

New Application Questions Tip Sheet

Background

On May 5, 2017, FTA deployed an enhancement to incorporate the [Executive Summary Required Application Information](#) into the create application process. To date, applicants have been required to enter this information into the Executive Summary narrative. The new application questions replace the requirement to enter information in the Executive Summary.

On June 23, 2017, FTA made minor adjustments to the questions based on user feedback. The changes include:

1. Budget Revisions allow for modifications to the end date; all other questions are static.
2. Closeouts allow for modifications to the end date; all other questions are static.
3. Suballocation question document upload feature was modified to properly associate documents to the correct amendment; added a field to describe the file; and removed the upload feature requirement from the first Yes selection. Any application in progress with a document linked to the first selection was removed from the application details screen.

This document explains each new question added to the “create application” form including:

1. Brief description of each question to aid in the best selection
2. The format to complete the question in the TrAMS system
3. The validation checks were implemented in TrAMS
4. Brief description and screenshots how the system will display the selections made in the system dashboards (on screen) and in view prints, and
5. Brief description of any changes made to the system since originally deployed

Application Applicability

New Applications: All new applications created after May 5, 2017 must include a selection for each new question to validate and transmit a new application for initial review. Applicants no longer need to include the *required application information* in the Executive Summary narrative.

Amendments on Existing Awards: Any amendment initiated after May 5, 2017 will present the user with the new questions. Applicants should update the selections to mirror the Executive Summary statements, the end date must be populated to pass validation.

Budget Revisions on Existing Awards: A budget revision on an award existing prior to May 5, 2017, will not display the questions until it is amended. A budget revision on an application created after May 5, 2017, will display the questions last selected. The questions may not be modified; the exception is the end date, which will remain editable. See section on period of performance end date for more information.

Closeout Amendments: Any closeout initiated after May 5, 2017 will display the questions and could be modified. Closeouts initiated after June 23, 2017 will display the questions and will not be editable; the exception being the end date. The user will see “no selection made” in the dashboard and view print of the application. The end date must be populated and updated, if applicable.

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The following new questions have been added to the create application form in TrAMS:

1. [Period of Performance Start Date](#)
2. [Period of Performance End Date](#)
3. [Research and Development Activities](#)
4. [Pre-Award Authority](#)
5. [Suballocated funds](#)
6. [Indirect Costs](#)

Example display of the new create application form. The same questions will also display in any future amendment.

Does this application include funds for research and/or development activities?	<input type="radio"/> Yes, this application includes funds for research and/or development activities.	<input type="radio"/> No, this application does not include funds for research and/or development activities.
Period of Performance Start Date	The start date will be set to the date of the award	Period of Performance End Date <input type="text" value="M/d/yyyy"/> Select the date for which all award activities will be completed

Application Financial Information	
* Is this application using pre-award authority?	<input type="radio"/> Yes, this application is using Pre-Award authority. <input type="radio"/> No, this application is not using Pre-Award authority.
Does this application include suballocation funds?	<input type="radio"/> Yes, my organization is a Designated Recipient. <input type="radio"/> Yes, my organization is the Direct Recipient of suballocated funds (from a Designated Recipient). <input type="radio"/> No, my organization is a Direct Recipient; funds were directly allocated to my organization.
Will indirect costs be applied to this application?	<input type="radio"/> Yes, indirect costs WILL be applied to this application at our organization's approved rate.* <input type="radio"/> Yes, the de minimus indirect cost rate of 10% WILL be applied to this application.* <input type="radio"/> No, indirect costs WILL NOT be applied to this application.
Does your organization have delinquent Federal debt?	<input type="radio"/> Yes, my organization has delinquent Federal debt. <input type="radio"/> No, my organization does not have delinquent Federal debt.
Does your State require E.O. 12372 review?	<input type="radio"/> Yes, our state requires E.O. 12372 review. <input type="radio"/> No, our state does not require E.O. 12372 review.

Note: At the create application you must make selections for those with an asterisk. All other questions must be selected to pass validation at the transmit stage. All questions can be updated prior to transmitting the application/amendment; or if the application is returned and in an "In Progress" status.

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Period of Performance Start Date

Question Description

- New/Initial Applications will display: *“The start date will be set to the date of award”*
- The start date will populate once the FTA Administrator obligates and awards the application. The date displays in the dashboards and view prints.
- The start date does not preclude the ability to claim pre-award authority; that is a separate selection.
- Application activity milestones within your application may precede your start date.
- The start date cannot be modified.
- Existing Awards or Applications in progress: the start date will auto-populate with the next amendment or closeout amendment.

Validation Checks

- No validation checks; this information will auto populate.

Format to Complete Question

- None; No field.

