



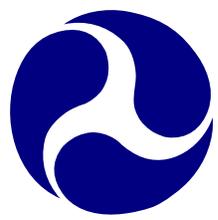
TEAM-Web User Guide

Chapter 6

FTA Review and Approval

**By:
QSSI**

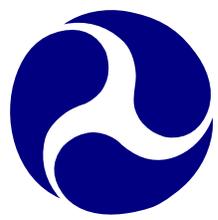
**Version: 2.05
Date: 04/29/2008**



Chapter 6 Change History

Version	Date	Description	Change By
1.0	09/26/2007	Initial Online Versions and updates	Travis Klein
1.1	10/18/2005	Formatting Changes and Updates. Updates to Comments/concurrence and Review/DOL Dates	Travis Klein, Sonya Ransome
2.0	04/23/2007	Template to perform Major Formatting Changes and updates as required	Travis Klein
2.01	05/23/2007	Continued to perform Major Formatting Changes and updates as required	Travis Klein
2.02	05/24/2007	Formatting and indexing	Travis Klein
2.03	02/26/2008	Shared state code update and formatting	Travis Klein
2.04	02/27/2008	Minor modifications	Travis Klein, Patty String
2.05	04/29/2008	Reservation account notes for amendments	Travis Klein

** Note: previous versions of the online User Guide may have been updated as needed without consistent versioning. Some previous change versions may be omitted or estimated. Versioning shall be consistent henceforth.*



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FTA Review and Approval

Overview

This chapter will detail the following system parameters and features: the review and approval process, Comments/Concurrence, Review/DOL Dates, Reservations, Obligation/Award, and Deobligation. The majority of the features discussed in this chapter are going to be for FTA users only.

FTA's Review and Approval

FTA staff will conduct a preliminary review of the application for conformance with FTA program requirements. After the Recipient has submitted its application through the TEAM-Web system, FTA will use the Review and Approval windows to review it.

The most current edition of FTA Circulars will provide guidelines for the preparation of project applications authorized by FTA's programs.

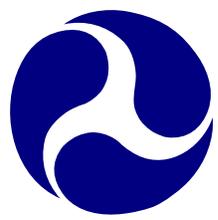
Certain application processes and functions (*e.g.* STIP and UPWP approvals, state allocation of Section 5303 formula approvals, flexible fund transfers, *etc.*) must be performed outside the TEAM-Web system. The results of those processes and functions will be reflected in the Comments/Concurrence windows.

Comments/Concurrence

FTA may record comments regarding the application, at any time, until funds for the Project have been awarded.

FTA's comments may generally or specifically address one or more review areas. The five categories of FTA comments include:

1. **General Review:** Typical examples include requests to the Recipient for:
 - a. additional information or documentation
 - b. modifications to the application
 - c. requests for project changes
2. **FTA Internal:** Comments to be viewed by FTA staff only – Concurrence/Approval stamps are automatically populated here as well.



3. **Conditions of Award:** Special conditions, requirements, or other provisions intended to be included in the Grant Agreement or Cooperative Agreement
4. **DOL:** Comments to the Department of Labor – the only Comments DOL users may view
5. **FTA Project Description**

If your application requires modifications, FTA will release it for changes. See previous chapters (primarily chapter 4) on how to “Modify Application” to make the requisite changes.

The following describes how to view the **Comments/Concurrence** window to see if any comments have been posted to your Project and how to retrieve and review those FTA Comments.

Comments Tab

1. The Comments/Concurrence screen defaults to the “Comments” tab. The active comment type is highlighted in a light blue as seen in Figure 1.
2. The Brief Descriptions of each Comment Type are listed under the Comment table
3. The remaining details of the highlighted comment can be seen throughout the screen including: Brief Desc., Comment On, Activity, Comment Text, Entered, Updated, and Comment By.

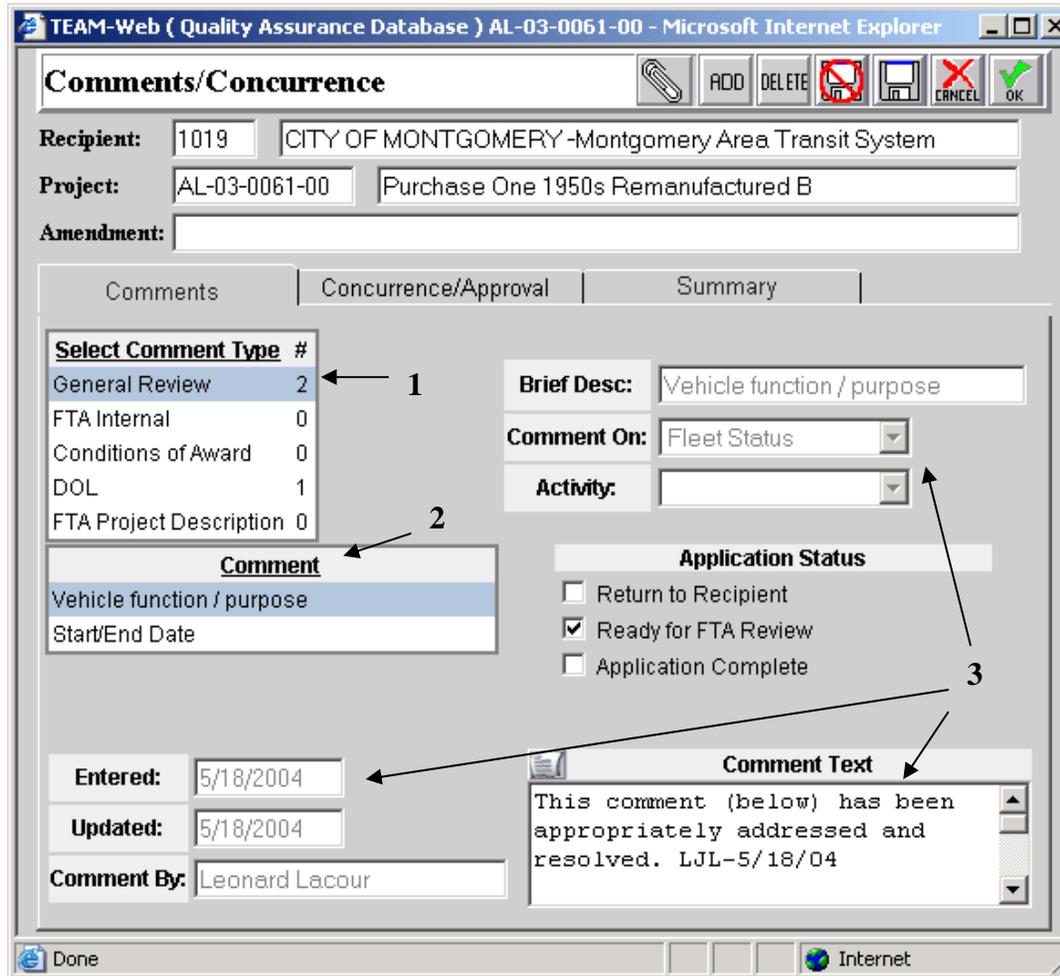
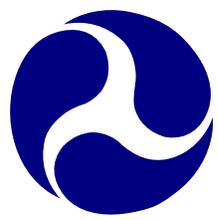


Figure 1

Adding or Deleting a comment (See Figure 2):

1. To add a comment, simply select the Comment Type that you would like to add by clicking on that type in the Select Comment Type field
2. Click on the “Add” button
3. Type in your Brief Description



4. Select the subject of your comment in the Comment On field
5. Select the Activity (if necessary)
6. And add your comments in the Comment Text field
7. You may view or modify your Comment Text in a larger screen by clicking on the document icon in the upper left hand corner of the Comment Text field (circled in the illustration)
8. To Delete a comment, simply select the comment (click on to highlight) that you would like to delete in the Comment table
9. And click on the Delete button found at the top right portion of the screen

