

# INSTRUCTIONS FOR PROJECT INFORMATION DOCUMENT (PID)

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## GENERAL INSTRUCTIONS

Actions that require a PID:

1. The initial Federal-Aid project agreement and subsequent phase Authority to Proceed (ATP).
2. Scope and termini changes. This means an actual change in the physical work or physical project limits, not a scope clarification (see Actions NOT requiring a PID below for a definition of scope clarification).
3. Establish or change an ATP end date. Attach the ATP End Date Worksheet. Status of Environmental Processing page is not required. If the purpose of the PID is ONLY to change the ATP End Date, then a scope clarification is not required.
4. A project funding change when the previous PID was completed prior to November 2, 2015. This is necessary to update the project information to comply with FMIS 5.0 requirements. Status of Environmental Processing page is not required. If the purpose of the PID is ONLY a project funding change, then a scope clarification is not required.

Actions NOT requiring a PID:

1. Final voucher.
2. Increase or decrease funding within an existing ATP.
3. Advance construction conversion.
4. Scope and/or Termini Clarification. A scope clarification is not a scope change: it is clarification of the scope to include major project elements (identified under Item 18 in the Instructions). A termini clarification involves switching Route ID numbering (discussed in Item 12) from the old CDS system to the new Route ID system taking effect October 1, 2017.

## PAGE 1 SPECIFIC INSTRUCTIONS

1. **Project Name** - Generally as stated in the Statewide Transportation Improvement Program (STIP) planning documents or on the Project Development Authorization (PDA). **Spell out the words "Mileposts" and "Milepoints" if cited in title of project.** Projects that are multiple years should include the years of the project in the name (two to three year length is typical, ex: "Bridge Inspection 2016-2017").
2. **IRIS #** - Integrated Resource Information System (IRIS) number. Assigned by Project Control.
3. **Federal Project #** - For new projects there will not be a Federal Project number. Assigned by Federal Aid program staff.
4. **Federal Route #** - Obtain from the Roadway Information Portal (RIP) under the attribute Federal Aid Routes at <http://rip.dot.state.ak.us/>
5. **CFDA #** - Catalog of Federal Domestic Assistance (CFDA) number. Use CFDA 20.205 unless otherwise directed by Project Control. A drop down list is provided. The most commonly used numbers for FHWA projects are:
  - 20.200 – Highway Research and Development Program
  - 20.205 – Highway Planning and Construction
  - 20.215 – Highway Training and Education
  - 20.219 – Recreational Trails Program
  - 20.223 – Transportation Infrastructure Finance and Innovation Act (TIFIA) Program
  - 20.240 – Fuel Tax Evasion – Intergovernmental Enforcement Effort

6. **STIP Need ID #** - Obtain from the current STIP at:

<http://www.dot.state.ak.us/stwdplng/cip/stip/index.shtml>.

7. **TIP Need ID #** - For AMATS and FMATS projects refer to the respective incorporated TIP at:

<http://www.dot.state.ak.us/stwdplng/cip/stip/incorporations/index.shtml>

8. **ICAP Rate** - Use the approved Indirect Cost Allocation Plan (ICAP) rate located at:

<https://web.dot.state.ak.us/admsvc/forms-memos.shtml>

9. **County ID #** - Obtain from the RIP under the attribute Census County Boundaries. For projects spanning multiple counties, use County ID # 999.

10. **Improvement Type** - Use the 2-digit code from the following list:

