



**U.S. Department of
Transportation**

Office of the Secretary
of Transportation

DOT 1340.7B

7-25-94

Subject: DEPARTMENT OF TRANSPORTATION GRANT INFORMATION SYSTEM

1. PURPOSE. This Order establishes requirements for reporting Federal financial assistance awards in the Department of Transportation (DOT). The Grant Information System (GIS) is a comprehensive information system to answer questions about assistance awards, provide periodic reports of various aspects of assistance programs, and provide periodic reporting to the Federal Assistance Awards Data System (FAADS) as required by 31 U.S.C. 6102(a).
2. CANCELLATION. DOT 1340.7A, Department of Transportation Assistance Information System, dated 12-19-80.
3. OBJECTIVES. The objectives of these instructions are to:
 - (1) set forth the specific data submission requirements,
 - (2) provide formats for submission of data, and
 - (3) ensure that the data received are useful, understandable, and fulfill the requirements of DOT management.
4. SCOPE.
 - a. The provisions of this Order apply to the Office of the Secretary (OST), the operating administrations, and the Bureau of Transportation Statistics.
 - b. Data inputs are required for all financial assistance awards regardless of the name given to the assistance instrument.
 - c. This Order does not apply to contracts awarded under the Federal Acquisition Regulation which are reported to the Contract Information System.
5. BACKGROUND.
 - a. The primary purpose for the GIS is to aid in the development of a more effective transportation policy for financial assistance programs. The system title, Grant Information System, is used because over 95 percent of DOT financial assistance awards are made in the form of grants. Except for awards to other Federal agencies or intraagency agreements, all departmental financial

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All Operating Administrations
Bureau of Transportation Statistics

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assistance awards should be reported to the GIS. The system has the side benefit of responding to requests for information on assistance awards. The system also is used to provide quarterly reporting of assistance awards to FAADS. The OST has frequent requests for information regarding the Department's assistance activities. Information is requested for funds awarded to a city, county, congressional district, state, or region.

- b. Organizations in DOT that award financial assistance have varying information systems which serve their own needs. The departmental system is based on administration inputs as byproducts of their internal systems wherever possible. The system is being revised to bring the GIS architecture in line with the FAADS and to provide a user-friendly input format for nonautomatic input. Data will now be submitted on a transactions basis, and the GIS will maintain historical data.
 - c. Two new data elements have been added with this revision, Estimated Completion Date and Funding Type. Estimated Completion Date is required by FAADS. Funding Type provides information on formula, discretionary, and congressionally mandated awards often asked in congressional requests for information.
6. POLICY. The policy of the Department is to develop systems to better manage programs and to provide a base of information which is readily available for answering inquiries. It is further the Department's policy to utilize existing systems insofar as is practicable in the development of comprehensive and integrated departmental systems.
7. RESPONSIBILITIES.
- a. Office of the Secretary. The Office of Acquisition and Grant Management, Assistant Secretary for Administration, is responsible for the operation of the GIS, including responding to requests for information and submitting all data to FAADS. Departmental officers are responsible for ensuring compliance with the data reporting requirements in this Order.
 - b. Heads of Operating Administrations. Heads of operating administrations are responsible for ensuring compliance with the data reporting requirements contained in this Order.

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8. GENERAL INSTRUCTIONS.

- a. Initial Submission. Heads of operating administrations and departmental officers shall advise the Office of Acquisition and Grant Management of new assistance programs and make arrangements to have data submitted to the system. Data shall be submitted for all Federal assistance awards. Data submitted for assistance activity after September 30, 1994, shall be in the format described by this Order.
- b. Quarterly Reports. Data shall be submitted by the 15th of the month following the end of each quarter and shall contain financial assistance information awards for the previous quarter and any other awards not previously reported.
- c. Data Submission. Data shall be submitted on magnetic tape, computer disk or diskette, or DOT F 1340.7B, DOT Grant Information System Input Form. A PC-based system is being developed that will provide for an automated data entry system for preparing data submissions. Automated input must be in accordance with the record layout in Attachment 1. Tapes must be IBM compatible, EBCDIC mode, standard label, 10 records per block. The Office of Acquisition and Grant Management can provide a detailed description of the data elements and edit criteria or information on submittal requirements for other types of data entry. A DOT F 1340.7B, DOT Grant Information System Input Form, is shown in Attachment 2 and is available from the DOT Warehouse (M-443.1). Individual arrangements for preparation and transmittal of data shall be made through written or telephone correspondence with the Office of Acquisition and Grant Management. Except when data is supplied to the GIS by automated systems, a copy of the DOT F 1340.7B shall be included in the project file for all DOT assistance awards.
- d. Editing. All records shall be edited prior to submission. The Office of Acquisition and Grant Management will test submitted data, identify any problem areas, and contact directly the organization submitting the data to resolve problems. Direct liaison is authorized by this directive for that purpose. The Office of Acquisition and Grant Management is ready to assist any organization in interpreting the requirements and instructions and in dealing with unique situations not covered in this Order.

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- e. Transmission of Data. A description of the tape or disk shall accompany each submission of automated input to identify the data set name, tape or disk number, provide control totals, and list persons to contact regarding the data. Tapes or other data inputs must be submitted to the Office of Acquisition and Grant Management or be available in the Transportation Computer Center.

FOR THE SECRETARY OF TRANSPORTATION

Paul T. Weiss
For the Assistant Secretary
for Administration

Record Layout and General Data Descriptions

The following chart lists each data element to be included in the automated submissions. Contact the Office of Acquisition and Grant Management for additional information regarding the edit criteria and coding requirements for these data elements. Attachment 2 is a copy of the DOT Grant Information System Input Form, DOT F 1340.7B.

