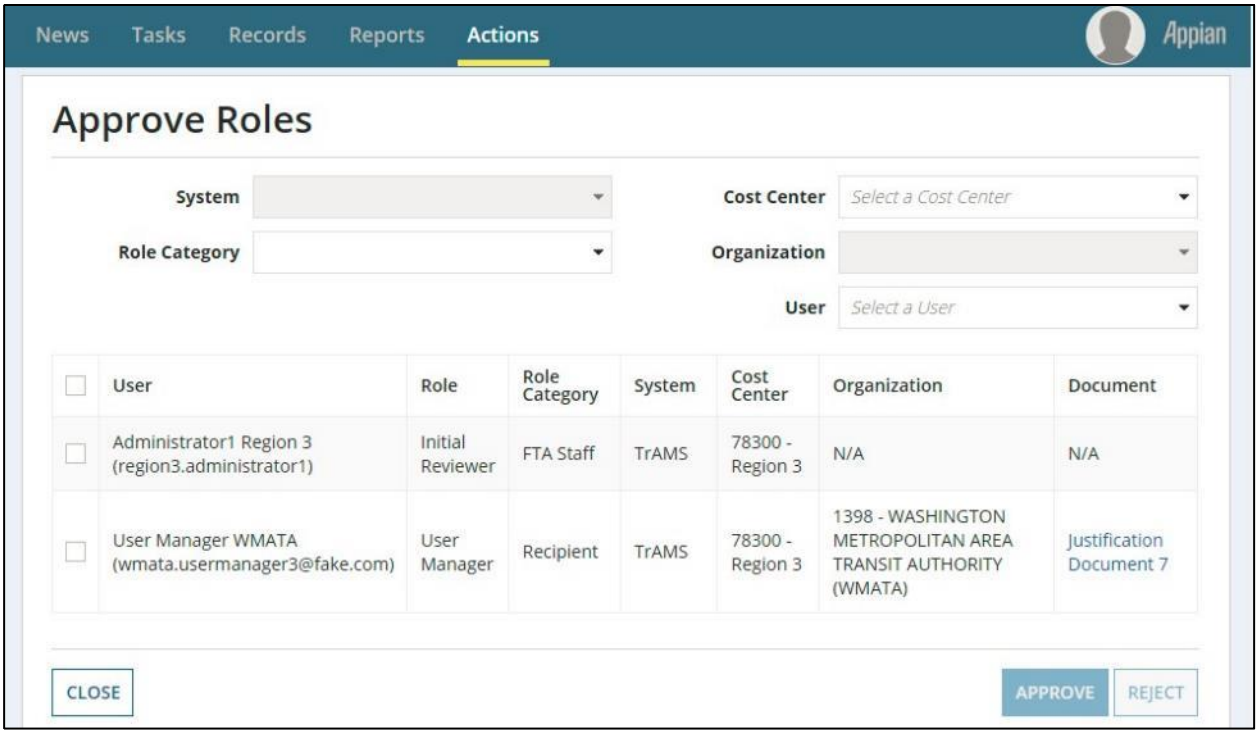


	User	Role	Role Category	System	Cost Center	Organization	Document
☐	Administrator1 Region 3 (region3.administrator1)	Initial Reviewer	FTA Staff	TrAMS	78300 - Region 3	N/A	N/A
☑	Submitter WMATA (wmata.submitter4@fake.com)	Submitter	Recipient	TrAMS	78300 - Region 3	1398 - WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (WMATA)	Requested Document
☐	User Manager WMATA (wmata.usermanager3@fake.com)	User Manager	Recipient	TrAMS	78300 - Region 3	1398 - WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (WMATA)	Justification Document 7

8) You will be prompted to confirm your decision “Are you sure you want to approve the selected role request?” Click ***Yes*** to approve. Select ***No*** to cancel and return to the form. (If you clicked ***Reject***, a similar prompt will be given “Are you sure you want to reject the selected role request?”)



9) Once a decision is submitted, the role request will disappear from the table. The User Manager and impacted user will be notified of the decision via email. If the role was approved, the role will be added to the user's account.



7.3.6 Action: Review Unlock Requests

FTA is required to comply with U.S. DOT Information Technology (IT) Security guidelines. One key feature of this compliance includes automatic account locks after 60 days of user inactivity. Since the FTA systems all reside on the same software platform and use the common FACES access mechanism, this security feature applies to all software systems on the FTA platform.

FACES automatically locks user accounts if the user has not signed into their account within 60 days. The account lock prevents users from accessing any of the software systems on the FTA platform. Automated warning emails are issued to inactive users 15, 10, and 5 days prior to lockout.

Users are notified that their accounts have been locked via automated emails. Users who are locked out will still be able to log into their FACES account, but their access will be severely restricted. The standard Appian tabs (***News***, ***Tasks***, ***Records***, ***Reports***, and ***Actions***) will contain a limited amount of data and security-related actions. For example, no tasks will be available.

Locked users can unlock their accounts via one of two methods: 1) correctly answer previously set up security questions; or 2) submit an unlock request. Both methods are available from the **Actions** tab. It is preferred that all users attempt to self-unlock their accounts by answering their previously setup security questions before submitting an unlock request; this is the quickest and most efficient route to unlocking an account. Once an account is unlocked, the user's access will be fully restored.

If Security Questions were not previously set up or the answers could not be remembered, user will submit an **Unlock Request** by selecting ***Unlock Account*** from their **Actions** tab. An email for the **Unlock Request** is automatically routed to the appropriate **User Manager**.

After submitting the **Unlock Request**, the **User Manager (UM), Local Security Manager (LSM) or Validation Analyst** will receive an email notification of the unlock request with a hyperlink to review the request. Upon receiving the **Unlock Request**, the **UM, LSM or Validation Analyst** can either approve or deny the request. The user will receive an email notification confirming either decision.

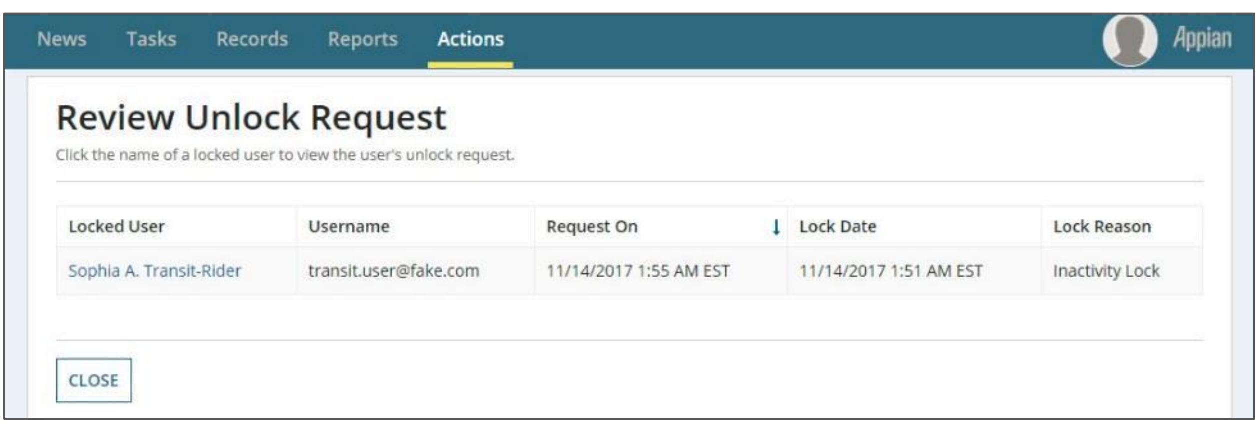
If the request is approved, the account will unlock, and all previous permissions will be restored. If the request is denied, the account will remain locked. If the account remains locked, the user should call their User Manager directly to resolve the issue. If the appropriate User Manager is not known, the user can call the Help Desk.

Note:	*If the organization does not have a **User Manager** or the user is a User Manager, the **Unlock Request** will go to the appropriate **Local Security Manager (LSM)** for resolution. If the user belongs to multiple organizations, the request will go to the appropriate **User Manager** of each organization.*

To reply to an **Unlock Request**:

1) Navigate to the **Actions** tab and click ***Review Unlock Requests***.