Design & Other Stand Alone Codes	Transportation Alternatives Improvements
15 – Preliminary Engineering	28 – Facilities for Pedestrians and Bicycles
16 – Right of Way	29 – Acquisition of Scenic Easements and Scenic or Historic Sites
18 – Planning	30 – Scenic or Historic Highway Programs
19 – Research	31 – Landscape and Other Scenic Beautification
20 – Environmental Only	32 – Historic Preservation
57 – Safety Non-infrastructure	33 – Rehabilitation and Operation of Historic Transportation Buildings, Structures, or Facilities
25 – Vehicle Weight Enforcement Program	36 – Archaeological Planning and Research
26 – Ferry Boats	37 – Mitigation of Water Pollution due to Highway Runoff
41 – Youth Conservation Service	38 – Safety and Education for Pedestrians/Bicyclists
42 – Training	39 – Establishment of Transportation Museums
43 – Utilities	<b>Bridge/Tunnel Improvements</b>
44 – Other	08 – Bridge, New Construction ( <b>No Bridge # Required</b> )
45 – Debt Service	10 – Bridge Replacement - added capacity
<b>Roadway Improvements</b>	11 – Bridge Replacement - no added capacity ( <b>not applicable with MAP-21 Funding</b> )
01 – New Construction Roadway	13 – Bridge Rehabilitation - added capacity
03 – 4R Reconstruction added capacity	14 – Bridge Rehabilitation - no added capacity ( <b>not applicable with MAP-21 Funding</b> )
04 – 4R Reconstruction no added capacity	40 – Special Bridge ( <b>No Bridge # Required</b> )
05 – 4R Resurfacing	47 – Bridge Preventive Maintenance
06 – 4R Restoration and Rehabilitation	48 – Bridge Protection
07 – 4R Relocation	49 – Bridge Inspection and Related Training ( <b>No Bridge # Required</b> )
17 – Construction Engineering	59 – Bridge Resurfacing
21 – Safety Infrastructure	50 – New Tunnel
22 – Rail/Highway Crossing	51 – Tunnel Replacement
24 – Traffic Management/Engineering - HOV	52 – Tunnel Rehabilitation
	53 – Tunnel Preservation
	54 – Tunnel Protection
	55 – Tunnel Inspection and Related Training
	56 – Other Asset Inspection

Go here for more information on selecting [Improvement Type Codes](#)

**11. Safety Related** - Yes for HSIP funded projects or 100% safety related work (i.e. only guardrail, sign, rumble strip, etc. work). If safety related, complete infrastructure, ownership information, and include the HSIP nomination number.

A. **Infrastructure or Non-Infrastructure** - Indicate whether the project is infrastructure (Improvement Type 21) or non-infrastructure (Improvement Type 57). Almost all HSIP projects will be infrastructure as they result in a physical or operational change to the facility. Non-infrastructure projects using HSIP funding sources are limited to transportation safety planning; collection, analysis, and improvement of safety data; road safety audits; conduct of a model traffic enforcement activity at a railway-highway crossing; or planning integrated interoperable emergency communications equipment, operational activities, or traffic enforcement activities (including police assistance) relating to work zone safety.

B. **Ownership** - Indicate ownership as state, local, or other. This information is in the RIP under the attribute Management Responsibility.

'State' refers to projects where all routes are located on a state owned and maintained facility. RIP attribute will display 'State Highway Agency'.

'Local' refers to projects where all routes are on locally owned roads. RIP attribute will display 'County Highway Agency'.

'Other' refers to projects that include both state and local routes. Also refers to routes under Federal or Tribal ownership.

## 12. Determine Type of Project

A. **Regional / Specific Project** - Fill out the Regional / Specific Project table for projects that include 19 or less individual route segments. Fill out the Additional Route ID Attachment tab if the project includes six or more individual Route ID segments. Follow the Regional Project subset below. It is not necessary to provide Route ID information for incidental roadwork associated with a primary route, particularly when less than 500 feet on rural projects or 100 feet on urban projects. The Statewide Project table is required for all new construction where a Route ID or National Bridge Inventory Number (NBI #) does not exist in the RIP.

### Regional Project Table

i. **Route ID #** - Obtain the Coordinated Data System (CDS) Route number from the RIP\*. A project that includes multiple roads and / or bridges requires an individual line for each route and / or bridge included in the project termini. Design / construction cost estimates must specify road and bridge costs separately. Cost may be specified:

- For each road or bridge,
- As a percent for each road or bridge, or
- Distributed proportionally to each road or bridge group.