View Print/Dashboard Display:

- At create: the screen/dashboard will display: *“The start date will be set to the date of the award”*
- At award: the applicable award date will auto populate and display.
- View/Prints will indicate “application” start date while the application is in development; after award and obligation is complete, the view/print will display “award” start date.

Example Screen Before Award - Application Details Dashboard View

Last Modified By MarcSubmitter1 LACMTA		
Period of Performance Start Date The start date will be set to the date of the award		Period of Performance End Date 6/9/2020

Example Screen After Award - Application Details Dashboard View

Award Status Obligated / Ready for Execution		Last Disbursement Date N/A
Period of Performance Start Date 6/6/2017		Period of Performance End Date 6/9/2020

Period of Performance End Date

Question Description

- This is the date by which the activities will be complete.
- The end date does not equal the date by which closeout must be complete. Grantees have 90 days after the period of performance ends to complete closeout.
- FTA does not specify that a milestone to complete closeout is required for each application Activity Line Item (ALI). Contact your office to understand what your specific Regional Office requires.
- The end date may be modified as part of any post award action.

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Validation Checks

- Initial/New Application: The Period of Performance End Date entered must be later than the create application date.
- Budget Revisions: The Period of Performance End Date must be populated to pass validation.
- Amendments: The Period of Performance End Date must be populated to pass validation. The date entered or modified must be later than the date of award/start date.
- Closeout Amendment: The Period of Performance End Date must be populated and cannot be before the start date and cannot be later than the date the closeout amendment was created. In the example below, the Closeout Amendment was created on June 6, 2017; the validation checks that the end date is the same or less than the create date.

<p>* Period of Performance End Date</p> <p>Select the date for which all award activities will be completed</p> <p>The end date must be less than or equal to the close out creation date: 6/6/2017</p>	<p>06/09/2017</p>
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Format to Complete Question

- Field includes a calendar date picker or the user may type in the date.
- Date format display is M/D/YYYY.

View Print/Dashboard Display

- Initial/New Applications: the end date will display as selected/entered.
- Existing Awards or Applications in progress: the end date will display when the next amendment is initiated and be required to pass validation.
- View Prints will indicate “application” end date while the application is in development; once award and obligation is complete the view print will display “award” end date.

Award Status	Obligated / Ready for Execution	Last Disbursement Date	N/A
Period of Performance Start Date	6/6/2017	Period of Performance End Date	6/9/2020

Note: this is a display of the start and end date after award and execution

End Date and TEAM awards

A TEAM award amendment or closeout amendment, the first action taken after May 5, 2017, will pull the end date displayed in last amendment in TEAM. This information is also displayed in the Milestone Progress Report (MPRs) migrated from TEAM. If the end date is missing, the date in TrAMS will be blank the first time the field populates. TEAM grant end date will likely be outdated and require a modification. The below is a screenshot of the TEAM Project Information displayed in the Milestone Progress Report. Applicants can review their most recent MPR in TrAMS to identify a reasonable end date to complete the overall award scope of work.

FTA Project Mgr:	RLong/K Roscher (215) 656-7100
Start/End Date:	Oct. 01, 2012 - Sep. 30, 2015
Gross Project Cost:	\$3,003,810

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Does this application include funds for research and/or development activities?

Question Description

- Applicants must indicate if the application scope of work includes research and development activities.
- Selection must be identified regardless of fund source type or scope of work activities included.
- A yes response, is typically for cooperative agreements or specific competitive programs.

Validation Checks

- Initial/New Application: The system will confirm a selection is made at create application stage.
- Amendment: The question is optional. Applicants should make selections when it is the first time an existing award is amended and the new application questions populates, this will ensure the information displays in the next award agreement. Incomplete questions will display “No Selection Made” on the dashboards and view prints. The information, at a minimum, should be consistent with the information provided in the Executive Summary Narrative.

Format to Complete Question

- Select the radio button associated Yes/No question

<p>Does this application include funds for research and/or development activities?</p>	<p><input type="radio"/> Yes, this application includes funds for research and/or development activities.</p>
	<p><input type="radio"/> No, this application does not include funds for research and/or development activities.</p>

Is this application using pre-award authority?

Question Description

- If the applicant is electing to use available pre-award authority or has an FTA Letter of No Prejudice, the “Yes” response should be selected.
- Refer to the applicable funding program and Apportionment Notice to determine if Pre-Award Authority is available.
- A “Yes” selection requires submission of an initial FFR before the Official can execute the award.
- This selection cannot be modified after the initial application has been awarded.

Validation Check

- Initial/New Application: A validation error will display if no selection is made at the initial create application step. All items indicated with a red asterisk must be populated to save and pass the “create” the application step.
- Budget Revisions and (Closeout) Amendments: No validations; selection is static after initial award.