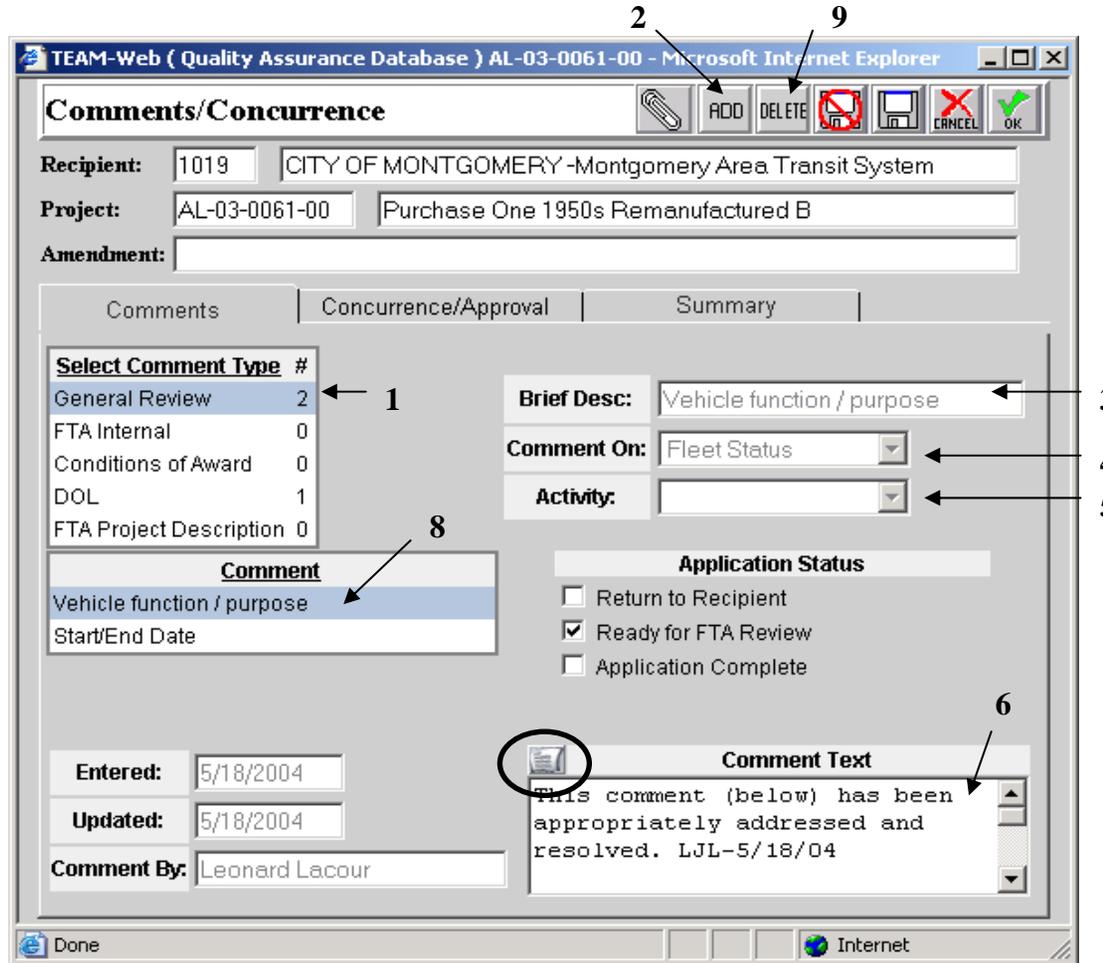


Figure 2

Figure 3 displays the expanded view of the Comment Text field. Changes can be made directly to the expanded text view if desired by directly typing in the window and then clicking on the Save Button. The Save, Cancel, or “x” buttons within the expanded view box will close the View Text window.

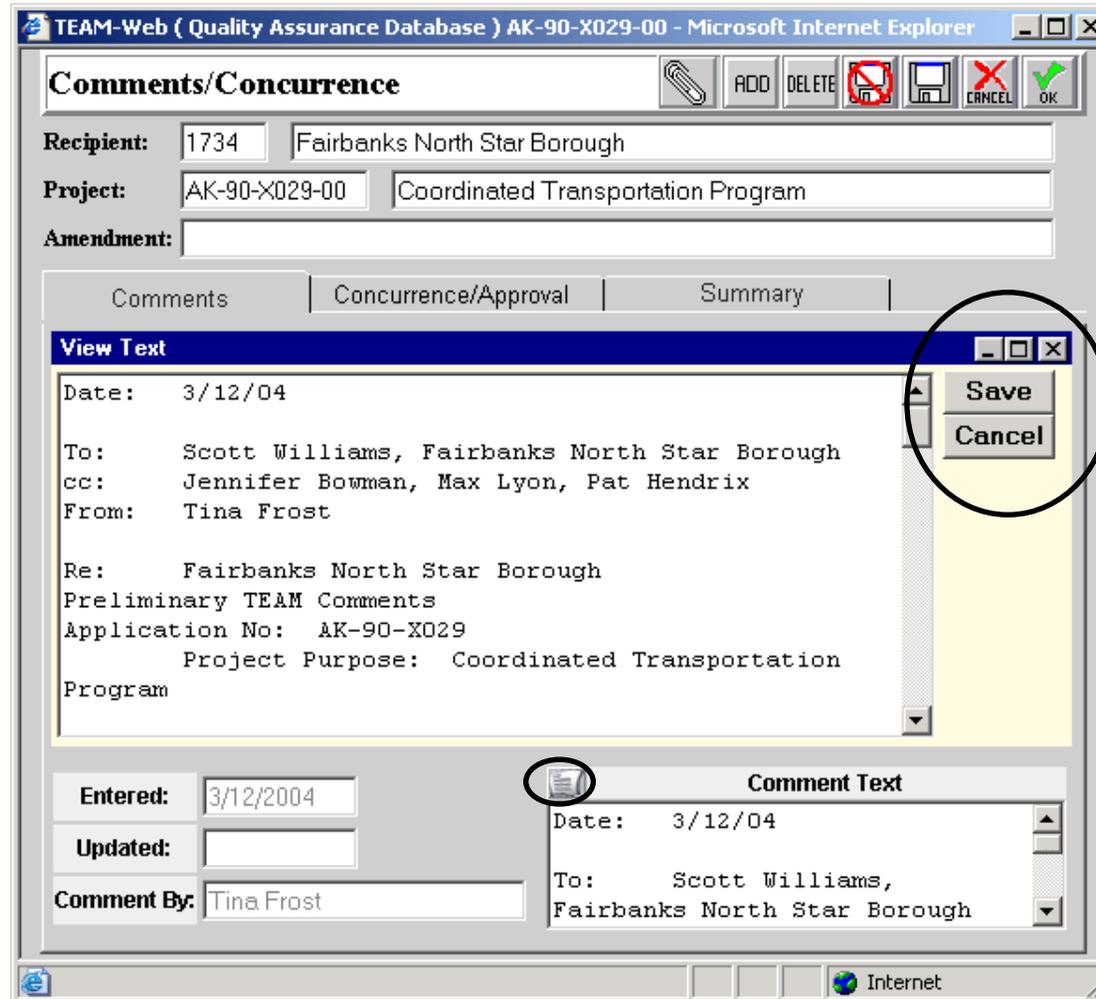
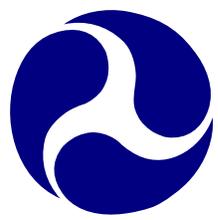


Figure 3

There is a clear audit trail as to when a comment was created, who the comment was created by, and when the subsequent updates were made to the comment (if any). The referenced area is circled in Figure 4.

1. The very first General Review comment will trigger the entry of the “Review Comments to Recipient Date” on the Summary Tab



- When the application has passed the reviewer and been marked complete under Application Status, an internal comment with an approval stamp and date will be created for "Transportation Program Specialist" and the approval (current) date will also populate on the Summary tab
- If the Application Status is changed to Return to Recipient, then an internal comment is created to track this as well