2) System Displays **Review Unlock Request** Page with locked user's information

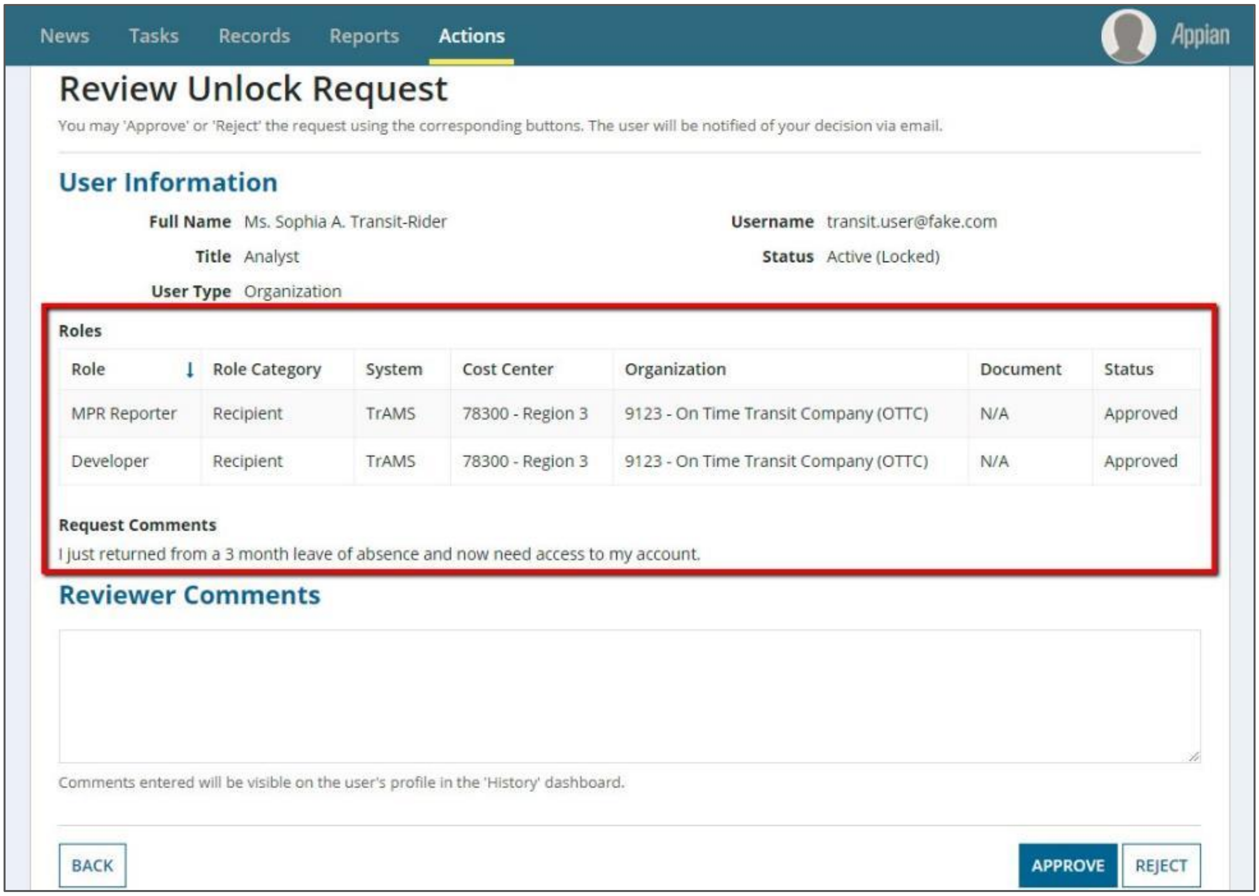


3) Click ***Close*** if no action is necessary to return to the **Actions** page. If not;

4) Select the link representing the name of the user that needs to be unlocked.

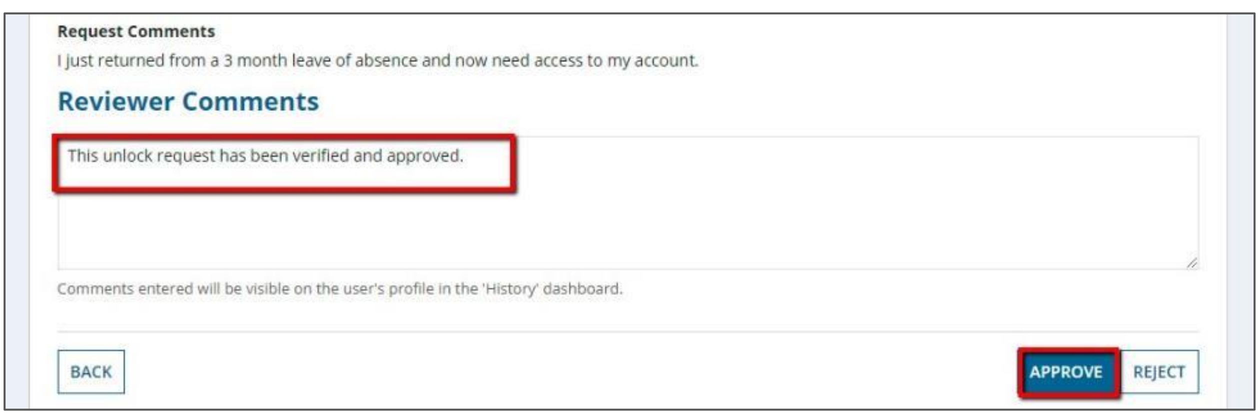
5) The **Review Unlock Request** page will display the user's detailed information

6) Validate the **User Information** and review the **Request Comments** section.

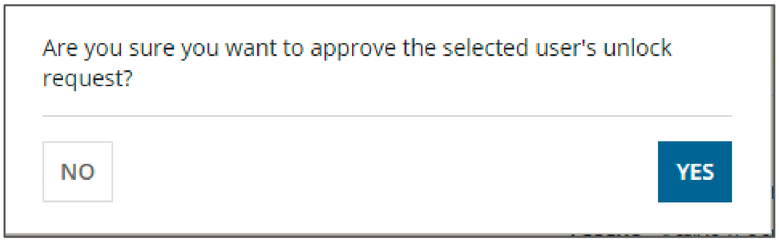


7) If no action is necessary or more information/justification is needed, select ***Back*** to return to the **Review Unlock Request** page without acting on the **Unlock Request**.

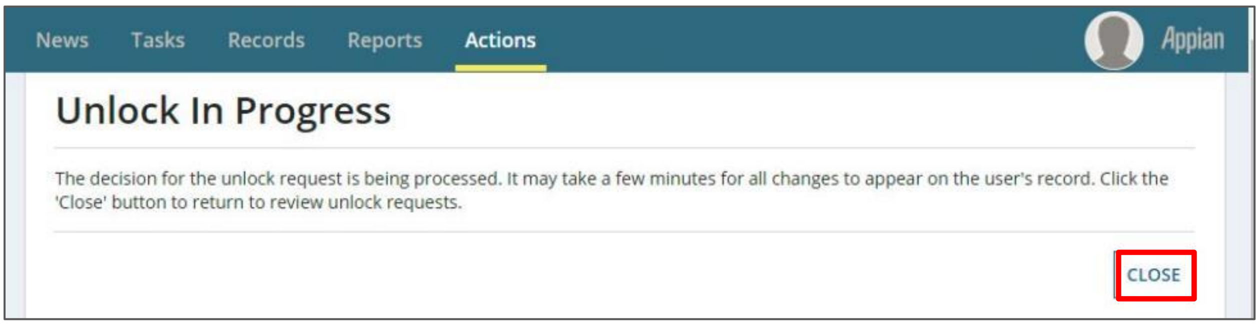
8) Otherwise, enter any text pertinent to the unlock of this user in the **Reviewer Comments** window. click ***Approve*** to approve the request and ***Reject*** to reject the unlock request.



9) A message will display asking the user to confirm his or her decision. Select ***Yes*** to proceed and ***No*** to remain on the review unlock request page.