\* Note: Route ID numbers will switch to a new numbering system effective October 1, 2017. The new route numbering system is simply called the Route ID number. Projects need to update the Route ID number.

ii. **NBI #** - Obtain the NBI # from the RIP. Include the bridge number for projects where bridge work is identified in the project scope at design ATP or a bridge improvement type (refer to Improvement Type Table) will be used in the construction phase of a project. A bridge improvement type and NBI # should not be used for incidental work as described in item 13 below. List each NBI # on a separate line within the Regional Project Table. For new bridge construction use N/A for the NBI #.

- **Note:** New projects separately specify the cost for road work and each bridge individually, including the share of Construction Engineering (CENG), training,

utilities, and Right Of Way (ROW). Established projects with a bridge(s) shall not specify the cost of the bridge design separately from the roadway. Established construction projects assign the bridge costs to the bridge improvement type. Established projects with multiple bridges specify the cost for each bridge as described under the Route ID # above. The CENG costs for established projects will receive a geospatial exception, designating costs to neither the road nor the bridge, and will use the statewide exemption features which match the roadway instead.

- iii. **Milepoints** - Obtain from the RIP. Report to three decimal places.
  - iv. **Urban ID #** - Obtain from the RIP under the attribute FHWA Urban Area. Use the drop down list when specifying the information. This is a Geographic Information Section (GIS) feature with a set boundary for projects lying completely within a census identified Urban Area. If 50% or less of the route is outside the urban boundary, identify the route segments separately. Identify the cost associated with each urban and non-urban segment. If the Urban ID is Anchorage (2305), Fairbanks (28549), or a Small Urban Area (99998) such as Eagle River, Kodiak, Juneau, complete one line of the Statewide Project Table in addition to the Regional Project Table to identify the project as being eligible for suballocated population specific federal funding. Urban ID # 99999 indicates the project is in an area with a population of less than 5,000.
  - v. **NHS** - Obtain from the RIP if the route is on the National Highway System (NHS) under the attribute National Highway System. For AMATS projects with both NHS and Non-NHS routes, fill in both lines on the statewide project table. Identify the cost associated with NHS and Non-NHS routes on your cost estimate backup.
- B. Statewide / Exemption Project:** This category and table are for geospatial exceptions for projects with 20 or more individual Route ID segments, projects with Route ID information not available in the RIP, and for projects where an NBI # does not exist in the RIP. Fill out the Statewide Project Table for the cost predominant project feature(s). Include an attachment of the individual Route ID segments that should include the Route ID #, NBI #, Milepoints, Urban ID, and NHS designation. Follow the Statewide Project subset below. It is not necessary to provide Route ID information for incidental roadwork associated with a primary route, particularly when less than 500 feet on rural projects or 100 feet on urban projects. If there are more than two statewide lines, fill out the Additional Route ID Attachment.

Statewide Project Table – fill in predominant project information

- i. **NHS** - Obtain from the RIP if the route is on the NHS under the attribute National Highway System. For projects with both NHS and non-NHS routes, fill in the two lines on the Statewide Project Table. Identify the cost associated with the NHS and Non-NHS routes on your cost estimate backup.
- ii. **County ID #** - Obtain from the RIP under the attribute Census County Boundaries. For projects spanning multiple counties, use County ID # 999.
- iii. **Urban ID #** - Obtain from the RIP under the attribute FHWA Urban Area. Use the drop down list when specifying the Route ID information. This is a GIS feature with a set boundary for projects lying completely within a census identified Urban Area. For projects spanning multiple urban areas, use Urban ID # 99997 (statewide). Urban ID # 99999 indicates the project is in an area with a population of less than 5,000.
- iv. **Rural or Urban** - Obtain from the RIP under the attribute FHWA Urban Route.
- v. **Functional System** - Obtain from the RIP using attribute Functional Class. Other Principal Arterials include the Alaska Marine Highway System (AMHS).

vi. **System Code** - Select the appropriate code.

