

# Summary Grants Management

External Session 3 – FTA-Specific Requirements

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FTA Office of Program Management



U.S. Department of Transportation  
Federal Transit Administration

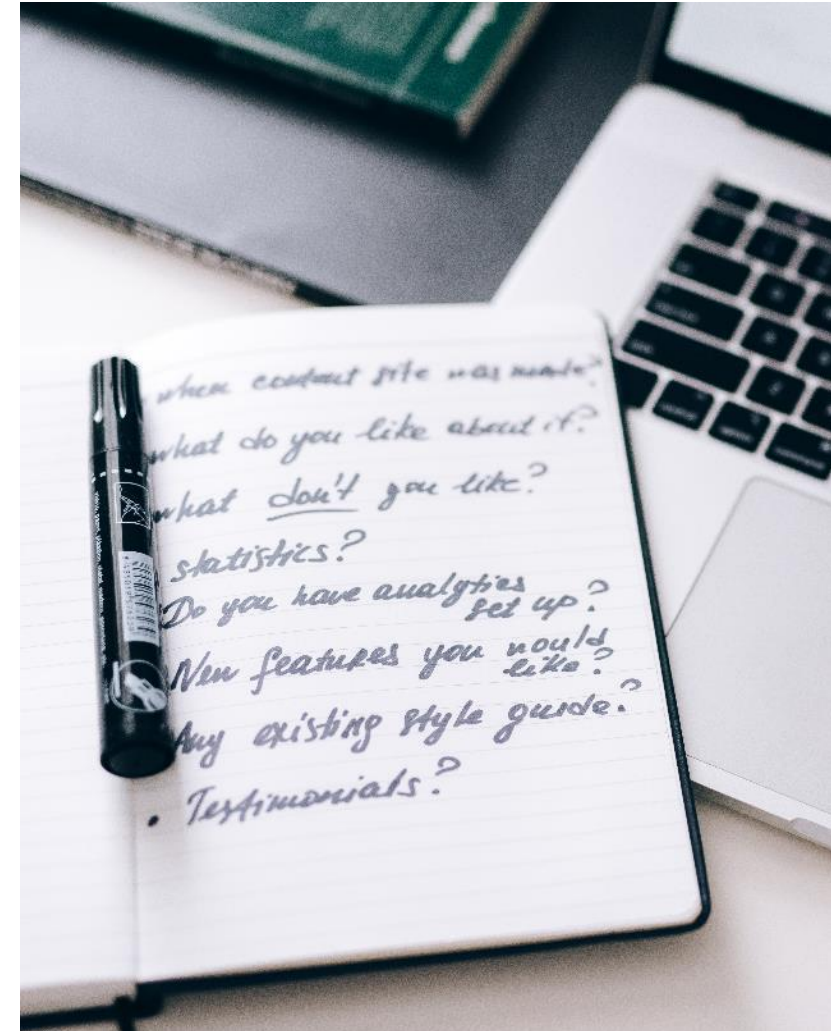


# Disclaimer

The contents of this presentation do not have the force and effect of law and are not meant to bind the public in any way. This presentation is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Recipients and subrecipients should refer to FTA's statutes and regulations for applicable requirements.

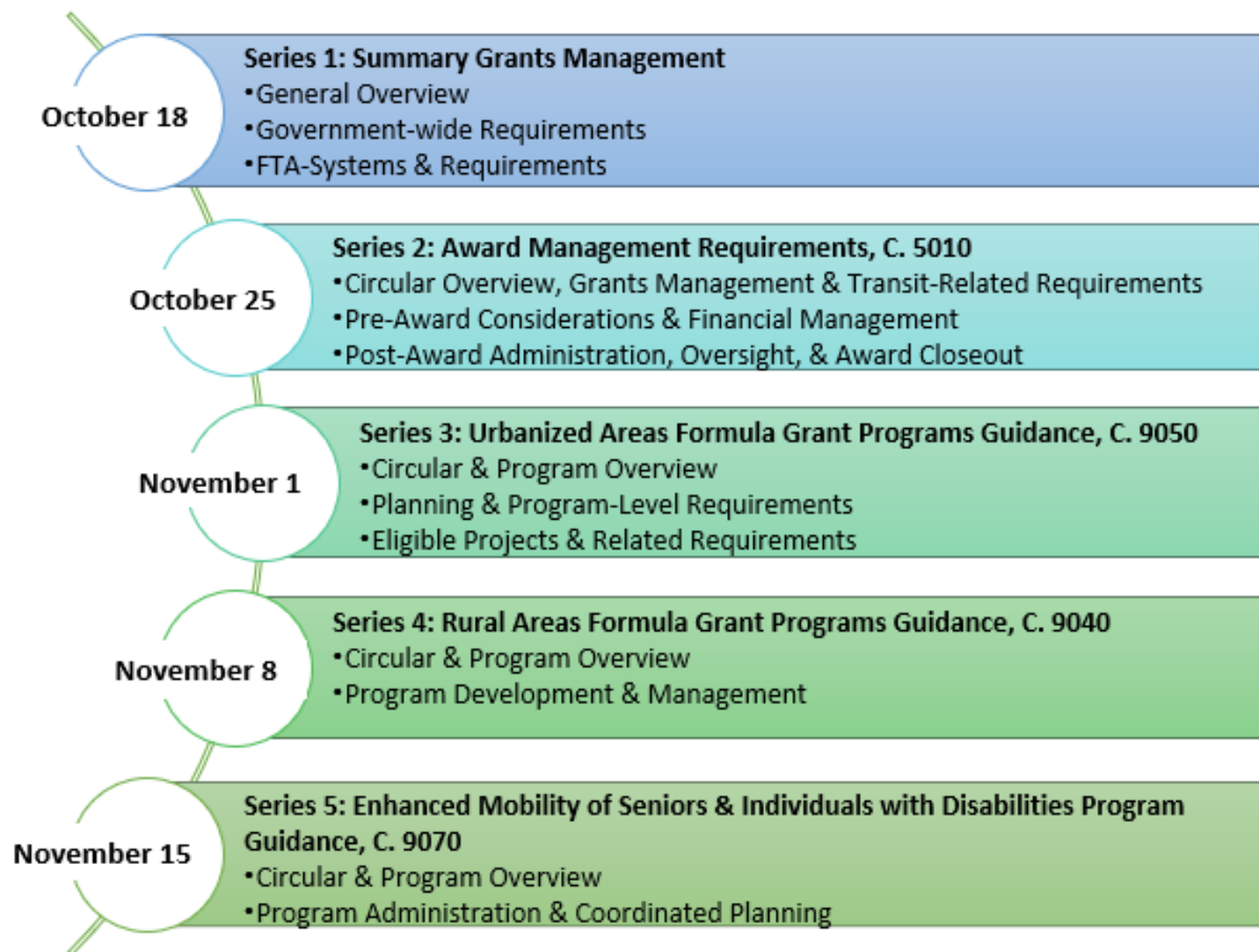
# The “Route” Ahead

- Welcoming Remarks
- Summary Grants Management Training Overview
- TrAMS
- Master Agreement
- Certifications and Assurances
- Triennial and State Management Reviews
- Echo Web
- NTD
- TAM
- Training Schedule
- Next Steps



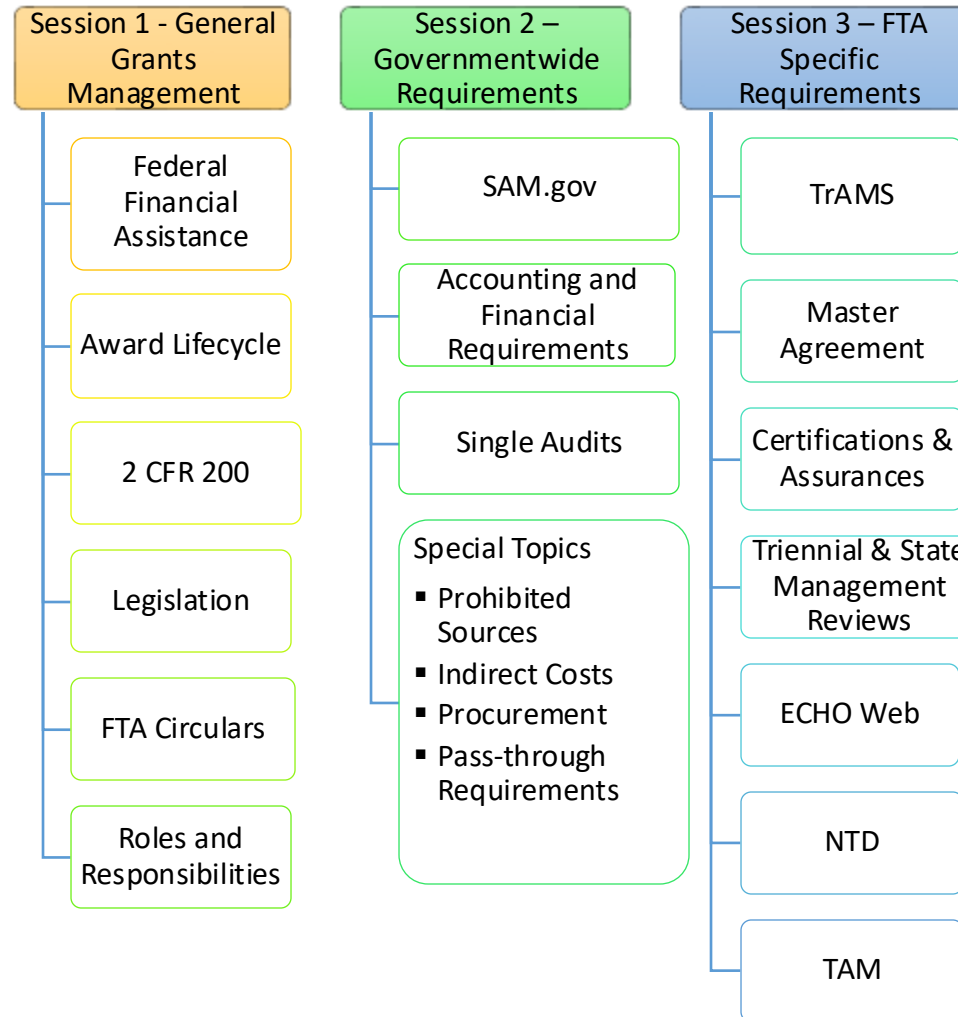
# Circular Rollout Video Release Schedule