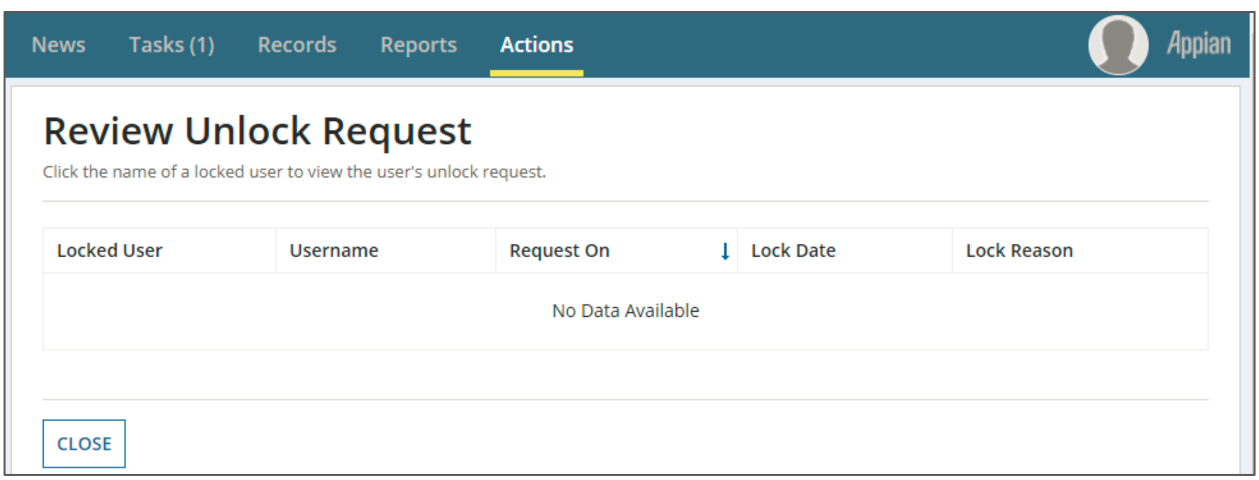


10) A message will display that indicates the decision for the Unlock Request is being processed. Click Close**.**

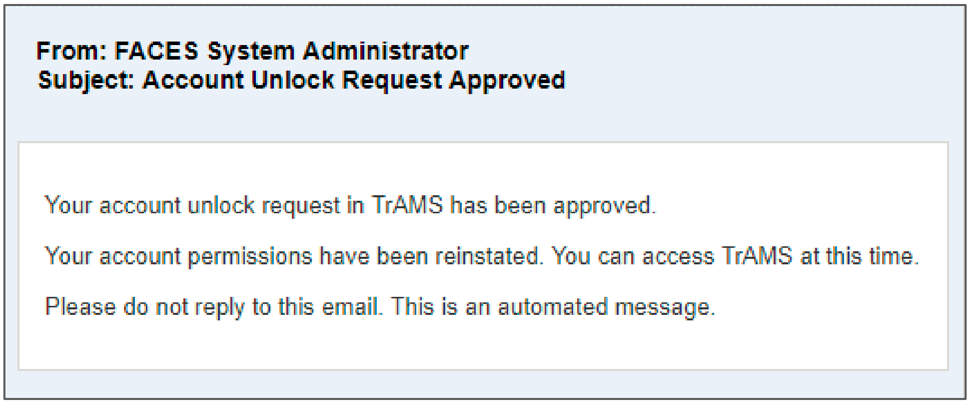


11) The **Review Unlock Request** page displays. The **Unlock Request** is no longer listed.

Note:	*There may be other Unlock Requests in the queue. Select **Close** to return to the **Actions** tab.*



12) The user will receive a confirmation email regarding the approval or rejection of their request.

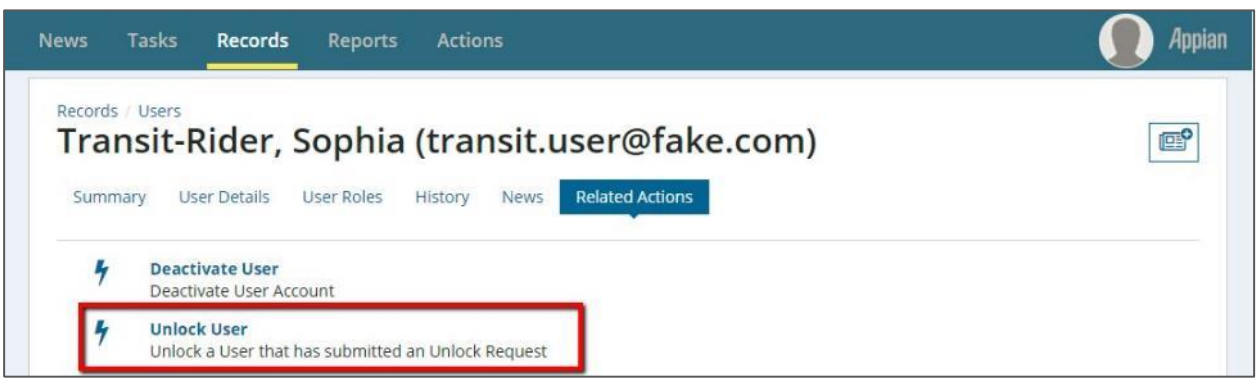


7.3.7 Related Action: Unlock User

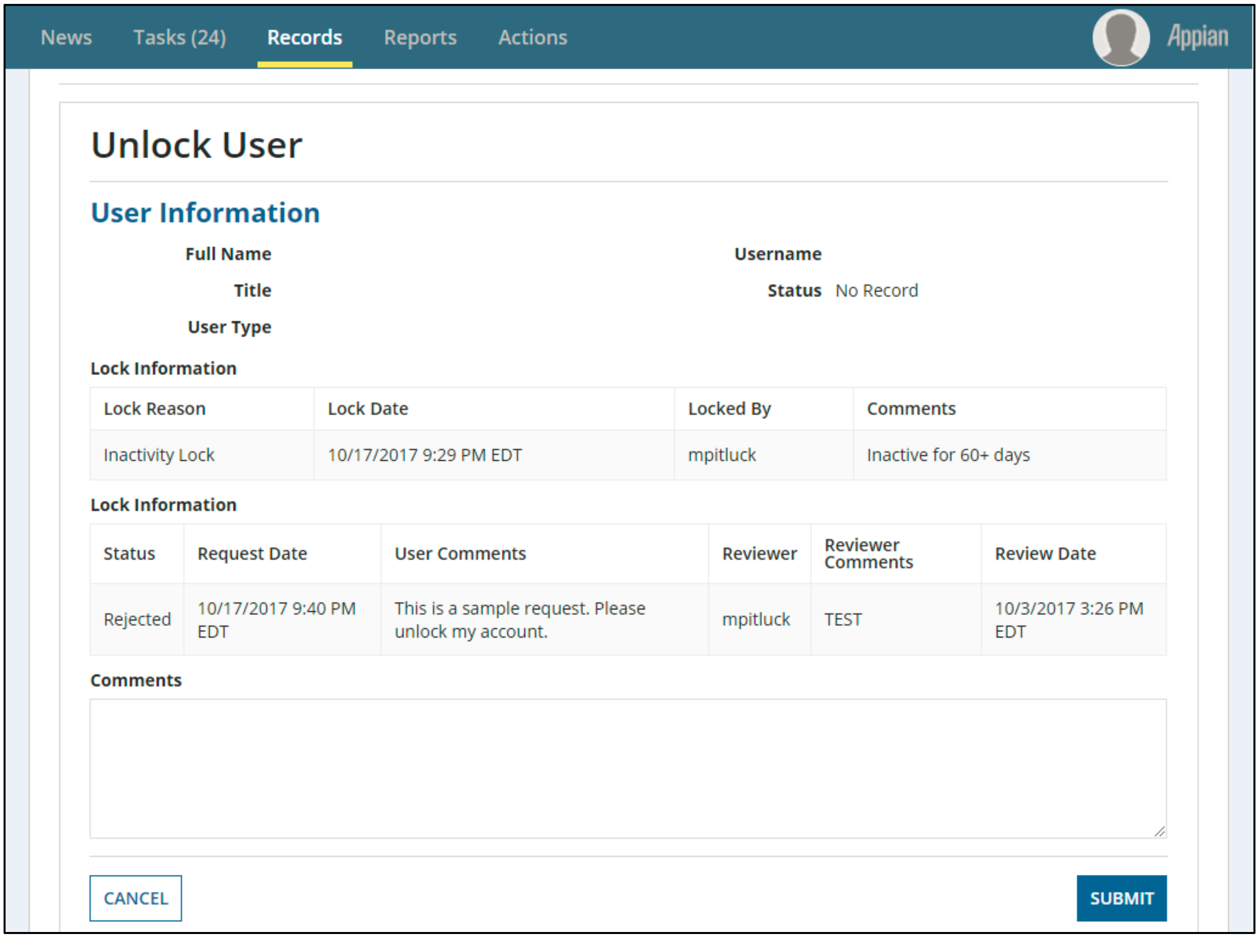
If any user is locked in system, an additional related action will become available on the user's record, ***Unlock Account***. This related action allows a **User Manager, LSM, Validation Analyst** or **GSM** (as appropriate) to unlock a user directly from the user's profile. This related action will remain visible as long as the user's record is locked. It is intended as a backup method of unlocking an account