System Code	Functional System	NHS	Rural/Urban
Interstate	Interstate	Either	Either
Other Federal-Aid Highway	Non-Interstate (AMHS Ferries)	NHS	Either
Other Federal-Aid Highway	Principal Arterial	NHS	Either
Other Federal-Aid Highway	Minor Arterial	Not NHS	Either
Other Federal-Aid Highway	Major Collector	Not NHS	Either
Other Federal-Aid Highway	Minor Collector	Not NHS	Urban
Not on any Fed-Aid System	Minor Collector	Not NHS	Rural
Not on any Fed-Aid System	Local	Not NHS	Either

vii. **General Ownership** - Obtain from the RIP using attribute Management Responsibility.

- **State** refers to projects where all routes are located on a state owned and maintained facility. RIP attribute will display 'State Highway Agency'.
- **Local** refers to projects where all routes are on locally owned roads. RIP attribute will display 'County Highway Agency'.
- **Other** refers to projects that include both state and local routes. Also refers to routes under Federal or Tribal ownership.

**13. NBI #** - Only a new bridge should be included as a line item in the exemption projects. If the project is an exemption due to the number of routes included, a list of bridge numbers should be included in the scope or termini of the project.

**14. Reason for PID** - Select appropriate reason(s). Multiple boxes may be marked.

- Each ATP may only be requested as allowed by the environmental status of the project.
- The Scope and / or Termini Change must be marked on an project modification to enter new information into the scope (item 18), termini (item 19), or route information (item 12A and 12B) areas.
- Each time a new ATP is requested, the "Establish ATP End Date" should be marked, and the end date changed.
- The "Change ATP End Date" is only used when the project remains in the same ATP level but requires more time to complete the ATP work.

**15. ATP Level** - Select appropriate level for new ATP requests.

- The Other / Misc. ATP level is for non-construction, non-design, other management, or non-Statewide Planning and Research (SPR) planning funded projects that do not directly prepare a project to advance to physical construction.
- The Highway Planning and Research (HP&R) ATP level should only be used for SPR funded planning and research projects.

**16. ATP End Date** - Provide the ATP end date and the ATP End Date Worksheet. When an ATP end date extension is requested, provide an explanation for the extension. Submit extension requests to Project Control 30 days prior to the existing ATP end date to ensure that processing is completed prior to the deadline. Any expenditure activity after the ATP end date will not be eligible for federal reimbursement.

General rules for establishing ATP end dates:

- A. **Period of Performance** - Use the period of performance end date as the Final Deliverable Date. Add additional time for administrative processing to establish the ATP End Date.
- B. **Design through Environmental Document** – Use the anticipated date the environmental document will be approved. Add three months for administrative processing time to establish the ATP End Date.
- C. **Design through Final PS&E** - Use the scheduled bid opening date as the Final Deliverable Date. Add six months for administrative processing time (posting project costs and financial closeout, etc.) to establish the ATP End Date.
- D. **Construction** - Use the scheduled contract completion date as the Final Deliverable Date. Add 18 months for administrative processing time (posting final project costs, construction closeout and financial closure) to establish the ATP End Date.
- E. **ROW or Utilities** – Use the anticipated date of completion of all ROW or Utilities activities as the Final Deliverable Date. Add six months for administrative processing to establish the ATP End Date.
- F. **Other/Misc.** - Use the anticipated date of completion of all project activities as the Final Deliverable Date. Add up to 18 months for administrative processing to establish the ATP End Date.

**17. Funding Source** - Select appropriate category or categories.

**18. Scope** - Keep concise and consistent with the STIP description. Include NBI #(s) if not called out in the project Route ID Table (field 12A) information. Avoid excessive detail and specific milepoints (the field 12A will list the specific milepoints). Include Major Project Elements that apply:

- A. Pavement Preservation\*
- B. Rehabilitation\*
- C. Reconstruction\*
- D. Bridge Work
- E. Roadside Hardware\*
- F. Drainage Improvements\*
- G. Intersection Improvements
- H. ADA Improvements
- I. Utilities

\* Major Project Element notes:

- Chose only one of elements A, B or C.
- Pavement preservation includes resurfacing.
- Rehabilitation includes 3R projects.
- Reconstruction includes new construction and reconstruction.
- Roadside hardware includes signing, roadside barrier, signalization and illumination.
- Drainage improvements includes ditches, culverts, storm drains, underdrains, control structures, etc.

