

## **CHAPTER 3**

### **PROJECT STATUS RECORD (FHWA-37)**

#### **3.1 OVERVIEW**

The FHWA-37 is the input reference format for reporting pertinent project data. It is a historical record of project activity that records descriptive, statistical, monetary and progress data. When projects are authorized to proceed, the reporting offices initially prepare the status report. This information is supported by formal documents, i.e. Plans, Specifications and Estimates (PS&E), when appropriate, request to authorize project, and other related information not submitted electronically. The electronic Project Agreement and Project Modification documents (Section 3.9) support agreement execution and modification activity (Subpart A of 23 CFR 630). When a State does not provide these documents electronically via FMIS 4.0, the Division must certify that the signed documents are on file in the Division. The FHWA Division officials **MUST** electronically sign all documents in FMIS 4.0. These documents are FHWA's official record of agreement and project modification. The State is agreeing to comply with those provisions set forth in 23 CFR 630.112.

Notifications of work started or underway, completed, and final vouchers documenting total participating project cost and Federal funds claimed are the basis for updating the status of the projects. Project actions should be entered as promptly as possible after (1) execution of project agreement, (2) when notice of reportable data is received, or (3) all required project approvals have been completed. Although the FHWA-37's and supporting documents are retained historically within FMIS 4.0 and can be accessed on-line, users may print by running Report FMISW96A.

The structure of FMIS is based on State and Federal project number that allows for multi-funding of projects utilizing one FHWA-37. The FHWA-37 has been integrated with the execution of the project agreement that allows authorized officials to electronically sign the documents. As discussed in Chapter 2, the FHWA-37 structure consists of the Project Header and Project Detail(s). The data elements and descriptions along with the reporting instructions are outlined in the following sections under Project Header and Detail. Only one Header is allowed for each project, while multiple Detail Lines are allowed. The entries for each Detail begin with Program Code data element. Examples of when additional individual Detail lines would be used are:

- Project includes more than one Program Code.
- Project includes more than one Type of Improvement Code.
- Project includes work on more than one Functional System.

#### **3.2 ELECTRONIC DATA SHARING (EDS)**

State DOTs have the option of keying data or batch processing from the State's financial system (EDS from States). States may also receive a file of data processed daily (EDS to

States). For further information on the batch processing, refer to the EDS Manuals for more detail instructions and record layout.

### **3.3 GENERAL REPORTING SPECIFICATIONS**

The Federal project cost and accomplishment information are to be assigned to the improvement categories that most closely matches the major purpose of the project. For most projects, this will likely result in splitting each project into more than one improvement category. Costs of related project activities that are incidental to the major purpose of the project are to be included in the costs of the appropriate improvement category for the project. Additional requirements include the following:

- (1) Breakdown cost by phase of work, i.e., right of way, preliminary engineering, construction, etc.
- (2) Report cost separately for rural, urban and urbanized (over 200,000) populations.
- (3) Breakdown cost in both the roadway and structure improvement type categories.
- (4) Report safety activities, intended primarily to improve safety by implementing the safety setasides under Sections 130, 152 and 133(d)(1) of 23 U.S.C., under the safety categories.
- (5) Report activities defined as Transportation Enhancement (TE) to the TE improvement categories.
- (6) Report cost for the construction of added capacity, as part of new construction, reconstruction or through the conversion of existing lanes or shoulders, separately under the appropriate category even if the added capacity improvements are incidental to the main purpose of the roadway or other projects.
- (7) Report costs in the “Other” improvement category only if the major purpose of the project cannot be matched with any of the other specific improvement categories.
- (8) Report appropriate advance construction costs at the time the Federal funds are obligated.

### **3.4 DETAILED REPORTING SPECIFICATIONS**

The data descriptions and instructions as follows for the Header (FIGURE 3.4 and 3.4A) and Detail (FIGURE 3.5) provide the size and structure of the fields for data input that may be up to three characters. However, for direct key users, drop down descriptive values, if appropriate, are available. Where indicated, some values are system generated. For action items available in top toolbar, see Appendix C.

PROJECT HEADER

FIGURE 3.4

**PROJECT HEADER INFORMATION**

Cost Center: [DD] [ ] Proj #: [ ] Suffix: [ ] St Proj #: [ ] Version: CURRENT

**GENERAL PROJECT INFORMATION**

Transaction Business Month: [ ] Number: [ ] Project Prefix: [ ] Project Type: [ ]

Project Status: [ ]

Project Description: [ ]

**GEOGRAPHICAL INFORMATION**

Demo Id: [ ] Details: [ ]

Standard Place Code: [ ]

Inventory Route #: [ ]

**PROJECT STATUS DATES**

Est Construction Date MM/YYYY: [ ]

Project Completed Date: [ ]

Final Voucher Paid Date: [ ]

Last Action Date: [ ]

**Mile Point Number**

Beginning: [ ]

Ending: [ ]

**PROJECT COST**

Adv. Construction: [ ]

Federal Funds: [ ]

State Funds: [ ]

Local Funds: [ ]

Private Funds: [ ]

Non-Monetary Donations: [ ]

Other Funds: [ ]

Total Cost: [ ]

Adv. Const. Converted: [ ]

Expenditures: [ ]

102 Expenditures: [ ]

**EFFECTIVE AUTHORIZATION DATES**

PE: [ ]

ROW: [ ]

Construction: [ ]

SPR: [ ]

MCSAP: [ ]

Other: [ ]

**Related Projects**

ST PROJECT #: [ ]

Delete: [ ]

**OTHER PROJECT INFORMATION**

Project Oversight: [ ]

STIP Reference: [ ]

**Disaster**

Fiscal Year: [ ]

Sequence #: [ ]

**Environmental Document**

Type: [ ]

Date: Year [ ] Month [ ] Day [ ]

**STATE DEFINED FIELDS**

[ ] [ ]

[ ] [ ]

**DIVISION DEFINED FIELDS**

[ ] [ ]

[ ] [ ]

FIGURE 3.4A

FMIS 4.0

Print Quit Help Window

(FSPR0013) PROJECT INFORMATION

Open NewPrj Save PickLst Hst Clse Reopn Withdrw Reestab Conv Doc Sign Home Detl

### PROJECT HEADER INFORMATION

Cost Center 00 Proj #      Suffix      St Proj #      Version CURRENT

### DETAIL SUMMARY

Add Detail    Detail Overview

Group By Program Code     View Withdrawn/Deleted

Prog Code	Dtl #	Improvement Type	Cnty	Urb	With	Total Cost	Federal Funds	Advanced Construction Funds

### STATE REMARKS

### DIVISION REMARKS

### SIGNATURES

Project First Updated By \_\_\_\_\_ Date \_\_\_\_\_  
 Modification # \_\_\_\_\_

**State Signatures**                      **Date**

Available Funds Certified By \_\_\_\_\_ Date \_\_\_\_\_  
 Approval Recommended By \_\_\_\_\_ Date \_\_\_\_\_  
 Authorization / Modification Requested By \_\_\_\_\_ Date \_\_\_\_\_

**Division Signatures**                      **Date**

Project Info Reviewed By \_\_\_\_\_ Date \_\_\_\_\_  
 Approval Recommended By \_\_\_\_\_ Date \_\_\_\_\_  
 Approved and Authorized By \_\_\_\_\_ Date \_\_\_\_\_

### 3.4.1 Project Header

Following are the data elements for the Header with data descriptions and reporting instructions.

1. **Cost Center** - This field is **system generated** for update authority based on the user's login ID. It consists of the Cost Center and State identifiers.
  - The first two digits are numeric that distinguish the transactions for Federal-Aid Divisions (00) and Direct Federal Divisions (15-17 for Eastern, Central, and Western Divisions). Obligations for Direct Federal are interfaced from the departmental accounting system. Obligations for Federal-aid are keyed or batched by State DOTs or FHWA Divisions. **The first two digits are 00 for all States, which is compatible with the States current billings, RASPS.**
  - The third and fourth characters that identify the State can be either alpha or numeric, i.e., 01 or AL for Alabama (See Appendix D for valid codes). Codes for territories, Canada, and other Federal agencies are included. This is one of the major reporting items required for acceptance of transactions. When a State or FHWA Division user initially accesses the system, it is not necessary to enter the State code, as this code is associated with the User's ID and therefore prompted. To view transactions applicable to another State, that State's code must be entered.
2. **Project Number** - This 7-digit alphanumeric field is used to identify the Federal Project Number (FPN). It is one of the key data elements in FMIS. The FPN is a major reporting item and is **required** for all transactions. The first 4 characters can be alpha or numeric. The last 3 characters must be numeric (alpha '0' is invalid in the FPN). Zero fill both fields to the left, i.e., FPN 93(2) would be entered as 0093002. To change an FPN, withdraw the existing project and establish a new project in accordance with the prescribed procedures. **Note: Once a project number is recorded, the project number cannot be used again even though the project may have been withdrawn or closed. [Exception: If the project is established and withdrawn within the same month but not signed by the Division, the project can be deleted; therefore the FPN can be used again.] See Appendix E for project numbers that have been reserved for specific programs.**
3. **Suffix** - This field is a **system generated** sequential 1-digit numeric identifier for projects with the same FPN but not related. To make changes to a project with a suffix, the suffix must be entered.
4. **State Project # (SPN)** - This is an optional field used to record the corresponding SPN for the Federal-aid project number. If applicable, up to 13

alphanumeric characters can be entered for each State project number. Up to 117 SPN's may be entered in field 27. The first SPN will be shown in this field. To open a project by SPN, the number must be entered in the exact format, i.e., 0012-A1-1. There are no edits for the SPN.