Each Friday from October 18 through November 15, 2024, FTA will post a series of prerecorded videos addressing summary grants management information and highlight the requirements outlined in each of the revised circulars - 5010, 9050, 9040, and 9070.



# What is the External Summary Grants Management Video Series?

As part of the training planned for the updated Federal Transit Agency (FTA) circular publication, a series of sessions on general grants management and its systems & requirements was developed to create a baseline understanding of processes, tools and terminology. These trainings will help to create a foundation to understand updates to the circulars.



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# TrAMS – Transit Award Management System



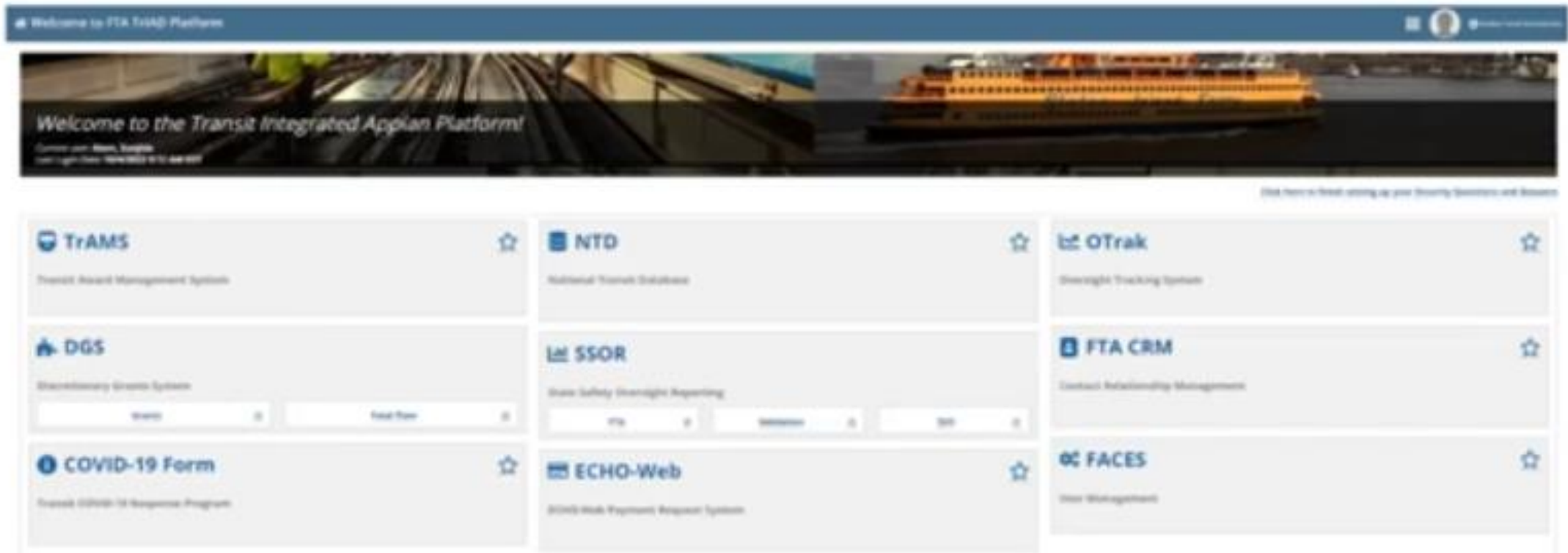
# FTA's TriAD & FACES

- FTA uses several web-based administrative systems that impact grants management. Several of these systems function using FTA's integrated Appian platform - Transit Integrated Appian Development (TriAD).
- To access TriAD systems, the FTA Access Control and Entry System (FACES) to manage user access and functionality.
- FACES is the user creation and management system for each user on the FTA platform. All other software systems, including TriAD, rely on FACES for user management functions.
  - Within FACES, each software system has its own set of user roles access privileges.
  - From the FACES login, users can access all FTA Appian databases and other FTA systems with integrated access.



# FTA's TriAD & FACES

- FACES accessed via the website - <https://faces.fta.dot.gov/suite/>.
- Because each FTA system has its own set of user roles access privileges, individuals may have different roles and levels access to each, individuals may see different systems when logging into the TriAD platform through FACES.

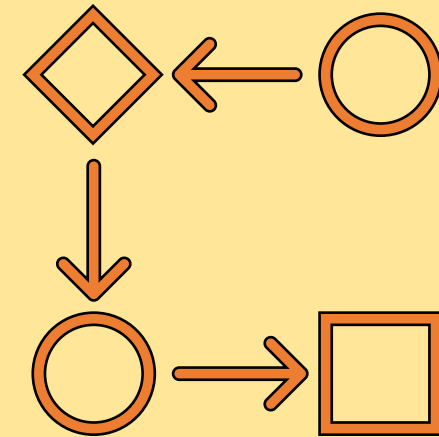




# What is TrAMS?

## Transit Award Management System (TrAMS)

- Web-based tool that uses various workflows controlled through role-based access to manage an FTA financial assistance Award through its life cycle.
- Serves as FTA's System of Record for various actions and information related to federal financial assistance.
- Allows recipients to apply for federal funds, manage their programs in accordance with federal requirements, and provide the FTA with a method to review, approve, control, and oversee the distribution of funds.
- Access to specific TrAMS grant functions are restricted to users who are allowed to perform those tasks and only available during certain times within the grant's life cycle.



# What is a System of Record?

- The **TrAMS** system maintains information on each recipient organization, the organizations compliance with eligibility requirements for Awards, and the users within their organization.
- Recipient Organization profile information in TrAMS is automatically imported from the **System for Award Management (SAM)**. Any changes to organizations information such as name, address, phone, emails, contact information, etc. must be made in SAM. <https://sam.gov/>
- New FTA recipients are required to submit documentation to help demonstrate Civil Rights compliance along with Financial, Legal and Technical Capacity before FTA can award a project. This documentation is reviewed by FTA regional offices prior to providing TrAMS access and uploaded in TrAMS under recipient documents once access is given.

# Recipient User Access

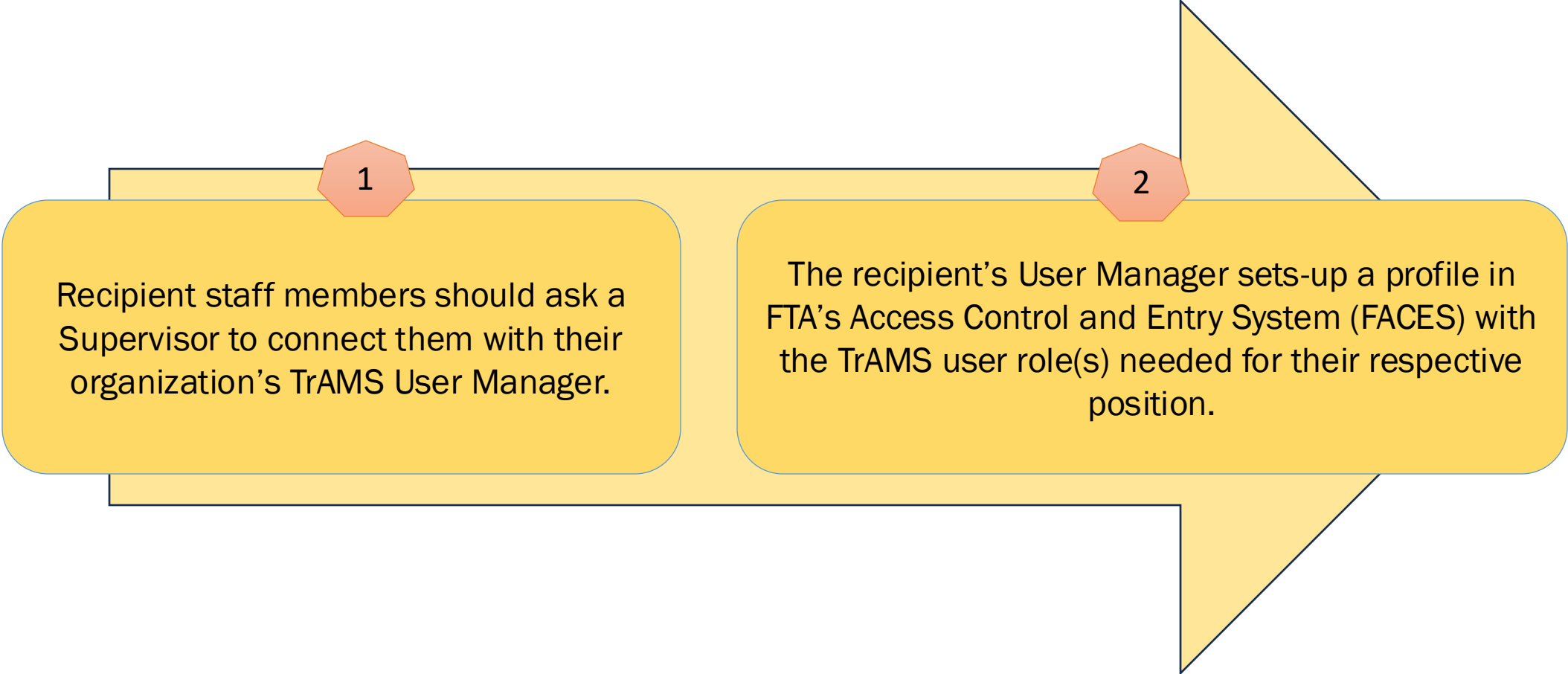
The **User Manager** assigns roles to each user in their organization in accordance with the rules specific to TrAMS.

