

# Suballocation Question & Documentation Upload Examples

## Background

On May 5<sup>th</sup> 2017, FTA launched an update to the create application form. This update replaces the information applicants were requested to include in the executive summary, such as the start and end date, indirect costs and if the funds requested were suballocated. After deployment, FTA received feedback on the suballocated funds question and we also found an error in the upload feature that required correction. FTA has posted this document and a new reference document that explains each the new application question on the [FTA TrAMS Guidance Page](#).

This document addresses the second suballocation selection: *Yes, my organization is the Direct Recipient of suballocated funds (from a Direct Recipient.)*

The following examples illustrate how this suballocation selection and the upload document feature behaves based on a series of post award amendments. While the example uses an active TEAM award, the actions will behave the same on amendments to TrAMS grants. Screenshots are used to show what the user should expect to see when certain post award actions are taken.

Modifications made on June 23, 2017 added a description field for the document, modified the display format to allow for more than one document over time, and corrections to ensure document(s) added were associated with the correct application/amendment. The suballocation document grid will display previously uploaded documents (i.e. amendment 5 will display amendment 4 documents and earlier). Changes were made to allow documents added to the suballocation question to be deleted while the application is “In-Progress” or if the application is under “initial review” where FTA can delete and upload revised documents on your behalf. Documents added are static once an application is submitted. Documents carry forward and remain associated with the original amendment it was added (this is provided the question selection remains the same).

Be advised that the documents only reside on the Application Details page, and do not display in the Application Documents. The dashboards and view print of the application/award will only display the selected response.

## Action #1

### Amendment 5: First action on TEAM award with new application questions

Using an existing active TEAM award Amendment 05 was created. Since this is the first action taken after the introduction of the new application questions, the user will be presented with the option to answer the new application questions (e.g. indirect costs, end date, etc...). While the questions are optional, FTA prefers that the questions be populated to accurately reflect the award/application.

In this example, the Suballocation question the second option is selected: *“Yes, my organization is the Direct Recipient of suballocated funds (from a Designated Recipient.”* This selection requires a document upload to save and pass validation. The document is generally the applicants “Split Letter” specifying the suballocation of funds to Direct Recipients.

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This is the view on the Application Details page the first time a document is uploaded to TrAMS.

### Application Financial Information

Is this application using pre-award authority?  Yes, this application is using Pre-Award authority.  
 No, this application is not using Pre-Award authority.

Does this application include suballocation funds?  Yes, my organization is a Designated Recipient.  
 Yes, my organization is the Direct Recipient of suballocated funds (from a Designated Recipient).  
 No, my organization is a Direct Recipient; funds were directly allocated to my organization.

Current Suballocation Documents If applicable, upload a suballocation letter, split letter, or other documentation

Name	Description
_The Moon	DOC Description

## Action #2

### Amendment 06: Change Suballocation Selection to NO

In the next amendment action, the applicant changes the Suballocation question to the third option, *“No, my organization is a Direct Recipient; funds were directly allocated.”* This question does not require a document upload, so the document grid no longer displays and the original uploaded document is removed from this amendment. The prior uploaded document can still be found under Amendment 5.

### Application Financial Information

Is this application using pre-award authority?  Yes, this application is using Pre-Award authority.  
 No, this application is not using Pre-Award authority.

Does this application include suballocation funds?  Yes, my organization is a Designated Recipient.  
 Yes, my organization is the Direct Recipient of suballocated funds (from a Designated Recipient).  
 No, my organization is a Direct Recipient; funds were directly allocated to my organization.

**After award and execution, the Application Details does not display any documents**

### Application Financial Information

Is this application using pre-award authority?  Yes, this application is using Pre-Award authority.  
 No, this application is not using Pre-Award authority.

Does this application include suballocation funds?  Yes, my organization is a Designated Recipient.  
 Yes, my organization is the Direct Recipient of suballocated funds (from a Designated Recipient).  
 No, my organization is a Direct Recipient; funds were directly allocated to my organization.