5. **Version** - This is a **system generated** alphanumeric indicator for a project's history beginning with CURRENT, PENDING and all previous dates, i.e. a project may have a status of CURRENT, PENDING, and 09/30/2000.

## GENERAL PROJECT INFORMATION

6. **Project Type** - This is a required 1 alpha character field. Valid values allow specific detail data to be entered or bypassed. If no selection is made, the default is Conventional. Select one of the following valid values:

C = Conventional  
E = Emergency Relief  
D = Demo  
P = STP  
B = SIB

- **Conventional** - This identifies all projects that are not ER, SIB, STP or Demo. If a Type is not entered, the default is Conventional. All required fields must be entered.
- **Emergency Relief (ER)** - When the project is identified as ER, the system will allow the user to enter detail data at a later date. The data must be provided before the project can be closed. Enter the FPN, description, Federal Funds and/or Total Cost and Authorization Date. The Type is validated by the program code (must be ER) entered on the Detail.
- **Demo** - When the project is identified as Demo, the Estimated Construction Date and Demo ID are **required**.
- **Surface Transportation Project (STP)** - When the project is identified as STP, the following data are **required**: FPN, program code, urban or rural, urbanized area (if applicable), Type of Improvement, Bridge Inventory Number (if applicable), Federal Funds and/or Total Cost. Other pertinent data may also be entered.
- **State Infrastructure Bank (SIB)** - When the project is identified as SIB, enter the program code, FPN, Federal Funds and/or Total Cost, and Authorization Date. The Type is validated by the program code (must be SIB).

7. **Transaction** - Each FHWA-37 transaction must be controlled to assure that the transaction is recorded on the master file. There is no limit to the number of transactions that can be entered during any business month cycle. A transaction consists of the business month and sequential number. The Transaction Log utilizes the transaction numbers (month and number) assigned to individual system recorded increases or decreases in obligations by program code. Monetary differences resulting from a reconciliation of daily output reports will primarily be reconciled by reference to the Transaction Log (See Chapter 4).

- **Business Month** - The business month is **system generated** to identify the transactions on a monthly cycle in MM format.
- **Number** -Although a transaction number is system generated with each project’s activity, the user may also enter a sequential number. A new transaction number is not generated if an error is detected while working on the same project, i.e., no intervening project has been entered or the input session has not been terminated. Numbers are assigned in chronological order starting with 0001.

8. **Project Prefix** - This is a **system generated** alpha field based on the program code from the Detail Lines. If a project is split-financed (multiple funding categories (program codes)), prefixes should be used to identify all funding on the project Details. See description under Project Detail.

9. **Project Status** - This is a **system-generated** field that indicates the status of the project. The status is displayed in text. The indicators are as follows:

<u>Pending</u>	<u>Active and Historical</u>
State Certification needed	Active
Unsigned, State Certification needed	Closed
State Recommendation needed	Closed pending expenditures
State Authorization needed	Withdrawn
State Modification needed	
Division Review needed	
Division Recommendation needed	
Division Authorization needed	

10. **Project Description** – This is a **required** narrative field (alphanumeric) that can not exceed 130 characters and spaces. Enter a brief description of the **project location** and **character of work**.

- Project location:
  - (1) Indicate a U.S., State, or local road; do not refer to a Federal-aid project number. Refer to the project by county lines, municipal boundaries,

intersecting highways, streams, or railroad crossings using references on the State highway map.

- (2) For projects in urban areas, identify the city and named places. Where the State highway map has an urban insert, use control points on the insert. Examples of location reporting are U.S. 310, Bridge over Potomac River, S.R. 50, 10 miles NE of Fort Lyon, E.
  - (3) For planning projects, enter the time period that the project covers from authorization date to estimated completion date, i.e., enter 10/01/2001 to 09/30/2002.
  - (4) For statewide projects indicate appropriate description, i.e., Statewide PE, Statewide Rail Crossing, and Statewide STP.
- Character of work:
    - (1) Describe briefly the work proposed.
    - (2) Include “4R” in the description of all such projects.
    - (3) Identify PE, ROW, Construction, Safety, Planning, and SPR activities.
    - (4) Indicate highway, bridge, commuter lot, or other facility.
    - (5) Identify action performed; e.g., grade, pave, drain, relocate railroad, move signals, etc.

## GEOGRAPHICAL INFORMATION

11. **Demo ID** – This is a **required** 5-character alphanumeric field for demo-funded projects. The first two characters are alpha (State) and the last three characters are numeric (sequential number for the State), e.g., for Wisconsin, WI015, WI016, etc. It relates the project to a particular Demonstration Project (Demo) from a specified public law. The Demo ID’s are assigned by FHWA Office of Infrastructure and identified in the allocation memo to the FHWA Division.
12. **Standard Place Code (SPC)** – This is a **required** 6-digit alphanumeric field. The codes are issued by the National Institute of Standards (NIST) for named populated places used to specifically identify the locality of the project. A listing of all standard place codes is located on the Internet at: <http://www.itl.nist.gov/fipspubs/55new/nav-top-fr.htm>. Choose your State and either view or download the information. The first five digits are from the NIST list and the last character must be alpha with one of the following values that best describes the location:

- A - Airports
- B - Post Offices Not Corresponding To Other Locational Entities
- C - Incorporated Places
- D - American Indian Areas
- E - Alaska Native Areas
- G - Non-government Facilities
- H - Counties and County Equivalents
- M - Federal Facilities
- N - State, Local and International Government Facilities
- S - Surface Transportation Facilities
- T - Active Minor Civil Division
- U - Populated (Community) Places (Except Those Associated with Facilities)
- X - Obsolete or Incorrect Names or Entities
- Z - Inactive or Nonfunctioning Primary County Division
- NA- Not Applicable

Codes are for named populated places, primary county divisions (such as townships and census county divisions), American Indian and Alaska Native areas, national parks, military installations, Coast Guard bases, major airports and several kinds of other facilities. If more than one place is involved, enter the place code where the major portion of the work will be performed. If the project is in a truly rural location enter the SPC for the County in which the project is located. If a place cannot be determined or the project is Statewide, NA is the default.

## LOCATION REFERENCING

Items 13 through 15 permit users to reference FMIS information to the map location of road sections. It is the same reference system used to map the location of HPMS data to road sections; consequently, these data items correspond to HPMS data items 10 through 12 as defined in the HPMS Field Manual. The Location Reference System (LRS) is typically maintained by either the State HPMS, GIS, or mapping sections.

In general, the LRS information is available on State maintained Inventory Route and Node Maps and Inventory Route Link Data Files, or their equivalents, for particular routes and sub-routes. The group having responsibility for maintaining the LRS for the State's HPMS data should be consulted for assistance in locating projects on the proper inventory route and sub route and establishing the correct milepoint coding for the LRS information required for FMIS.

These three data items must be coded for Appalachia projects and all construction phase projects on the National Highway System, including Interstate. Specific references to the LRS can be found in Chapter V of the HPMS Field Manual at <http://www.fhwa.dot.gov/ohim/hpmspage.htm>.

13. **Inventory Route Number** – This is a 12-character alphanumeric field consisting of the inventory route number (first ten characters) and a sub-route number (last two characters). The inventory route number is a 10-character, right justified value. The LRS inventory route number can be alphanumeric, but must not contain blanks. Leading zeros must be coded. The inventory route number is not necessarily the same as the posted along the roadway, but is a number used to uniquely identify a route within at least a county or, alternately, throughout the State. The inventory route number is followed by a 2-character numeric sub-route number that uniquely identifies the AHEAD and BACK portions of an inventory route section where duplicate kilometer points (KMPTs) [milepoints (MPTs)] occur.

Example: Inventory Route 63951, Sub-route Number 2:

Code	0	0	0	0	0	6	3	9	5	1	0	2
------	---	---	---	---	---	---	---	---	---	---	---	---

The inventory route and sub-route numbers reported for the FMIS project must be consistent with the inventory route and sub-route numbers identified on the Inventory Route and Node Maps, and in the Inventory Route Link Data File discussed in Chapter V, Linear Referencing System Requirements, HPMS Field Manual.

14. **Beginning Milepoint** – This 7-digit numeric field is used to indicate the beginning of the FMIS project on the inventory route.