A **Local Security Manger (LSM)** can only take actions for their own region (Access Control Group), not other regions. They won't have the ability within FACES to take action on people outside of their access control group.

\*Attorney, Official and Submitter require FTA Local Security Manger (LSM) authorization.



# TrAMS Recipient User Access



# TrAMS Recipient User Roles

Recipient User Role	General Responsibilities, Functions, and Task Assignments
User Manager	<ul style="list-style-type: none"><li>• Manages assignments of roles and responsibilities for all the recipient's users.</li><li>• Creates new users and modifies or suspends users for the recipient organization</li><li>• Able to manage recipient profile information, including points of contact.</li><li>• Serves as liaison to the FTA Local Security Manager (LSM).</li><li>• Performs annual recertification of organization's users for access to TrAMS.</li></ul>

To receive the roles you wish to be assigned, contact your designated recipient user manager.



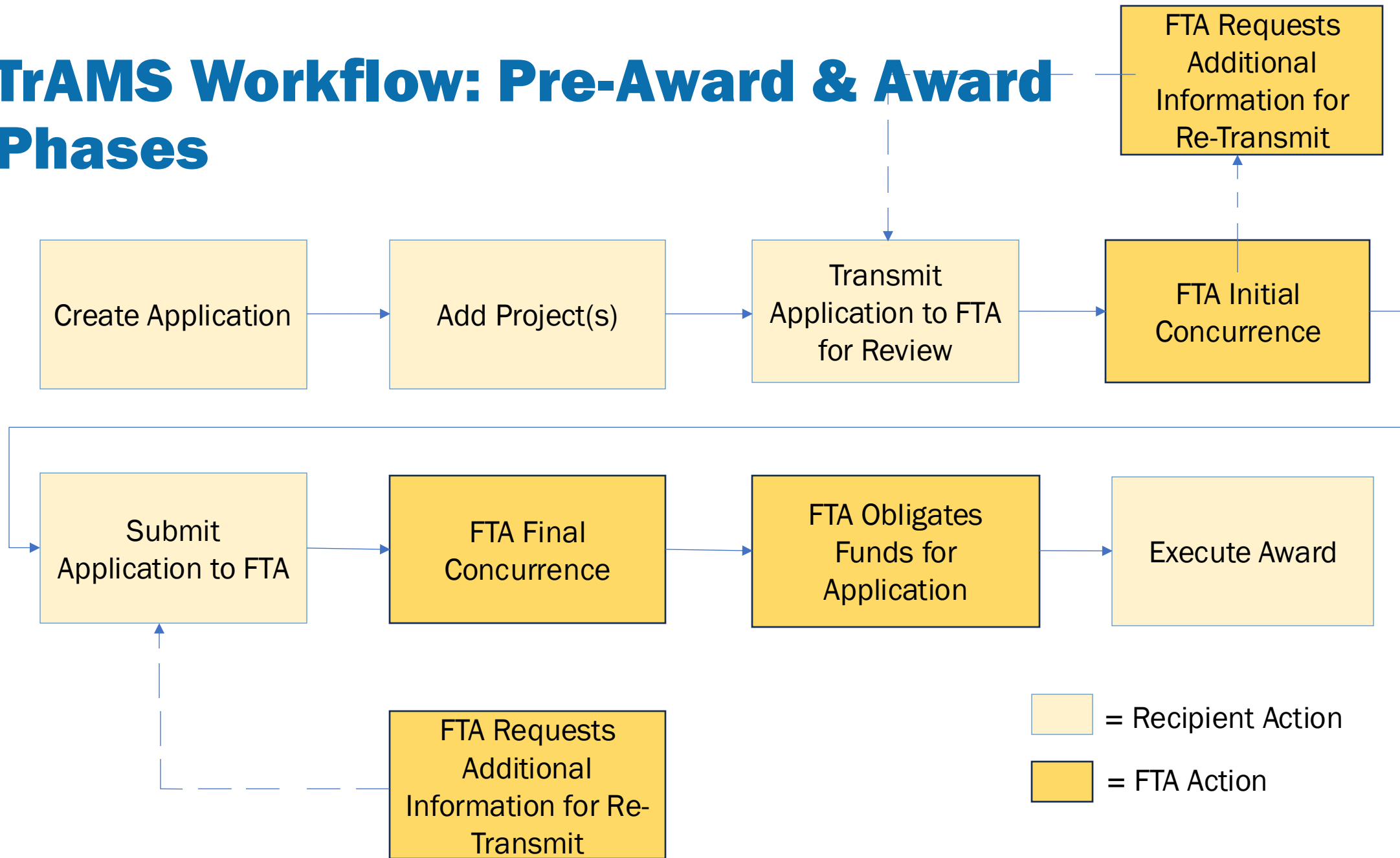
# TrAMS Recipient User Roles

Recipient User Role	General Responsibilities, Functions, and Task Assignments
<b>Read Only</b>	<ul style="list-style-type: none"><li>• Able to view a recipient's information including recipient profile, awards, associated projects, completed/submitted MPRs, FFRs, and DBE reports.</li></ul>
<b>Submitter</b>	<ul style="list-style-type: none"><li>• Responsible for submission of applications.</li><li>• Able to create and edit all parts of an application, transmit applications and manage post award actions.</li><li>• Receives email notification if a transmitted or submitted application is returned to recipient for action.</li><li>• Role assignment requires FTA Local Security Manger (LSM) authorization.</li></ul>
<b>Official</b>	<ul style="list-style-type: none"><li>• Responsible for affirming and executing Annual Certifications &amp; Assurances applicable to organization in TrAMS and executing grant and cooperative agreements awards.</li><li>• Responsible for maintaining a PIN for approvals.</li><li>• Role assignment requires FTA Local Security Manger (LSM) authorization</li></ul>
<b>Developer</b>	<ul style="list-style-type: none"><li>• Responsible for preparing applications.</li><li>• Able to create and edit all parts of an application and transmit applications.</li><li>• Able to manage post award actions.</li><li>• Unable to submit applications for FTA review</li></ul>