Format to Complete Question

- Select the appropriate radio button to the Yes / No Question.
- The asterisk indicates it is required to pass the validation step to create the application.

<p>* Is this application using pre-award authority?</p>	<p><input type="radio"/> Yes, this application is using Pre-Award authority.</p>
	<p><input type="radio"/> No, this application is not using Pre-Award authority.</p>

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Will Indirect Costs be applied to this application?

Question Description

- All new applications must indicate if indirect rate(s) will be applied. Any new amendments should update the question.
- A Yes to the first selection will require the applicant to complete the details field to delineate the rate(s), applicable base and amount that will apply to the scope of work. (See screenshot below.)
- Supporting documentation must be attached to the recipient profile and not the application. This may be your cost allocation plan, a cognizant agency approval letter indicating your rate(s), etc...
- If you have a rate under review, make the appropriate notations in the provided field to alert FTA staff.
- Note that any rate(s) applied must be documented and reported on in your Federal Financial Reports.
- If uncertain which selection applies to you, work with your FTA awarding Office.

Validation Checks

- Initial/New Application: If the first yes question is selected at the create application stage, the details field will display and must be populated to pass the create application validation. See screenshot below. If no selection is made at the create application stage, the system will confirm a selection is made at Transmit Application stage.
- Amendments: If the selection is changed from a no to the first yes question, the same validations will apply. The user must enter details.

Format to Complete Question

- Select the applicable radio button to the Yes/No Questions.
- Only the first Yes question will require the additional details.
- The asterisk indicates supporting documents is required, but is not a validation stop.

The screenshot shows a form titled "Will indirect costs be applied to this application?". It has three radio button options: "Yes, indirect costs WILL be applied to this application at our organization's approved rate.*" (selected), "Yes, the de minimus indirect cost rate of 10% WILL be applied to this application.*", and "No, indirect costs WILL NOT be applied to this application." Below the options is a note: "*Indirect documentation must be uploaded to your Recipient Organization Profile". A text input field is labeled "*Please Provide Details" and is currently empty. Below the field is a red error message: "A value is required". At the bottom of the field, there is a small instruction: "Include the approved rate(s), applicable base, and amount of indirect costs".

Does this application include suballocation funds?

Question Description

This question identifies if the funds were directly apportioned or subapportioned to the applicant. There are three responses:

1. The first selection, *"Yes, my organization is a designated Recipient"*
 - This option should be selected if you are a Designated Recipient (DR) and you have subrecipients. As a DR you generally prepare a Program of Projects (POP) or similar document which is generally upload as part of the application documents. This selection does not require

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a document upload on the application details form; any documents should be attached using the “Application Documents” related actions. Refer to your regional office for their preferred method for reviewing your POP information.

- If you are a DR, a copy of the Designated Recipient letter (from the state governor or similar) should be attached to your recipient organization profile. This is generally a one-time letter that specifies the fund program which you are authorized to suballocate. This letter is not attached to the application.
- Your recipient organization profile should indicate that you are a designated recipient.

Is State DOT? Yes
Recipient OST Type State Agency
Is Designated Recipient? Yes

A DR is generally a State DOT, MPO or another Regional Agency – On your recipient profile the “Is Designated Recipient” is marked as “Yes”.

2. The second selection “*Yes, my organization is the Direct Recipient of suballocated funds*”

- This option should be selected when the application includes funds that have been suballocated. For example, Section 5307/5337/5310 funds were suballocated by the State or Metropolitan Planning Organization to specified transit operators; who then directly make an application to FTA.
- This question replaces the TEAM Supplemental Agreement action whereby the Designated Recipient signed off or “PINed” the application/award before the direct applicant could execute the award. The application was generally supported by a document outlining the fund distributions; this was generally referred to as split letter, UZA split or governor’s suballocations letter.
- Under TrAMS, there is no requirement for the designated recipient to PIN the award agreement. FTA relies on the sub-allocation letter that transfers the responsibility to the receiving (direct) recipient and the agreed to distribution of suballocated funds. The supporting documentation must include language that indicates the amount suballocated and the transferability language. The below sample language was included in the FY 2017 apportionment notice:

“As identified in this Letter, the Designated Recipient(s) authorize the reassignment/reallocation of enter fund source; e.g. Section 5307 funds] to the Direct Recipient(s) named herein. The undersigned agree to the amounts allocated/reassigned to each direct Recipient. Each Direct Recipient is responsible for its application to the Federal Transit Administration to receive such funds and assumes the responsibilities associated with any award for these funds.”