The MPT (KMPT) for the FMIS project must be consistent with the LRS information found on the Inventory Route and Node Maps and in the Inventory Route Link Data File for the particular route and sub-route. Code the beginning MPT (KMPT) to three decimal points. The MPT (KMPT) represents the distance in kilometers (miles) from a set reference point to the beginning of the FMIS project.

The MPT (KMPT) numbering format is such that the combination of county, inventory route number, sub-route number, and MPT (KMPT) information defines a unique location.

Example: Beginning kilometer point 98.252 for the FMIS project on the inventory route and sub-route number coded in Item 13:

Code	9	8	.	2	5	2
------	---	---	---	---	---	---

15. **Ending Milepoint** - This seven digit numeric field is used to indicate the end of the FMIS project on the inventory route.

The MPT (KMPT) for the FMIS project must be consistent with the LRS information found on the Inventory Route and Node Maps and in the Inventory Route Link Data File for the particular route and sub-route. Code the ending MPT (KMPT) to three decimal points. The MPT (KMPT) represents the distance in kilometers (miles) from a set reference point to the end of the FMIS project.

The MPT (KMPT) numbering format is such that the combination of county, inventory route number, sub-route number, and MPT (KMPT) information defines a unique location.

Example: Ending kilometer point 101.206 for the FMIS project on the inventory route and sub-route number coded in Item 13:

Code	1	0	1	.	2	0	6
------	---	---	---	---	---	---	---

**PROJECT STATUS DATES**

- 16. **Estimated Construction Date** (MM/YYYY) – This 6-digit numeric field for month and year is entered for the estimated start date of the physical construction. It includes any major ancillary work (such as removal, adjustment or demolition of buildings or major obstructions, and utility or railroad work) that is a part of the contract for the physical construction. **This field is required for Demo projects.**
- 17. **Project Completion Date** (MM/DD/YYYY) – This 8-digit numeric field for month, day and year is **required** for the date construction was completed for the project. The construction contract acceptance date may be used on construction projects. For PE and ROW projects with no Federal funds authorized for construction, this is the date that the State receives authorization to proceed with construction. For projects requiring an FHWA final inspection report, it is the date of this report. For all other projects, it is the Final Voucher Paid Date. If not entered, the system will generate the date when final voucher date is entered.
- 18. **Final Voucher Paid Date** (MM/DD/YYYY) - This 8-digit numeric field for the month, day and year is **system generated** for projects from the executed closed date or the expenditures update for the closing. The closed date is generated when the user executes the close (CLSE) button on the Project Header top bar (see Chapter 4). When obligations and expenditures are not equal, the project will be marked for closing and the date of last expenditures that created the actual close process will be system generated.
- 19. **Last Action Date** (MM/DD/YYYY) – This date is a **system generated** 8-digit numeric date for the month, day and year of the last action anywhere within the project. Expenditures will trigger a date change on the Header.

20. **Related Projects** – This is a 10-character alphanumeric field that consists of two characters for the State code, seven characters for the Related FPN, and one character for the Project Relationship.

The purpose of this field is to identify projects that are related to the project being reported. For example, a right of way project may be related to a construction project. If Related Projects information is reported for any project, this will indicate that the project has related project information associated with it on the database and can be viewed by selecting the **RELATED PROJECTS** screen. If a project is joint funded with another State, report the joint State code. Up to 135 related projects may be entered. To relate projects, click the **RELATED** field; then select the valid value. The Relationship values are:

- C = Construction
- E = EIS Environment Impact Statement
- J = Joint funded with another state
- M = Multi funded
- P = Preliminary Engineering
- R = Right of Way
- V = Converted

#### **EFFECTIVE AUTHORIZATION DATE**

An effective authorization date is **required** for each phase of work for all projects. The following fields are 8-digit numeric with the MM/DD/YYYY format.

21. **Preliminary Engineering (PE)** – Record authorization date for field inspections, surveys, material testing, borings, plans, specifications, and estimates (PS&E), traffic, and related studies.
22. **Right-of-Way (ROW)** - Record authorization date for purchase of land, improvements and easements, in addition to the cost of moving and relocating buildings, businesses, and persons.
23. **Construction** - Record authorization date for construction of roadways, structures, and traffic service facilities.
24. **State Planning and Research (SP&R)** - Record authorization date for Planning and Research.
25. **Motor Carrier Safety Administration Program (MCSAP)** – Record authorization date for work related to the Motor Carrier Safety Program.

26. **Other** - Record authorization date for all work not included in the above dates; e.g., training, administration, utilities, enhancements, national recreational trails, etc.

## STATE PROJECTS

27. **State Project Numbers (SPN)** - This field allows for additional SPN's. This optional 13 character alphanumeric field can be used to enter up to 18 SPN's.

## NATIONAL BRIDGE INVENTORY NUMBER (NBI)

28. **NBI #** – This is a 15-character alphanumeric **required** field for all projects that involve bridge replacement or rehabilitation. Enter the NBI Structure Number(s) of the **existing bridge(s)**, i.e., the one(s) being replaced or rehabilitated, exactly as it appears in the National Bridge Inventory. Up to 99 NBI Structure Numbers may be entered.

The entire 15-digit field of the NBI Structure number must be reported. Any blank space, “\*”, “0”, or other symbol that is part of the number must be included. In this case, the number entered should distinguish between a numeric “0” and an alpha “O”.

The NBI screen on the Project Header will automatically launch for all funds when Improvement Types 10 through 14 are entered on the Project Detail screen. Also, the NBI screen is automatically launched for all Highway Bridge Replacement and Rehabilitation Program (HBRRP) funds (except for HBRRP Skilled Training and Improvement Type 40 (Special Bridge)). **For each bridge reported, a corresponding Program Code and Type of Improvement Code (10 through 14) also must be reported.**

The NBI number must be reported for each structure for all funds with Project Details for the following Improvement Types (*previous codes 09 and 12 are invalid*):

- 10 - Bridge Replacement – Added Capacity
- 11 - Bridge Replacement – No Added Capacity
- 13 - Bridge Rehabilitation – Added Capacity
- 14 - Bridge Rehabilitation – No Added Capacity

Grant Anticipation Revenue Vehicles (GARVEE) bonds, preliminary engineering, right-of-way activities and environmental mitigation using HBRRP funds must also have the NBI structure number reported. For all non-HBRRP program codes that use Improvement Types 15 (PE), 16 (ROW), 17 (CENG) or 20 (Environmental Only) on the Project Detail for bridgework, the user must enter a structure number by clicking the NBI screen from the Project Header. To enter multiple numbers, use the down arrow key. Note that the NBI screen

will automatically launch for HBRRP and non-HBRRP funds when Improvements Types are 10 through 14 on the Project Detail.

Although the Project Detail may include Improvement Types other than 10 through 14 or 40, the NBI record (displayed on the Project Header) must be Improvement Types 10 through 14. For example, the Detail may be 15 (PE) but the NBI record can be 10 (Bridge Replacement-Added Capacity). For preventive maintenance activity use Improvement Type 14. A structure number for Improvement Type 40 is optional and therefore the NBI is not automatically launched.

***NOTE: The NBI Structure Numbers reported in the FMIS are computer-matched against the numbers reported in the National Bridge Inventory file. Structure Numbers entered into the FMIS that fail to match a number in the National Bridge Inventory file will be rejected. Do not report NBI structure number for bridge inspection contracts.***

The following adds clarifying instructions to coding the project prefix, number, and agreement on special projects where HBRRP funds have been used for inventory, inspection, load posting signs, seismic retrofit, scour countermeasures, painting or calcium magnesium acetate. All these would use Improvement Type 40 on the Project Detail.

- The HBRRP funds used for bridge inventory, inspection, and classification work shall be identified by the prefix **BR** and the project number **NBIS** followed by a 3-digit number, i.e., NBIS(001); HBRRP funds used for the inventory of bridges for historic significance shall be identified by the prefix **BR** and the project number **NBIH** followed by a 3-digit number; and HBRRP funds used for purchase and installation of load posting signs shall be identified by the prefix **BR** and the project number **NBIX** followed by a 3-digit number.
- Since special projects are not usually bridge specific, structure numbers are not required. However, when special projects are not coded **NBIS**, **NBIH**, or **NBIX**, there must be a structure number coded for the project. For all the above projects, the type of improvement should be coded 40 (Special Bridge) on the Project Detail record.
- Section 123(d) of the Surface Transportation and Uniform Relocation Assistance Act (STURAA) of 1987, which amended 23 U.S.C. by adding a new subsection 144(m), provides that a State may use any funds provided under section 144 to construct any bridge in four categories. This created four new project numbers: **NBIL** to replace low water crossings; **NBID** to replace bridges destroyed prior to 1965; **NBIF** to replace ferries in existence on January 1, 1984; and **NBIC** to replace road bridges rendered obsolete by U. S. Army Corps of Engineers activities. This designation applies only to

such bridges not eligible under the normal provisions of the bridge program. **BR** should be entered in the prefix field, the FPN should be **NBIL**, **NBID**, **NBIF**, or **NBIC** followed by the three-digit number with Improvement Type 40 on the Detail record.

