The Federal-aid Highway Program
Policy & Guidance Center (PGC)
Administration Guide

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# The Federal-aid Highway Program

## Policy & Guidance Center (PGC)

### Administration Guide

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1. Introduction

The Federal-aid Highway Program Policy & Guidance Center (PGC) (www.fhwa.dot.gov/pgc/) is the Federal Highway Administration’s (FHWA) searchable source of official Federal-aid Highway Program (FAHP) policy and guidance documents.

The PGC provides electronic access, via links, to the documents maintained by the office responsible for the content. All documents have been “tagged” with identifying information to enable browsing and searching.

The PGC does not list all available documents, but rather those that are most critical to the delivery of the FAHP. The PGC contains links to FAHP legislation, regulation, and other critical documents. All documents linked to from the PGC should follow FHWA Order 1324.1A FHWA Files Management and Records Disposition Manual.

All official policy and guidance documents are required to be entered in the PGC. In developing the PGC, controls were included to ensure that its records are timely, accurate and complete. If the document cannot be found in the PGC, the document is not recognized as official agency policy or guidance.

2. Background

Prior to December 9, 1991 the Federal-aid Highway Program Manual (FHPM – also known as the “orange books”) provided guidance to the field for administering the FAHP. An Order was signed on December 9, 1991 that canceled the FHPM and established the Federal-Aid Policy Guide (FAPG) as part of the FHWA directives system. The FAPG along with 23 USC (United States Code) and 23 CFR (Code of Federal Regulations) were the successor “documents” to the FHPM.

In 2008, a work group chaired by the Associate Administrator for Infrastructure determined that an improved electronic system was needed to manage and disseminate FAHP policy and guidance documents. As a result, the PGC was developed and officially established on January 6, 2010 by Order 1340.3.

FHWA Order 1321.1C also signed on January 6, 2010 removes the FAPG and Technical Advisory (TA) documents from the directives system. The content of these documents was considered to be valid on that date. The files were moved to the appropriate Program Office web site. All relevant documents in the FAPG and TAs are now available through the PGC. While TAs are no longer a directive they are still an agency guidance document.
3. PGC Organization

The documents in the PGC are grouped different ways to allow browsing or searching. The documents are grouped by discipline and subdisciplines and/or by categories.

3.1 Disciplines

The Discipline Support Systems are mechanisms associated with the agency’s technical discipline teams for the purpose of sustaining technical expertise, networking, and mutual technical support. Each technical discipline team is led by Discipline Champions and maintains support mechanisms such as SharePoint Web pages. The Discipline Support Systems teams include the following technical disciplines:

- Air Quality
- Civil Rights
- Construction & Project Management
- Design
- Environment
- Finance
- Freight
- Generalist
- Geotechnical & Hydraulics
- Operations
- Pavement & Materials
- Planning
- Program/Management Analyst
- Realty
- Safety
- Structures

Each discipline is further divided in to relevant subdisciplines. Subdisciplines are a listing of focus areas of a discipline, e.g. Air Toxics and Conformity.

The Discipline Support Systems will utilize the PGC as the source for referencing official documents.

3.2 Categories

Five types of documents are included in the PGC and documents are categorized by these five types: Legislation, Regulation, Policy, Guidance and Information. For the purpose of the PGC the five categories are defined as follows.

- Legislation. The term legislation refers to a law which has been promulgated (or enacted) by a legislature or other governing body. The term may refer to a single law, or the collective body of enacted law, while statute is also used to refer to a
single law. Examples include: 23 USC, SAFETEA-LU, NEPA, and Title VI. Additionally court decisions are treated with the same effect as legislation in the administration of the PGC.

- **Regulation.** The term regulation refers to an agency statement of general applicability and future effect, which has the force and effect of law, which is designed to implement, interpret, or prescribe law or policy, or to describe the procedure or practice requirements of an agency. Regulation is codified in CFR. For example, 23 CFR and 49 CFR are commonly referenced in the PGC. Under certain circumstances, Executive Orders (EOs) are also considered to have the force and effect of law. EOs are collected in 3 CFR. For purposes of the PGC, EOs will be grouped with regulations.

