TrAMS Application Review Checklist
February 2023

Note: This checklist is a general guide for FTA applications. FTA may request additional information depending on each application and its specific requirements.

Date: Recipient #:

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	Y	N	N/A	Notes
Part 1: Recipient Information				

• Ensure General Information is current / complete.
   o Ensure SAM/UEI status is active.
      ▪ If SAM is inactive, please work with the SAM helpdesk. FTA cannot award funding with expired SAM. If your registration has expired, you have been assigned a UEI, but you will need to renew your registration.				

• Ensure contact persons current /complete.
   o Ensure recipient contacts, phone & e-mails are up to date.
   o Ensure Union info is current/ complete.
• Ensure at least 2 User Managers are assigned/established.				

• Ensure Certifications & Assurances are PIN'd by both designated official and Attorney.
   o Attach signature page of C&As signed by Official and Attorney if the same person is signing for both the Official and the Attorney.
   o If same person is pinning for both, Attach/Upload justification to TrAMS if the attorney is unable to electronically PIN the C&As.				

• Ensure Civil Rights Program requirements, as applicable, are current or in review status:
   o DBE Programs/Goals
   o EEO
   o Title VI
• Applications cannot be submitted if any program is in "expired" status.
   o Contact the Civil Rights Officer at FTA				

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Region IV if needed.				
• Fleet Status: Is Fleet Status updated? (See Section 4 for additional information) ○ This information is kept at the Recipient level. ○ Recipient is only asked to update their Fleet Status when the Rolling Stock scope is included in the application. ○ For recipients with 50 or more fixed route buses, ensure spare ratio does not exceed 20%.				
Part 2: Application Information				
General				
• Ensure application title is adequate / appropriate. ○ Section of Statute, Application Overview, Agency, UZA ○ If a Multisource application, include "Multisource" in the title. ○ If a Competitive/Discretionary application, include "Competitive" in the title. ○ For Amendments, use a line to ensure original application information is separated from Amended application language throughout application, including Executive Summary, Project Descriptions, and ALIs.				
• Ensure the appropriate Section of Statute is selected ○ If the application is submitted with the wrong Section of Statute, FTA will be unable to process it, and a <u>new</u> application will be required. ○ For Multi-Source applications, ensure only one funding source per project.				
• Ensure activities are in Current/Fed.				

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approved STIP/TIP/UPWP. o Attach only page(s) showing funded project(s) activities; include page number in narrative.				

• Is Application subject to Pre-award Authority?
  o Populate this field with yes/no. If uncertain, see FTA's circular for the applicable program(s) eligibility.
  o Initial FFR is required when "yes" is selected.				

• Ensure Application Executive Summary is adequate and complete. Include:
  o Funding amount, section of statute, fiscal year, State/UZA funds apportioned to.
  o Brief Overview of activities to be funded.
  o The Period of Performance end date should be set to the next March 30 a minimum of 5 years beyond the latest milestone date in the application. For example, identify final milestone in the application (e.g., 06/25/2022), add five years (e.g., 06/25/2027). If that milestone falls after March 30 of that year, extend end date to March 30 of the following year (e.g., 03/30/2028).
 	
  o FTA requires some items be addressed in the application (Include statement in Executive Summary if applicable):
    1. If vehicle purchase, ensure there is language addressing Transit Vehicle Manufacture				

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(TVM) requirement. 2. If 3rd party contractors are used, include language they are not on the suspended and disbarred list.				
Applications for new awards and amendments must include the following categories. Update applicable fields, using Sample Executive Summaries Template(s) below: • Purpose of the Award • Activities to be Performed • Expected Outcomes • Intended Beneficiaries • Subrecipient Activities				
• Attach Governor's Apportionment/split letter and ensure it is consistent with budget (If applicable). • Ensure the appropriate selection is made for Direct or Designated Recipient.				
• Ensure "No" is selected for the research question.				

• If Flex Funds, has transfer to FTA Region IV been completed?
   o Attach signed FHWA Form 1576 (contact FHWA for form).
   o Ensure language regarding Flex funds is included in the Executive Summary.				

• Ensure Program of Projects (POP) is attached, if applicable). o Ensure this POP is consistent with projects/ALIs.				
• Ensure projects are split appropriately. o If applying for multiple UZA's, separate by project.				

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○ Ensure ADA Paratransit is in a separate project.
○ If Multi-Source funding application aka "Super Grant" is desired, please separate different funding sources by project.
○ Examples:
    ▪ Construction/rehab should be in its own project.
    ▪ Preventive Maintenance and Paratransit should be in separate projects.				