## PROJECT COST

The following fields (items 29 through 39) are **system-generated** totals from the sum of all Detail lines incorporated into the Project Detail area. The point of entry is on the Detail lines. See **Project Detail** for more detail data field definitions. *Note: No entries are allowed on the Project Header for these fields.*

29. **Advance Construction** - Total of all advance construction costs authorized on the project.
30. **Federal Funds** – Total of all federal funds authorized and obligated on the project.
31. **State Funds** - Total of all State funds on the project.
32. **Local Funds** – Total of all local funds on the project.
33. **Private Funds** – Total of all private funds on the project.
34. **Non-monetary Donations** –Total of all non-monetary donations on the project, such as services, materials, and equipment.
35. **Other Funds** – Total of all other funds on the project, such as funds from other Federal agencies.
36. **Total Cost** – Total of all the above costs authorized on the project.
37. **Advance Construction Converted** – Total of all advance construction funds converted to federal-aid funding on the project.
38. **Expenditures** – This 13-digit numeric field is posted to FMIS for each project by program code. This represents the reimbursement for the Federal share for approved highway project activities. It is the actual payments made to the States or other entities. Expenditures are transferred via an interface from the RASPS. *To view expenditures, click HST (History) in the Header's top bar.*
39. **102 Expenditures** – Right of Way Revolving Fund (program code 1020) expenditures are posted to FMIS via the interface from the departmental accounting system.

**OTHER PROJECT INFORMATION**

40. **Project Oversight** – This optional 1-character alpha field is used to identify the level of FHWA project oversight. Valid values are:

- N = FHWA full oversight (NHS)
- X = Not on NHS, FHWA full oversight (non-NHS)
- BLANK> = Other
- A = State Administered (no FHWA project approvals)

41. **Reference** – Although this is an optional field, it is required for Federal-aid projects if used to reference a project from the State Transportation Improvement Project (STIP) document. State and Division may determine what is appropriate for this field. It is an alphanumeric field of up to 20 characters. There are no edits for this field.

42. **Disaster** – This is a **required** 5-digit field for Emergency Relief (ER) funds. This field consists of Fiscal Year and Sequence #.

- Fiscal Year - This 4-digit year identifies the fiscal year of the disaster.
- Sequence # - This 1-digit numeric field identifies the disaster by sequence within a State and Year.

43. **Environmental Document** – This is a **required** 6-character alphanumeric field for right of way and construction projects. This field consists of required Type (2-alphanumeric) and Date (Year, 4-numeric). Month and Day (4-numeric) are optional. It identifies the environmental class of action. The values for Type are as follows:

- 1 = Environmental Impact Statement (EIS)
- 2 = Categorical Exclusion (CE):
  - A= CE Programmatic
  - B= CE State Documented
  - C= CE FHWA Documented
- 3 = Environmental Assessment (EA)
- 4 = Finding of No Significant Impact (FONSI)

If value=1 (EIS), the year of clearance must be entered. The year for all other categories is optional.

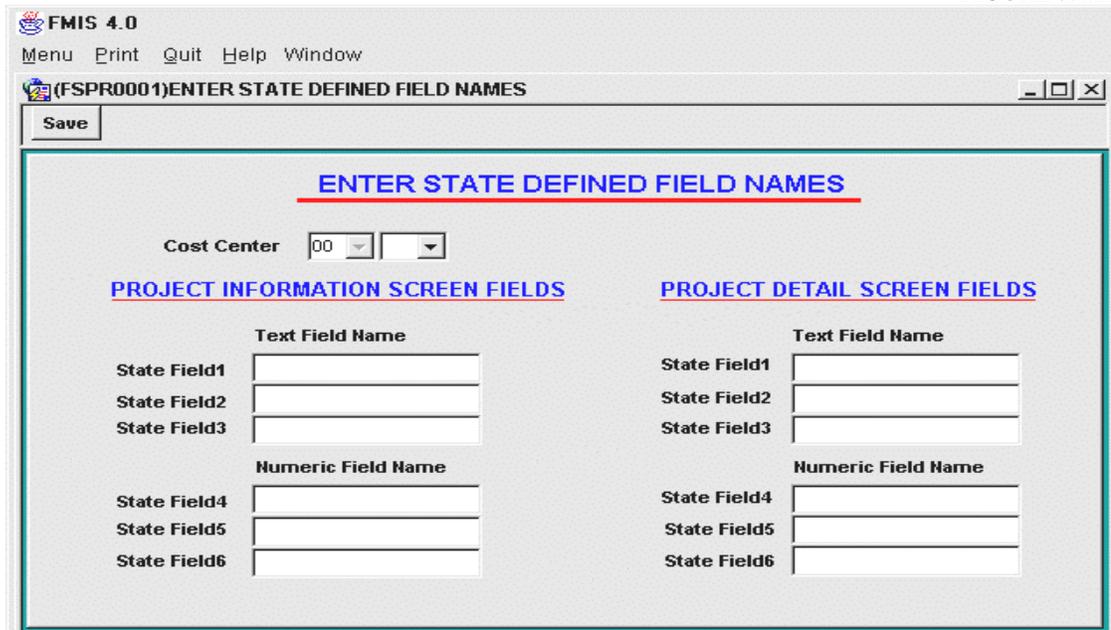
Environmental Document Types:

- EIS - Actions that significantly affect the environment.
- CE - Actions that do not individually or cumulatively have a significant environmental effect. All programmatic CE's are FHWA approved.
- EA - Actions in which the significance of the environmental impact is not clearly established.
- FONSI - Action in which the EA determines that an EIS is not required.

An EA is not a final document. It either results in a FONSI or it is determined another document type is more applicable. Therefore, the EA/FONSI could be one item. This particularly is the case since all types (drafts, supplementals, finals, re-evaluations) of EIS's are in a single category. The documents in order of hierarchy are EIS, EA, FONSI and CE.

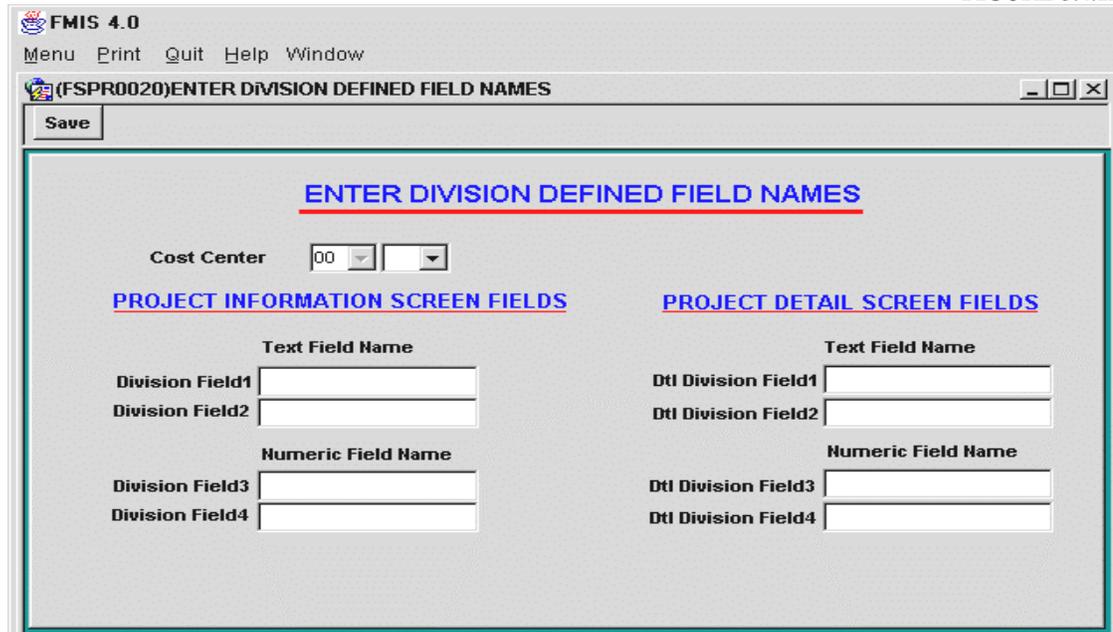
44. **State Defined Fields** – Six optional fields are provided for the exclusive use of the State DOT. To use these fields, the State Field name must be setup (see Chapter 4) by a State DOT user from the Projects Menu on the screen entitled “Enter State Defined Field Names” (see FIGURE 3.4.1A). Once defined, the field names will then be displayed on all Project Header records and cannot be changed by the user. The first 3 State defined fields are alphanumeric each with a maximum of 20 characters. The last 3 fields are numeric each with a maximum of 9 characters.

FIGURE 3.4.1A



45. **Division Defined Fields** – Four optional fields are provided for the exclusive use of the Division. To use these fields, the Division Field name must be setup (see Chapter 4) by a Division user from the Projects Menu on the screen entitled “Enter Division Defined Field Names” (see FIGURE 3.4.1B). Once defined, the field name will then be displayed on all Project Header records and cannot be changed by the user. The first 2 Division defined fields are alphanumeric with a maximum of 20 characters. The last 2 are numeric with a maximum of 9 characters.