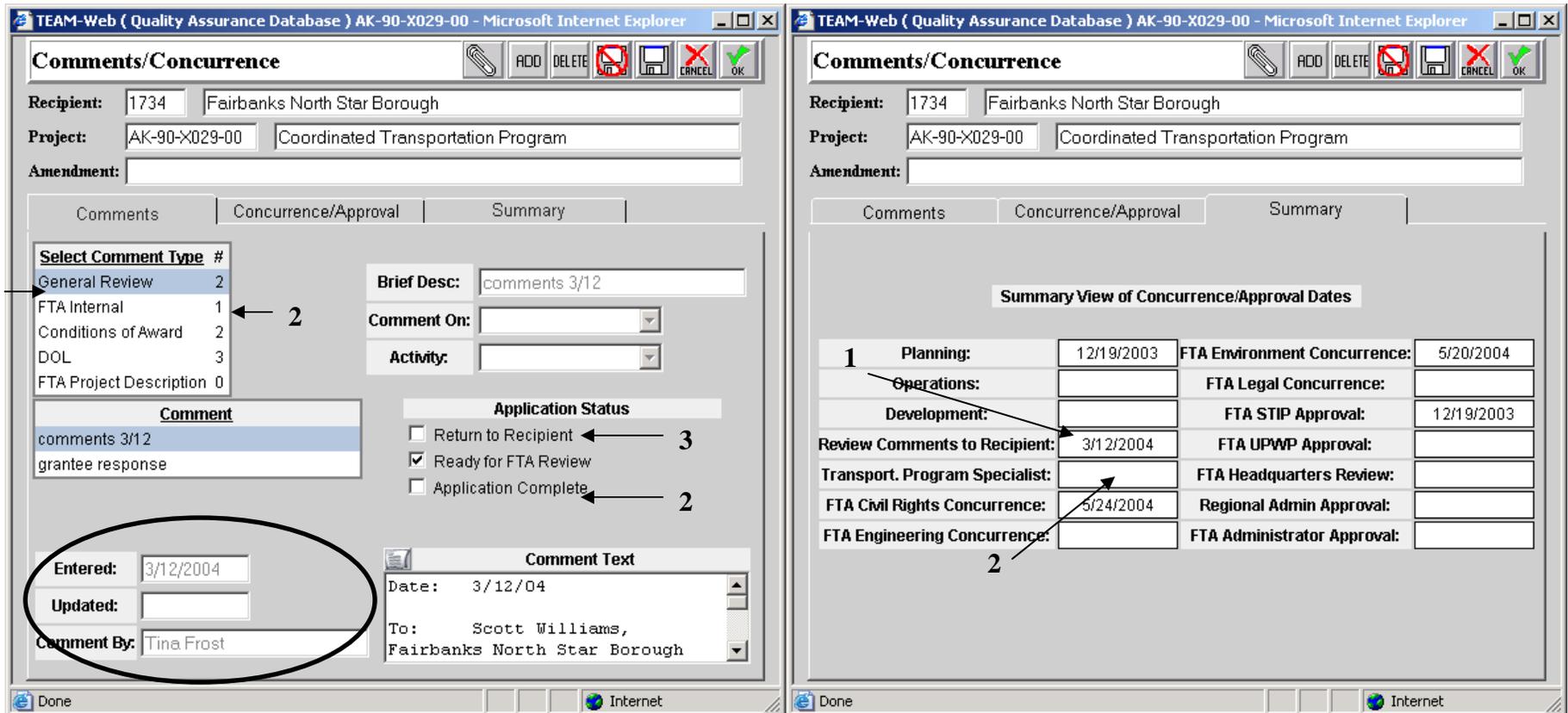


Figure 4

Concurrence/Approval Tab

The Concurrence/Approval Tab can be viewed in Figure 5. This screen allows the FTA user to select a Concurrence/Approval type, enter and approve the date of the concurrence, and enter any desired text. Transactions are recorded and tracked in a variety of ways.

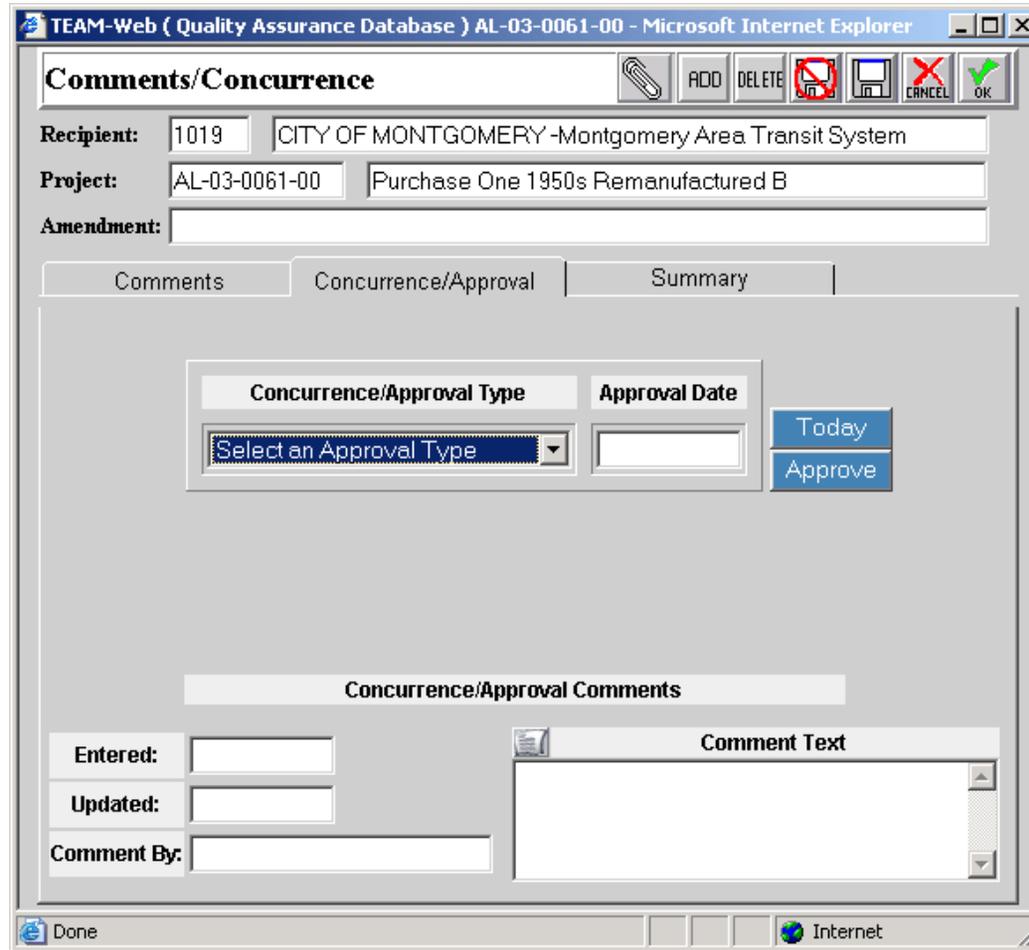
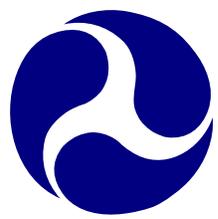


Figure 5

1. Begin by selecting a Concurrence/Approval type by clicking on the drop down arrow, then selecting one from the list (simply click on your selection – See Figure 6)
2. If a date/comment is already recorded for that Concurrence, then the appropriate information will be displayed (Comment Text, Entered Date, Comment By, etc.)



3. Select a Concurrence/Approval Type without any information (FTA Headquarters Review for example) and enter in an Approval Date (it may not be a future date)
4. Clicking on the “Today” button will automatically enter in the current date for you
5. If you are satisfied with the date you have entered, click on the “Approve” button

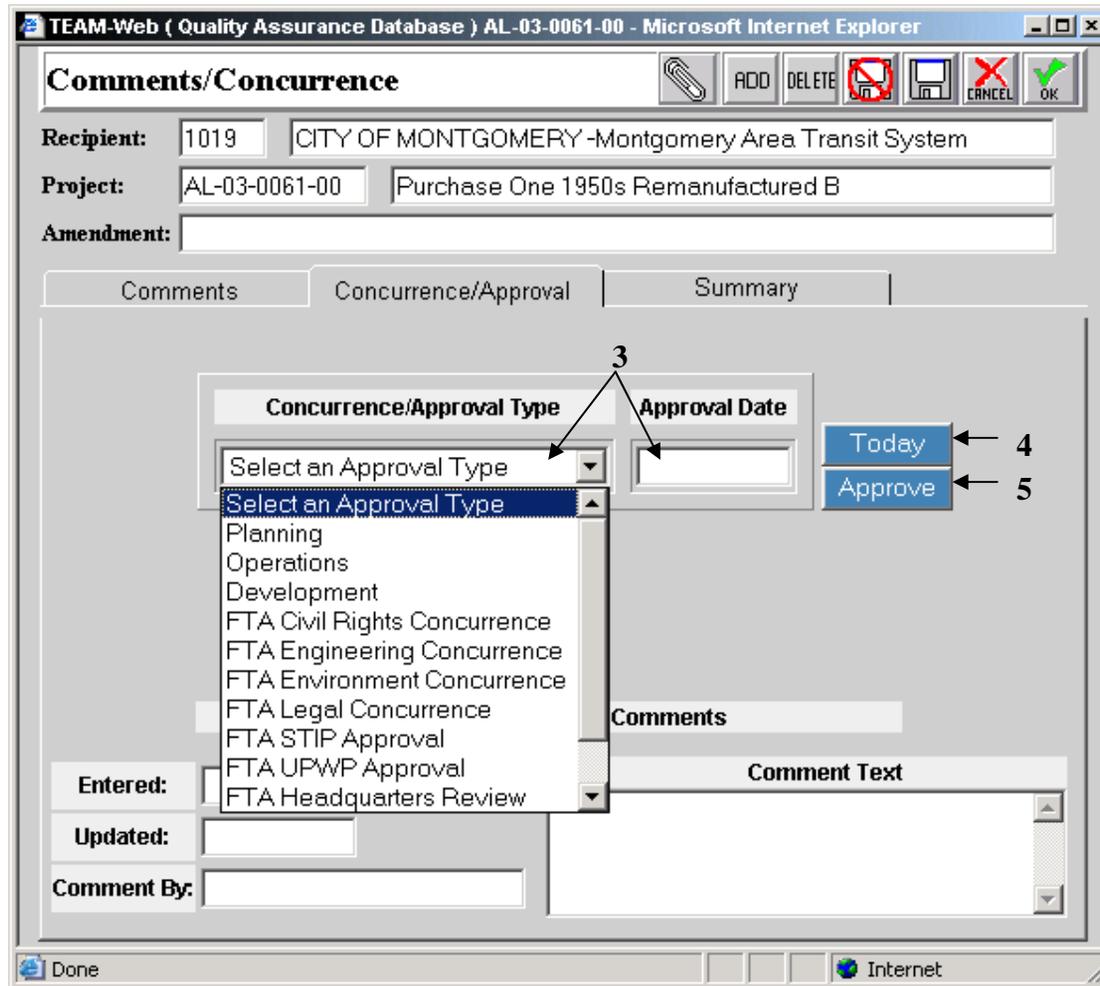


Figure 6



Clicking on the approval button triggers a number of actions that both record data for audit purposes, but also reduces the need for redundant data entry. *Note: until you save by clicking on the Diskette (save only) or Green OK check mark (save and exit) buttons you still have the capability to remove the date stamps.*  

