

DOT Grant Information System Input Form

1 Administration		2 Federal Identifier Number															3 Number Changes		4 Multiple Location Code		5 Kind of Action					6 OMB/CFDA Number				
1	A=FAA O=OST B=BTS P=RSPA G=USCG R=FRA H=FHWA S=NHTSA M=MARAD T=FTA																17	18	19	20	21	A=New Award B=Mod Increase C=Correction D=Deletion R=Mod Decrease					22	23	24	25
		2	3	4	5	6	7	8	9	10	11	12	13	14	15	16														

7 Recipient Type															8 Type of Instrument						9 Purpose					
26	A=Ed. Inst. (Public)			G=Multi County Grp.			M=City			T=Transit Authority			1=Grant 2=Coop. Agree. 3=Direct Loan 4=Guar/Ins Loan 5=Insurance 6=Other			1=Construction 2=Equipment 3=Planning 4=R&D or Demo			5=Training 6=Other 7=Operating Assist 8=Safety							
	B=School Dist.			H=Borough			N=Other Nonprofit			U=Other Govt. Org.																
	C=Federal Agency			I=Planning Comm.			O=Large Business			V=For Profit Org.																
	D=State Agency			J=Council of Govt.			P=Small Business			W=Individual																
	E=Multi State Group			K=Port Authority			Q=Indian Tribe			Y=Ed. Inst. (Private)																
	F=County Agency			L=Airport Authority			S=Sponsored Org																			

10 Recipient Name																				11 State Application Identifier Number																				
29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69

12 Business Location								13 Performance Location								14 Business Location Zip Code																																							
State		County		City		C.D.		Region		State		County		City		C.D.		MSA																																					
70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100	101	102	103	104	105	106																			

15 Award Date						16 Federal Award Amount								17 Non-Federal Amount								18 Estimated Completion Date						19 Funding Type																									
Year		Month		Day		(Right Justify-- Whole Dollars)								(Right Justify--Whole Dollars)								Year		Month		Day		C = Cong. Mandate D = Discretionary F = Formula/Entitle M = Mixed Funding																									
107	108	109	110	111	112	113	114	115	116	117	118	119	120	121	122	123	124	125	126	127	128	129	130	131	132	133	134			135	136	137	138	139	140	141	142	143															

20 Project Description																																							
144	145	146	147	148	149	150	151	152	153	154	155	156	157	158	159	160	161	162	163	164	165	166	167	168	169	170	171	172	173	174	175	176	177	178	179	180	181	182	183

21 Special Narrative																																							
184	185	186	187	188	189	190	191	192	193	194	195	196	197	198	199	200	201	202	203	204	205	206	207	208	209	210	211	212	213	214	215	216	217	218	219	220	221	222	223

22 Other Performance Counties (Optional)												23 Other Congressional Districts (Optional)						24 Reserved													
County 2		County 3		County 4		County 5		County 6		C.D. 2		C.D. 3		C.D. 4		C.D. 5		C.D. 6													
224	225	226	227	228	229	230	231	232	233	234	235	236	237	238	239	240	241	242	243	244	245	246	247	248	249	250	251	252	253	254	255

Person to Contact Regarding this form: _____ * Business City/County Name: _____

Telephone Number: _____ * Performance City/County Name: _____

* Complete this information if GSA location code is not known.

DOT GRANT INFORMATION SYSTEM
REPORTING INSTRUCTIONS

DATA ELEMENT DEFINITIONS, CODES, AND EDIT CRITERIA

1. **ADMINISTRATION**

- a. Definition. A one-character code that defines the operating administration that is responsible for the project. The codes are as follows:

A = Federal Aviation Administration
B = Bureau of Transportation Statistics
G = United States Coast Guard
H = Federal Highway Administration
M = Maritime Administration
O = Office of the Secretary
P = Research and Special Programs Administration
R = Federal Railroad Administration
S = National Highway Traffic Safety Administration
T = Federal Transit Administration

- b. Edit Criteria. The administration code must be one of the above codes.