To unlock a user's account from the profile related action:

1) Navigate to the user's record and click the "Unlock User" related action.



2) A page will display showing information about the user's account, the reason for the account lock, and the user's unlock request.



3) Enter a comment justifying the unlock action, as needed, and then click ***Submit***.

Note:	Whenever any user is unlocked after being locked due to re-certification then all of that user's active roles will be automatically re-certified.

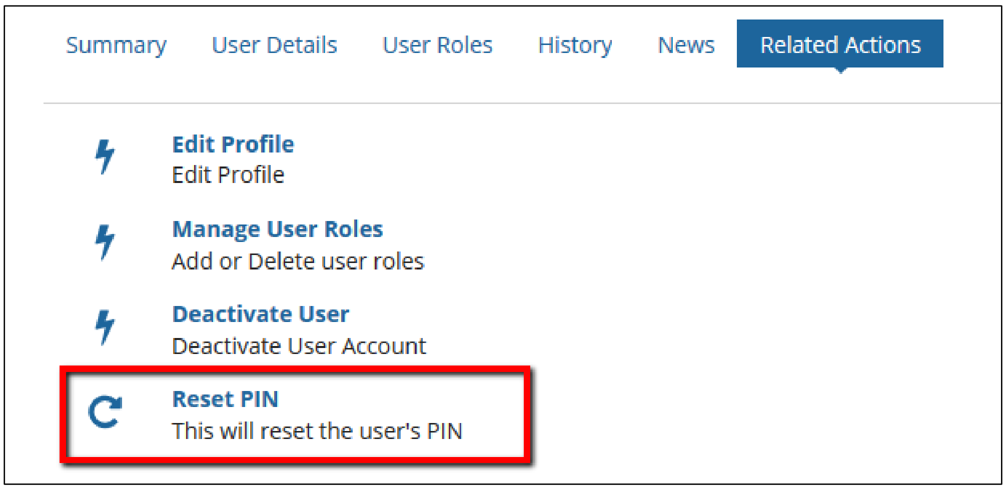
7.3.8 Related Action: Reset PIN

If a user cannot remember either their existing PIN or security question answers, the user can contact someone in their users’ management chains (User Manager, LSM, or GSM) to reset their PIN.

Note:	The Reset PIN action only appears for User Managers, LSMs or GSMs.

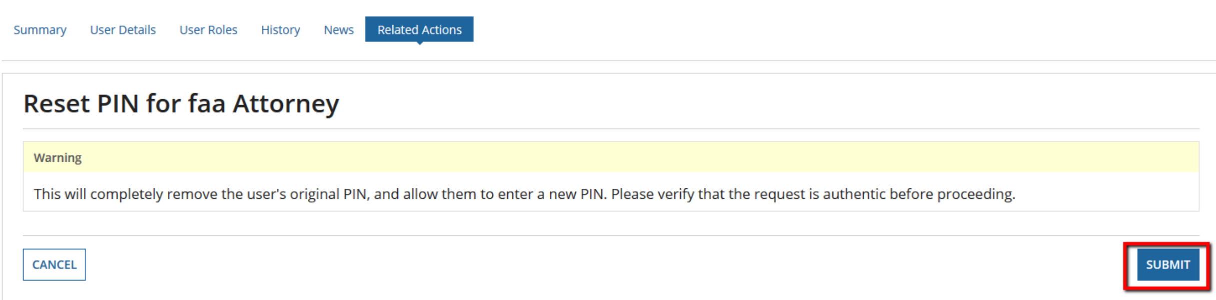
How to reset a user’s PIN:

1) Navigate to the user’s record and select **Related Actions**.
2) Click ***Reset PIN.***



3) The Reset PIN page displays a warning message and notifies the user management chain that they are are about to reset a user’s PIN and please verify that request to reset the user’s pin came from the intended user.

Note:	There is no verification in the system for PIN Reset requests. Once the PIN is reset, the previous user PIN is no longer valid.



4) Select ***Cancel*** to return to the previous page without saving any changes.

5) Select ***Submit*** to finalize resetting the user's PIN.
6) The ***Related Actions*** page displays.

8 Recertification

Recertification is a process the requires a user's manager to review and recertify (or reject) a user's system roles in order to satisfy DOT security requirements. The recertification process happens annually, and users' managers must review and re-certify all users that report to them.

8.1 Recertification Process

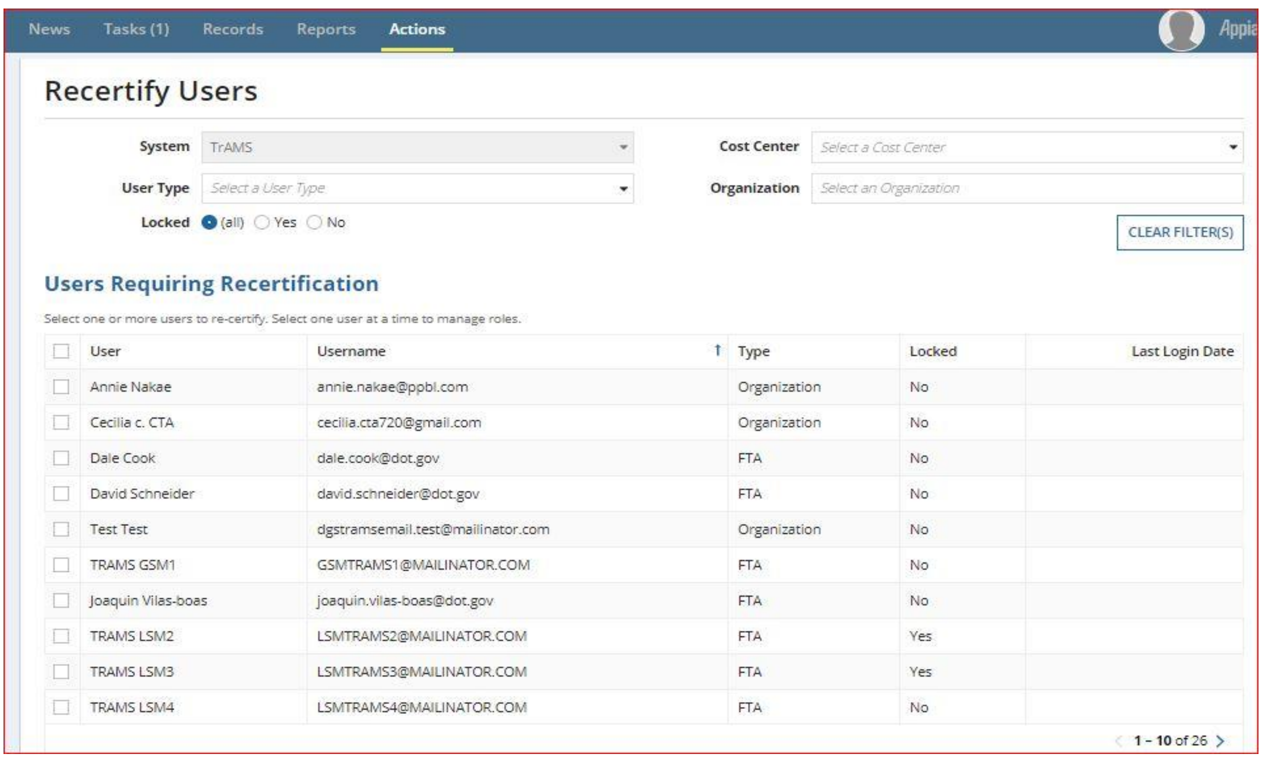
The recertification windows trigger systems on the TrIAD platform to send email notifications to role management users (Certifiers) alerting them when they are required to recertify users. After receiving the email notification, each Certifier has a certain number of days to recertify the user group specified in the email. The email will provide this timeline. Users who are not recertified will have their roles removed; users with no roles will be automatically locked out of the system. Users who have multiple roles will have to have each role recertified by their Certifier; the Certifier may elect to only recertify some of a user's roles. In this situation, the user will lose only those roles and will not be locked out of the system. Users who have lost roles or have been locked out of the system will have to contact their Certifier in order to reinstate their roles. The Certifiers (GSMs, LSMs, User Managers, Supervisors) are required to recertify users with a specific time period, depending on the system. This time period is called the recertification window.