You may click either the Cancel (discard changes and exit) or the Discard Changes (remove changes only) buttons. You must save the changes for them to remain)  

1. The “Entered” date is populated with the current date and the “Comment By” field is populated with the user name of the individual approving the Concurrence (see Figure 7)
2. An Approval Stamp with the date you **entered** into the approval date (i.e. not necessarily the current date) will appear in the Comment Text field.
3. If you were to update your comments, an “Updated” date would appear as well as an updated Approval Stamp in the Comment Text.
4. You may remove some of the approval stamps in the Comment Text, but one will always remain

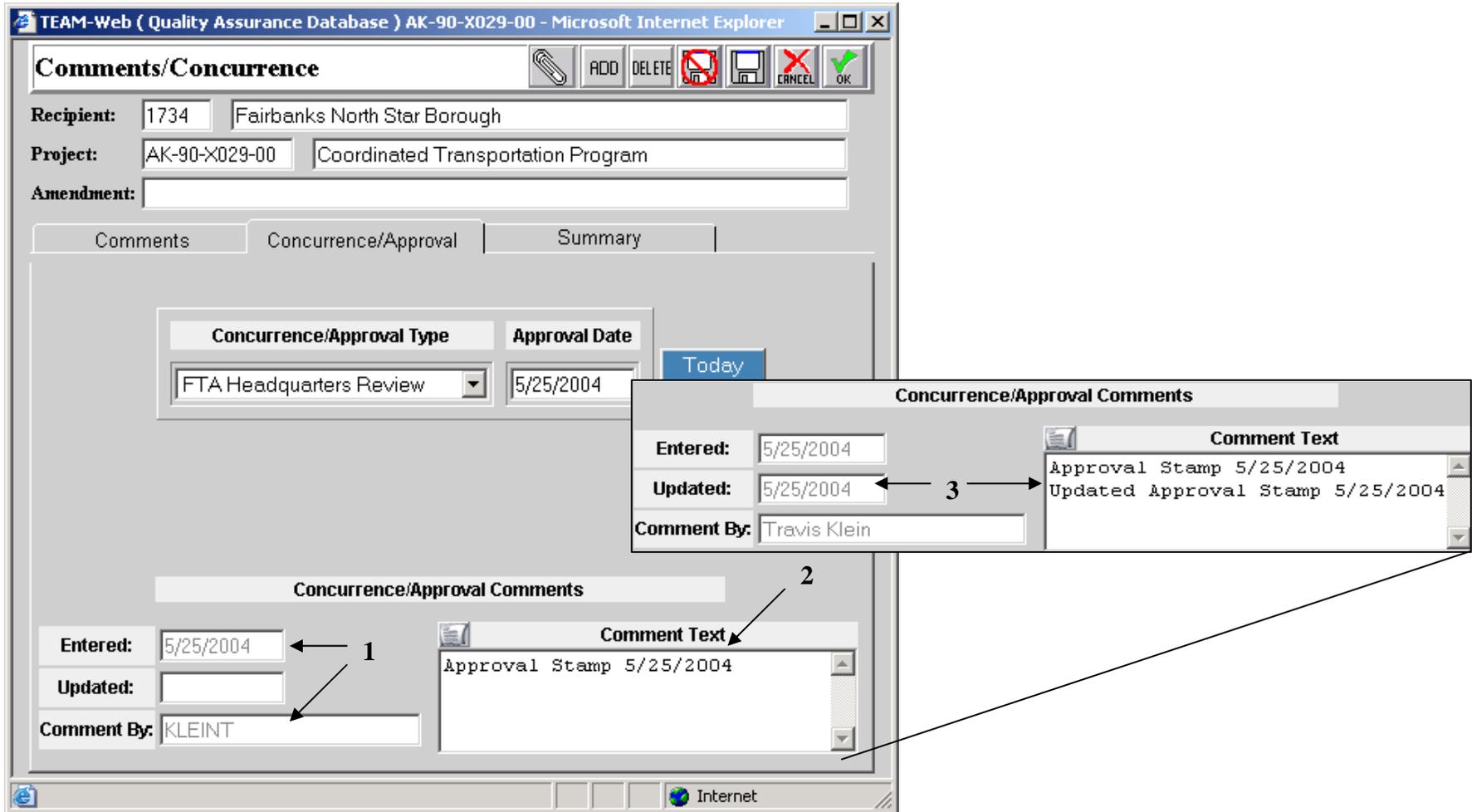


Figure 7

- 5. An “Internal” comment is created on the Comments tab (See Figure 8)
- 6. And the date is recorded to the corresponding date field on the summary tab

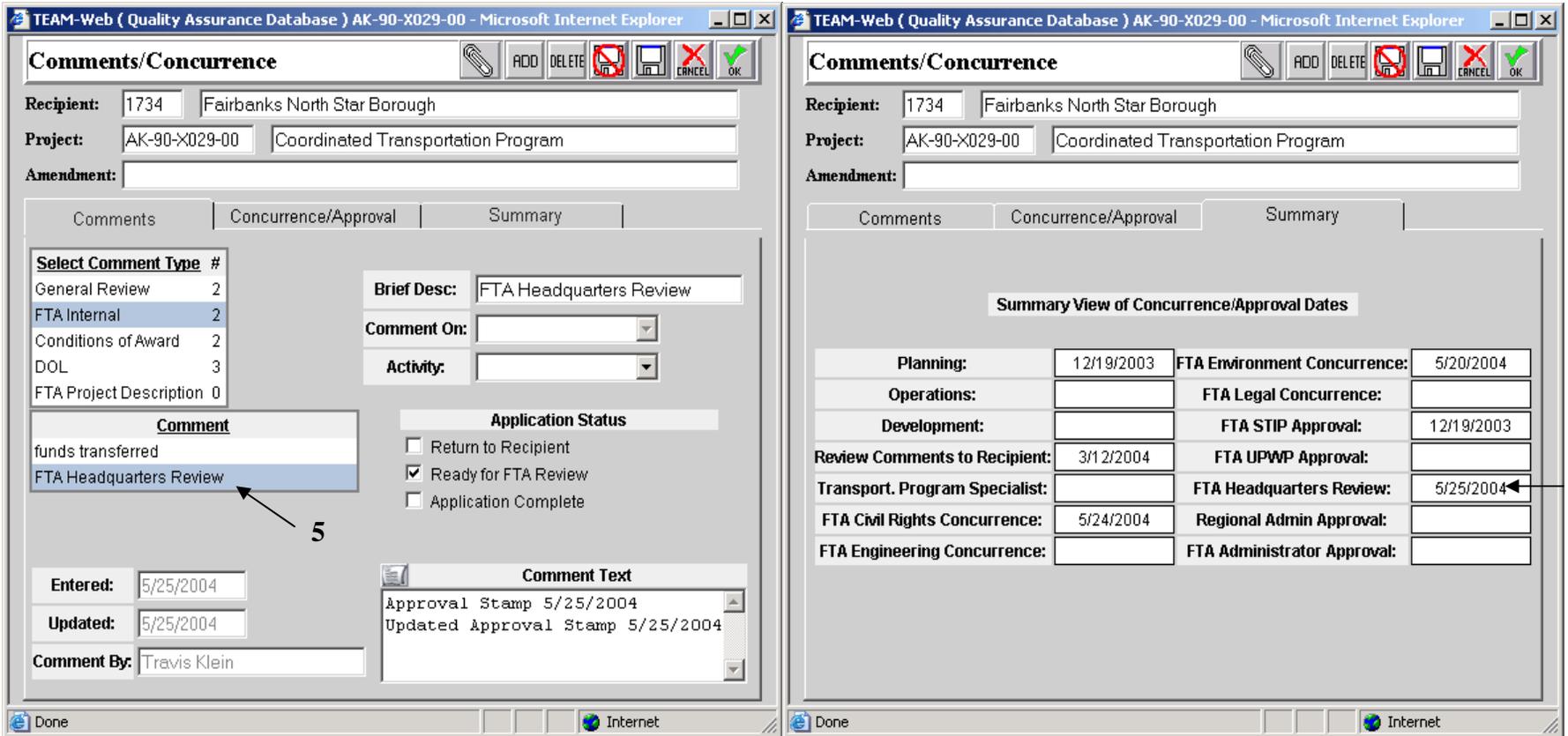


Figure 8

Only users with specific role ID's can enter FTA Civil Rights Concurrence and FTA Legal Concurrence dates. A user trying to approve a date who does not have the necessary rights will see one of the pop up messages detailed in Figure 9.

After clicking ok within the message box, the date field will return to its previous value.