- **Policy.** An Agency statement of general applicability and future effect, other than a regulatory action, that sets forth a course of action, plan, or procedure on a statutory, regulatory, or technical issue, or an interpretation of a statutory or regulatory issue. The agency expectation is that policies will be implemented and adhered to without deviation.

- **Guidance.** The term guidance refers to an agency statement of general applicability and future effect, other than a regulatory or policy action, that provides advice and assistance on a statutory, regulatory, policy, or technical issue. Guidance is used to influence decisions and actions to achieve an expected program outcome. The term implies an agency expectation that the content will be considered in making specific decisions or actions within the user’s discretion.

- **Information.** Information is the act of informing, or giving permanent and long-lasting definite knowledge acquired. The content is educational in nature. No Agency expectation is implied that the user should consider it in their actions or decisions for specific situations. However, users should be aware that the information is available if they need general background reference on the topic.

Figure 1 illustrates the relationship between the categories of documents included in the PGC. Legislation is the pinnacle of the requirements and is located at the tip of the triangle. Regulations implement the legislation. Policy consists of required action within the agency for implementing legislation and regulations. Guidance provides advice and assistance on a statutory, regulatory, policy, or technical information. Information provides educational content which supports the guidance, policy, regulations, and legislation. The number of documents in a category increases towards the base of the pyramid.

A document can be in one or more disciplines. For example, a document on bicyclists could be found in Environment (Human and Natural), Safety, Operations, and/or Planning, depending on the content. Similarly, within one discipline, the bicyclist document could be found in subdisciplines like Bicyclists, Local Road Safety, and or Human Factors, among others.
However, a document will be listed in **only** in one category. It is legislation, regulation, policy, guidance, or information. If a document contains content in two or more categories, say, policy and guidance, it will be placed in the higher category as shown in Figure 1.
4. Using the PGC

Documents can be accessed by browsing or searching. Figure 2 shows a screen shot of the PGC home page. The links found at the left side of the screen are used for browsing; while search options are found in the middle.

Also found on this page is a link to the PGC Quick Guide (.pdf) (http://www.fhwa.dot.gov/pgc/quickguide.pdf). This is a one-page guide to browsing and searching the PGC. A link to the category definitions (http://www.fhwa.dot.gov/pgc/definitions.cfm) is located in the “browse” section for quick reference.

Figure 2 – PGC Home Page

4.1 Browsing

The PGC can be browsed by discipline, category, or cross-discipline. To browse by discipline, begin by clicking on the discipline of interest. This will expand to list the associated subdisciplines. Figure 3 shows an example of browsing, selecting the “Realty” discipline. The other disciplines will not be shown. The remaining browse is
Realty with its three subdisciplines; Highway Beautification, Right-of-Way, and Uniform Act.

A reset button now displays. At any time during the browsing the reset link can be clicked to return to the main list of disciplines.

Figure 3 - Browsing
To continue, click on a subdiscipline. The available documents grouped by category for this discipline/subdisciplines combination will be displayed. Figure 4 is a screen shot of the categories for “Highway Beautification”. Note that not all of the five categories may be displayed. If there are no documents in a category, it will not be displayed.
Select any document to go the search results page as shown in Figure 5. The results page has two frames. The bottom page contains a preview of the content. The top contains information about the document including the title, URL, id, and contact for more information. This frame also contains a link to return to the PGC main page or to remove the frame itself. When the frame is removed, the document will load in the browser.

Browsing by category is similar to browsing by discipline. In this case, the main list is the category. Clicking through this provides list of documents narrowed down by category, then discipline, and finally subdiscipline.

Some documents fall across all disciplines. These can be browsed by the cross-discipline option similar to the other browse options.
4.2 Searching

The search option is used to find the documents using any combination of the fields in the search box. This includes keyword, discipline, subdisciplines, category, year, and/or program office. A screen shot of the Search box is show in Figure 6.