2. **FEDERAL IDENTIFIER NUMBER**.

- a. Definition. A 15-character left-justified field (unused blank spaces must be to the right of this number). Each project must be assigned a unique combination of numbers and letters by which it is reported to the system. This assigned identifier must remain with the record permanently.

- b. Edit Criteria. The identifier must start in the first position of the field. It can be any combination of alpha/numeric characters and cannot change throughout the life of the project.

3. **NUMBER OF CHANGES**.

- a. Definition. This is the number of changes to the awarded dollars, Federal funds only, being reported to the GIS for this project. For the initial award, report 00. Changes during the reporting period can be accumulated into one change, or each individual change can be reported. Change numbers cannot be repeated. DO NOT report any changes that do not effect awarded dollars.

- b. Edit Criteria. This is a two-digit numeric field. If the Kind of Action code is A, the change number must be 00. If the Kind of Action code is B or R, the change number must be greater than 00 and must not equal a previously submitted change number for a project.

4. MULTIPLE LOCATION CODE.

- a. Definition. If the project covers more than one performance location and the award amount can be identified for each location, a record must be submitted for each location. A different performance location is defined as more than one of any of the following: States, counties, cities, congressional districts or metropolitan statistical areas (MSA). This two-character field must indicate the sequence of the records that reflect the various work locations. Use AA-AZ for the first 26 multiple locations, BA-BZ for the second 26 multiple locations, CA-CZ for the third, etc.
- b. Edit Criteria. If the Multiple Location Sequence code is 00, there can be no other records with the same Federal Identifier Number. If the code is AA, there must be at least one other record with the same Federal Identifier Number. Further, the Multiple Location Sequence code must be in sequence in subsequent records, i.e., AA, AB, AC, AD, etc. Also, data elements 5-12, 14-15, and 18-21 must be identical for all multiple records.
- c. Multiple Records. Every attempt should be made to identify all performance locations and the amount of funds involved for each location. This will not be possible for all programs; therefore, the following samples are given:
 - (1) Only One Performance Location. Enter 00 in the Multiple Location Sequence Field. Enter the appropriate place of performance location code.
 - (2) Multiple Performance Location With Dollar Amounts Unknown. Enter 00 in the Multiple Location Sequence Field. Enter additional counties and congressional districts in fields 22 and 23.
 - (3) Multiple Performance Locations With Dollar Amounts Available for Each Location. Enter the Federal award amount that corresponds to the respective locations in sequence until a record is completed for each location. Enter multiple location codes AA, AB, AC, etc.
 - (4) Additional Clarification. To further clarify the relationships of multiple records, the following table is presented. The amounts refer to the Federal and non-Federal amounts, fields 16 and 17, respectively.

Multiple Record Relationships

<u>Type</u>	<u>Multiple Location Code Field</u>	<u>Performance Location Fields</u>
One Location	Enter zeros (00)	State, county, and city - normal entries
Multiple Locations- amounts by location unknown	Enter zeros (00)	State, county, and city - normal entries; Other counties and congressional districts fields 22 and 23
Multiple Locations- amounts by location known	"AA" in 1st record	State, county, and city - normal entries; 1st location amounts in fields 16 and 17
	"AB" in 2nd record	2nd location State, county, and city entries 2nd location amounts in fields 16 and 17
	"AC", etc.	3rd, etc.
One Location (covering a whole State)	Enter zeros (00)	Performance State code is entered. Zeros in other location fields.

Note: All other data elements must be identical in each record within a multiple location set.

5. KIND OF ACTION.

- a. Definition. A code indicating the kind of action being reported. Correction and deletion actions are to individual records not grants. The entire record must be completed for all actions except a deletion, only the first five fields need to be completed for a deletion.