<u>No.</u>	<u>Field Name</u>	<u>No. of Characters</u>	<u>Record Position</u>	<u>Data Description</u>
1	Administration	1	1	A code to indicate operating administration.
2	Federal Identifier Number	15	2-16	Identifier assigned to uniquely identify each project.
3	Number of Changes	2	17-18	The number of changes reported to the original Federal award.
4	Multiple Location	2	19-20	A code to indicate the sequence of additional records.
5	Kind of Action	1	21	Kind of action reported.
6	OMB/CFDA Number	4	22-25	The program number carried in the OMB Catalog of Federal Domestic Assistance.
7	Recipient Type	1	26	Type of recipient.
8	Type of Instrument	1	27	Type of assistance instrument being reported.
9	Purpose	1	28	Code denoting primary or principal purpose of project.

<u>No.</u>	<u>Field Name</u>	<u>No. of Characters</u>	<u>Record Position</u>	<u>Data Description</u>
10	Recipient Name	21	29-49	Agency, business or institution receiving the award.
11	State Application Identifier	20	50-69	Identifier assigned by a state single point of contact.
12	Business Location	(11)	(70-80)	Geographic location of the recipient.
	State	2	70-71	GSA location code.
	County	3	72-74	GSA location code.
	City	4	75-78	GSA location code.
	Congressional District	2	79-80	Congressional dist.
13	Performance Location	(17)	(81-97)	Geographic area to benefit or be aided by the project.
	Region Code	2	81-82	Standard Federal Region.
	State	2	83-84	GSA location code.
	County	3	85-87	GSA location code.
	City	4	88-91	GSA location code.
	Congressional District	2	92-93	Congressional dist.
	MSA	4	94-97	Metropolitan statistical area.
14	Business Location Zip Code	9	98-106	Nine numerical characters of the recipient's zip code.
15	Award Date	6	107-112	Year, month, and day of award being reported (YYMMDD).
16	Federal Award Amount	10	113-122	Amount of Federal funds awarded. (unsigned numeric)

No.	Field Name	No. of Characters	Record Position	Data Description
17	Non-Federal Amount	10	123-132	Amount of non-Federal funds. (unsigned numeric)
18	Estimated Completion Date	6	133-138	Year, month, and day project estimated to be complete (YMMDD).
19	Funding Type	1	139	Funding of project.
20	Project Description	40	140-179	Brief description of the project.
21	Special Narrative	40	180-219	Further explanation of the project.
22	Other Performance Counties (optional)			
	County 2	3	220-222	GSA county code.
	County 3	3	223-225	
	County 4	3	226-228	
	County 5	3	229-231	
	County 6	3	232-234	
23	Other Congressional Districts (optional)			
	C.D. 2	2	235-236	Cong. dist.
	C.D. 3	2	237-238	
	C.D. 4	2	239-240	
	C.D. 5	2	241-242	
	C.D. 6	2	243-244	
24.	<u>Reserved.</u>	15	245-259	This field is reserved for future action.

DOT Grant Information System Input Form

1 Administration A = FAA O = OST B = BTS P = RSPA G = USCG R = FRA H = FHWA S = NHTSA M = MARAD T = FTA		2 Federal Identifier Number 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16															3 Number Changes 17 18		4 Multiple Location Code 19 20 21			5 Kind of Action A = New Award B = Mod Increase C = Correction D = Deletion R = Mod Decrease					6 OMB/CFDA Number 22 23 24 25							
7 Recipient Type A = Ed. Inst. (Public) G = Multi County Grp. M = City B = School Dist. H = Borough N = Other Nonprofit C = Federal Agency I = Planning Comm. O = Large Business D = State Agency J = Council of Govt. P = Small Business E = Multi State Group K = Port Authority Q = Indian Tribe F = County Agency L = Airport Authority S = Sponsored Org T = Transit Authority U = Other Govt. Org. V = For Profit Org. W = Individual Y = Ed. Inst. (Private)															8 Type of Instrument 27 1 = Grant 2 = Coop. Agree. 3 = Direct Loan 4 = Guar/line Loan 5 = Insurance 6 = Other			9 Purpose 28 1 = Construction 6 = Training 2 = Equipment 8 = Other 3 = Planning 7 = Operating Assist 4 = R&D or Demo 8 = Safety																
10 Recipient Name 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49																									11 State Application Identifier Number 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69									
12 Business Location State County City C.D.					13 Performance Location Region State County City C.D. MSA										14 Business Location Zip Code 103 104 105 106																			
15 Award Date Year Month Day			16 Federal Award Amount (Right Justify - Whole Dollars) 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										17 Non-Federal Amount (Right Justify - Whole Dollars)					18 Estimated Completion Date Year Month Day			19 Funding Type C = Cong. Mandate D = Discretionary F = Formula/Entitle M = Mixed Funding													
20 Project Description 140 141 142 143 144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168 169 170 171 172 173 174 175 176 177 178 179																																		
21 Special Narrative 180 181 182 183 184 185 186 187 188 189 190 191 192 193 194 195 196 197 198 199 200 201 202 203 204 205 206 207 208 209 210 211 212 213 214 215 216 217 218 219																																		
22 Other Performance Counties (Optional) County 2 County 3 County 4 County 5 County 6										23 Other Congressional Districts (Optional) C.D. 2 C.D. 3 C.D. 4 C.D. 5 C.D. 6					24 Reserved 220 221 222 223 224 225 226 227 228 229 230 231 232 233 234 235 236 237 238 239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259																			

Person to Contact Regarding this form: _____
 Telephone Number: _____

* Business City/County Name: _____
 * Performance City/County Name: _____
 * Complete this information if GSA location code is not known.