***Refer to the annual apportionment notices for any updates to the applicable language.*

3. The third selection “*No, my organization is a Direct Recipient, funds were directly allocated to my organization*”

- This option should be selected when an application only includes a discretionary or competitively selected award or if the application only includes formula funds allocated to a tribal organization (indicated in the annual apportionment notice) and can apply for funds

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directly from FTA. If the tribe is applying for formula and suballocated funds, the second option should be selected and the appropriate documentation uploaded. Similarly, a discretionary allocation combined with suballocated formula funds in a single application should use the second selection and upload the applicable suballocation document. There are a limited number of other recipient organizations that have an apportionment included within the apportionment tables and should make this selection.

Validation Checks

- Initial/New Applications: The system will confirm a selection was made when the application is validated for transmission to FTA.
- Amendments: the system will validate to see if the selection was modified and requires a document.
- A validation error will display if the second “Yes” response is selected with no upload.
- A validation error will display when uploading a document and the description field is not populated and/or the description exceeds the limitation of 50 characters, including spaces.

Current Suballocation Documents			If applicable, upload a suballocation letter, split letter, or other documentation		
Name	Description	Delete			
_The Moon JPG - 400.56 KB	<input type="text"/>				
+ Add Document					

***NOTE – you must provide a description in the provided field. The field allows for 50 Characters. If you exceed the limit, you will not be able to save your information. The far-right corner of the Description Field below shows a red triangle; if you put your cursor over the field red triangle it will tell you how many characters you are over the 50-character limitation.

Format to Complete Question

- Select the applicable radio button to the Yes/No Questions (Screenshots below)
- If either second Yes question is selected, reminder language will display that Designated Recipient status documents should be uploaded to the recipient profile.
- Only the second Yes question will require the documentation.

The June 2017 modification no longer requires a document upload for the first selection (see screenshot below). Any documents previously added, were removed from the application details form.

Does this application include suballocation funds?	<input checked="" type="radio"/> Yes, my organization is a Designated Recipient.
	<input type="radio"/> Yes, my organization is the Direct Recipient of suballocated funds (from a Designated Recipient).
	<input type="radio"/> No, my organization is a Direct Recipient; funds were directly allocated to my organization.

To delete documents, use the red x in the grid. You may delete documents while the application is “In Progress.” A prompt will display to confirm you wish to delete the document.

Current Suballocation Documents			If applicable, upload a suballocation letter, split letter, or other documentation		
Name	Description	Delete			
_The Moon	SPLIT LETTER FOR FY 2017 5307 FUNDS				
DOH	UZA SUBALLOCATION LETTER				
+ Add Document					

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“No Selection Made”

1. The “No Selection Made” will display for questions not answered when the user completes the create application step.
2. The “No Selection Made” will display for all questions in the summary when the closeout amendment is the first post-award action taken after implementation of the new questions (May 5, 2017).
3. The “No Selection Made” will display for three questions after you create a new application or an amendment; see the highlighted in the screenshot below for lapsing funds and frequency for application progress reports. These questions are populated by FTA staff.

Application Details	
Type of Financial Assistance Grant	Pre-Award Authority No, this application is not using Pre-Award authority.
Frequency of Milestone Progress Report No Selection Made	Does this application include suballocation funds? Recipient organization is a Direct Recipient of suballocated funds (by a Designated Recipient).
Frequency of Financial Federal Reports No Selection Made	Will this Grant be using Lapsing funds? No Selection Made
Does this application include funds for research and/or development activities? Yes, this application includes funds for research and/or development activities.	Will indirect costs be applied to this application? Yes, Indirect Costs will be applied to this application at our organizations' approved rate(s).
Requires E.O 12372 Review? Yes	Indirect Cost Description PROVIDE INFORMATION HERE
State Application ID ADD ID & DATE	Delinquent Federal Debt No, my organization does not have delinquent federal debt.
Date Submitted for State Review Mar 05, 2017	Delinquent Federal Debt Description N/A

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New Application Questions – When Editable?

Question/Field	New Application	Budget Revision	Amendment	Closeout	Validation
Start Date	Not Editable	Not Editable	Not Editable	Not Editable	None
End Date	Editable	Editable	Editable	Editable	Yes; the end date must be entered on initial application, amendments, budget revisions, and closeout amendments
Pre Award Authority	Editable	Not Editable	Not Editable	Not Editable	Yes, on the initial application.
Indirect Rate	Editable	Not Editable	Editable	Not Editable	Yes, on initial application. Yes, on Amendments, if the selection is modified, the applicable validations apply.
Suballocation	Editable	Not Editable	Editable	Not Editable	Yes, on initial application. Yes, on Amendments, if selection is modified, the applicable validations apply.
Research and Development	Editable	Not Editable	Editable	Not Editable	Yes, on the initial application.