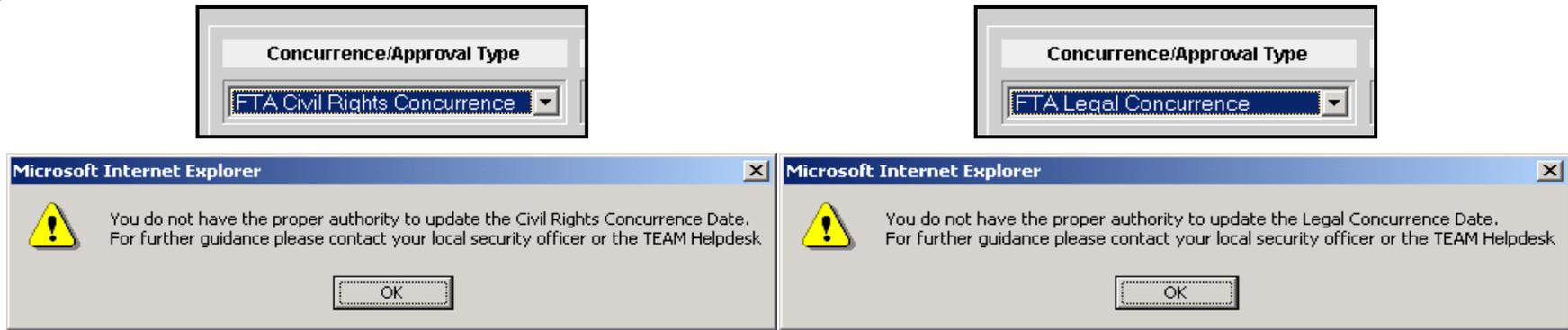


Figure 9

Summary Tab

Figure 10 is an image of the Summary tab of the Comments/Concurrence tool. All of the dates are read only in this view. The dates are automatically updated using tools on the previous two tabs (Note: Once a grant is awarded, the concurrence dates will be locked as read only).

This tab allows the user to get a broad view of which Concurrences have approval dates and what those approval dates are without having to click on each comment individually.

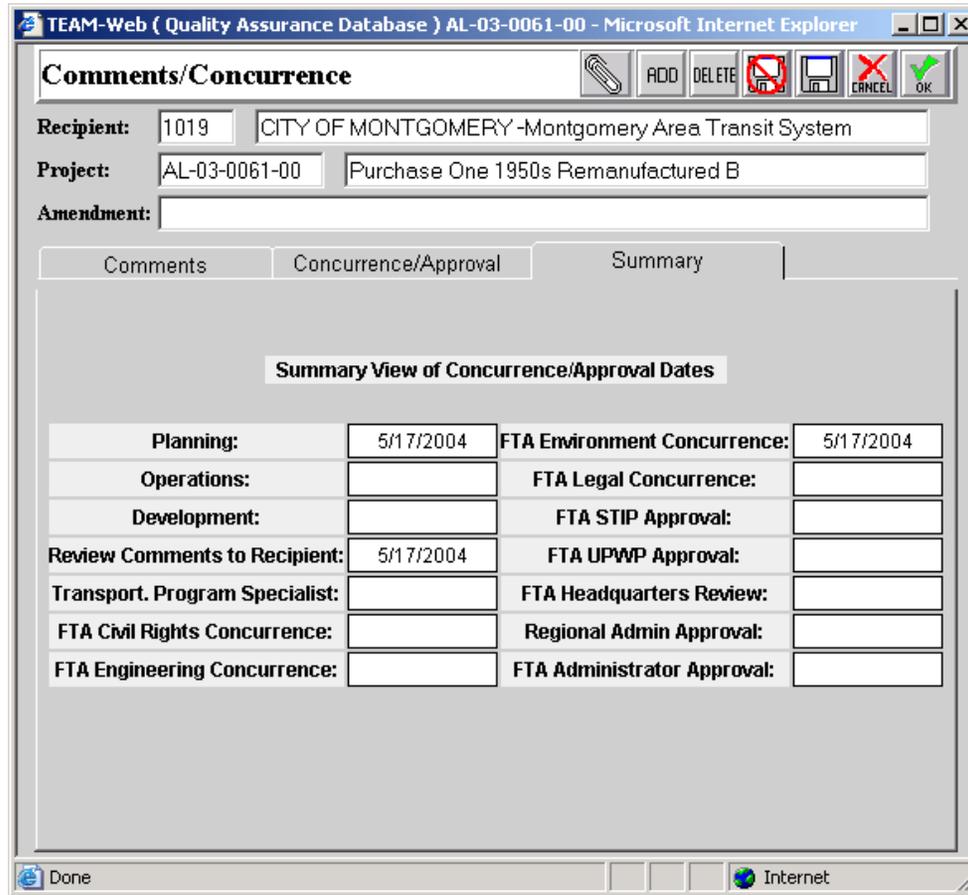


Figure 10

Review/DOL Dates

1. Click on **Review and Approval** in your Main Menu bar and query for your project (See Figure 11).
2. Click on **Review/DOL Dates**.
3. A new screen should open up Revealing **Review DOL Dates** and defaulting to the Background/Award tab.

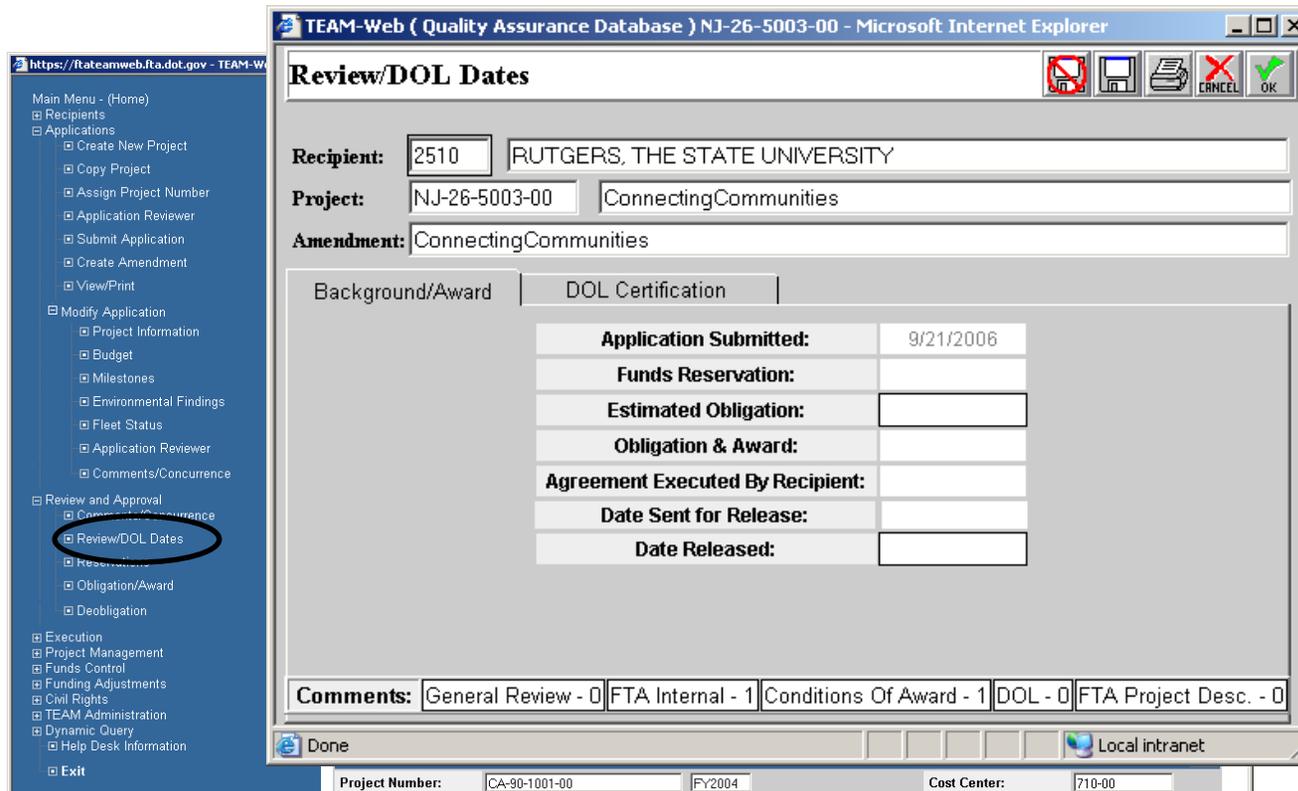


Figure 11

Background/Award Tab

This tab notifies the user of applicable status completion dates. User rights and the Project Status will dictate what dates are viewable and/or modifiable. Note the outline around those fields that are currently modifiable (Estimated Obligation and Date Released in the Figure 12 example). The circled status bar at the bottom of Figure 12 indicates how many records there are in for each category within the Comments/Concurrence screen. The user can simply click on Comments/Concurrence from the main menu status bar if they would like to add a comment.



Review/DOL Dates

Recipient: RUTGERS, THE STATE UNIVERSITY

Project: ConnectingCommunities

Amendment:

Background/Award	DOL Certification
Application Submitted:	9/21/2006
Funds Reservation:	
Estimated Obligation:	
Obligation & Award:	
Agreement Executed By Recipient:	
Date Sent for Release:	
Date Released:	

Comments:

Figure 12

1. The recipient number can also be changed from this screen for a project that does not yet have funding reserved (See Figure 13)
2. Change the recipient number and tab out of the field. A message window will open asking if you wish to proceed.
3. Click 'OK' if you would like to change the Recipient number.