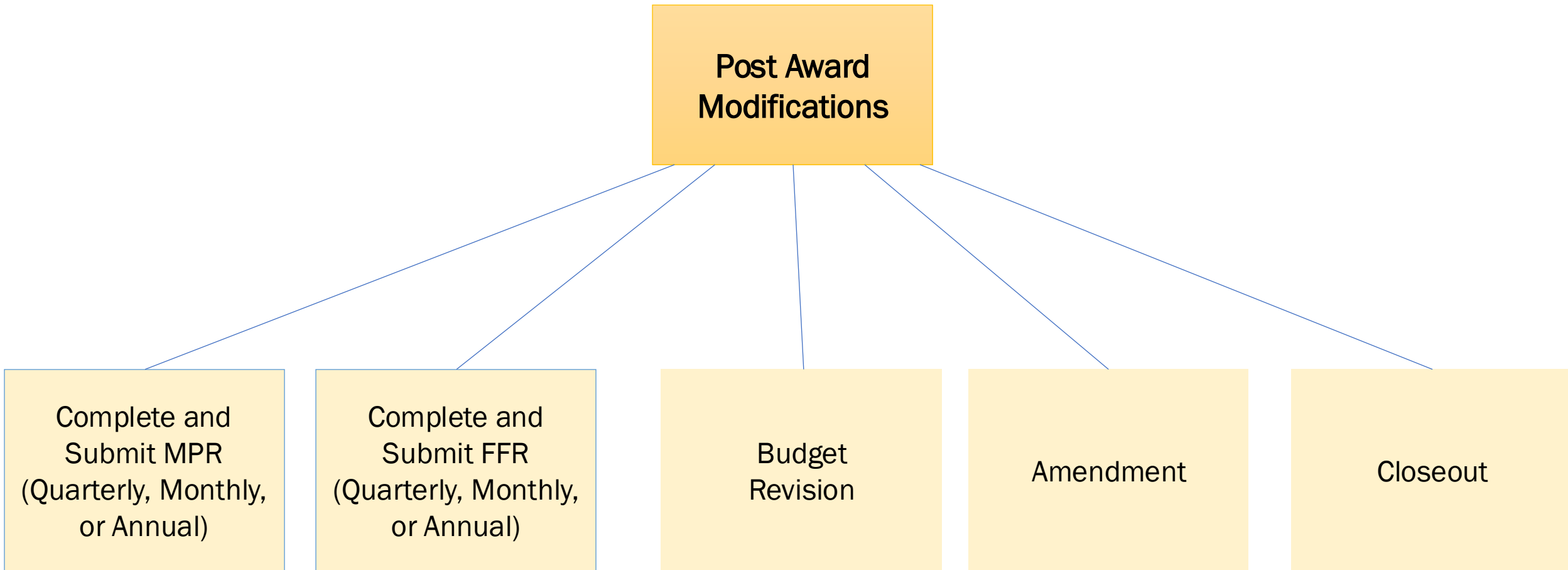
# TrAMS Recipient User Roles

Recipient User Role	General Responsibilities, Functions, and Task Assignments
<b>Attorney</b>	<ul style="list-style-type: none"><li>• Affirm and execute an organization's Annual Certifications &amp; Assurances; Prepare and Upload recipient legal documents.</li><li>• Maintain a PIN for approvals.</li><li>• Role assignment requires FTA Local Security Manger (LSM) authorization.</li></ul>
<b>FFR Reporter</b>	<ul style="list-style-type: none"><li>• Prepare and submit Federal Financial Reports (FFRs) for each active award</li><li>• Complete FFR related tasks.</li></ul>
<b>MPR Reporter</b>	<ul style="list-style-type: none"><li>• Prepare and submit Milestone Progress Reports (MPRs) for each active award.</li><li>• Complete MPR related tasks.</li></ul>
<b>Civil Rights</b>	<ul style="list-style-type: none"><li>• Manage Civil Rights Program compliance and prepare and submit DBE Goal Reports.</li><li>• Maintain Civil Rights Program compliance status.</li></ul>

# TrAMS Workflow: Pre-Award & Award Phases



# TrAMS Workflow: Post-Award & Closeout Phases



# Resources & Help

- [TrAMS Webpage](#)
- [TrAMS User Guide](#)
- FTA Application Help Desk
- [FTAITHelpdesk@dot.gov](mailto:FTAITHelpdesk@dot.gov)

Phone: 202.967.0340

**Business Hours:**

8:00 a.m.- 8:00 p.m. ET, M-F

TrAMS

[Guidance & Training](#)

[TrAMS User Guide](#)

[Notices](#)

[FAQ](#)

## Related Links

- [Sign Up for Updates](#)
- [Funding Opportunities for Tribal Entities](#)
- [FTA Regional Offices](#)

## Contact Us

FTA Application Help Desk  
1200 New Jersey Avenue, SE  
Washington, DC 20590  
United States

**Email:**  
[FTAITHelpDesk@dot.gov](mailto:FTAITHelpDesk@dot.gov)

**Phone:** (877) 561-7466

**Alt Phone:** (202) 967-0340

**Business Hours:**  
8:00 a.m.-8:00 p.m. ET, M-F

If you are deaf, hard of hearing, or have a speech disability, please dial 7-1-1 to access telecommunications relay services.

## The Transit Award Management System (TrAMS)



### TrAMS Overview

The Transit Award Management System (TrAMS) is FTA's web-based grant management tool that allows recipients to apply for federal funds, manage their programs in accordance with federal requirements, and enable FTA to review, approve, control, and oversee how funds are used.

### Operating Status: Open.

Have a TrAMS account? [Log in](#)

### What's New

#### TrAMS Enhancements

On May 16, FTA will introduce enhancements to the Transit Award Management System (TrAMS).

Enhancements include changes to the layout, appearance, and terminology specific to the records page and do not change the workflow or data within the system. These changes are necessary for FTA to stay on pace with current technology while streamlining users' experience and enhancing clarity.



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# Certifications & Assurances

# Certifications and Assurances

- Each fiscal year, FTA publishes the annual Certifications and Assurances (C&As), which are a list of pre-award representations required by federal law or regulation consolidated into a single document.
- FTA requires an applicant or recipient to self-certify that they will comply with these before receiving any federal funding for the fiscal year.
  - Complete C&As are a prerequisite for receiving federal assistance
  - Certifications are made for all anticipated awards and funding sources, and not per award
  - The requirements are divided up by Category, applicant selects applicable categories
  - They are a binding commitment to comply with the terms of the award
- The C&A's are published at the same time as the annual Apportionment Notice, as required by 49 USC § 5323(n).
  - If not yet published in a new FY, applications will be processed under the prior FY C&A's
  - Once published, FTA will not process an application for award or an amendment if the grantee has not completed the latest C&As

# Certifications and Assurances and TrAMS

The C&As are a “Related Actions Task” in TrAMS that the Authorizing Official (AO) should ensure the correct certifications were selected

The Attorney affirms the Authorizing Official’s selections and the Applicant’s legal authority to comply with the selected C&As

AO & Attorney should sign electronically with their Personal Identification Number Limited exception to electronic execution for cause

C&As should be pinned within 90 days of publication or prior to submission of a new application or amendment, whichever is first

# Certifications and Assurances

- Standard assurances (Category 1)
  - Legal Capacity
  - Procurement Requirements
  - Suspension and Debarment
- Certification for applicable funds:
  - Urban - 5307 & 5310 (Category 8)
  - Rural - 5311 (Category 9)
  - Fixed Guideway - 5309 (Category 10)
  - Buses & Bus Facilities - 5339 (Category 11)
  - Enhanced Mobility – 5310 (Category 12)
- Other requirements:
  - Lobbying (Category 4)
  - Buy America (Category 7)
  - Drug & Alcohol Testing (Category 15)

*Not every provision of every certification will apply to every applicant or award. If a provision of a certification does not apply to the applicant or its award, FTA will not enforce that provision.*

*Text in italic is guidance to the public. It does not have the force and effect of law, and is not meant to bind the public in any way. It is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.*

## **CATEGORY 1. CERTIFICATIONS AND ASSURANCES REQUIRED OF EVERY APPLICANT.**

*All applicants must make the certifications in this category.*

### **1.1. Standard Assurances.**

*The certifications in this subcategory appear as part of the applicant's registration or annual registration renewal in the System for Award Management (SAM.gov) and on the Office of Management and Budget's standard form 424B "Assurances—Non-Construction Programs". This certification has been modified in places to include analogous certifications required by U.S. DOT statutes or regulations.*

As the duly authorized representative of the applicant, you certify that the applicant:

- (a) Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
- (b) Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- (c) Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- (d) Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- (e) Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728–4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).

# Standard Form-LLL

An applicant or recipient must file a written certification stating that no federal funds have paid for lobbying if receiving federal assistance more than \$100,000.

- If applicants use non-FTA funds for lobbying, they must submit a Disclosure of Lobbying Activities form (SF LLL) to report these activities and to identify the names of the individuals performing lobbying services.
- Applicants must submit SF LLL as often as once per calendar quarter, depending on whether or not their lobbying activities change materially. If the activities change materially, they must file an additional form for that quarter.

**DISCLOSURE OF LOBBYING ACTIVITIES** OIG Control Number: 4946-0013  
Expiration Date: 10/01/2022

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

**Review Public/Guardian Disclosure Statement**

<b>1. Type of Federal Action:</b> <input checked="" type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. transportation <input type="checkbox"/> f. other	<b>2. Status of Federal Action:</b> <input checked="" type="checkbox"/> a. initial application <input type="checkbox"/> b. extension <input type="checkbox"/> c. amendment	<b>3. Report Type:</b> <input checked="" type="checkbox"/> a. lobbying <input type="checkbox"/> b. material change
<b>4. Name and Address of Reporting Entity:</b> <input checked="" type="checkbox"/> a. individual <input type="checkbox"/> b. organization * Name: _____ * Street: _____ * City: _____ State: _____ Zip: _____ * Telephone: _____		
<b>5. If Reporting Entity is Not a Subsidiary, enter Name and Address of Parent:</b> _____ _____ _____		
<b>6. Federal Department/Agency:</b> _____	<b>7. Federal Program Name/Description:</b> _____ <small>OIG Number / Applicable</small> <b>8. Federal Action Number / Project:</b> _____ <b>9. Award Amount, if known:</b> \$ _____	
<b>10. Name and Address of Lobbying Representative:</b> * Name: _____ * Street: _____ * City: _____ State: _____ Zip: _____ * Telephone: _____		
<b>11. Individual Performing Service:</b> * Name: _____ * Street: _____ * City: _____ State: _____ Zip: _____ * Telephone: _____		
<b>12. Information requested through this form is submitted by the 31 U.S.C. section 1352. The disclosure of lobbying activities is a material representation of fact applicable to certain contracts and other information for transparency made or ordered by 31 U.S.C. 1352. This information is requested by the 31 U.S.C. 1352. This information is requested by the 31 U.S.C. 1352. This information is requested by the 31 U.S.C. 1352.</b> * Signature: _____ * Name: _____ * Title: _____ * Telephone: _____ * Date: _____		

