

Certify Certifications & Assurances TIPS

When do I need to submit/certify the C&As?

In general, recipients should certify compliance to the annual Certifications and Assurances (C&As) within 90 days after publication in the Federal Register, or no later than application submission (whichever comes first) to ensure an award can be made.

Where can I find a copy of the Certifications & Assurances?

You can find the current and prior year Certifications & Assurances on the FTA Public Page [HERE](#).


Who can certify in TrAMS to complete certification?

1. Your authorized **Official**, unless otherwise delegated. If the authority is delegated down, the appropriate documentation must be attached to the Recipient Profile in TrAMS.
2. Your **Attorney**.
3. These are two separate user roles in TrAMS. Both roles require supporting documentation to obtain the User Role. If the role is delegated down, that user must be given the appropriate role in TrAMS.
4. Both User Roles require a PIN or Personal Identification number that is self-selected; it is no longer provided by the FTA local security manager (LSM). Screenshots and instructions on how to set up your PIN can be found [HERE](#).
5. If you need help with obtaining the roles, find and call your LSM; the LSM list is posted [HERE](#).

How can I tell my C&As are complete and certified?

All applicants/recipients **MUST** complete their C&As electronically by PINing in the TrAMS system, regardless of whether a signed hardcopy of the C&As is attached (by one or both the Official and/or Attorney). Your C&As are complete and certified when:

1. The **Certified Date in TrAMS is populated**. (This occurs once both the Attorney and Official have PINed their affirmation in TrAMS). See screenshot below.

Certification and Assurance Information	
Fiscal Year	2017
Assigned Date	12/20/2016
Due Date	3/20/2017
	Certified Date 1/26/2017

2. **Category 1 has been selected**. This Category is required by ALL applicants/recipients;
3. All other applicable Categories are selected; and
4. The appropriate **documentation is attached** when one certifier completes the affirmation on behalf of the other.

The following screenshot is a complete certification. Note that your organization may not require selection of all groups/categories; however, FTA encourages selection of all 23 groups/categories.

Certify Certifications & Assurances TIPS

What does a correct Certification look like?

In this example, you can see that the grantee asserted to 12 categories, Category 1 is selected, the certified date is populated and two separate individuals PINed the Affirmations.

Certification and Assurance Information

Fiscal Year 2017

Assigned Date 12/20/2016

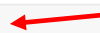
Due Date 3/20/2017

Certified Date 1/25/2017 

Published Certifications and Assurances Document

 [FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES](#)
483.4 KB

Certifications and Assurances

Category	Title
01	Required Certifications and Assurances for Each Applicant 
02	Lobbying
03	Procurement and Procurement Systems
04	Private Sector Protections
05	Rolling Stock Reviews and Bus Testing
06	Demand Responsive Service
07	Intelligent Transportation Systems
08	Interest and Financing Costs and Acquisition of Capital Assets by Lease
09	Transit Asset Management Plan, Public Transportation Safety Program, and State Safety Oversight Requirements
10	Alcohol and Controlled Substances Testing
14	Urbanized Area Formula Grants Programs and Passenger Ferry Grant Program
15	Enhanced Mobility of Seniors and Individuals with Disabilities Programs

1-12 of 12

Affirmation of Applicant

Affirmation of Applicant BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in federal fiscal year 2017, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply to each Award for which it now seeks, or may later seek federal assistance to be awarded during federal fiscal year 2017.

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1996, 31 U.S.C. § 3801 et seq., and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31, apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. § 1001 apply to any certification, assurance, or submission made in connection with a federal public transportation program authorized by 49 U.S.C. chapter 53 or any other statute.

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and any other statements made by me on behalf of the Applicant are true and accurate.

I Accept the above

Official's Name Kim [REDACTED] 

Certification Date Jan 09, 2017

Affirmation of Attorney

Affirmation of Attorney As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under state, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

I Accept the above

Attorney's Name Michael [REDACTED] 

Certification Date Jan 25, 2017

Certify Certifications & Assurances TIPS

What does an incorrect certification look like?

If your C&As do NOT display any selected categories, your C&As are incomplete, even if the Certified Date has populated and/or you have attached a signed C&A with the selected categories.

Example: This is an **INCORRECT/INCOMPLETE** Certification; no categories were selected.

The screenshot shows a form titled "Certification and Assurance Information". It includes fields for "Fiscal Year" (2017), "Assigned Date" (12/20/2016), "Due Date" (3/20/2017), and "Certified Date" (1/26/2017). Below this is a section for "Published Certifications and Assurances Document" with a link to "FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES" (463.4 KB). The main section is "Certifications and Assurances", which contains a table with columns for "Category" and "Title". The table is empty, with the text "No items available" centered below it. A red arrow points to the "Title" column header.

Example: This is an **INCORRECT/INCOMPLETE** Certification; only the Affirmation of the Official is PINed.

The screenshot shows a form titled "Affirmation of Applicant". It contains several paragraphs of text, including a declaration by the Applicant and a statement from FTA. There is a checkbox labeled "I Accept the above" which is checked. Below this, the "Official's Name" is listed as "Bob [REDACTED]" and the "Certification Date" is "Dec 29, 2016". The next section is "Affirmation of Attorney", which contains text about the undersigned attorney's affirmation. There is a checkbox labeled "I Accept the above" which is unchecked. Below this, the "Attorney's Name" is listed as "NOT SIGNED" and the "Certification Date" is "N/A". A red arrow points to the "NOT SIGNED" text.

How to Correct the Certification?

In the first example, the Official and Attorney must return to make the selections and re-PIN the C&As to correctly display the applicable categories. In the second example, the Official can sign on behalf of the Attorney or the Attorney must complete his/her affirmation in TrAMS.

How to Certify when PINing on behalf of both the Official and Attorney?

1. The user must have both user roles in TrAMS.
2. The user must have the delegated authority to PIN on file.
3. The user must enter their PIN in **BOTH FIELDS** and then select the certify button.
4. A signed and dated "hard" copy from the individual not PINing in TrAMS must be attached to the recipient profile documents. The same categories must also be selected.