• If indirect costs will be charged, please attach the respective documentation (Cognizant Agency's Indirect Cost Rate approval or associated documentation) and ensure the correct selection is marked to the Indirect Cost Question.				
• If application projects are also funded with previously obligated applications, please include the FAIN # of the associated applications in the Executive Summary.				
Part 3: Project Information				
Project Narratives				
• Ensure Project Overview is adequate and complete (Verify different from language in Executive Summary) ○ Fiscal year of funding, amount of funding, state/UZA funds apportioned, references to other FTA awards supporting projects contained in the application, overview of projects, etc. ○ Ensure each project has its own details and description in project details. ○ Ensure Project Benefits are				

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complete and provides specific benefits.				
Project Location				

• Ensure correct UZA/Congressional Districts are selected.
   o For Large UZA funds, ensure the appropriate Large UZA is selected.
   o For Small UZA funds, the State UZA code is used.
   o For Rural funds, the State UZA code is used.
   o Competitive applications, MUST select the State UZA code.
• If TA provides service across multiple UZAs, list Congressional Districts and clearly describe the transit service area from start point to end point, depicting service across the UZAs.				

• Provide specific location of project, if applicable. Include address, if applicable. • ALIs in the application that involve construction activities (e.g. rehab or renovation to a transit facility) then you must include the specific address to the facility.				
Project Control Totals/Activity Line Items				
• Confirm all funds available prior to applying.				

• Ensure Scopes / ALI's are eligible and correct.
   o Is Federal / local match ratio(s) correct?
      ▪ If Transportation Development Credits (formerly toll revenue credits) are used as local match, list in appropriate budget section.
      ▪ Attach State TDCs				

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authorization letter.
      ▪ Ensure Proceeds included correctly (if applicable)
   o Are activities consistent with ALI descriptions?
   o Are quantities included for capital purchases (e.g. # of bus shelters, vehicles, etc.)?
   o Is fuel type selected for vehicle purchases?				

• Ensure Extended Budget Descriptions (EBD) are adequate and complete.
   o Provide details of what is occurring in the specific activity.
   o Enter useful life for capital items with individual value over $5,000.
   o Itemize capital activities if one ALI will cover multiple purchases. Add useful life descriptions if individual item(s) over $5,000.
   o Define year of activity for operating assistance; if more than one year of operating, use separate ALI for each year of operating. Cannot include future operating assistance periods.
   o Preventive maintenance ALI should be only for the current and/or preceding year. If two years, use a separate milestone for each year.
      ▪ Include dates of PM in the EBD; ensure they align with the milestones.
   o If real estate is included:
      ▪ Ensure Uniform Act is being followed.
      ▪ Ensure FTA concurrence was received for over $1M OR in-				

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kind match.				
• Ensure 3rd Party Contractor question is marked as "Yes" if work will not be done in-house.				
• Consider if all applicable program eligibility requirements are met. See program specific requirements, below.				
Milestones				

• Ensure appropriate number of Milestones are provided for each ALI. Ensure Descriptions correspond with Milestone Dates.
   o Rolling Stock procurements have minimum of 5 milestones.
   o Activities w/contracts have min. of 3 milestones: RFP, contract award and contract complete
• Other ALIs have min. of 2 milestones: Initial expenditure and final expenditure.
• Consider Milestone(s) completion dates and ensure they are reasonable.
• Ensure Milestones for completing Environmental Mitigation activities are entered, if applicable.				

Environmental Findings				

• Coordinate early with FTA to ensure NEPA requirements are met.
• Ensure findings are provided on project or ALI level, as appropriate.
   o Most findings are at the ALI level.
   o For EA/EIS, finds are most likely at the project level.
• Ensure findings are supported by appropriate NEPA documentation and attach, as appropriate:
   o Signed Documented CE Approval Letter and DCE worksheet.
				1. Listed CEs do not require documentation but please attach FTA's email confirming the choice of CE if one was sent to you.
				2. Please include hyperlinks to EA and EIS documents hosted on your website or on FTA's website if not on yours. These documents must be available until the start of revenue service or full public use (if a facility).
				3. NEPA Trigger words- if any of these activities are occurring in your

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o Signed FONSI o Signed ROD				application, contact FTA for early coordination: • Construction • Rehabilitation • Renovation • Wetland • Retention pond • School • UST • Minority neighborhood • ESL (English as a second language) • Residential • Historic • Old • Water • Electric • Charging stations • Maintenance facility • New route • Rail • High traffic volume • Edge of existing pavement • ROW acquisition • Land acquisition • Mixed use development • Change in zoning • Recently acquired property
Part 4: Fleet Details/Changes to Fleet				
• Ensure the number of vehicles acquired is consistent with the fleet status tables. • For new vehicle purchase, ensure useful life is included. • Ensure justification/explanation for Expansion vehicles is provided.				

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• For replacement vehicles, attach the list of vehicles to be replaced, or include list in the appropriate ALI's EBD, including:
   ○ Year/Make/Model
   ○ Current Mileage
   ○ Original useful life (miles and years)				

Part 5: Program Specific Requirements: *Below are some basic reminders for each specific program type.*				

5303/5304
• This funding is for Planning only.
• All planning activities must be in the UPWP.
   ○ Attach applicable UPWP pages reflecting each planning activity.
      ■ STIP/TIP not federally required for planning funds.
• Separate Statewide Planning (5304) and Metropolitan planning funds (5303) into separate scopes.
   ○ 441-00: Statewide Planning
   ○ 442-00: Metro Planning
• Ensure the POP/budget in the application is consistent with attached UPWP summary pages.				