FIGURE 3.4.1B



**3.4.2 Detail Summary**

The Project DETAIL Summary screen is accessed from the HEADER by clicking DETL from the top bar or scroll to the DETAIL SUMMARY (FIGURE 3.4.2). The amounts highlighted in green are totals by program code. To view or update an existing detail, click the appropriate detail line. The user can also view or modify an existing Detail from DETAIL OVERVIEW by clicking the appropriate detail line. To add a Detail, the ADD DETAIL must be activated.

The Details may be sorted by Program Code or Improvement Type. The default sort is program code. Totals by program code are displayed in green. To view withdrawn or deleted detail lines, click VIEW WITHDRAWN/DELETED. The withdrawn or deleted detail lines are displayed in red.

FIGURE 3.4.2

Open NewPrj Save PickLst Hst Clse Reopn Withdrw Reestab Conv Doc Sign Home Detl

**PROJECT HEADER INFORMATION**

Cost Center 00 FL Proj # 1501(006) Suffix St Proj # 196085-1 Version CURRENT

**DETAIL SUMMARY**

Add Detail Detail Overview

Group By Program Code  View Withdrawn/Deleted

Prog Code	Dtl #	Improvement Type	Cnty	Urb	Wth	Total Cost	Federal Funds	Advanced Construction Funds
Q240	30	4R-Reconstruction Added Ca	081	264		\$8,103,077	\$5,308,498.00	\$0.00
Q240	31	Construction Engineering	081	264		\$0	\$0.00	\$0.00
Q240						\$8,103,077	\$5,308,498.00	\$0.00

### 3.5 PROJECT DETAIL

The Project Detail in FIGURE 3.5 identifies the funding by program code and provides a breakdown of all descriptive and statistical data for the work performed on the project. To select a detail line other than the one displayed, click **DETAIL SELECT** next to **PROGRAM CODE**. For action items available in top toolbar, see Appendix C. Following are descriptions and reporting instructions for Data Elements in the Project Detail.

#### **DETAIL ID**

46. **Program Code** – This is a 4-digit **required** alphanumeric field. It is one of the key data elements for all project transactions. The previous codes (formerly three digits will have a trailing zero (0), e.g., Appropriation Code 042 is Program Code 0420. It identifies the category of funds (formerly Appropriation Code). It is the primary information source for all transactions affecting obligations under established highway-related programs and carries information on the source of funds available for obligation. Together with the State coding and other reported cost data, the program code provides the yardstick for measuring and monitoring the progress of legislated highway programs and is a basic information source for the FMIS. The program code is edited for its validity. **The alpha O is not valid for the program code.** If the code is not valid, an error message will be generated. Report FMIST51A contains a list of all valid program codes. See reports in Chapter 9.

PROJECT DETAIL

FIGURE 3.5

The screenshot displays the 'PROJECT DETAIL' window in the FMIS 4.0 application. The window title is '(FSPR0018) - PROJECT DETAIL'. The menu bar includes 'Print', 'Quit', 'Help', and 'Window'. The toolbar contains buttons for 'Save', 'Copy', 'New Detail', 'Delete', 'Prior', 'Next', 'Reestablish', 'Detail History', 'Home', 'Bottom', and 'Header'. The main content area is titled 'PROJECT DETAIL' and contains several sections:

- Header Information:** Cost Center (00 AR), Proj # (MINN(001)), Suffix (0), St Proj #, and Version (Pending).
- DETAIL ID Section:** Includes fields for Program Code, Detail Number, Status (Active), Improvement Type, Detail Select (dropdown), Prefix, Fund Source, and Recode.
- GEOGRAPHICAL INFORMATION Section:** Includes County Code, Urbanized Area / Size, Withdrawal Area, Rural / Urban, Functional System, System Code, and Last Action (06/07/2001).
- OTHER STATISTICS Section:** Includes radio button options for Toll Road, Safety 100%, Temp Matching, Indian Reservation, FTA, and Construction, along with an FHWA Area checkbox.
- FUNDING Section:** Includes a grid for Congressional District/Percent with a 'Delete' button, and input fields for Adv. Construction, Federal Funds, State Funds, Local Funds, Private Funds, Non-Monetary, Other Funds, Total Cost, Adv. Construction Converted Amount, Soft Match, and Federal Share % (0.00).
- STATE DEFINED FIELDS Section:** Three empty input fields.
- DIVISION DEFINED FIELDS Section:** Three empty input fields.

47. **Detail Number** – Each Detail Number identifies a breakout of a portion of work within each program code for all projects. This required field is 2-digit numeric (01-99) and is **system generated**. However, the user may change the generated number to another appropriate number, particularly for modifications. The number is a unique integral part of reported data that is retained from project inception to completion (close) provided the line item is not deleted. A Detail Number cannot be duplicated.
48. **Detail Select** - This field is **system generated** for multiple detail line numbers. To view, the user can select from this field or enter the number in item 47 (Detail Number).
49. **Status** – This field is **system generated** and is used for two purposes.
- For pending projects, this field shows the signatures that are needed.
  - For active or historical projects, this field will show the status of the project.
50. **Prefix** – This is an optional 10-character alpha field. A project may have up to ten prefixes. This alpha value corresponds with a given funding category. For example, the prefix for Program Code Q050 is NHS. These codes may be pre-assigned by the Program Offices and is normally indicated in the allocation memorandum or Apportionment Notice. Otherwise, the State can assign any alpha characters.
51. **Fund Source** – This field is **system generated** and indicates the source of funding for a given program code. For all subsidiary program codes, the fund source is the parent code, e.g., the fund source for subsidiary Program Code Q300 (STP ½ Percent Skill Training) is the parent Program Code Q240 (STP-Flexible). See reports in Chapter 9.
52. **Recode** – This field is **system generated**. It groups all like Program Codes; e.g., for STP, the recode is 321. This field is useful in generating reports. See Chapter 9 for reports.
53. **Improvement Type** - This field is a **required** field (for exception, see Project Type) that indicates the nature of work involved. Separate detail lines may be established to reflect multiple types of improvements for a single project. A drop down menu is available for the user's selection. Improvement Type code is based on eligible activity for the funding category (Program Code). Following are the valid Improvement Types (see Appendix F for more details).

IMPROVEMENT TYPES	
01-New Construction	26-Ferry Boats & Facilities
03-4R Reconstruction Added Capacity	27-Administration
04-4R Reconstruction No Added Capacity	28-Facilities for Pedestrians & Bicycles
05-4R Maintenance Resurfacing	29-Acquisition of Scenic Easements & Scenic or Historic Sites
06-4R Maintenance Restoration & Rehabilitation	30-Scenic or Historic Highway Programs
07-4R Maintenance Relocation	31-Landscaping & Other Scenic Beautification
08-Bridge New Construction	32-Historic Preservation
10-Bridge Replacement-Added Capacity	33-Rehabilitation & Operation of Historic Transportation Buildings/Structures/Facilities
11-Bridge Replacement-No Added Capacity	34-Preservation of Abandoned Railway Corridors
13-Bridge Rehabilitation-Added Capacity	35-Control & Removal of Outdoor Advertising
14-Bridge Rehabilitation – No Added Capacity	36-Archaeological Planning & Research
15-Preliminary Engineering	37-Mitigation of Water Pollution Due to Highway Runoff
16-Right of Way	38-Safety & Education for Pedestrians/Bicyclists
17-Construction Engineering	39-Establishment of Transportation Museums
18-Planning	40-Special Bridge
19-Research	41-Youth Conservation Service
20-Environmental Only	42-Training
21-Safety	43-Utilities
22-Rail/Highway Crossing	44-Other
23-Transit	45-Debt Service
24-Traffic Management Engineering-HOV	
25-Vehicle Weight Enforcement Program	

**GEOGRAPHICAL INFORMATION**

54. **County Code** – This field is a **required** 3-digit numeric field that identifies a county in which the project is located. The Statewide option should be selected when it is not feasible to break the work by separate county codes such as for territorial, Island-wide, e.g., SP&R. The user can select a county from the scroll-down list of counties (Appendix G). **The system will generate the county FIPS code based on the county names selected.**

55. **Urbanized Area/Size** – This is a **required** 3-digit numeric field that identifies work in urban area. It is a required entry for all projects located within an urban area (population of 50,000 or more). A scroll down list of urban and urbanized areas (population greater than 200,000) is provided for the user’s selection. Identify the urban areas by designated codes or name (see Appendix H). The system will automatically require the urbanized area to be reported for all projects funded under setasides, i.e., STP (program code 33C0, Q230, etc.) and Metropolitan Planning (program codes 0860, Q450, etc.).

Projects using funds to finance transportation planning projects outside of urbanized areas (i.e., statewide) should enter the urbanized areas as **SWP** (statewide project). For Planning funds (recodes 220 and 221) in areas less than 50,000, enter **SUA** (small urban area).