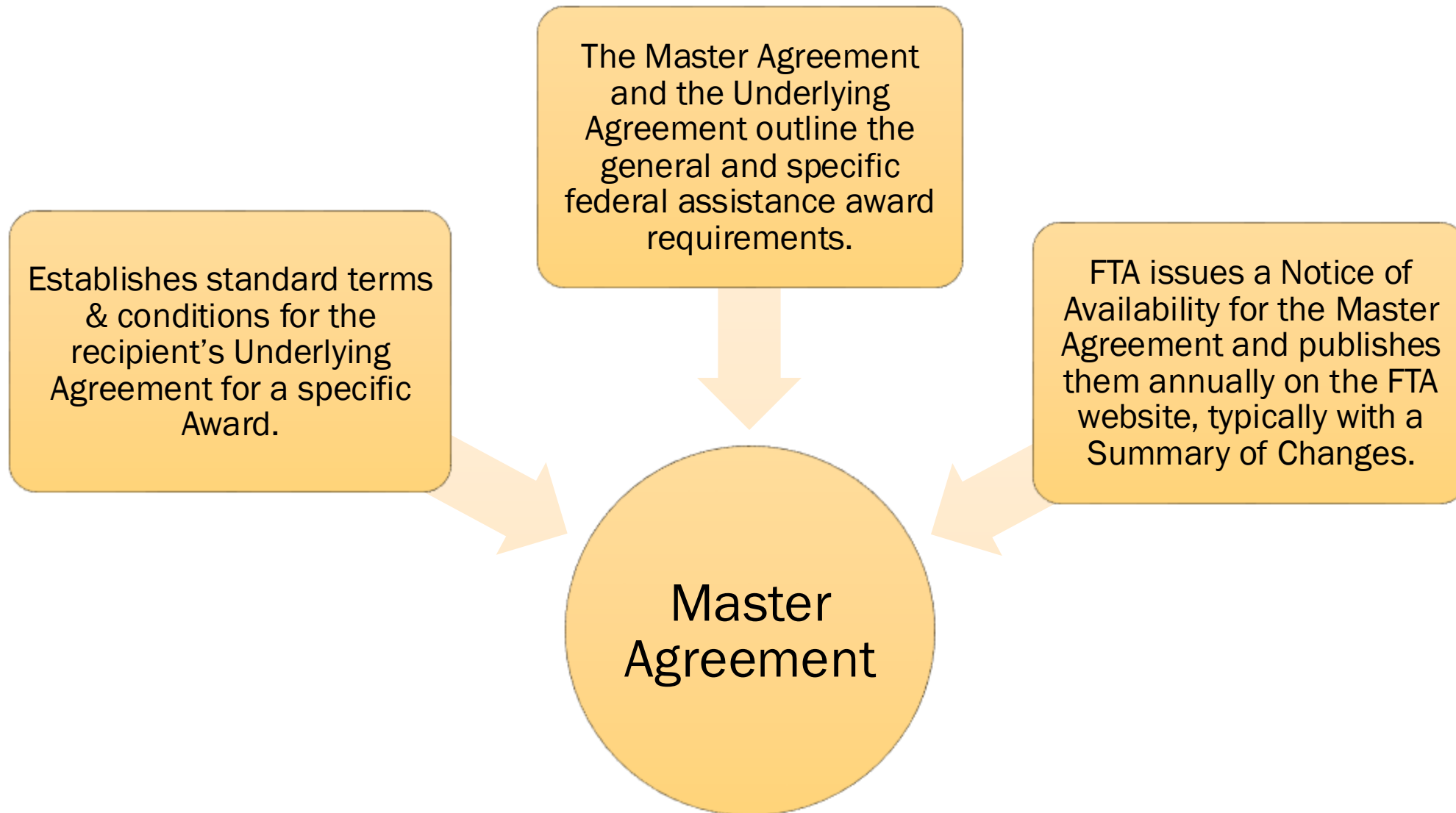
STANDARD FORM 113 (SF LLL) (09/01/2007)  
Continuation of Lobbying Activities



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# Master Agreement

# Master Agreement



# C&As and Master Agreement Resources

Topic	Resource
Certifications and Assurances	<ul style="list-style-type: none"><li>• <a href="https://www.transit.dot.gov/funding/grantee-resources/certifications-and-assurances/certifications-assurances">https://www.transit.dot.gov/funding/grantee-resources/certifications-and-assurances/certifications-assurances</a></li></ul>
Master Agreement	<ul style="list-style-type: none"><li>• <a href="https://www.transit.dot.gov/funding/grantee-resources/sample-fta-agreements/fta-grant-agreements">https://www.transit.dot.gov/funding/grantee-resources/sample-fta-agreements/fta-grant-agreements</a></li></ul>
2 CFR 200 – Currently Active	<ul style="list-style-type: none"><li>• <a href="https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1">https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1</a></li></ul>
DOT 2 CFR 200 Training	<ul style="list-style-type: none"><li>• <a href="https://www.transportation.gov/grants/dot-navigator/understanding-uniform-guidance-requirement-2-cfr-200-federal-awards">https://www.transportation.gov/grants/dot-navigator/understanding-uniform-guidance-requirement-2-cfr-200-federal-awards</a></li></ul>
SF-LLL	<ul style="list-style-type: none"><li>• <a href="https://grants.gov/forms/forms-repository/post-award-reporting-forms">https://grants.gov/forms/forms-repository/post-award-reporting-forms</a></li></ul>

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# Oversight - Triennial & State Management Reviews

# Program Oversight Overview

FTA is responsible for conducting oversight activities to help ensure FTA grant recipients' use the funds in a manner consistent with their intended purpose and in compliance with regulatory and statutory requirements.

The Office of Program Oversight develops and implements a comprehensive national oversight program to assess recipients' compliance with Federal requirements. Oversight review programs include:

Triennial Reviews

State Management  
Reviews

Procurement  
System Reviews

Financial  
Management  
Oversight Reviews



# TSO-30: Office of Program Oversight

TSO-30 manages a comprehensive oversight program to assess and promote recipient compliance with Federal requirements. Compliance is determined through oversight reviews including:

## Triennial Review Program

- Required review of all 5307 recipients once every 3 years.
- Assesses compliance with current statutory, regulatory, and administrative requirements.
- Currently examines 23 topic areas.
- Provides technical assistance and training on FTA requirements
- Aids FTA in reporting to the Secretary, Congress, other oversight agencies.

## State Management Review Program

- Discretionary review of State DOTs assess implementation of FTA Statewide grant programs (5310 and 5311).
- Mirrors the triennial review examination of 23 areas, once every 3 years.
- Provides technical assistance and training.

## Procurement System Review Program

- Assesses and promotes recipient compliance with procurement requirements and standards in 2CFR Part 200.
- Standards are applicable to FTA third-party procurements
- There are 3 PSR review types:
  - Full Scope review of procurement operations
  - Follow-up review
  - Procurement System Focused review

## Financial Management Oversight Program

- Evaluates recipient's financial management systems and internal financial controls.
- There are 6 FMO review types:
  - Full Scope review of financial management system
  - Follow-up reviews
  - Agreed Upon Procedures
  - Financial Capability and Capacity Assessments
  - Cost Allocation Plan reviews
  - Consulting Engagements