## Action 3

### Amendment 07: Change Selection to Yes and add new documents

In Amendment 07, the second option is selected again and the prior document(s) display. The grid displays the document was added in Amendment 05 with the date and file name. The document can be viewed by selecting the hyperlink under “Name” in the grid. See screenshot below. You are not required to upload a new document if the original document is still valid for the amendment action. The application will pass validation since there is an existing document. New documents may also be

# Suballocation Question & Documentation Upload Examples

uploaded. You cannot delete prior document. In this example two new documents are added (see example below screens).

**Application Financial Information**

Is this application using pre-award authority?  Yes, this application is using Pre-Award authority.  No, this application is not using Pre-Award authority.

Does this application include suballocation funds?  Yes, my organization is a Designated Recipient.  Yes, my organization is the Direct Recipient of suballocated funds (from a Designated Recipient).  No, my organization is a Direct Recipient; funds were directly allocated to my organization.

**Previous Suballocation Documents**

Name	Document Description	Amendment Number	Date Created
_The Moon	DOC Description	05	6/19/2017

**Current Suballocation Documents** If applicable, upload a suballocation letter, split letter, or other documentation

Name	Description	Delete
<input type="text" value="UPLOAD"/>	<input type="text"/>	<input type="button" value="X"/>

## Amendment 7 new documents added

Does this application include suballocation funds?  Yes, my organization is a Designated Recipient.  Yes, my organization is the Direct Recipient of suballocated funds (from a Designated Recipient).  No, my organization is a Direct Recipient; funds were directly allocated to my organization.

**Previous Suballocation Documents**

Name	Document Description	Amendment Number	Date Created
_The Moon	DOC Description	05	6/19/2017

**Current Suballocation Documents** If applicable, upload a suballocation letter, split letter, or other documentation

Name	Description	Delete
Pretty	test doc 1 new amend 7	<input type="button" value="X"/>
DOH	test doc 2 new amend 7	<input type="button" value="X"/>

## Amendment 07 display on Application Details screen after award

Does this application include suballocation funds?  Yes, my organization is a Designated Recipient.  Yes, my organization is the Direct Recipient of suballocated funds (from a Designated Recipient).  No, my organization is a Direct Recipient; funds were directly allocated to my organization.

**Previous Suballocation Documents**

Name	Document Description	Amendment Number	Date Created
_The Moon	DOC Description	05	6/19/2017

**Current Suballocation Documents** If applicable, upload a suballocation letter, split letter, or other documentation

Name	Description
Pretty	test doc 1 new amend 7
DOH	test doc 2 new amend 7

## Action #4

### Amendment 08: Take no action on suballocation question, leave as is.

In amendment 08, you can now see the document added during amendment 05 and the two documents added during amendment 07 reflected in the grid. The user is not required to add a new document, if not applicable. There is no validation that requires an upload in subsequent amendment actions. In Action #4 no action is taken. The three documents will carry forward into amendment 08. See screenshots below

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## Display on application details prior to submission

Does this application include suballocation funds?

Yes, my organization is a Designated Recipient.  
 Yes, my organization is the Direct Recipient of suballocated funds (from a Designated Recipient).  
 No, my organization is a Direct Recipient; funds were directly allocated to my organization.

Previous Suballocation Documents	Name	Document Description	Amendment Number	Date Created
	_The Moon	DOC Description	05	6/19/2017
	Pretty	test doc 1 new amend 7	07	6/21/2017
	DOH	test doc 2 new amend 7	07	6/21/2017

**Current Suballocation Documents**

If applicable, upload a suballocation letter, split letter, or other documentation

Name	Description	Delete
<input type="text" value=""/> <input type="button" value="UPLOAD"/>	<input type="text" value=""/>	<input type="button" value="X"/>

Add Document

## Display on application details after award

Previous Suballocation Documents	Name	Document Description	Amendment Number	Date Created
	_The Moon	DOC Description	05	6/19/2017
	Pretty	test doc 1 new amend 7	07	6/21/2017
	DOH	test doc 2 new amend 7	07	6/21/2017