![Figure 6 – Search Options](image)

Figure 6 – Search Options

Figure 7 is a screen shot of the search results page. The results page is the same for quick and advanced search. The search criteria will be listed. In this example only the keyword “lcca” was used. The results page displays all the PGC items meeting the criteria grouped by category.

![Figure 7 – Search Results](image)
5. Responsibilities

The PGC is an important agency resource and a number of different offices and individuals have roles and responsibilities in maintaining the content, as described below.

5.1 Program Offices

Program offices issue policy, guidance, and information documents. The program offices develop and own the content, including web pages. They are responsible for initiating the appropriate document type, updating and maintaining the currency of the document, cancelling the document when no longer applicable and ensure record disposition schedules are followed (http://www.fhwa.dot.gov/legsregs/directives/orders/m13241.htm). This includes the document language, format, and any coordination or review. The program offices will be responsible for categorizing documents for inclusion in the PGC. The program offices will maintain a current record of all official documents including cancelled documents for which they are responsible.

Each office will name a liaison that will serve as the point of contact with the PGC Manager (PGM) to coordinate updates and additions through subject matter experts to ensure their content in the PGC is current.

5.2 Directives Manager (DM)

The DM is a position within the Office of Administration Management Programs and Analysis Division (HAIM-10) assigned duties to manage directives activities. The DM will assist the PGM in ensuring access to the directives from the PGC.

5.3 Office of Chief Counsel (HCC)

The HCC is responsible for implementing the Office of Management and Budget’s Bulletin No. 07-02 Final Bulletin for Agency Good Guidance Practices (http://www.whitehouse.gov/omb/memoranda/fy2007/m07-07.pdf). The HCC will review all policy and guidance documents in coordination with the Directives Manager. The HCC maintains the FHWA Significant Guidance web page (http://www.fhwa.dot.gov/guidance/fhwaguidance.cfm). Any documents meeting the significant guidance criteria will be listed on this site.

5.4 Policy and Guidance Manager

The PGM is responsible for managing the PGC. The PGM will manage posting of documents to the PGC in coordination with the program office, the DM, HCC, and others as appropriate. The PGM will check that document links are working, coordinate document updates, check for consistent formatting, check for completion of data
categorization prior to posting new documents, and provide support to the agency regarding official documents.

5.5 Field Offices

Field offices will be the primary users of the PGC and will provide feedback to the PGM regarding the accuracy and accessibility of information in the PGC. Suggestions for continually improving the user-friendliness of the PGC will be welcomed. A feedback link is provided on the PGC web page.

5.5 Strategic Workforce Council Discipline Support Systems (DSS)

The Discipline Support Systems are associated with the agency’s technical Discipline Teams for sustaining technical expertise and mutual technical support. The Discipline Support Systems include the disciplines listed above in PGC Organization. Each technical Discipline Team maintains support mechanisms such as SharePoint topic Web pages (see tab on StaffNet). The Discipline Support Systems will utilize the PGC as the primary source for referencing official documents. The Discipline Teams will provide a link to the PGC from the Discipline topic web pages.

5.6 PGC User’s Group

The PGC User’s Group was responsible for implementation of the PGC on a day-to-day basis during the 1-year pilot. The User’s Group oversaw progress and use of the PGC for the first year. This team provided direction to the PGC by evaluating it and suggesting improvements. The effective dates of this group were September 2009 – June 2010.
6.0 Business Process for Managing Documents in the PGC

All official policy and guidance documents must be included in the PGC. Existing documents were included in the PGC in their current condition at the time of inclusion. The program office will revise their respective documents to conform to any new requirements when changes are made including updating, superseding, or deleting. All new and updated documents must follow the process and the associated requirements described in Order 1340.3.

A unique document identification number is assigned to each document listed in the PGC. Users and program offices can identify document identification number in the PGC results frame or in the document URL (e.g. http://www.fhwa.dot.gov/pgc/results.cfm?id=####).

6.1 New Documents

The program offices are the originators for policy, guidance, and information that will be considered official FHWA policy and guidance. The program office will identify or concur in the need to develop new policy, guidance, or information. The need may be identified by passage of new legislation; questions from internal or external customers and partners; effect of legal action; recommendation from internal or external reviews; availability of new technologies, etc.