# One Manual, One Process

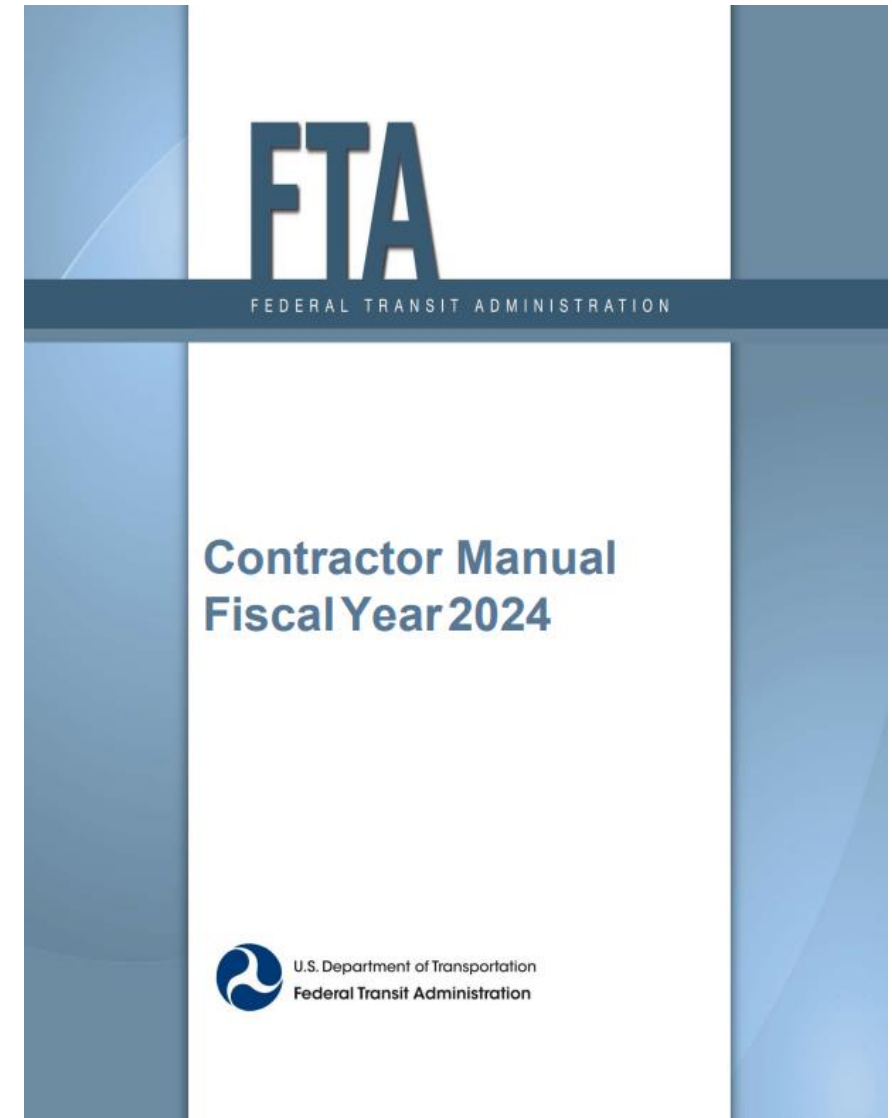
## Manual

- Ensures consistency across Triennial and State Management reviews

## Process

- Streamlined Recipient Information Request (RIR)

**Scan QR Code for  
Contractor's Manual**



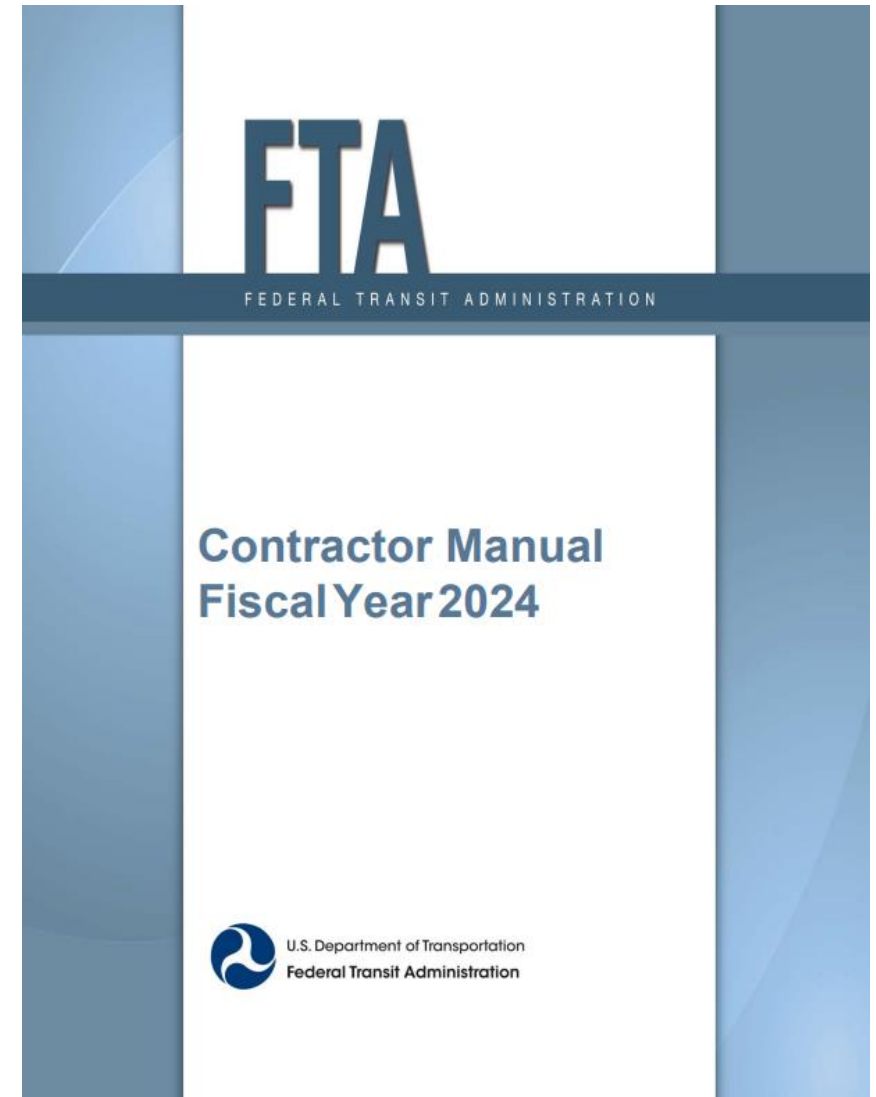
# Current Review Areas (FY 2025)

1. Legal
2. Financial Management and Capacity
3. Technical Capacity – Award Management
4. Technical Capacity – Program Management and Subrecipient Oversight
5. Technical Capacity – Project Management
6. Transit Asset Management
7. Satisfactory Continuing Control
8. Maintenance
9. Procurement
10. Disadvantaged Business Enterprise
11. Title VI
12. ADA – General
13. ADA – Complementary Paratransit
14. Equal Employment Opportunity
15. School Bus
16. Charter Bus
17. Drug-Free Workplace Act
18. Drug and Alcohol Program
19. Section 5307 Program Requirements
20. Section 5310 Program Requirements
21. Section 5311 Program Requirements
22. Public Transportation Agency Safety Plan
23. Cybersecurity

# CORTAP Manual Structure

Each overarching question has six basic parts

1. **Basic Requirement:** high-level, clear statement of what a recipient is required to do
2. **Applicability:** Recipients to whom the requirement applies
3. **Explanation: Detailed** description of the basic requirement
4. **Indicators of Compliance:** How reviewers will assess compliance with the basic requirement
5. **Instruction to Reviewer for Determination:** Based on result of indicators
6. **Governing Directives:** Citation from law, regulation, agreement, or other guidance forming the basis of a potential finding



# Review Area Format

## Introductory page lists:

- Purpose of the review area
- Questions to be examined
- Information needed from the recipient

## 1. LEGAL

### PURPOSE OF THIS REVIEW AREA

The recipient must promptly notify the FTA of legal matters and additionally notify the U.S. Department of Transportation (US DOT) Office of Inspector General (OIG) of any instances relating to false claims under the False Claims Act or fraud. Recipients must comply with restrictions on lobbying requirements.

### QUESTIONS TO BE EXAMINED

1. Since the last Comprehensive Review, did the recipient promptly notify the FTA of any legal matters that may affect the FTA?
2. Since the last Comprehensive Review, did the recipient promptly notify the FTA and US DOT OIG of any instances relating to false claims under the False Claims Act or fraud, waste or abuse?
3. Since the last Comprehensive Review, did the recipient and any subrecipients use only non-appropriated funds for any lobbying activities and did each file the required disclosure form?

### INFORMATION NEEDED FROM RECIPIENT

#### Recipient Information Request

- List of litigations, breaches, defaults, disputes or instances where the Federal government was named as a party to litigation or a legal disagreement since the last review
- List of false claims received or criminal violation committed related to Federal assistance since the last review
- List of law enforcement investigations concerning the recipient's federally-funded projects, to the extent known to the recipient
- List of lobbying activities conducted since the last review

#### Recipient Follow-up

- Office of Management and Budget (OMB) Standard Form LLL
- Documentation of lobbying activities conducted by subrecipients, contractors, and subcontractors

# Procurement System Review

The Procurement System Review (PSR) determines if recipients are meeting requirements and identifies any necessary corrective actions. The PSR program's objectives also include:

Improving recipient procurement operations

Fostering the use of industry best practices

Identifying technical assistance needs, at the recipient level and at the national level, and delivering technical assistance to meet those needs

Spotting emerging issues with recipients in a forward-looking fashion

Identifying recipients with recurring or systemic issues

Highlighting policy issues and informing policy development

Understanding trends and cross-cutting issues at the national level

Informing curriculum development of FTA-sponsored technical training courses

Aiding in the development of reports to FTA and DOT leadership, Congress, other oversight agencies, and the transit community in general.



# Financial Management Oversight Review

The Financial Management Oversight (FMO) program examines recipient's financial management system to determine if recipient's systems and internal controls are adequate. There are several types of FMO reviews.