- Intersection improvements include adding turn lanes, adding or reconfiguring channelization islands, and realigning cross streets. Overlaying or resurfacing of an intersection is not an intersection improvement
- For ADA Improvements, indicate whether curb ramps, sidewalks, or both are included.

**19. Project Termini or Location and Length** - The local start and end points (not milepoints) including route / street names. For non-construction projects, use “statewide” or “regionwide” as termini. If milepost numbers are used, “milepost” must be spelled out to avoid confusion with MP, the abbreviation for milepoint. Show any changes with strikethroughs for deletions and bold text for additions.

- A. **Example:** Raspberry Road, Jewel Lake through Minnesota Drive Interchange.
- B. More Specific but **NOT NECESSARY** (because you filled out the Route ID table): Raspberry Road (Route ID # 133765), Jewel Lake (Route ID # 133750), through Minnesota Drive Interchange (Route ID # 134300)

**20. Signature and Date** - The Project Manager or designee signs and dates Page 1 of the PID.

## PAGE 2 SPECIFIC INSTRUCTIONS

The second page of the PID is to provide FHWA with assurances that the Regional Environmental Manager is aware of the project and status of the environmental documentation. This page is not required for the following PID actions: (1) ATP for Preliminary Engineering through Reconnaissance Study, (2) increase or decrease in funding within an existing ATP; (3) establishing an ATP end date; or (4) changing an ATP end date.

**Anticipated Class of Action** - This section is filled out if the project is a new start up, or if the class of action has been discussed with a Statewide NEPA Manager or FHWA Area Engineer.

- **Unknown Class of Action** - This section is checked for a new project start-up or a class of action consultation has not yet occurred. The REM should be able to estimate the amount of time needed to complete the class of action determination at the time of signature.
- **Categorical Exclusions** - The determination on Section 6004 Assignment can only be made after consultation with a Statewide NEPA Program Manager. This section should only be completed after consultation with either the Statewide NEPA Program Manager or FHWA Area Engineer and the class of action is known to be a CE.
  - The REM should check item number 2 if the project is on the “c” list and will be processed with an Expedited CE Form
  - The REM should check item number 3 if the project is either a “c” or “d” list CE and a CE Documentation Form will be completed
- **EA or EIS** - This section should be completed after consultation with the FHWA Area Engineer has determined that an EA or EIS is to be prepared.

**Approved Document** - This section is filled out only after an environmental document has been approved. The REM must provide the date that the environmental document was approved. The REM must identify the appropriate programmatic agreement used to approve any PCEs, and indicate whether the project was assignable or non-assignable in the Anticipated Class of Action section.

**Re-evaluation** - This section is filled out when an environmental document has been approved in the past and a re-evaluation of the original determination has been recently completed. The REM must provide the approval date of the most recent environmental document. Do not complete the Approved Document section for a re-evaluation, but do indicate whether the project was assignable or non-assignable in the Anticipated Class of Action section.

- The REM checks the “Expedited Re-evaluation Approval Form” box if the environmental document was approved less than three years and consultation with either the Statewide NEPA Manager or FHWA indicates that a Full Expedited Re-evaluation Approval Form is not necessary.
- The REM checks the “Environmental Re-evaluation Form” box if:
  - a. Major steps\* to advance the action (e.g. ATP to final PS&E, ATP for ROW, or approval of the Final PS&E) have not occurred within three years of the environmental document approval, and
  - b. The project is advancing to the next major step, and
  - c. Consultation with either the Statewide NEPA Program Manager or FHWA indicates that an Environmental Re-evaluation Form is necessary.

\* Major step is defined in 23 CFR 771.129(b)