A = New Award
B = Modification Increase
C = Correction
D = Deletion
R = Modification Deobligation

- b. Edit Criteria. Must be one of the above codes.

6. OMB/CFDA NUMBER.

- a. Definition. The OMB/CFDA Number refers to the program number carried in the OMB Catalog of Federal Domestic Assistance (CFDA) under which the grant authorization falls. In this four-character field, the leading CFDA number of "20" for each DOT program is dropped, and the last three numbers must be entered, left-justified. The fourth position may be used by administrations to designate segments within a program. If none is used, an entry of "X" is required. If no number has been assigned, enter 999X.
- b. Edit Criteria. The first three positions must be a valid CFDA catalog number or 999. The fourth position must be alpha.

7. RECIPIENT TYPE.

- a. Definition. To identify the type of recipient organization, a one-character field is provided. Select the most appropriate code for the organization when more than one choice is possible.

A = Educational Institution (Public)
B = School District
C = Federal Agency
D = State Agency
E = Multiple State Group (or Inter-State)
F = County Agency
G = Multiple County Group
H = Borough
I = Planning Commission
J = Council of Government
K = Port Authority
L = Airport Authority
M = City (Inclusive of Townships)
N = Other Nonprofit Agency
O = Large Business
P = Small Business
Q = Indian Tribe
R = Community Action Agency
S = Sponsored Organization
T = Transit Authority
U = Other Government Organization
V = For Profit Organization
W = Individual
Y = Educational Institution (Private)

- b. Edit Criteria. Must be one of the above codes.

8. TYPE OF INSTRUMENT.

- a. Definition. This field is type of assistance instrument of the project being reported. Additional information on the type of instrument is contained in DOT 4600.17A, Financial Assistance Management Requirements. Select one of the following codes:

- 1 = Grant
- 2 = Cooperative Agreement
- 3 = Direct Loan
- 4 = Guaranteed/Insured Loan
- 5 = Insurance
- 6 = Other

- b. Edit Criteria. Must be 1 through 6.

9. PURPOSE.

- a. Definition. This field is to describe the principal purpose of the project. The entry must be one of the following numeric codes.

- 1 - Construction
- 2 - Equipment
- 3 - Planning
- 4 - Research and/or Development, or Demonstration
- 5 - Training
- 6 - Other Purposes
- 7 - Operating Assistance
- 8 - Safety

- b. Examples: The following are examples of how to tell the principal purpose of a project:

- (1) If purpose of a project is for paving, lighting, and a new control tower with equipment, code this "construction" (code 1), even though lighting and equipment in the control tower might be "equipment."
- (2) Highway signs and access routes would be considered new construction because the signs are part of road construction rather than equipment, code 1.
- (3) Planning and engineering where the emphasis is on the planning aspect, code 3.

- (4) If the purpose of a project is the purchase of 100 buses, toll boxes, and a garage for buses, the emphasis is on equipment code 2 rather than the construction aspect for the garage.
- (5) Construction of a high-speed monorail, 12 miles in length, to test the feasibility for providing efficient transportation. This project would be primarily classified and coded 4 as a demonstration and research project even though considerable construction was involved.

c. Edit Criteria. Must be 1 through 8.

10. **RECIPIENT NAME**.

- a. Definition. Enter the name of the organization awarded the project. For awards to States, DO NOT enter the name of the State, e.g., State of Ohio, enter the State organization receiving the award, e.g., Ohio DOT. To accommodate an identification of the recipient, 21 characters have been allocated. Even so, abbreviations probably will have to be used for most names. Use normal spaces between words or abbreviations unless there are insufficient spaces. The following are examples:
 - (1) AIP Grant to Little Rock Airport Authority = Little Rock Airport Auth = 21 with spaces between abbreviations.
 - (2) Massachusetts Bay Transportation Authority = Mass Bay Trans Auth = 19 with spaces.
 - (3) Denver Regional Council of Govt. = Denver Reg Coun Govt = 21 spaces.
 - (4) San Francisco Bay Area Rapid Transit District = SanFranBayArRapTrDis = 21 characters without spaces.
- b. Edit Criteria. This left-justified field can be any combination of alpha/numeric characters. The first position must not be blank.