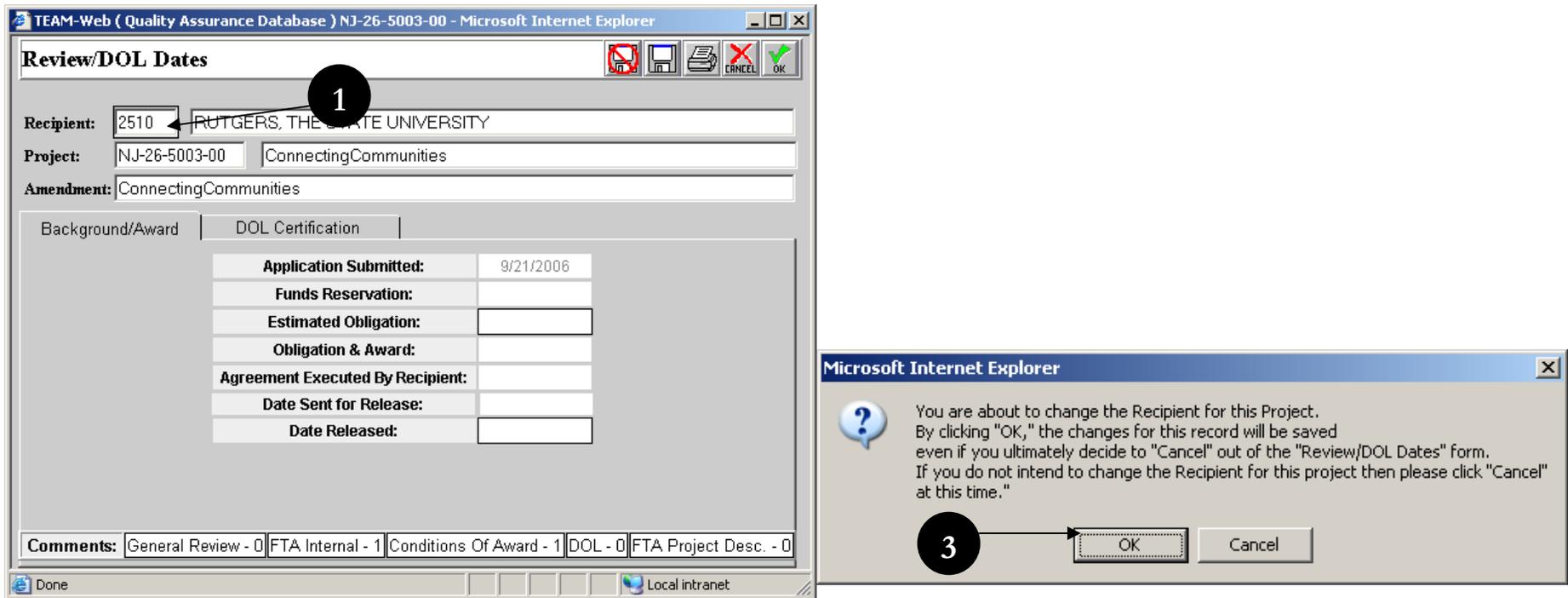


Figure 13

DOL Certification Tab

4. Click in the radio button that reflects the appropriate level of DOL involvement on the DOL Certification tab page. You may submit the application to DOL for **certification** or **information**, or select **N/A** if the DOL is not involved with this application (see Figure 14 below).
5. To e-mail a copy of the application to DOL, click in the **Send Application to DOL** box. TEAM will format the application, attach it to an e-mail, and send it to DOL
6. Click on the **OK** icon to save your changes and return to the Review and Approval window.

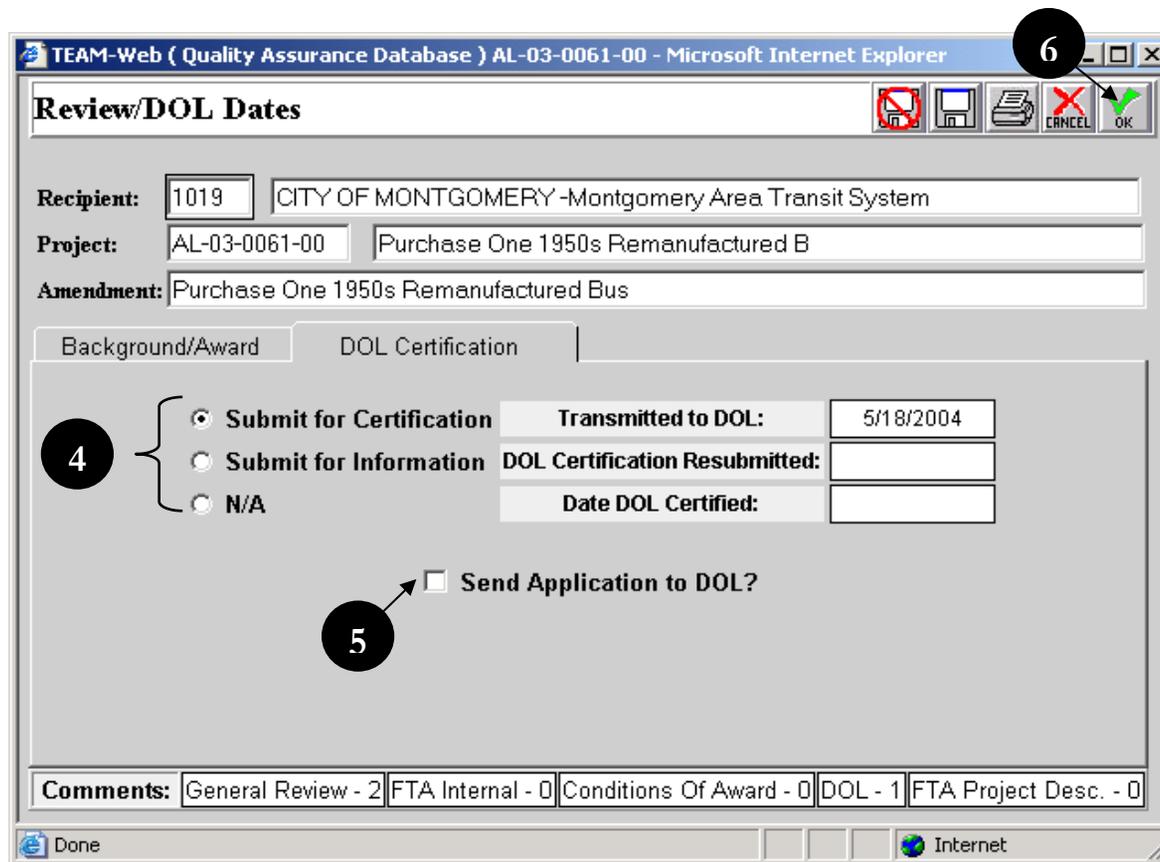


Figure 14

Reservations

1. The FTA user opens up the Reservation screen (see Figure 15)
2. A cost center is selected and the FTA user adds UZAs/Account FPCs
3. If earmarked, the Applies Earmark / Discretionary checkbox will be marked (read-only)
4. Once reserved, the project status changes to 'Pending Application/Ready for Award'

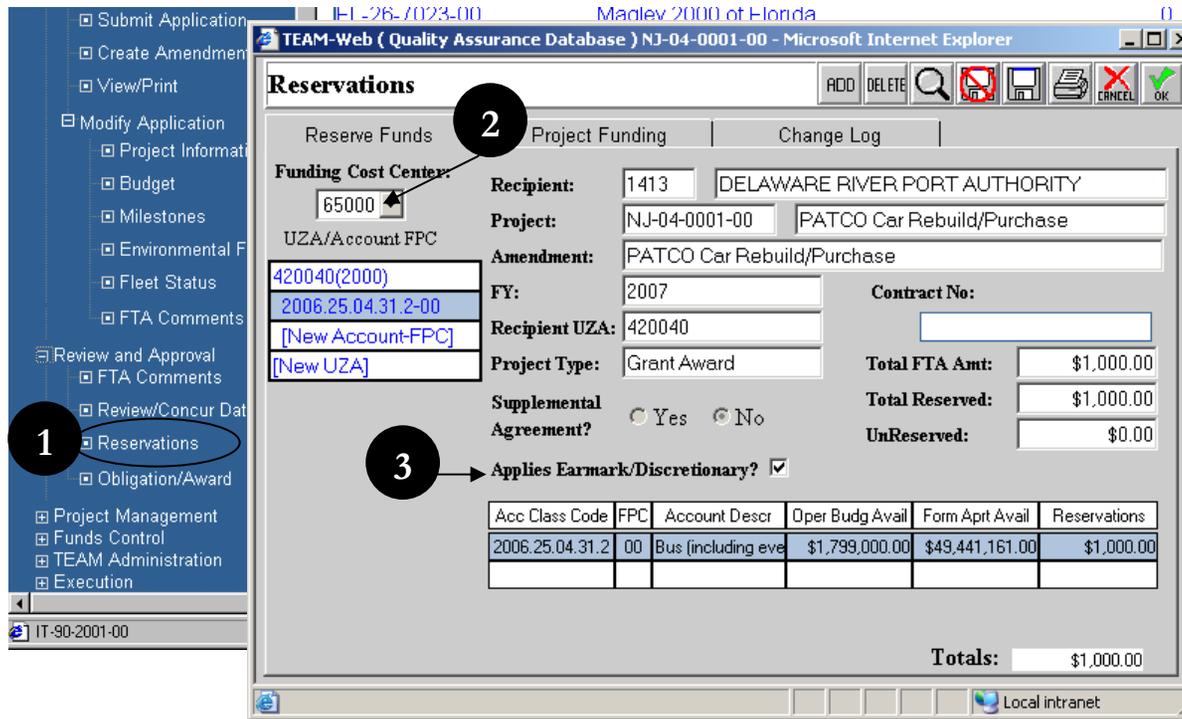


Figure 15

5. Select the **Funding Cost Center** from the dropdown list (see Figure 16)
6. Click on **New UZA** and the first available row in the table under the UZA column will highlight blue. Type the **UZA Code** directly in the **UZA** column. The **UZA** will appear in the **UZA Description** column.
7. If a new UZA code has been assigned to the area, click on the **ADD** icon to enter that new UZA code. Then type the code directly in the UZA column. Be sure that the code is entered into TEAM system’s information about the Recipient.