5307
• Apportionment Attachments:
   • Split Allocation and/or Governors Apportionment letters, if applicable.
   • At the Recipient level, ensure Designated Recipient Letter is attached.
• JARC projects should be under the 646-00				

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Scope & 30.09.05 Operating ALI.
• Preventive maintenance ALI should be only for the current and/or preceding year. If two years, use one milestone for each year.
   • Include dates of PM in the EBD; ensure they align with the milestones.
• If applying for multiple urbanized area funding, the individual urbanized areas need to be identified in the Executive Summary with the associated dollar amount and include each UZA in separate projects.
• Operating is eligible for small UZA's and rural areas with no cap.
• Operating is eligible for large UZA's operating fewer than 100 buses, if reflected on Table 3A.
   • Attach Table 3A showing eligibility
   • Use applicable ALI's:
      ▪ 30.09.03 for 1-75 buses
      ▪ 30.09.04 for 76-100 buses
      ▪ If more than one year of operating is being applied for, use separate ALI's for each year (up to 3-years).
• Safety: For Urbanized areas with populations of 200,000 or more, not less than 0.75 percent of funds must be spent on safety. Ensure this is clear in the application.
• Security: 1% must be spent on eligible security projects. Can be overlap between .75% safety and 1% for Security.
• If using 5307 funds for planning, attach current UPWP page.
• TAM expenses are eligible.
• If FHWA Flex funds are included, attach FHWA form 1576				

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• Obtain form from FHWA				

5310
 • Program Specific Attachments:
   o SMP/PMP Approval Letter
   o Split Allocation letter, if applicable
   o At the Recipient level, ensure Designated Recipient Letter, Opinion of Counsel are attached.
 • Check Circular for Transfer provisions
 • Any Large UZAs, Small UZAs, and Rural apportionments, must be added in separate projects.
 • 55% **must** be spent on traditional 5310 projects, capital only, for seniors & individuals with disabilities (**typically non-profit subrecipients,** if not non-profits, explanation for how they are eligible under this category should be included.)
   o Should be included in the Executive Summary and very clear in the POP
   o Traditional projects should be included in the 641 Scope
   o Preventive maintenance (PM) is an eligible traditional project, but limited to PM on 5310-funded vehicles.
   o Up to 45% *may* be spent on non-traditional projects. New Freedom (NF) projects should use Scope 647, with other non-traditional projects other than NF using the 641 scope.
 • Up to 10% of apportionment may be spent on Program Administration with no local match required.
   • Admin should be included in the 610 Scope
 • Coordinated Human Services Coordinated				

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Plan reference- *include statement "all projects are derived from the current Coordinated Plan".*
• POP should include the appropriate information:
   o Subrecipient
   o Agency Type
   o Project type (traditional 5310 or other?)
   o Project Description
   o Federal & Total Project Costs
   o Coordinated plan page number
•				

5311 • 15% for Intercity bus should be included in 634-00 scope. o If 15% for Intercity NOT included applicant needs to include details in the executive summary and attach the Governor's Certification letter. • Appalachian Funds should be included in the 648-00 Scope • RTAP should be included in correct scope 635-00. • State Admin is limited to 10% and should be in the 610-00 Scope				

5337
• Program Specific Attachments
   • Attach 5337 apportionment table
   • Attach split allocation letter, if applicable
• Operating Assistance is ineligible
• If application includes both State of Good Repair and High Intensity Motor Bus funds, split into separate projects.				

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• Maintenance, rehabilitation, or replacement of existing capital assets, including Preventive Maintenance, is eligible. • TAM Plan implementation costs are eligible. • The following statement must be included in the Executive Summary: o *"By executing this award, we certify that projects funded in this award are included in the [20XX] TAM plan investment prioritization section."*				

5339 Formula
• Program Specific Attachments:
   • Attach split letter, if applicable.
   • Confirm appropriate applicant and split allocation or transfer letter attached.
• Capital only
• Preventive Maintenance (other than bus overhauls) and Mobility Management are ineligible.
• Furniture ineligible.
• If procuring less than five (5) vehicles, must utilize innovative procurement procedures.				

Competitive
• Program Specific Attachments:
   o Attach original discretionary application Form SF-424, Supplemental Form and project description documentation.
   o Attach Federal Register Notice table
• Ensure TrAMS application is consistent with projects included and approved in the original application.
• Ensure sure State UZA code selected.
• Indicate Competitive ID# in Executive Summary (Example: D2021-AOPP-076).				

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[Transit Award Management System (TrAMS) Recipient User Manager Handbook (dot.gov)](#)
[Unique Entity Identifier (UEI) Fact Sheet (ed.gov)](#)
[Instructions for Fiscal Year Certifications and Assurances for FTA Grants and Cooperative Agreements (dot.gov)](#)
[Sample Executive Summaries for ARP Grants (dot.gov)](#)
[FTA Grant Management Requirements Circular 5010-1E (dot.gov)](#)
[FAST Act Fact Sheet: Innovative Procurement & Leasing (dot.gov)](#)