Note:	If a user becomes locked, an email should be sent to the User Manager. If there is no User Manager, then it should be sent to the LSM, and if there is no LSM, then to the GSM.

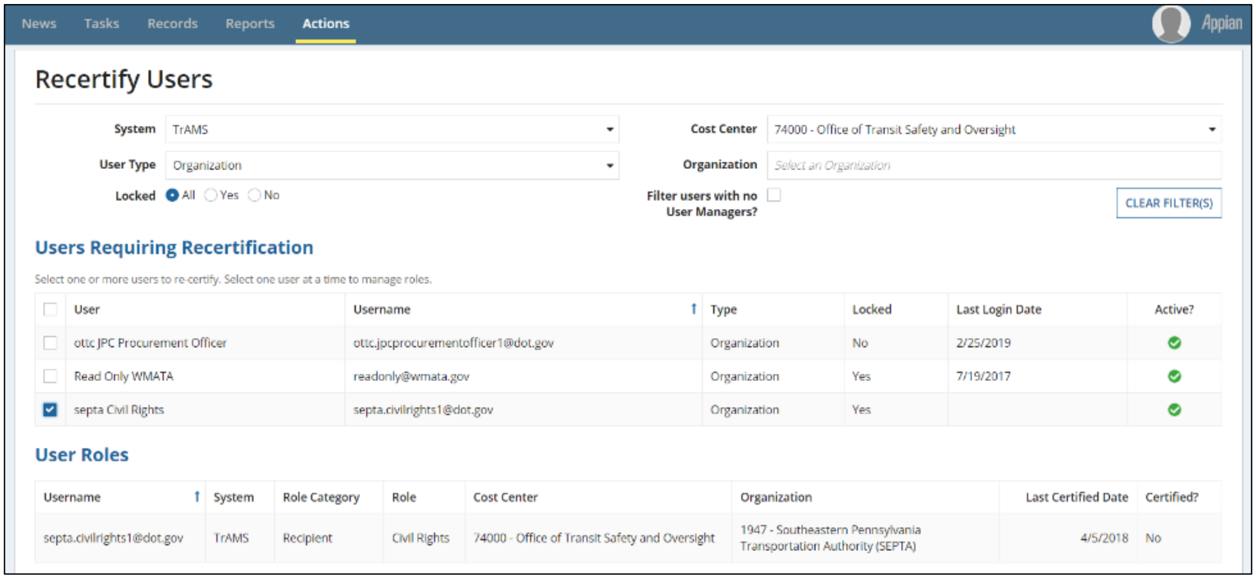
How to recertify a user role:

1) Certifier log into System and clicks Actions.
2) Clicks ***Recertify Users.***

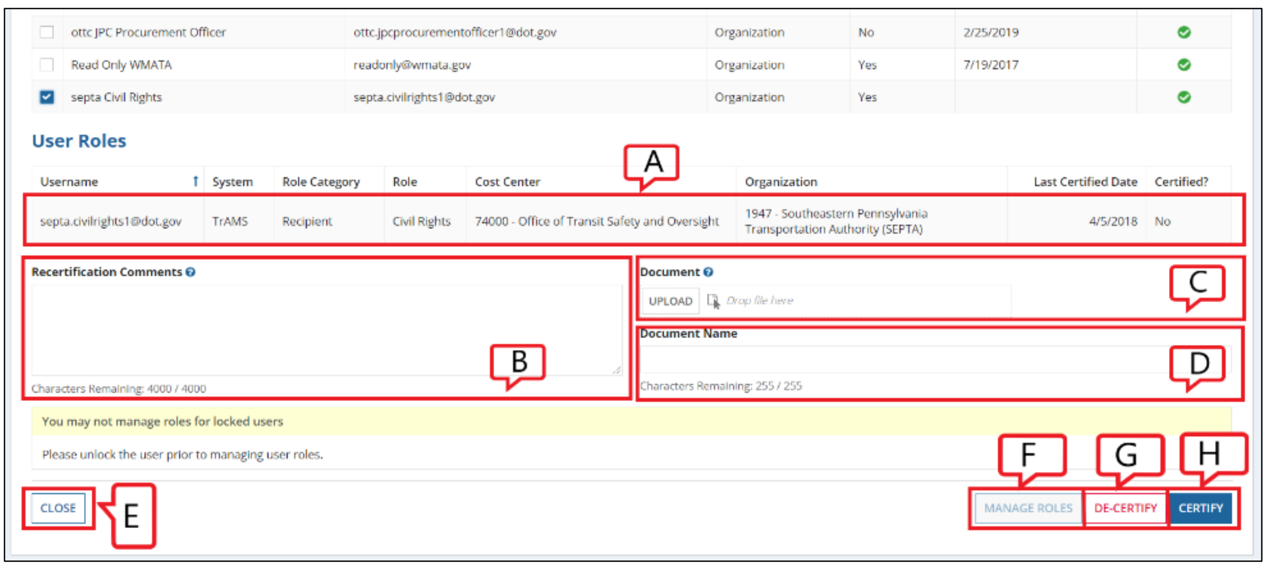
3) The **Recertify Users** page is displayed, allowing the **Certifier** to recertify a user.



4) **Certifier** clicks on the checkbox next to the user on the User Requiring Recertification section.



5) The **Certifier** reviews user details and roles.



A. Username with user details is displayed on the table

B. **Certifier** enters Recertification Comments

C. **Certifier** uploads any supporting document(s)

D. **Certifier** enters Document Name

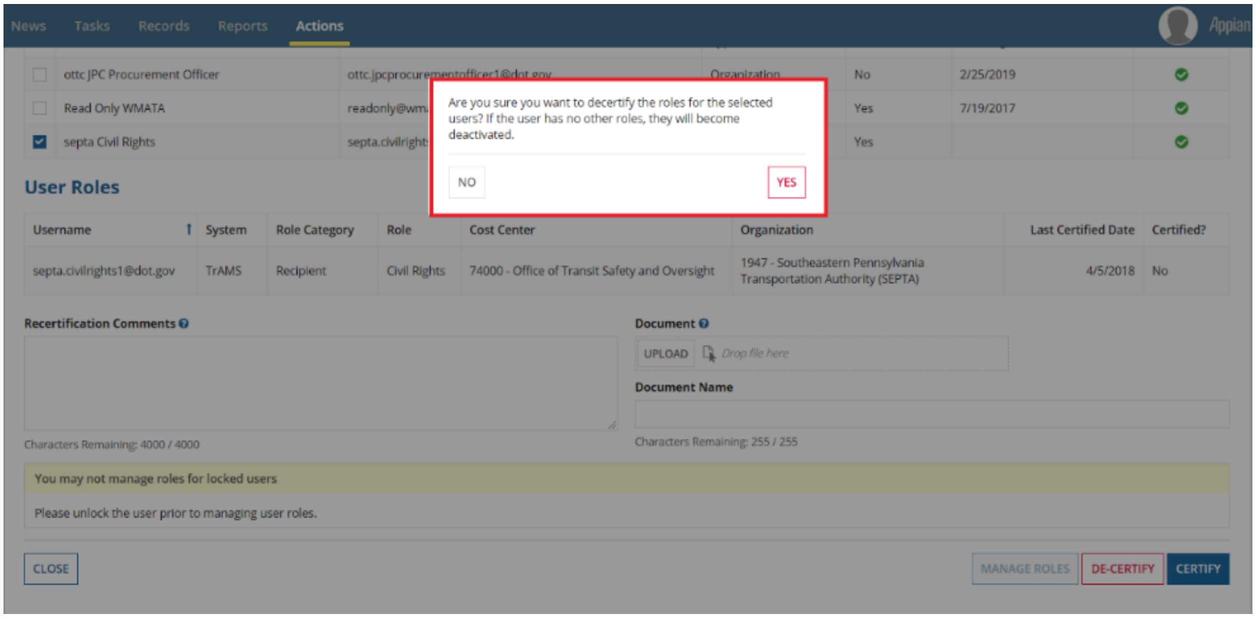
E. **Certifier** clicks on Close button and returns user to the **Action** Page