Note: For a list of **UZA codes**:

- A. Click on the **Details** icon (magnifying glass).
 - B. Select the codes you want to add by clicking on the box beside each code (or utilize the select/deselect all buttons).
8. Click on the **OK** icon to return to the **Reserve Funds** window.

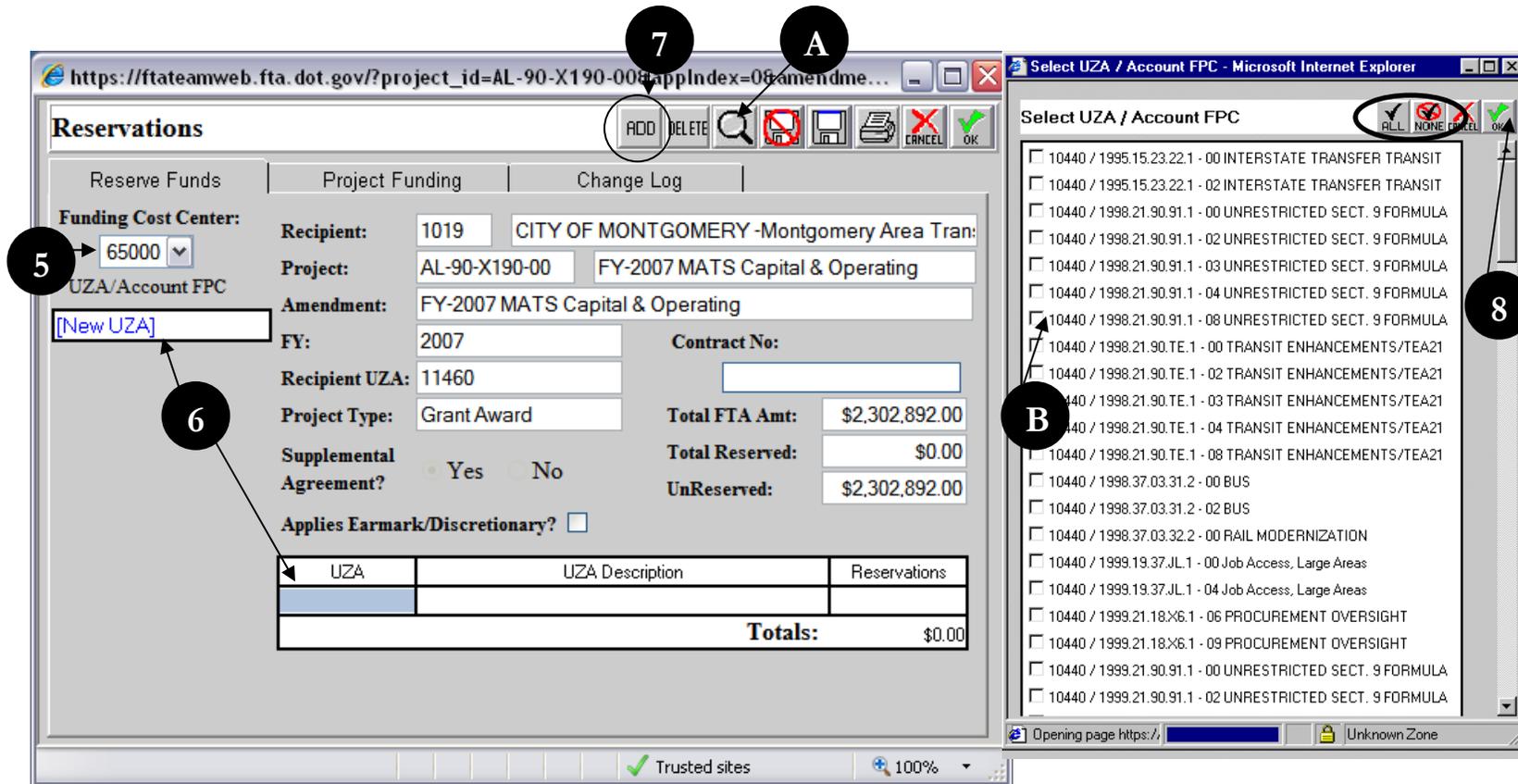


Figure 16

9. Select the **New Acct.** line in the **UZA/Account-FPC** column (see Figure 18 for steps 9-14).

Note: If the project record you are working in is an Amendment (e.g. -01), then account class codes used in previous amendments will display even if the reservation amount for those accounts remains zero for the new/ current amendment. Accounts used for any previous amendment are carried forward and cannot be deleted.

10. a. Type in the **account code** to reserve funds against or b. Click on the **Details** icon and select from the list that appears (see Notes A and B after step 7 for details).



Notes: Shared State Codes between Regions

If a secondary state code (170001 for example) exists for a split region, then a new form (see Figure 17) will appear for the user. Once the user has selected the preferred code, the user is returned to the Reservation screen where they can enter their reservation amount to the Small UZA. Although the Small UZA is displayed, the funding source is the State, and the availability of funds will correspond to the amount available for the State code selected.

The ability to select multiple codes in the UZA/ Account FPC lookup screen (see Figure 16 for an example of the feature) may result in the display of multiple primary and secondary state listings as seen in Figure 17. Manual entry will only display one radio button set since only one code combination can be entered at a time using that method. Once the primary or secondary funding source has been established, the user will no longer receive the same entry form. For example, if the secondary state code UZA 170001 is selected for FPC 00, account 2005.21.90.91.1, and FPC 02 is later entered/ selected for the same account, then the form will not activate for the user a second time since the funding source has already been established and cannot contradict for the same account.



 Select UZA/Account FPC:Shared State Codes between Regions

You have selected a Small(local) UZA that has a shared state code with funding available. Please select the code(s) from which you would like funds drawn.

UZA / Account	Oper Budg Avail	Form Aprt Avail
Small UZA- 172490		
<input checked="" type="radio"/> 170000 / 2005.21.90.91 - 02	158338187.73	116869.28
<input type="radio"/> 170001 / 2005.21.90.91 - 02	158338187.73	27179
Small UZA- 172490		
<input checked="" type="radio"/> 170000 / 2005.21.90.91 - 00	158338187.73	116869.28
<input type="radio"/> 170001 / 2005.21.90.91 - 00	158338187.73	27179
Small UZA- 172490		
<input checked="" type="radio"/> 170000 / 2006.25.90.91 - 02	209099366	115805
<input type="radio"/> 170001 / 2006.25.90.91 - 02	209099366	27452
Small UZA- 172490		
<input checked="" type="radio"/> 170000 / 2006.25.90.91 - 00	209099366	115805
<input type="radio"/> 170001 / 2006.25.90.91 - 00	209099366	27452

Figure 17

11. In the **Reservation** column, type the amount reserved.
12. Click on the **Project Funding** tab for an updated display of the reserved funds for all amendments on this project.
13. Click on the **Change Log** tab for a history of all updates to this project's reserved funds.



The screenshot shows a web browser window with the URL `https://ftateamweb.fta.dot.gov/?project_id=AL-90-X190-00&app...&amendme...`. The page title is "Reservations". There are three tabs: "Reserve Funds", "Project Funding", and "Change Log". The "Project Funding" tab is active. The interface includes several form fields and a table.

Callouts point to the following elements:

- 9**: Points to the "UZA/Account FPC" dropdown menu.
- 10a**: Points to the "New UZA" option in the dropdown menu.
- 10b**: Points to the search icon in the toolbar.
- 11**: Points to the "Reservations" column in the table.
- 12**: Points to the "Reservations" title.
- 13**: Points to the "Project Funding" tab.

Form fields include:

- Funding Cost Center: 65000
- Recipient: 1019 CITY OF MONTGOMERY -Montgomery Area Tran:
- Project: AL-90-X190-00 FY-2007 MATS Capital & Operating
- Amendment: FY-2007 MATS Capital & Operating
- FY: 2007
- Contract No: [Empty]
- Recipient UZA: 10000
- Project Type: Grant Award
- Supplemental Agreement? Yes No
- Applies Earmark/Discretionary?