11. STATE APPLICATION IDENTIFIER NUMBER.

- a. Definition. This is the number assigned by the State single point of contact for all assistance projects subject to the State review process under Executive Order 12372, Intergovernmental Review of Federal Programs and Projects. This field must be completed for all awards. If the project was not subject to the State review process, Part I, enter "SAI NOT APPLICABLE." If the project was subject to the State review process, but no number is available, enter "SAI NOT AVAILABLE."
- b. Edit Criteria. This field must be left-justified and contain an SAI number or the following: "SAI NOT APPLICABLE" or "SAI NOT AVAILABLE." The first position must not be blank.

12. BUSINESS LOCATION. To be able to categorize DOT commitments of funds in several different ways, such as by State, county, city or congressional district, it is necessary that the recipient of funds be carefully identified by geographic location. The entire location code must be a valid code. Each of these codes is discussed below:a. State Code.

- (1) Definition. This field contains the two-character alpha/numeric State Federal Information Processing Standards (FIPS) code. State codes are also provided for outlying areas of the United States in FIPS 5-1 published by the National Bureau of Standards.
- (2) Edit Criteria. State entry must be 01 through 56 or 60 through 79 or acceptable codes for outlying areas of the United States.

b. County Codes.

- (1) Definition. This field must contain the standard General Services Administration (GSA) three-character numeric county code. Use the GSA Geographic Location Code Book. For outlying areas of the United States, county codes will be also found in the GSA Geographic Location Code Book.
- (2) Edit Criteria. County code must be numeric.

c. City Code.

- (1) Definition. If the applicant/recipient has offices located in a city, enter the code of the city in this field. Use the GSA Geographic Location Code Book. This is in addition to the entry of county code.
- (2) Edit Criteria. City code must be numeric.

d. Congressional District.

- (1) Definition. This field must contain two numerical characters. For thinly populated States where there is only one district, use 00 for the entire State. In areas where there are many congressional districts for one county, such as in Los Angeles and New York City, determine the districts in which the applicant/recipient's office building is located and use that number for the congressional district. For congressional district, use the "Congressional District Atlas" published by the Department of Commerce, Bureau of Census.
- (2) Edit Criteria. Congressional district must be numeric for States. For outlying areas of the United States and the District of Columbia, the value must be 00.

13. **PERFORMANCE LOCATION.** Location of performance fields contain the Federal Region and MSA code entries as well as geographic location codes of State, county, city, and the congressional district. These fields identify the geographic area and congressional district in which the project funds will be used or spent. For some projects it can be considered as the identity of the area to be aided or benefited by the project. To accommodate instances in which work is performed in more than one region, State, county, city, and/or congressional district, a system of multiple records has been devised. Additional information on reporting multiple locations is located under items 4, 22, and 23 elsewhere in this Order. This group of data elements is similar to the "business location;" however, there are two additional data elements included, the region code and the MSA code. Since the definition and edit criteria for all other data elements are identical to those given in the business location data set, reference should be made to item 12 above. The new elements are defined below:

- a. Statewide or Countywide Project. If the work is to be performed throughout a State irrespective of counties, cities, and congressional districts, enter the State code, and enter zeros in the county, city, and congressional district fields. Likewise, if the work is to be performed throughout a county irrespective of cities, enter the State and county codes and enter zeros in the city field.
- b. Region.
 - (1) Definition. A two-character field to contain the standard Federal region code corresponding performance location State code. The code must be right-justified with leading zero for a one-character code. The latest approved standard Federal regional boundaries are to be used.
 - (2) Edit Criteria. Region code must be 01 through 10 and correspond to the performance State.
- c. MSA - Metropolitan Statistical Area.
 - (1) Definition. Enter the four-digit numeric code listed in FIPS PUB 8-5. If the work location is not located in an MSA, enter zeros.
 - (2) Edit Criteria. Entry must be a valid MSA code or 0000.