When the program office distributes a document or information the program office liaison will be included. The liaison will collaborate with the subject matter expert to determine if the document needs to be listed in the PGC. If the document needs to be listed in the PGC, the following the steps below will be used to add new documents.

1. The program office will draft the document using the word processing software identified in the Standard Desktop Software. The document text must be fully searchable by the electronic search engine.
2. The program office will coordinate with others as required.
   a. **Directives**: The program office will coordinate with the DM to determine if the document will be a directive. A directive must follow the [directive process](http://www.fhwa.dot.gov/legsregs/elecdirs.htm).
   b. **Good Guidance**: Policy or guidance documents will require coordination with HCC for Good Guidance Review.
   c. **Sensitive Information**: Any document containing sensitive information will require coordination with HAIM-10.
   d. **Others**: The program office will coordinate with other units involved with the topic and the PGM.
3. The program office, in coordination with the PGM, will categorize the document based on the category of the document, the discipline, the subdiscipline, keywords, etc. to support the PGC’s search capabilities. Documents must also
be marked “internal use only” if they are not intended to be available to the general public. The categories (meta-data) are the following:

<table>
<thead>
<tr>
<th>Metadata</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Responsible Office</td>
<td>required</td>
</tr>
<tr>
<td>Document Title</td>
<td>required</td>
</tr>
<tr>
<td>Link</td>
<td>required but can be left blank until item is posted on an agency Web site</td>
</tr>
<tr>
<td>Date Issued</td>
<td>optional</td>
</tr>
<tr>
<td>Key words</td>
<td>required</td>
</tr>
<tr>
<td>Supersede by name of document superseding</td>
<td>if applicable</td>
</tr>
<tr>
<td>Superseded Link (if superseded, link to superseding document)</td>
<td>if applicable</td>
</tr>
<tr>
<td>Superseded Date (if superseded, date of superseding document)</td>
<td>if applicable</td>
</tr>
<tr>
<td>Discipline(s)</td>
<td>required</td>
</tr>
<tr>
<td>Subdiscipline(s)</td>
<td>required</td>
</tr>
<tr>
<td>Category</td>
<td>required one only</td>
</tr>
<tr>
<td>Contact Name(s)</td>
<td>required</td>
</tr>
<tr>
<td>Internal (check if internal only document)</td>
<td>optional</td>
</tr>
</tbody>
</table>

Spreadsheets and Word forms are available from the PGM to assist data collection.

4. The program office will coordinate with the Webmasters, the PGM, the DM (if appropriate), HCC, and the Discipline Groups to post and provide notification of the new document. The document will be posted on the appropriate Agency website in accordance with Agency Minimum Requirements for Web Pages ([http://www.fhwa.dot.gov/wpcz/minimum.htm](http://www.fhwa.dot.gov/wpcz/minimum.htm)). Once a document is posted the file will not be moved unless there is prior coordination with the PGM.

5. The official record of the document, other than a directive, will remain with the program office. Directives must be maintained in the Directive System.

### 6.2 Updated Documents

The program office is responsible for maintaining current policy, guidance, and informational documents, including Web pages. To accomplish this, existing documents may be modified due to changes in legislation, questions from internal or external customers and partners, effect of legal action, recommendation from internal or external reviews, availability of new technologies, etc. Directive Reviews and other reviews, as required, could identify the need to update documents. The update process will follow the same steps as a New Document.
Documents may be superseded or cancelled entirely. The program office must maintain a copy of all documents that have been cancelled. The electronic file of any document that has been updated, replaced, superseded or cancelled shall be labeled with a watermark as “Cancelled” (http://www.fhwa.dot.gov/federalaid/080318.cfm) or “Superseded” (http://www.fhwa.dot.gov/programadmin/contracts/ta45401.cfm). The statement similar to the following will be placed in bold lettering at the top of the original document with a link to the new document:

The document is cancelled/superseded by the {document name with hyperlink (if available) to new document} dated {date}.