F. **Certifier** clicks on Manage Roles button

- See Section Manage User Role for how to manage user's roles

G. **Certifier** clicks on the De-Certify button:

  i. **System** displays a confirmation message.



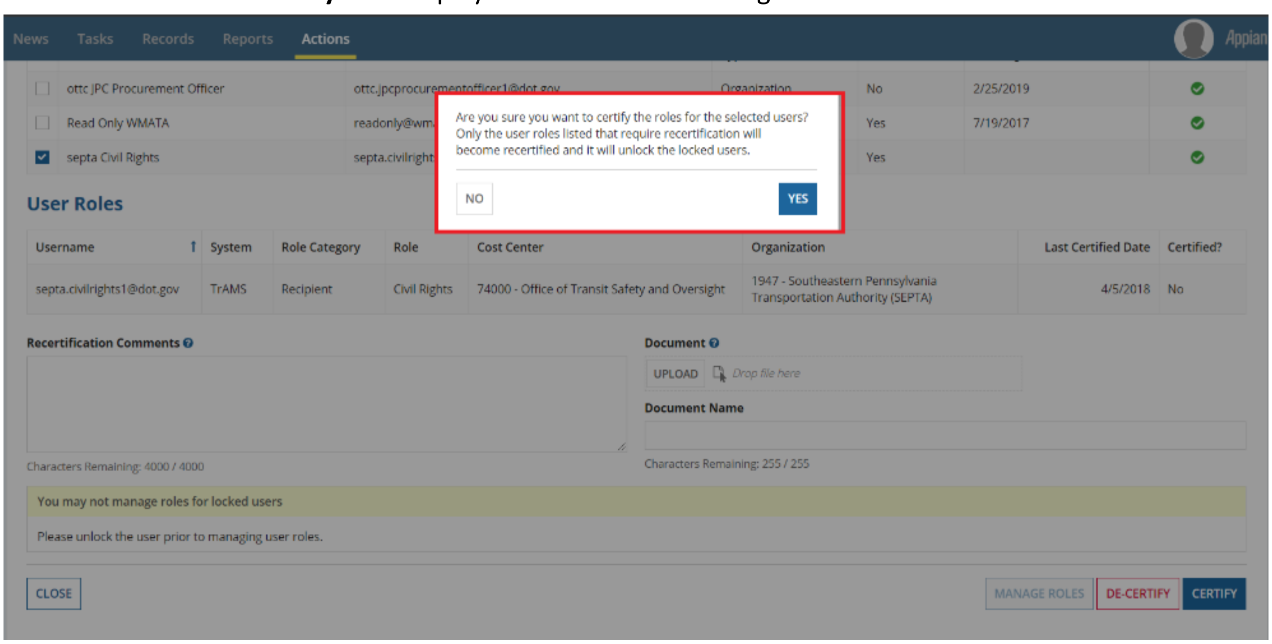
i. **Certifier** clicks on Yes button.

ii. User's role is de-certified

- If a user has any existing roles, then roles that are de-certified will be deleted
- If a user has no other existing certified roles the decertify action will deactivate the user.

H. **Certifier** clicks on the Certify button:

i. **System** displays a confirmation message.



i. **Certifier** clicks on Yes button.

ii. User's role is certified until next year.

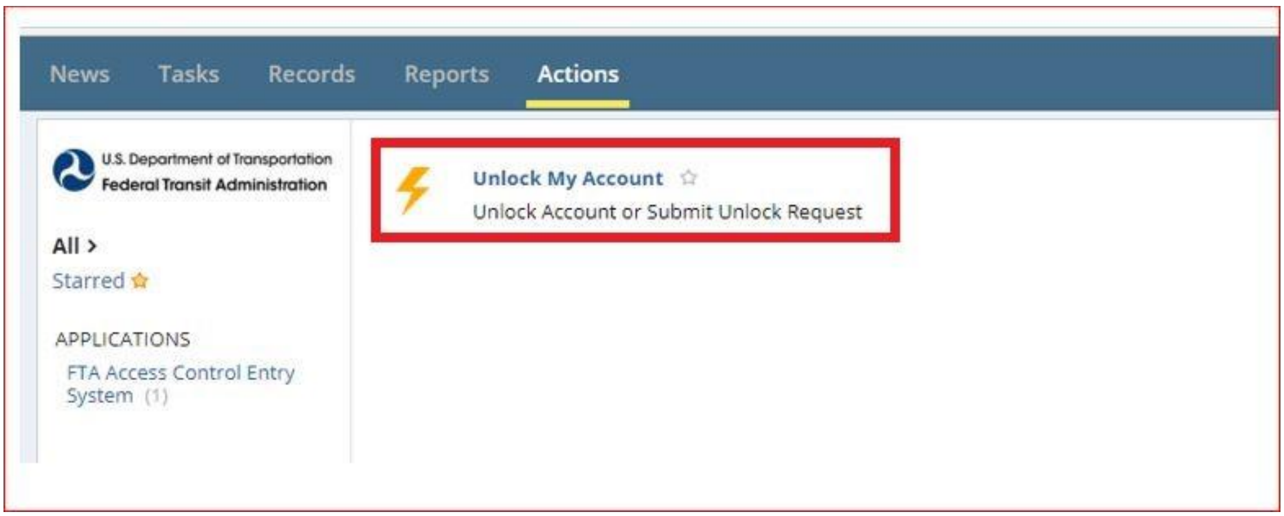
Note:	*If the certifier does not recertify their assigned users before the end of the recertification window, all the uncertified users will be locked. Users locked as a result of recertification activities will receive an email to inform them, they no longer have access to the system. If they are not unlocked within two weeks, users locked as a result of recertification activities will be deactivated.*