14. **BUSINESS LOCATION ZIP CODE**.

- a. Definition. This field contains the nine numerical characters of the recipient's zip code.
- b. Edit Criteria. The zip code must be numeric. The first five positions are mandatory, the second four are optional.

15. **AWARD DATE**.

- a. Definition. Enter the date the initial award (obligation) of Federal assistance funds for Kind of Action A and the date of the change for Kind of Actions B or R. For Corrections, Kind of Action C, enter the award date of the record being corrected.
- b. Edit Criteria. Must be a valid date after October 1, 1956, and must be in year, month, and day order with a 4-digit year, i.e., YYYYMMDD.

16. **FEDERAL AWARD AMOUNT.**

- a. Definition. This field reflects the Federal dollars obligated. Where one record is being submitted for the quarter, it includes the sum of all Federal actions during the quarter for the project. If a multi-year award is being reported, enter only the amount obligated, not the total amount of the award. Enter the amount right-justified with leading zeros. This field will accommodate \$9,999,999,999.
- b. Edit Criteria. This is 10-digit numeric field, right-justified zero filled.

17. **NON-FEDERAL AMOUNT.**

- a. Definition. This field is for the dollar amount of local or matching funds contributed to the project. Enter the amount right-justified with leading zeros. This amount must contain the equivalent of total project cost less Federal funds awarded; thus, State, county, city funds combined are considered as "Local Share." If there are no local funds, zeros fill this field. For other than 00 and AA records, this field contains zeros.
- b. Edit Criteria. This is 10-digit numeric field, right-justified zero filled.

18. **ESTIMATED COMPLETION DATE.**

- a. Definition. Estimated completion date of the project.
- b. Edit Criteria. Must be a valid date after the award date, and must be in year, month, and day order with a 4-digit year, i.e., YYYYMMDD. If no estimated completion date has been established, enter 00000000.

19. **FUNDING TYPE.**

- a. Definition. This is a code to indicate the type of funding being reported.
- C = Congressional Mandated
D = Discretionary
F = Formula/Entitlement
M = Mixed Funding
- b. Edit Criteria. Must be a valid code.

20. **PROJECT DESCRIPTION.**

- a. Definition. Describe as briefly as possible the purpose or use to which the requested funds will be put. Brevity is important as only 40 characters are allocated to the field.
- b. Edit Criteria. This field must be left justified, and may contain any combination of alpha/numeric characters. The first position must not be blank.

21. **SPECIAL NARRATIVE.**

- a. Definition. This is a further description of the project. The limit is 40 spaces. Do not duplicate the entry in the project description field.
- b. Edit Criteria. This field must be left justified, and may contain any combination of alpha/numeric characters. The first position must not be blank.

22. **OTHER PERFORMANCE COUNTIES.**

- a. Definition. When a project is performed in more than one county and the dollar amounts by performance county are not known, up to five additional performance counties can be identified in this field.
- b. Edit Criteria. Must be blank or a valid county code for the performance State, start with county 2.

23. **OTHER PERFORMANCE CONGRESSIONAL DISTRICTS.**

- a. Definition. When a project is performed in more than one congressional district and the dollar amounts by performance congressional district are not known, up to five additional performance congressional districts can be identified in the field.
- b. Edit Criteria. Must be a blank or a valid congressional district code, start with C.D. 2.

24. **RESERVED.** This field is reserved for future use.25. **ADDITIONAL DATA.** When forms are submitted, the name and telephone number of the person completing the form must be entered on the appropriate lines of the form. If the GSA location codes are not available, the Business and Performance Location can be written on the appropriate lines.