Summary statistics:

- Total FTA Amt: \$2,302,892.00
- Total Reserved: \$0.00
- UnReserved: \$2,302,892.00

Acc Class Code	FPC	Account Descr	Oper Budg Avail	Form Aprt Avail	Reservations
2007.25.90.91.2	00	Urbanized Area Fc	\$3,605,049,709.0	\$7,250,334.00	\$0.00
2007.25.90.91.2	02	Urbanized Area Fc	\$3,605,049,709.0	\$7,250,334.00	\$0.00

Totals: \$0.00

Figure 18

- 14. When finished, click on the **OK** icon to save your changes.
- 15. If the project contains earmarked funding, **Reservation amounts** are compared with **Total Earmark Applied amount** from the Project Information screen. If they do not match, the amounts will need to be adjusted (see Figure 19).
- 16. When reservation is successful, changes will be saved and user is returned to the Review and Approval window.

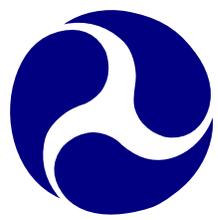


Figure 19

Obligation/Award

1. FTA users with award authority can award/obligate a project.
2. First they must select **Obligate/Award** from the main menu (see Figure 20).
3. Then in the Obligation/Award screen, they must enter the appropriate **PIN** and click **Award**.
4. A message will appear when the project has been successfully Obligated and Awarded.
5. TEAM-Web updates the project status to 'Obligated/Execution Req'd'. The Recipient may execute the project after the award.

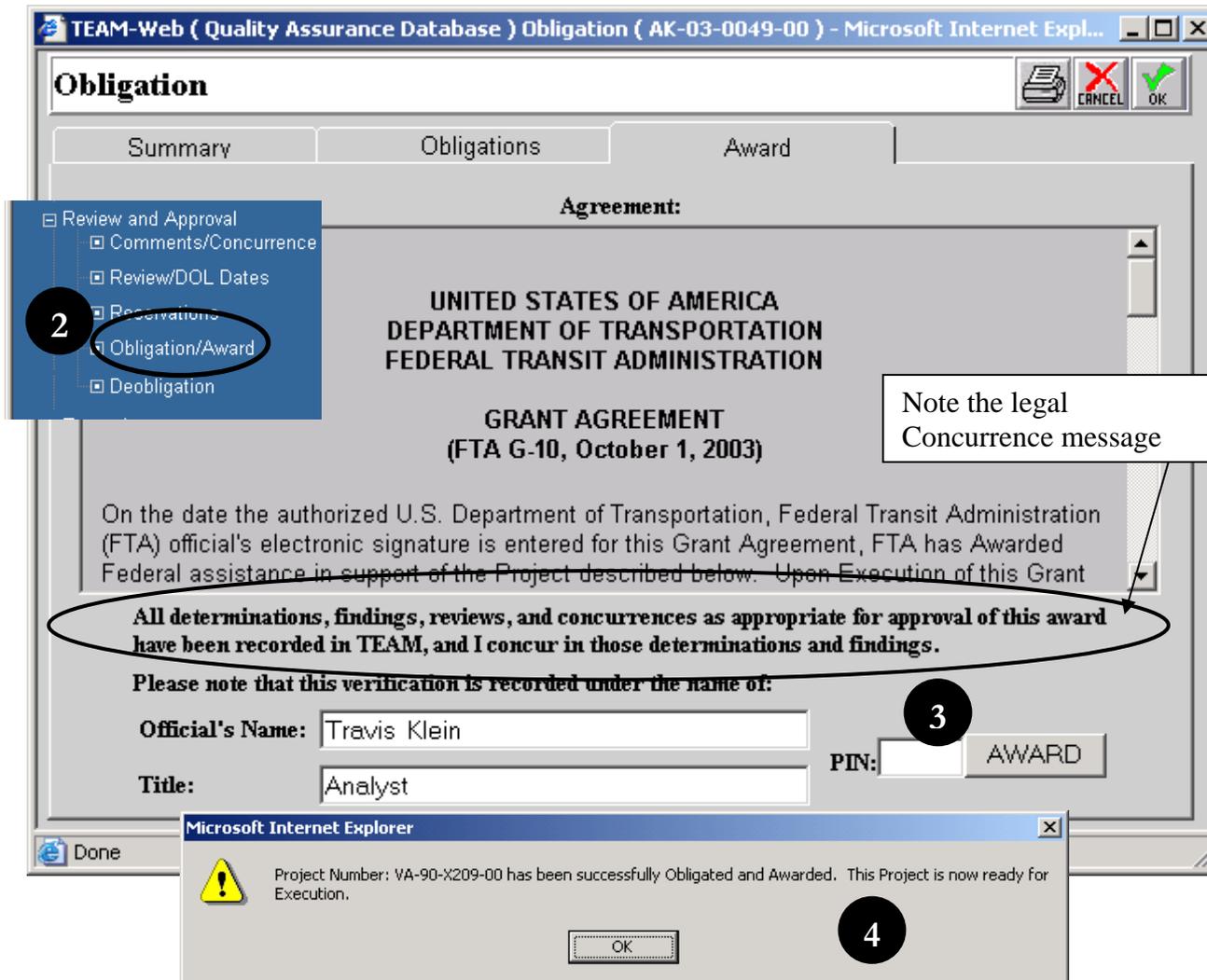
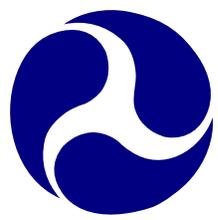


Figure 20

No action is required in the Summary and Obligations tabs, but the user should study them carefully to verify correct information (see Figure 21).



The screenshot shows two browser windows displaying the 'Obligation' form. The left window is in the 'Summary' tab, and the right window is in the 'Obligations' tab.

Summary Tab (Left Window):

- Recipient: 1725 ALASKA DEPARTMENT OF TRANSPORTATION AND PUBLIC FACI
- Project: AK-03-0034-00 Construct New Ferry
- Amendment: Construct New Ferry
- Recipient UZA: 20000 ALASKA
- Cost Center: 65000 Project Type: Grant Award
- Appl. Type: Paper Electronic
- Contract No: [Empty field]

Obligations Tab (Right Window):

View: Project

CstCtr	UZA #	Acc Class Cd	FPC	Obligations	Net Obligations
65000	20000	1999.47.03.33.1	00	\$10,322,550.00	\$10,322,550.00
65000	20000	2000.47.03.33.1	00	\$10,203,219.00	\$10,203,219.00
65000	20000	2001.47.03.33.1	00	\$4,474,230.00	\$4,474,230.00
Totals:				\$24,999,999.00	\$24,999,999.00

Figure 21

Deobligation

1. From the **Review and Approval** window, click on the **Deobligation** button. The Deobligation window will open, showing the **Difference** to be deobligated (See Figure 22. Note: funds may become available from an approved budget revision – see chapter 8 for details)
2. In the **Current Deobligations** column, enter the positive amount to be deobligated.
3. If project contains earmarked funding, **Earmark /Discretionary** checkbox will be checked (read-only). Earmark funding may need to be adjusted in Earmark Administration screen.
4. Press enter and click on the **OK** icon to save and close. After funds are deobligated, FTA may then Reserve and Award the funds elsewhere.

Notes: Deobligations



An amendment must first be created before a Deobligation can be performed (see Chapter 5 for the Create Amendment process). If a project is being closed, then the Deobligation tool should not be used – a deobligation will be done using the New Closeout tool (see Chapter 8 for details).

The screenshot shows the 'Deobligation' form in a Microsoft Internet Explorer browser window. The form title is 'TEAM-Web (Quality Assurance Database) VA-04-0001-01 - Microsoft Internet Explorer'. The form contains several input fields and a table. Callout 4 points to the 'CANCEL' and 'OK' buttons. Callout 3 points to the 'Earmark/Discretionary?' checkbox. Callout 2 points to the 'Current Deobligations' field in the table and the 'Acct Class Code-FPC Totals' summary row.

Recipient: 1458 GREATER RICHMOND TRANSIT COMPANY

Project: VA-04-0001-01 FY06 EarmarksGRTC Facility

Deobligation By: Patricia String TEAM STAFF 10/3/2006

Acct Class Code-FPC: 2006.25.04.31.2-00

Type of Funding: Earmark/Discretionary?

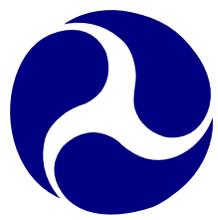
Project Totals:

- Total FTA Amount: \$3,000,000.00
- Required Deobligation Amount: \$399,086.00
- Current Deobligation Amount: \$0.00
- Difference: \$399,086.00

Amend #	Cost Center	UZA	FY	Acct-FPC Total Unliq. Balance	Net Obligations	Current Deobligations
00	65000	510560	2006	\$3,399,086.00	\$3,399,086.00	0

Acct Class Code-FPC Totals: \$3,399,086.00 \$3,399,086.00 \$0.00

Figure 22



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