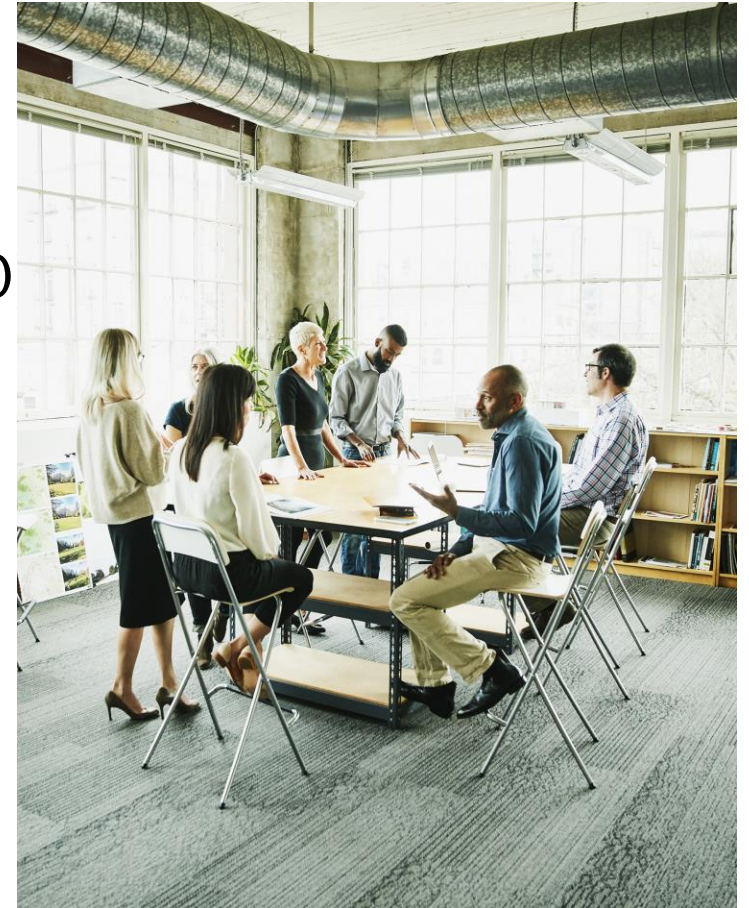
- **Full Scope Financial Management System Review:** FMO contractors conduct a series of interviews, full transaction reviews, and appropriate substantive tests to determine whether the recipient's financial management system meets the requirements of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200).
- **Follow-up Reviews:** Follow-up Reviews are performed primarily to assess if the recommendations resulting from Full Scope Reviews are implemented and working properly. This review occurs between 12-18 months after the Full Scope review.
- **Cost Allocation Plan and Indirect Cost Proposal Reviews:** Review of Cost Allocation Plans and Indirect Cost Rate Proposals submitted to the FTA for approval as the cognizant agency to determine whether the methodology for allocating indirect costs to a federal grant are calculated in a manner consistent with the applicable OMB circular.

# Financial Management Oversight Continued

- **Agreed Upon Procedures:** Agreed-Upon Procedures (AUP) engagements are performed primarily to focus on a particular issue (e.g., review of recipients' use of FTA funds for a particular project or review of the recipient's methodology for charging costs to a particular grant).
- **Consulting Engagements:** Consulting Engagements are used to address concerns by FTA as to whether grant funds were spent per the guidelines of the grant and in accordance with the applicable cost principles. The primary purpose of the review is to develop findings, conclusions, advice, and recommendations that assist management in making decisions or meeting other objectives.
- **Financial Condition and Capability Assessment:** This review is conducted to assess a recipient's financial condition and capability to maintain and operate the existing system and to complete its annual program of projects. The recipient must demonstrate its ability to match and manage FTA grant funds, cover cost increases and/or operating deficits through long-term stable and reliable sources of revenue, and maintain and operate Federally-funded facilities and equipment.

# OTrak – Oversight Tracking System

- FTA’s official system of record for Program Oversight data and activities
- Used by FTA staff, contractors, and grant recipients
- Managed by the Office of Program Oversight (TSO-30)
- Grant recipients use OTrak to manage oversight activities
  - Comprehensive Reviews (Triennial Review (TR), State Management Review (SMR), Combined TR/SMR), Procurement System Reviews, and Financial Management Oversight Reviews
  - View and download their oversight review final reports
  - Manage assigned corrective actions from their completed oversight reviews
- OTrak is NOT a tool for subrecipient monitoring, which is the responsibility of the individual primary recipient.



# Oversight Resources

Topic	Resource
Triennial Reviews	<ul style="list-style-type: none"> <li>• <a href="https://www.transit.dot.gov/funding/grantee-resources/triennial-reviews/triennial-reviews">https://www.transit.dot.gov/funding/grantee-resources/triennial-reviews/triennial-reviews</a></li> </ul>
State Management Reviews	<ul style="list-style-type: none"> <li>• <a href="https://www.transit.dot.gov/regulations-and-guidance/program-oversight/state-management-oversight">https://www.transit.dot.gov/regulations-and-guidance/program-oversight/state-management-oversight</a></li> </ul>
FY24 Comprehensive Review Contractor's Manual	<ul style="list-style-type: none"> <li>• <a href="https://www.transit.dot.gov/sites/fta.dot.gov/files/2024-03/Fiscal-Year-2024-Contractor-Manual_0.pdf">https://www.transit.dot.gov/sites/fta.dot.gov/files/2024-03/Fiscal-Year-2024-Contractor-Manual_0.pdf</a></li> </ul>
Program Oversight Webinars and Trainings	<ul style="list-style-type: none"> <li>• <a href="https://www.transit.dot.gov/BIL">https://www.transit.dot.gov/BIL</a></li> <li>• <a href="https://www.transit.dot.gov/regulations-and-programs/program-oversight/webinars-and-training">https://www.transit.dot.gov/regulations-and-programs/program-oversight/webinars-and-training</a></li> </ul>
OTrak Link and Points of Contact	<ul style="list-style-type: none"> <li>• OTrak: <a href="https://faces.fta.dot.gov/suite/sites/oversight-tracking-system">https://faces.fta.dot.gov/suite/sites/oversight-tracking-system</a></li> <li>• OTrak Product Owner/Lead: Kelly McFetridge (<a href="mailto:Kelly.McFetridge@dot.gov">Kelly.McFetridge@dot.gov</a>)</li> <li>• OTrak User Management: Michael Converse (<a href="mailto:Michael.Converse@dot.gov">Michael.Converse@dot.gov</a>) and Christopher Der (<a href="mailto:Christopher.Der@dot.gov">Christopher.Der@dot.gov</a>)</li> </ul>

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# ECHO Web

# Payment

Federal payment procedures are addressed in the Uniform Guidance under 2 CFR Part 200.305. Under this provision:

- Federal agencies include payment information as part of the award terms and conditions
- Payments to states are governed by Treasury-State Agreements (TSAs) under 31 CFR Part 205.
- Recipients must minimize the time elapsing between receiving funds from the federal government or the pass-through entity and their disbursement.
- Payments can only be withheld if the recipient has failed to comply with the project objectives, federal statutes, regulations, or the award's terms and conditions; once an issue is resolved, the recipient should be paid.



# Payment



## FTA's ECHO Web & Payments:

- While advance payment is outlined under 2 CFR Part 200.305, FTA awards primarily use reimbursement as the preferred method of payment.
- FTA uses the Electronic Clearing House Operation (ECHO)-Web application for payments.

# ECHO Web & External System Integrations

## Login.gov

- Authentication upon login

## FTA's Access Control and Entry System (FACES)

- User Management

## System for Award Management (SAM)

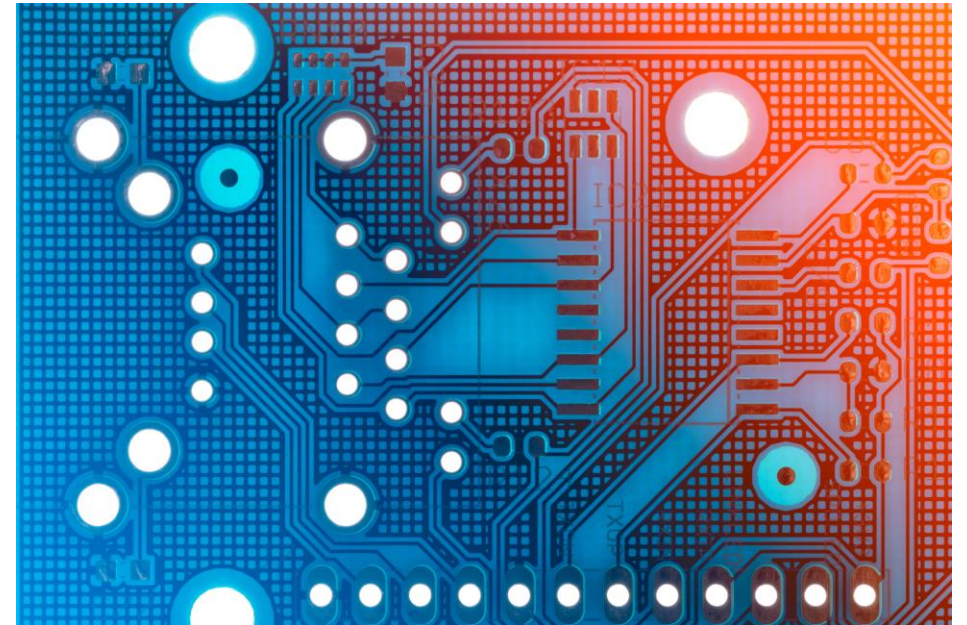
- Imports organizational information in SAM.gov