8.2 User Lock/Unlock Request Process

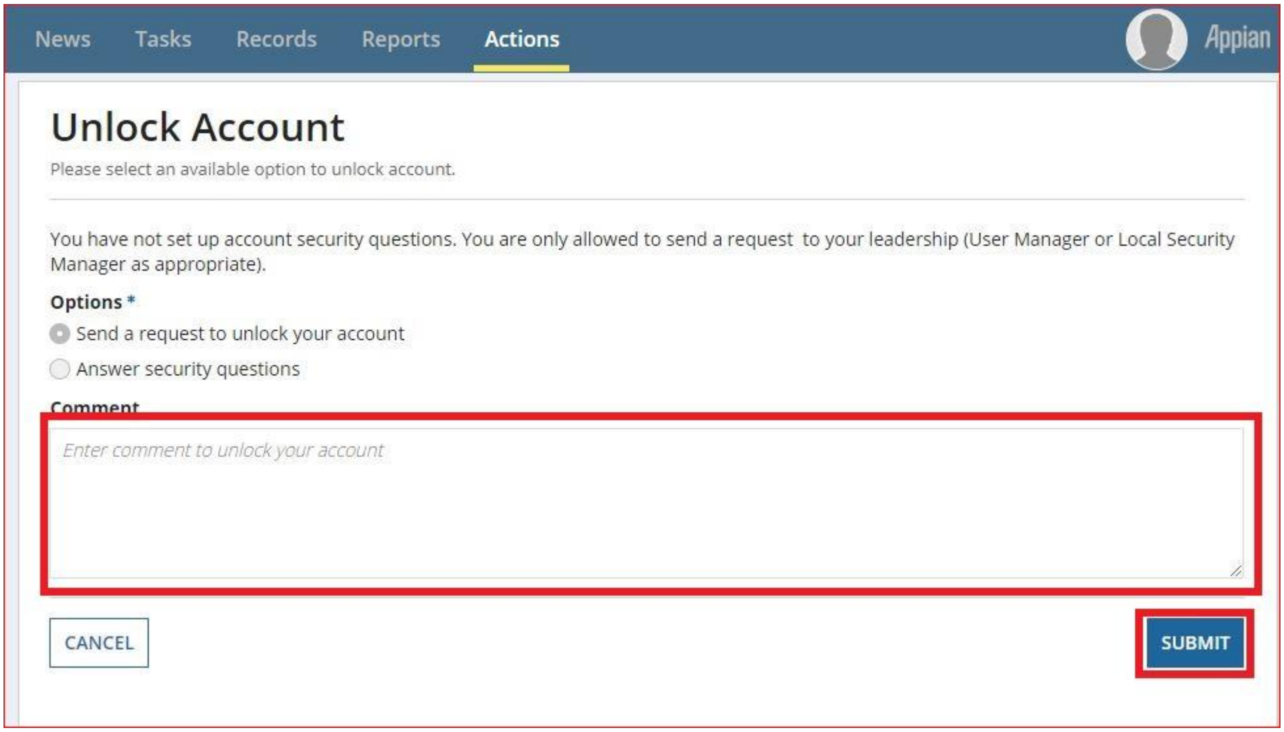
A user account can be locked if a Certifier does not recertify the user's role during the recertification period. The user will be required to submit an Unlock My Account request from his or her system. A locked user cannot perform any action on the system until his or her account is unlocked.

How a user can request to have his or her account unlocked:

1) **User** logs into System and clicks Actions.
2) **User** clicks ***Unlock My Account***



3) The **System** displays Unlock Account page.
4) **User** enters comment and clicks Submit button.



Note:	*The user will not be able to select the Answer Security Questions option.*

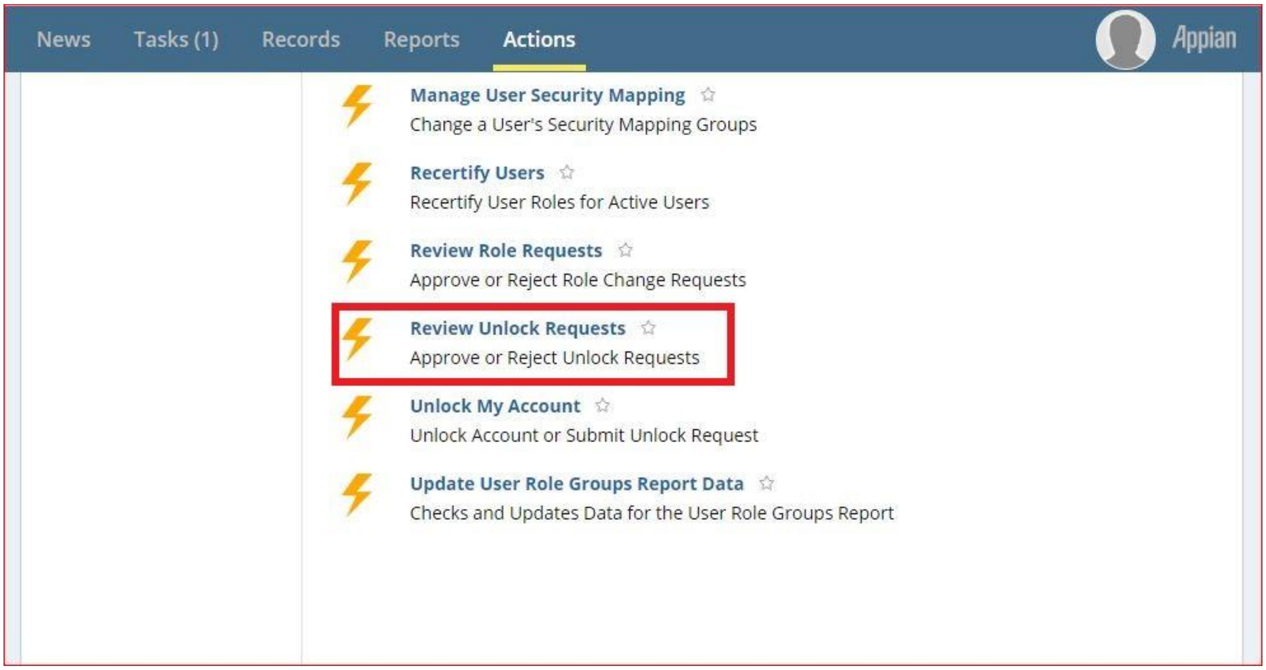
8.3 Certifier Unlocking User's Locked Account

If a user submits an unlock request during recertification, their Certifier will receive an email notification to unlock the account. A user account locked during recertification will be deactivated two weeks after the end of the recertification window if the Certifier does not unlock the account.

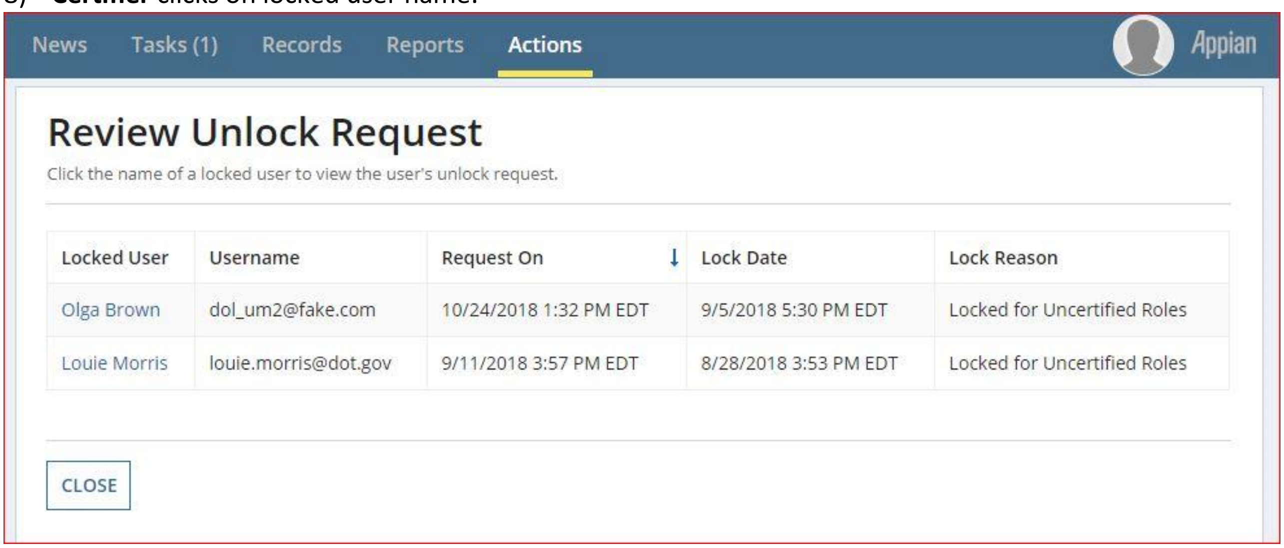
Hint: Alternatively, a certifier can use Unlock related action to unlock locked users. There is no mandate for user to submit unlock request in this case.