56. **Withdrawal Area** – This is a 3-digit numeric field that identifies the area for funds obligated for Interstate Transfer (program codes 1770 and 1780) funds (See Appendix I).

57. **Rural/Urban** – This is a **required** 3-character alphanumeric field used to indicate whether a project is located in an urban or rural area. If a project is located in both urban and rural areas, enter the two lines with complete data on separate lines for type of work within the urban area and for those outside the urban area. The valid values are either Urban or Rural. The second character for Urban is **system generated** based on the population size of the area, i.e., U1 for population greater than 5,000, but less than 50,000; U2 for population greater than 50,000, but less than 200,000; U3 for population greater than 200,000. Rural should be entered for population less than 5,000.
58. **Functional System** – This is a **required** 1-character alpha field that groups streets and highways into classes, or systems, according to the character of service they provide as classified in Highway Functional Classification publication. The valid values are as follows:
- F = Freeways and Expressways
  - P = Other Principal Arterial
  - M = Minor Arterial
  - C = Major Collector
  - R = Minor Collector
  - L = Local
  - N = No Functional Class
59. **Federal-aid System** – This is a **required** 1-character alpha field. Indicate the system on which the project is located (Interstate and National Highway System (NHS) described in 23 U.S.C. 103). All projects require an entry in this field. Valid values are:
- I = Interstate
  - N = NHS Non-Interstate
  - O = Other Federal-aid Highway
  - Z = Not on any Federal-aid Highway
60. **Last Action** – This field is a **system generated** 8-digit numeric fields for the date of last activity on a given Detail line.
61. **Congressional District/Congressional District Percent** – This is a **required** 2-digit numeric field identifying the congressional district in which the project is located. If the county contains a single congressional district, the congressional district code is system generated. If the county is a multi-congressional district county, enter the appropriate congressional district code/name for each line item along with the percent of funds per congressional district. For current districts information go to [www.house.gov](http://www.house.gov). For specific members by name or State, click Members Offices; then click State. **NOTE: The FHWA Division Offices are responsible for notifying the FMIS Team of any changes in congressional district boundaries.**

## OTHER STATISTICS

Data elements identified in items 62-67 contain “?” and utilize radio buttons for on/off switches to further identify project activity. The default is (N)o. Enter (Y)es, if applicable and identify all associated cost.

62. **Toll Road?** – This 1-character alpha field identifies toll facilities financed with Federal funds. To monitor toll road projects or work performed on toll roads, enter Y, if applicable.
63. **Safety 100%?** – This 1-character alpha field identifies projects using 100% Safety funding (10% limiting in accordance with 23 U.S.C.120(c)). Enter Y, if applicable.
64. **Temporary Match?** - This 1-character alpha field identifies funds waived of the State matching share requirement. Enter Y, if applicable.
65. **Indian Reservation?** - This 1-character alpha field identifies projects on an Indian Reservation. Enter Y, if applicable.
66. **FTA?** - This 1-character alpha field identifies projects administered by the Federal Transit Administration. Enter Y, if applicable.
67. **Construction?** - This 1-character alpha field identifies the construction phase of work. It records funding for construction of roadways, structures, and traffic service facilities. Enter Y, if applicable.
68. **FHWA Area** – This is an optional 2-digit alphanumeric field. This field can be used by the FHWA Divisions to identify the functional specialist, such as area engineer, planning or right-of-way specialist, responsible for authorizing the project. Each FHWA Division will develop its own coding. This field may be used to identify signature authority for projects.

## FUNDING

The following data elements identify the break down of the cost associated with the project.

69. **Advance Construction** - This 13-digit numeric field includes 2 decimals. This field is **required** for funds that become obligated only when they are converted to Federal-aid funding. The amount must be reported in dollars and cents.
70. **Advance Construction Converted Amount** - This 13-digit numeric field includes 2 decimals. This identifies the amount converted from a deferred payment to a Federal-aid funded status. See Converting Advance Construction

Projects (Chapter 4). This field requires reporting on each detail line the amount of funds converted in dollars and cents.

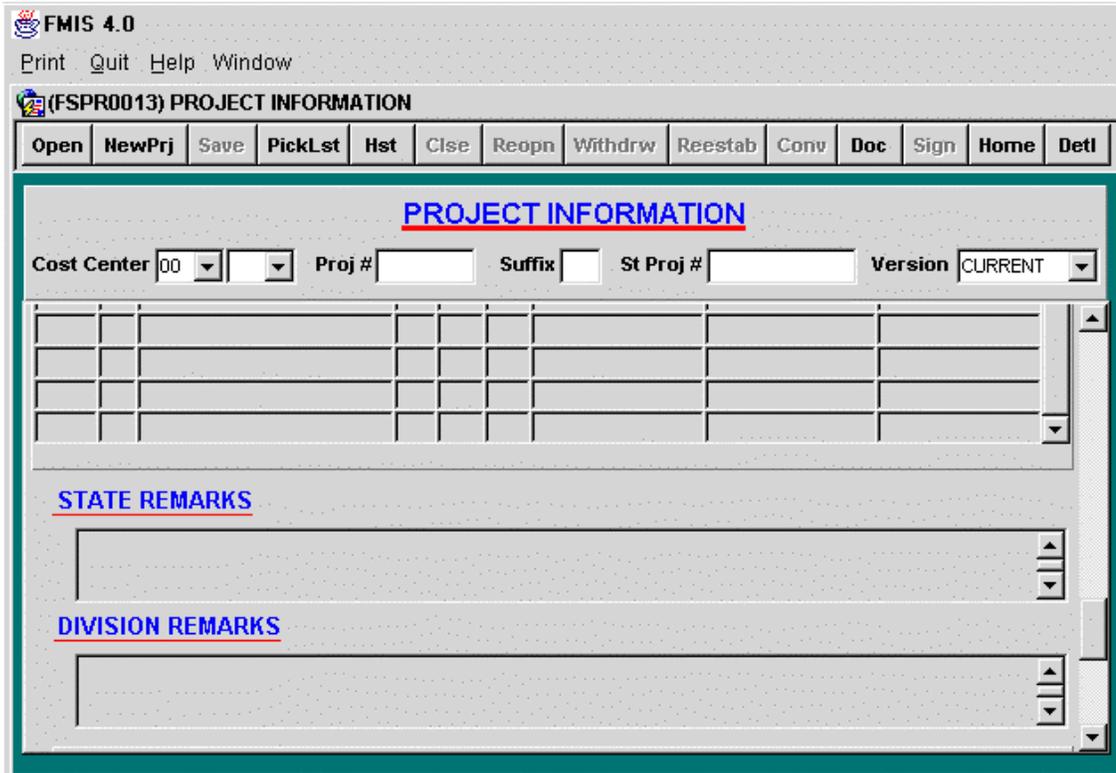
71. **Federal Funds** - This 13-digit numeric field includes 2 decimals. This field **requires** reporting on each detail line the amount of federal obligations in dollars and cents. **Do not report any advance construction funds in this field.** Federal Funds cannot exceed the Total Costs of the project. If Federal Funds exceed the Total Cost, an error message will be generated.
72. **Soft Match Amount** - This optional 13-digit numeric field includes 2 decimals. It identifies the value of any soft match in dollars and cents. Soft match is a match credit derived from a non-project source, i.e., toll credits and off-system bridge credits. The amounts the State spends on these projects can be credited to another project using Federal-aid funds. The Federal share on the Federal-aid project does not change with the non-Federal share satisfied by a soft match. However, the billing ratio is up to 100 percent of cost incurred depending on the amount of soft match applied.
73. **State Funds** - This optional 13-digit numeric field includes 2 decimals. It identifies the amount of the State's participating share in dollars and cents or the system will calculate the State share by deducting the Federal share from the total cost.
74. **Federal Share Percent** - This **required** 5-digit fields includes 2 decimals. It identifies the pro rata share of Federal funds as it applies to the project. It is not required for advance construction.
75. **Local Funds** - This optional 13-digit numeric field includes 2 decimals. It identifies funds contributed by local (non-State) agencies in dollars and cents.
76. **Private Matching Funds** - This optional 13-digit numeric field includes 2 decimals. It identifies private donations/contributions for the project in dollars and cents.
77. **Value of Non-Monetary Funds** - This optional 13-digit numeric field includes 2 decimals. It identifies the total value of all non-monetary contributions towards this segment of the project (e.g., land, equipment, etc.). Donations and acquired land, generally referred as in-kind contributions, are examples of non-monetary amounts. The value of the donations are treated like a project cost when calculating the Federal share, but the State can apply the value of the donation to its matching share. The Federal share does not change, but the billing ratio increases.
78. **Other Funds** - This optional 13-digit numeric field includes 2 decimals. It identifies any other funds, such as funds from other Federal agencies.