## FTA's Transit Award Management System (TrAMS)

- Imports grant information

## FTA's Internal Financial Management System (FMS)

- Initiates the payment request process
- Imports the status of payment disbursements



# System Capability Modules



## Payment Management

- Initiate payment requests
- Modify/cancel payment requests
- View the submission status
- View the payment status



## Task Management

- Allows users to pickup where they left off



## Account Management

- View Organization's SAM status & data
- Permit or deny organizations from requesting payments



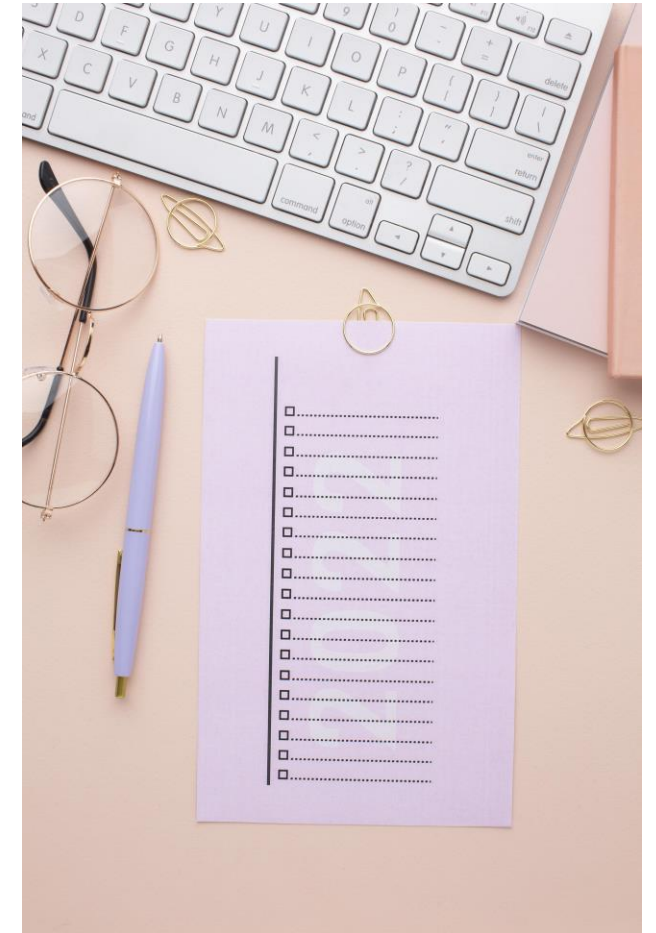
## Help

- View user guides, FAQs, training documents, & year-end close guidance

# Using the System

## Prerequisites for Login

- **All Users:**
  - Active FTA FACES user account with an active ECHO-Web role
- **Non-FTA Users**
  - Association with an organization
  - Active login.gov account
- **All functions with ECHO-Web are permission-based and defined by roles**



# Echo Web Resources

Topic	Resource
Federal Financial Assistance – Government-wide	• <a href="https://www.cfo.gov/">https://www.cfo.gov/</a>
Federal Financial Assistance Training – cfo.gov	• <a href="https://www.cfo.gov/resources/federal-financial-assistance-training/">https://www.cfo.gov/resources/federal-financial-assistance-training/</a>
GAAP Fact Sheet	• <a href="https://www.ojp.gov/sites/g/files/xyckuh241/files/media/document/GAAP_Guide_Sheet_508.pdf">https://www.ojp.gov/sites/g/files/xyckuh241/files/media/document/GAAP_Guide_Sheet_508.pdf</a>
ECHO Web User Guide	• <a href="https://www.transit.dot.gov/sites/fta.dot.gov/files/2024-05/ECHOWeb-User-Guide-v3.7.pdf">https://www.transit.dot.gov/sites/fta.dot.gov/files/2024-05/ECHOWeb-User-Guide-v3.7.pdf</a>
ECHO Web Grantee Training (August 22, 2024)	• <a href="https://www.transit.dot.gov/funding/grants/grantee-resources/echo/electronic-clearing-house-operation-echo-web-grantee-training">https://www.transit.dot.gov/funding/grants/grantee-resources/echo/electronic-clearing-house-operation-echo-web-grantee-training</a>

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# National Transit Database (NTD)



# National Transit Database (NTD)

NTD is the repository of data of financial, operating and asset conditions of American transit systems

- Supports local, state and regional planning efforts with multi-year comparisons and trend analyses
- FTA uses NTD data to apportion funding throughout the United States
- Key metrics include:
  - Vehicle Revenue Miles (VRM)
  - Vehicle Revenue Hours (VRH)
  - Passenger Miles Traveled (PMT)
  - Unlinked Passenger Trips (UPT)
  - Operating Expenses (OE)

# NTD Resources

Topic	Resource
NTD General Information	<ul style="list-style-type: none"><li>• <a href="https://www.transit.dot.gov/ntd">https://www.transit.dot.gov/ntd</a></li></ul>
National Transit Reporting Tool	<ul style="list-style-type: none"><li>• <a href="https://www.transit.dot.gov/ntd/national-transit-reporting-tool">https://www.transit.dot.gov/ntd/national-transit-reporting-tool</a></li></ul>
NTD Training Materials	<ul style="list-style-type: none"><li>• <a href="https://www.transit.dot.gov/ntd">https://www.transit.dot.gov/ntd</a></li></ul>
NTD Training Video	<ul style="list-style-type: none"><li>• <a href="https://www.youtube.com/watch?v=WD DmVXxHsxo">https://www.youtube.com/watch?v=WD DmVXxHsxo</a></li></ul>

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# Transit Asset Management (TAM)

# Transit Asset Management (TAM)

FTA is required to establish a national Transit Asset Management (TAM) System. To implement the plan, FTA recipients must develop asset management plans for their public transportation assets that should include vehicles, facilities, equipment, and support infrastructure. TAM also:



Defines “State of Good Repair”



Requires recipients to develop a TAM plan



Establishes standard state of good repair performance measures & recipient performance targets



Establishes annual reports requirements to the National Transit Database (NTD)



Requires FTA to provide technical assistance

# TAM Resources

Topic	Resource
TAM General Information	<ul style="list-style-type: none"> <li>• <a href="https://www.transit.dot.gov/TAM">https://www.transit.dot.gov/TAM</a></li> </ul>
TAM System Final Rule	<ul style="list-style-type: none"> <li>• <a href="https://www.transit.dot.gov/regulations-and-guidance/asset-management/national-transit-asset-management-system-final-rule">https://www.transit.dot.gov/regulations-and-guidance/asset-management/national-transit-asset-management-system-final-rule</a></li> </ul>
TAM Systems Handbook	<ul style="list-style-type: none"> <li>• <a href="https://www.transit.dot.gov/sites/fta.dot.gov/files/2020-10/TAM-Systems-Handbook.pdf">https://www.transit.dot.gov/sites/fta.dot.gov/files/2020-10/TAM-Systems-Handbook.pdf</a></li> </ul>
RTAP Transit Asset Management Topic Guide	<ul style="list-style-type: none"> <li>• <a href="https://www.nationalrtap.org/Resource-Center/Topic-Guides/transit-asset-management">https://www.nationalrtap.org/Resource-Center/Topic-Guides/transit-asset-management</a></li> </ul>
TAM FAQs	<ul style="list-style-type: none"> <li>• <a href="https://www.transit.dot.gov/TAM/gettingstarted/htmlFAQs">https://www.transit.dot.gov/TAM/gettingstarted/htmlFAQs</a></li> </ul>
Integrating TAM Data into NTD Reporting Webinar	<ul style="list-style-type: none"> <li>• <a href="https://www.youtube.com/watch?v=WDDmVXxHsxo&amp;t=162s">https://www.youtube.com/watch?v=WDDmVXxHsxo&amp;t=162s</a></li> </ul>

# Next Steps

**Additional Trainings: Stay tuned to FTA's FY 2024 Circular Launch Page For Upcoming Friday Releases**

## Shared Mailbox

[FTACircularUpdate2024@dot.gov](mailto:FTACircularUpdate2024@dot.gov)

## Resources

### Learn More:

- [Award Management Requirements \(5010\) Proposed Circular](#)
- [Grant Programs for Urbanized Areas: Program Guidance and Application Instructions \(9050\) Proposed Circular](#)
- [Rural Areas Formula Grant Programs \(9040\) Proposed Circular](#)
- [Enhanced Mobility of Seniors and Individuals With Disabilities Program Guidance and Application Instructions \(9070\) Circular](#)

# FTA Mission, Vision, Values



## Mission

Improve America's Communities through Public Transportation



## Vision

A Better Quality of Life for All Built on Public Transportation Excellence

## Values

<i>Service</i>	Provide reliable, transparent, responsive, and anticipatory services to meet stakeholder needs
<i>Integrity</i>	Commitment to the highest professional and ethical standards
<i>Innovation</i>	Foster new ideas, concepts, and solutions for improved outcomes
<i>Sustainability</i>	Optimize decisions, resources, and systems to make long-term positive impacts on the environment, infrastructure, and safety
<i>Equity</i>	Remove barriers for systemically underserved communities to access all aspects of economic, social, and civic life



# Thank you!

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U.S. Department of Transportation  
Federal Transit Administration