How a **Certifier** can unlock a user's account:

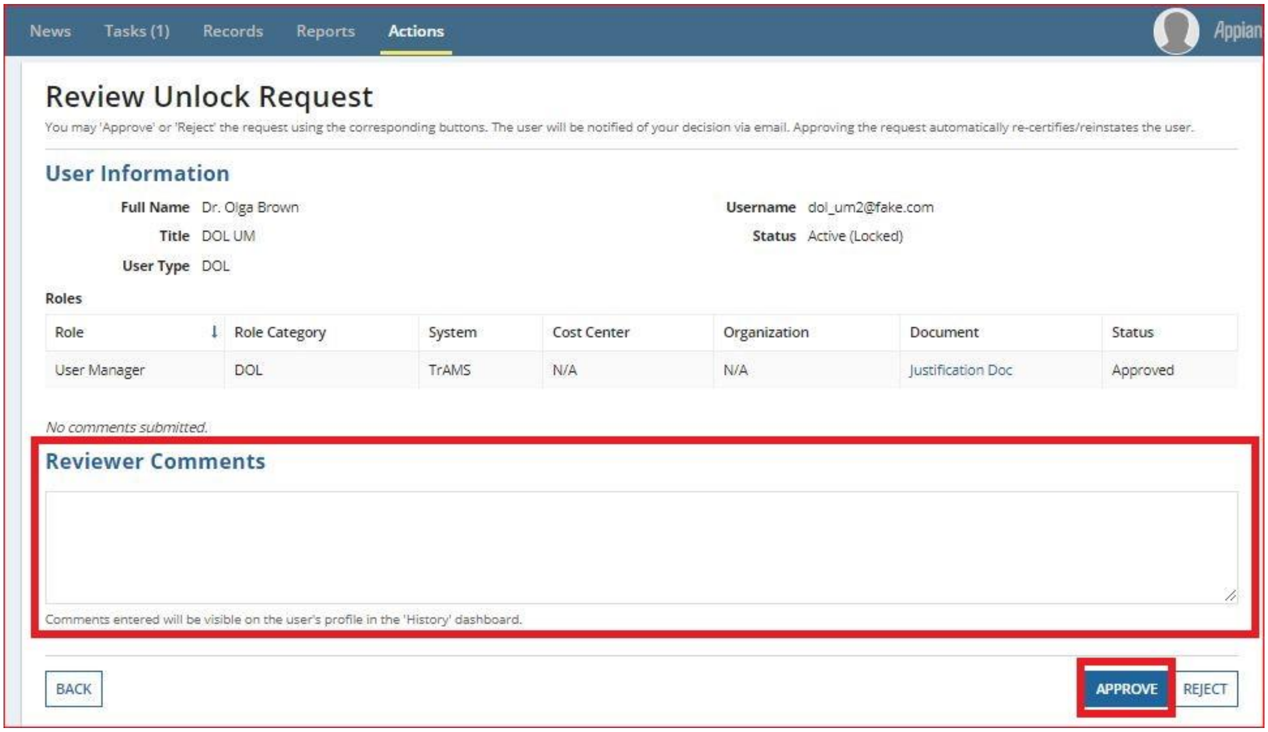
5) **Certifier** logs into System and clicks Actions.
6) Certifier clicks ***Review Unlock Request.***



7) The **System** displays Review Unlock Request page.
8) **Certifier** clicks on locked user name.



9) **System** displays User information page.
10) **Certifier** may enter text to explain the unlock action in the Reviewer Comments section.
11) **Certifier** clicks on Approved button.



Note:	*Approving the request automatically re-certifies/reinstates the user's role.* ***Certifier*** *can reject the unlock request and the user account will continue to remain locked.*

Appendix A – Abbreviations, Acronyms, and Terms

Acronym	Definition
DOL	Department of Labor
DOT	Department of Transportation
FACES	FTA Access Control and Entry System
FTA	Federal Transit Administration
GSM	Global Security Manager
LSM	Local Security Manager
DGS	Discretionary Grant System
NTD	National Transit Database
TrAMS	Transit Award Management System
UM	User Manager
URL	Universal Resource Locator (i.e. web address)

Appendix B – User Role Rules

This appendix contains user role assignment rules by system (e.g. TrAMS, NTD or DGS). For information about the privileges a particular role confers, see the appropriate user guide for the system in question.

FTA Platform Rules

1) FTA user type is platform wide.
2) FTA users can only be assigned roles that match their platform user type.
3) FTA Users can only be assigned FTA user roles.
4) Organization users can only be assigned organization user roles.
5) External users can only be assigned roles that match their external user subtype.
    i) Auditors can only be assigned auditor roles.
    ii) Contractors can only be assigned contractor roles.
    iii) DOL Users can only be assigned DOL roles.

NTD Rules

General Rule: Each reporter user can have up to two roles per Reporter organization (if a user has two (2) roles, one role must be User Manager.)

NTD Reporter Role	Rules
User Manager	• The User Manager role can be held in combination with any NTD Reporter role except Viewers. • User Managers can create all other users within a Reporter organization.
CEO	• The CEO role must be assigned by an FTA user. • The maximum number of CEOs within a single Reporter organization is one (1).
NTD Contact	• The maximum number of NTD Contacts within a single Reporter organization is one (1).
Editor	• Multiple users can be assigned the Editor role.
Viewer	• Multiple users can be assigned the Viewer role. • Viewers cannot also be assigned the User Manager role.
Safety Contact	• The maximum number of Safety Contacts within a single Reporter organization is one (1).
Safety Editor	• Multiple users can be assigned the Safety Editor role.
Safety Viewer	• Multiple users can be assigned the Safety Viewer role.
CEO Delegate	• Multiple users can be assigned the CEO Delegate role. • Only CEOs and CEO delegates can assign the CEO delegate role.

TrAMS Rules

TrAMS Recipient Roles	Rules
Read Only	• The Read Only role cannot be assigned at the same time as any other recipient roles within a single recipient organization.
User Manager	• The User Manager assignment must be approved by an LSM or GSM.
Submitter	• The Submitter assignment must be approved by an LSM or GSM. • Role assignment requires attachment of Delegation of Authority letter.
Developer	• No rules apply to Developer assignment.
Official	• The Official assignment must be approved by an LSM or GSM. • Role assignment requires attachment of Delegation of Authority letter.
Attorney	• The Attorney assignment must be approved by an LSM or GSM. • Role assignment requires attachment of Delegation of Authority letter.
Civil Rights	• No rules apply to Civil Rights assignment.
FFR Reporter	• No rules apply to FFR Reporter assignment.
MPR Reporter	• No rules apply to MPR Reporter assignment.
JPC Procurement Officer	• No rules apply to JPC Procurement Officer assignment.

DGS Rules

DGS Recipient Roles	Rules
Program Admin/Manager	• The Program Admin/Manager role can be held in combination with any DGS role except. • Program Admin/Manager with the GSM role can create all other users within the DGS system. • Multiple users can be assigned the Program Admin/Manager with/without the GSM role.
GSM	• The Program Admin/Manager with the GSM role must be assigned by an FTA user.
Team Lead	• Multiple users can be assigned the Team Lead role.
Reviewer	• Multiple users can be assigned the Reviewer role.

Appendix C – FTA Cost Centers

FTA is organized into 10 Regional FTA offices and 10 FTA Headquarters offices. These “cost centers” have acronyms and numbers that are used throughout FACES. Each organization is tagged to a cost center. The FTA cost centers are:

Table 1: FTA Cost Centers

Cost Center Name	Acronym	Number
FTA Regional 1 Office	TRO-1	78100
FTA Regional 2 Office	TRO-2	78200
FTA Regional 3 Office	TRO-3	78300
FTA Regional 4 Office	TRO-4	78400
FTA Regional 5 Office	TRO-5	78500
FTA Regional 6 Office	TRO-6	78600
FTA Regional 7 Office	TRO-7	78700
FTA Regional 8 Office	TRO-8	78800
FTA Regional 9 Office	TRO-9	78900
FTA Regional 10 Office	TRO-10	79000
Office of Administrator	TOA	61000
Office of Administration	TAD	62000
Office of the Chief Counsel	TCC	63000
Office of Communication and Congressional Affairs	TCA	64000
Office of Program Management	TPM	65000
Office of Budget and Policy	TBP	66000
Office of Research, Demonstration and Innovation	TRI	67000
Office of Civil Rights	TCR	68000
Office of Planning and Environment	TPE	71000
Office of Transit Safety and Oversight	TSO	74000