79. **Total Cost** – This 11-digit numeric field reflects all funds (Federal, State, local, private, non-monetary, and other) used to finance this segment of the project. The user may enter the total cost for each line item to the nearest dollar. The system will generate Total Cost if not entered. If Total Cost is entered and Federal Funds are less than Total Cost, the system will generate the difference as State Funds.
80. **State Defined** – Six optional fields are provided for the exclusive use of the State DOT. The State Field name must be setup (see Chapter 4) by a State DOT user from the Projects Menu on the screen entitled “Enter State Defined Field Names”. Once defined, the field names will then be displayed on all Project Detail records and cannot be changed by the user. The first 3 State defined fields are alphanumeric each with a maximum of 20 characters. The last 3 are numeric each with a maximum of 9 characters.
81. **Division Defined** - Four optional fields are provided for the exclusive use of the Division. The Division Field name must be setup (see Chapter 4) by a Division user from the Projects Menu on the screen entitled “Enter Division Defined Field Names. Once the field is defined, the field name will then be displayed on all Project Detail records and cannot be changed by the user. The first 2 Division defined fields are alphanumeric with a maximum of 20 characters. The last 2 are numeric with a maximum of 9 characters.

### 3.6 REMARKS

82. **State Remarks** – This is an optional text area (FIGURE 3.6) that may contain up to 130 alphanumeric characters that allows State users to add comments to electronic documents.
83. **Division Remarks** – This is an optional text area (FIGURE 3.6) that may contain up to 130 alphanumeric characters that allows Division users to add comments to electronic documents.

FIGURE 3.6



### 3.7 DETAIL OVERVIEW

Rather than scroll through all the Detail Lines on a project, a user may view a summary of the project. The Detail Lines summary on a project may be viewed by clicking the **DETAIL OVERVIEW** on the **DETAIL SUMMARY** screen as displayed on the **DETAIL OVERVIEW** in **FIGURE 3.7**.

FIGURE 3.7

FMIS 4.0  
 Print Quit Help Window  
 (FSPR0017)DETAIL OVERVIEW  
 Prior Next

**DETAIL OVERVIEW**

Cost Center   Proj #  Suffix  St Proj #  Version

<b>Program Code</b>	B3D0	Q240	Q240
<b>Detail Number</b>	10	30	31
<b>Detail Status</b>	Active	Active	Active
<b>Improvement Type</b>	Preliminary Engineering	4R-Reconstruction Added Cap:	Construction Engineering
<b>Advanced Construction</b>	\$ .00	\$ .00	\$ .00
<b>Federal Funds</b>	\$57,779.57	\$3,058,702.18	\$172,771.59
<b>State Funds</b>	\$14,523.00	\$764,676.00	\$46,079.00
<b>Local Funds</b>	\$ .00	\$ .00	\$ .00
<b>Private Funds</b>	\$ .00	\$ .00	\$ .00
<b>Non-monetary Donations</b>	\$ .00	\$ .00	\$ .00
<b>Other Funds</b>	\$ .00	\$ .00	\$ .00
<b>Total Cost</b>	\$72,303.00	\$3,823,378.00	\$218,851.00
<b>Adv Const Converted</b>	\$ .00	\$ .00	\$ .00
<b>Soft Match</b>	\$ .00	\$ .00	\$ .00
<b>Recode</b>	321	321	321
<b>Fund Source</b>	B3D0	Q240	Q240
<b>Federal Share %</b>	80.00	80.00	80.00
<b>Prefix</b>	STPAA	STPAA	STPAA
<b>County Code</b>	BLOUNT	BLOUNT	BLOUNT
<b>Rural / Urban</b>	RURAL	RURAL	RURAL
<b>Urbanized Area</b>			
<b>Withdrawal Area</b>			
<b>Toll Road</b>	N	N	N
<b>Safety</b>	N	N	N
<b>Temp Match</b>	N	N	N
<b>Indian Reservation</b>	N	N	N
<b>FTA</b>	N	N	N
<b>Construction</b>	N	Y	Y
<b>FHWA Area</b>	2Q	2Q	2Q
<b>Functional System</b>	Minor Arterial	Minor Arterial	Minor Arterial
<b>System Code</b>	Not on any Federal-Aid System	Not on any Federal-Aid System	Not on any Federal-Aid System
<b>Last Action Date</b>	06/27/2002	06/27/2002	06/27/2002
<b>Cong District - %</b>	04 - 100 %	04 - 100 %	04 - 100 %

3.8 SIGNATURES

Official documents are signed electronically via the user clicking SIGN in top bar and entering a PIN (see FIGURE 3.8A). FHWA officials must sign all documents electronically. There are three levels of signatures needed for the State and FHWA. However, an individual user may have authority for all three levels. A State user may “unsign” a document prior to the FHWA signature. An FHWA user may resign prior to the Division’s Approved and Authorized (third) signature.

FIGURE 3.8A

- 84. **Project First Updated By** - This is a **system generated** field which is based on the User’s ID.
- 85. **Modification Number** – This field is **system generated** based on the number of modifications to the project.
- 86. **State Approval** – For States not signing documents electronically, the FHWA Division certifies that the State signatures are on file in the Division when they approve a project. When the SIGN button is clicked, a pop up screen is displayed as shown in FIGURE 3.8B for the user to verify that a State does not sign documents electronically (copy on file), a project does not require State signature, e.g., MCSAP projects, or State signature required, thus the Division cannot sign. The user must then make the appropriate selection. The default is

the first selection, “State signatures are on file, Division signature may be performed”.

FIGURE 3.8B



87. **State Signatures** – The State DOT official may electronically sign the approval documents by clicking ENTER PIN NUMBER button; then enter the appropriate PIN. The sign confirmation screen appears. However, the authority may be delegated to the same individual to sign all three areas. The State may “unsign” a document prior to FHWA signature. The document must be unsigned in the reverse order that it was signed.
- **Available Funds Certified** – Authorized user certifies funds available via system verification.
  - **Approval Recommended** – Authorized user recommends approval.
  - **Authorized** – Authorized user approves the project. If this user also has authority for above fields, the user may enter the PIN and the system will backfill previous fields.
88. **Division Signatures** – Once approved by the State, if appropriate, and meets the edit criteria of FMIS, FHWA Division officials must electronically approve the document by clicking ENTER PIN NUMBER button; then enter the appropriate PIN.
- **Project Information Review** – Authorized user certifies project information entered meets all edit criteria of FMIS.
  - **Approval Recommended** – Authorized user recommends approval and authorization of project. It may be same as authorizing official. The document may be unsigned at this level.

- **Authorized** – Authorized user approves the project. If this user also has authority for above, the user may enter the PIN and the system will backfill previous fields.

Once the FHWA signature is added, the action results in the immediate update of FMIS project records and fund balances. The FMIS fund balance will reflect the current status through the latest entry of FHWA-37 data.

### **3.9 PROJECT APPROVAL DOCUMENTS**

After a project is fully signed, the approval documents, Project Authorized/Agreement and Project Modification can be viewed by clicking DOC in the top bar of the Project Header. For the execution of the project agreement, authorized officials can electronically sign the documents and create the Project Authorized/Agreement document as shown in FIGURE 3.9A.

FIGURE 3.9A

Run Date: 02/13/2003	<b>U.S. DEPARTMENT OF TRANSPORTATION FEDERAL HIGHWAY ADMINISTRATION FEDERAL-AID PROJECT AGREEMENT</b>	Report: FMISD05A																														
Run Time: 08:13:36		Page 1																														
<p><b>STATE:</b> FLORIDA                      <b>PROJECT NO:</b> MINN(001)                      <b>STATE PROJ. NO:</b> 0021472-1</p>																																
<p>THE STATE, THROUGH ITS HIGHWAY AGENCY, HAVING COMPLIED, OR HEREBY AGREEING TO COMPLY, WITH THE APPLICABLE TERMS AND CONDITIONS SET FORTH IN (1) TITLE 23, U.S. CODE, HIGHWAYS, (2) THE REGULATIONS ISSUED PURSUANT THERE TO AND (3) THE POLICIES AND PROCEDURES PROMULGATED BY THE FEDERAL HIGHWAY ADMINISTRATION RELATIVE TO THE ABOVE DESIGNATED PROJECT, AND THE FEDERAL HIGHWAY ADMINISTRATION HAVING AUTHORIZED CERTAIN WORK TO PROCEED AS EVIDENCED BY THE DATE ENTERED OPPOSITE THE SPECIFIC ITEM OF WORK, FEDERAL FUNDS ARE OBLIGATED FOR THE PROJECT NOT TO EXCEED THE AMOUNT SHOWN HEREIN, THE BALANCE OF THE ESTIMATED TOTAL COST BEING AN OBLIGATION OF THE STATE. SUCH OBLIGATION OF FEDERAL FUNDS EXTENDS ONLY TO PROJECT COSTS INCURRED BY THE STATE AFTER THE FEDERAL HIGHWAY ADMINISTRATION AUTHORIZATION TO PROCEED WITH THE PROJECT INVOLVING SUCH COSTS. THE STATE AGREES THAT AS A CONDITION OF THE FEDERAL FUNDS OBLIGATION, IT ACCEPTS AND WILL COMPLY WITH THE AGREEMENT PROVISIONS SET FORTH IN 23 CFR 630.112; AND ITS SIGNATURE CONSTITUTES THE MAKING OF THE CERTIFICATIONS.</p>																																
<p><b>PROJECT DESCRIPTION:</b>                      PCE-P for Improvement</p>																																
<table border="0" style="width: 100%;"> <tr> <td style="width: 50%;"><b>CLASSIFICATION OF PHASE OF WORK TO BE PUT UNDER AGREEMENT</b></td> <td style="width: 50%;"><b>EFFECTIVE DATE OF AUTHORIZATION</b></td> </tr> <tr> <td>HIGHWAY PLANNING &amp; RESEARCH PRELIMINARY ENGINEERING RIGHT-OF-WAY CONSTRUCTION MCSAP OTHER</td> <td style="text-align: center;">02/12/2003</td> </tr> </table>			<b>CLASSIFICATION OF PHASE OF WORK TO BE PUT UNDER AGREEMENT</b>	<b>EFFECTIVE DATE OF AUTHORIZATION</b>	HIGHWAY PLANNING & RESEARCH PRELIMINARY ENGINEERING RIGHT-OF-WAY CONSTRUCTION MCSAP OTHER	02/12/2003																										
<b>CLASSIFICATION OF PHASE OF WORK TO BE PUT UNDER AGREEMENT</b>	<b>EFFECTIVE DATE OF AUTHORIZATION</b>																															
HIGHWAY PLANNING & RESEARCH PRELIMINARY ENGINEERING RIGHT-OF-WAY CONSTRUCTION MCSAP OTHER	02/12/2003																															
<table border="0" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">PROGRAM CODE</th> <th style="width: 15%;">URBAN/ WITH</th> <th style="width: 15%;">TOTAL COST</th> <th style="width: 10%;">FEDERAL SHARE</th> <th style="width: 15%;">FEDERAL FUNDS UNDER AGREEMENT</th> <th style="width: 10%;">ADVANCED CONST. FUNDS</th> </tr> </thead> <tbody> <tr> <td>33D0</td> <td></td> <td style="text-align: right;">\$1,973,052.00</td> <td style="text-align: center;">80.00%</td> <td style="text-align: right;">\$1,578,441.00</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td><b>TOTAL</b></td> <td></td> <td style="text-align: right;"><b>\$1,973,052.00</b></td> <td></td> <td style="text-align: right;"><b>\$1,578,441.00</b></td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;"><b>ESTIMATED TOTAL COST:</b></td> <td></td> <td style="text-align: right;">\$1,973,052.00</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;"><b>TOTAL AUTHORIZED FOR PROJECT:</b></td> <td></td> <td style="text-align: right;">\$1,578,441.00</td> <td></td> </tr> </tbody> </table>			PROGRAM CODE	URBAN/ WITH	TOTAL COST	FEDERAL SHARE	FEDERAL FUNDS UNDER AGREEMENT	ADVANCED CONST. FUNDS	33D0		\$1,973,052.00	80.00%	\$1,578,441.00	\$0.00	<b>TOTAL</b>		<b>\$1,973,052.00</b>		<b>\$1,578,441.00</b>		<b>ESTIMATED TOTAL COST:</b>				\$1,973,052.00		<b>TOTAL AUTHORIZED FOR PROJECT:</b>				\$1,578,441.00	
PROGRAM CODE	URBAN/ WITH	TOTAL COST	FEDERAL SHARE	FEDERAL FUNDS UNDER AGREEMENT	ADVANCED CONST. FUNDS																											
33D0		\$1,973,052.00	80.00%	\$1,578,441.00	\$0.00																											
<b>TOTAL</b>		<b>\$1,973,052.00</b>		<b>\$1,578,441.00</b>																												
<b>ESTIMATED TOTAL COST:</b>				\$1,973,052.00																												
<b>TOTAL AUTHORIZED FOR PROJECT:</b>				\$1,578,441.00																												
<p><b>FLORIDA DEPT OF TRANSPORTATION</b></p> <table border="0" style="width: 100%;"> <tr> <td style="width: 35%;">AVAILABLE FUNDS CERTIFIED BY:</td> <td style="width: 30%;">SIGNATURE ON FILE</td> <td style="width: 35%;">DATE:</td> </tr> <tr> <td>APPROVED AND AUTHORIZED BY:</td> <td>SIGNATURE ON FILE</td> <td>DATE:</td> </tr> <tr> <td>AGRMT/MODIFY REQUESTED BY:</td> <td>SIGNATURE ON FILE</td> <td>DATE:</td> </tr> </table>			AVAILABLE FUNDS CERTIFIED BY:	SIGNATURE ON FILE	DATE:	APPROVED AND AUTHORIZED BY:	SIGNATURE ON FILE	DATE:	AGRMT/MODIFY REQUESTED BY:	SIGNATURE ON FILE	DATE:																					
AVAILABLE FUNDS CERTIFIED BY:	SIGNATURE ON FILE	DATE:																														
APPROVED AND AUTHORIZED BY:	SIGNATURE ON FILE	DATE:																														
AGRMT/MODIFY REQUESTED BY:	SIGNATURE ON FILE	DATE:																														
<p><b>FEDERAL HIGHWAY ADMINISTRATION</b></p> <table border="0" style="width: 100%;"> <tr> <td style="width: 35%;">PROJECT INFORMATION REVIEWED BY:</td> <td style="width: 30%;">DONNA L. JONES</td> <td style="width: 35%;">DATE:</td> <td style="width: 10%;">02/12/2003</td> </tr> <tr> <td>APPROVAL RECOMMENDED BY:</td> <td>DONNA L. JONES</td> <td>DATE:</td> <td>02/12/2003</td> </tr> <tr> <td>APPROVED AND AUTHORIZED BY:</td> <td>DONNA L. JONES</td> <td>DATE:</td> <td>02/12/2003</td> </tr> </table>			PROJECT INFORMATION REVIEWED BY:	DONNA L. JONES	DATE:	02/12/2003	APPROVAL RECOMMENDED BY:	DONNA L. JONES	DATE:	02/12/2003	APPROVED AND AUTHORIZED BY:	DONNA L. JONES	DATE:	02/12/2003																		
PROJECT INFORMATION REVIEWED BY:	DONNA L. JONES	DATE:	02/12/2003																													
APPROVAL RECOMMENDED BY:	DONNA L. JONES	DATE:	02/12/2003																													
APPROVED AND AUTHORIZED BY:	DONNA L. JONES	DATE:	02/12/2003																													
<p><b>STATE REMARKS:</b></p>																																
<p><b>DIVISION REMARKS:</b></p>																																

For project modifications, authorized officials may electronically sign and create the Project Modification document as shown in FIGURE 3.9B.

FIGURE 3.9B

Run Date 02/13/2003 Run Time 08:23:28	U.S. DEPARTMENT OF TRANSPORTATION FEDERAL HIGHWAY ADMINISTRATION FEDERAL-AID PROJECT MODIFICATION	Report: FMISD06A Page 1	
NO: 1			
STATE: FLORIDA	PROJECT NO: MINN(001)	STATE PROJ. NO: 0021472-1	
THE PROJECT AGREEMENT FOR THE ABOVE-REFERENCED PROJECT ENTERED INTO BETWEEN THE UNDERSIGNED PARTIES AND EXECUTED BY THE DIVISION ADMINISTRATOR ON 02/12/2003 IS HEREBY MODIFIED AS FOLLOWS:			
<b>PROGRAM CODE</b>	<b>URBAN/ WITH</b>	<b>FORMER AMOUNT</b>	<b>REVISED AMOUNT</b>
33DD	ESTIMATED TOTAL OF PROJECT	\$1,973,052.00	\$1,973,052.00
	FEDERAL FUNDS	\$1,578,441.00	\$1,578,441.00
	ADV CONSTRUCTION FUNDS	\$0.00	\$0.00
Q24D	ESTIMATED TOTAL OF PROJECT	\$0.00	\$1,200,000.00
	FEDERAL FUNDS	\$0.00	\$0.00
	ADV CONSTRUCTION FUNDS	\$0.00	\$1,200,000.00
STATE REMARKS:			
DIVISION REMARKS:			
ALL OTHER TERMS AND CONDITIONS OF THE PROJECT AGREEMENT WILL REMAIN IN FULL FORCE AND EFFECT.			
<b>DEPARTMENT OF TRANSPORTATION</b>			
AVAILABLE FUNDS CERTIFIED BY:	SIGNATURE ON FILE	DATE:	
APPROVAL RECOMMENDED BY:	SIGNATURE ON FILE	DATE:	
APPROVED AND AUTHORIZED BY:	SIGNATURE ON FILE	DATE:	
<b>FEDERAL HIGHWAY ADMINISTRATION</b>			
APPROVAL RECOMMENDED BY:	DONNA L. JONES	DATE:	02/13/2003
APPROVED AND AUTHORIZED BY:	DONNA L. JONES	DATE:	02/13/2003
MODIFICATION APPROVED BY:	DONNA L. JONES	DATE:	02/13/2003