Cancelled documents are to be retained in accordance with FHWA Order 13241.A FHWA Files Management and Records Disposition Manual (http://www.fhwa.dot.gov/legsregs/directives/orders/m13241/m13241a.htm).

6.3 Existing Documents Not in Electronic Format

Documents not in electronic format will be categorized and have a placeholder in the PGC. These documents will be converted to electronic format when updated or at the request of the PGM and posted on an appropriate agency web site in accordance with Agency Minimum Requirements for Web Pages (http://www.fhwa.dot.gov/wpcz/minimum.htm). In place of a preview of the document in the results pane, the PGC will include instructions for obtaining a copy of the document.

7.0 Reviews

The program office has the primary responsibility to maintain and update their records in the PGC. However, FHWA-wide reviews will be performed periodically. A review schedule will be developed by the PGM. Other reviews may be initiated externally or based on the FHWA Order 1324.1A FHWA Files Management and Records Disposition Manual (http://www.fhwa.dot.gov/legsregs/directives/orders/m13241/m13241a.htm). These reviews will be performed in conjunction with Directives and eFOIA reviews when possible.
Appendix A: Frequently Asked Questions

1. **What is the PGC?** The PGC is FHWA’s searchable source for official FAHP policy and guidance documents. The PGC provides electronic access, via links, to the documents maintained by the program office. Documents can be accessed by browsing by categories or searching by keywords, date, program office, etc. Documents are categorized by document type: Legislation, Regulation, Policy, Guidance, and Information. Documents are also organized by discipline and subdiscipline. All documents are cataloged with identifying information to enable searches.

2. **How do I use the PGC?** The PGC is available online at [http://www.fhwa.dot.gov/pgc/](http://www.fhwa.dot.gov/pgc/). Documents can be found using the search engine or by browsing the topics list. A *PGC Quick Guide* with guidance and instructions for finding key information quickly and easily is available on the PGC Web site.

3. **What documents are required to be listed in the PGC?** All official FAHP policy and guidance documents are required to be included in the PGC. If the document cannot be found in the PGC, the document is not recognized as official policy or guidance. Policy and guidance as defined by Order 1340.3 *Establishment of the Federal-aid Program Policy and Guidance Center* are required to be added to the PGC.

4. **What other information documents may be listed in the PGC?** The program office will be responsible primarily for determining what information documents are included in the center. Topic Web pages, Discipline Support System Web pages, office pages, etc. are still available to post general information. The intent of the center is not to house all available documents. The center will contain those critical to the delivery of the FAHP.


6. **Who is responsible for maintaining the PGC?** The PGC is an important agency resource. The PGM has primary responsibility for managing the PGC. However, program offices and individuals are responsible for maintaining the content as described in Order 1340.3 and the *PGC Administration Manual*. 
7. **How can I provide feedback on the system?** Feedback on the PGC is encouraged so it can be constantly improved. Links to the feedback page found at [www.fhwa.dot.govpgc/feedback.cfm](http://www.fhwa.dot.govpgc/feedback.cfm) can be found throughout the PGC.

8. **Many of the links had a note that “An electronic version of this document is not available”. Why can’t these documents be made available electronically?** Currently, there are about 100 documents in PGC are without an electronic copy. Typically older documents. Electronic copies will be added as time permits.

9. **Documents appear to be missing from the system or are not always found in the expected categories (e.g., 23 CFR 635 A not found under regulations).** As the location for current policy and guidance, things will change. Every effort is made to update the PGC as soon as possible. If you notice something missing or incorrectly categorized, notify the PGM using the Feedback link. It may also be appropriate to notify the specific program office.

10. **Are discretionary program solicitation memos for previous fiscal years included in the system?** Typically we do not keep solicitation memos beyond the current year.

11. **Why does the PGC group documents by Discipline rather than topic area?** The decision was made to group items by Discipline to be consistent with the FHWA-wide Discipline effort. A search can be performed on all Disciplines, so you do not need to know the Discipline to perform a search.

12. **What will happen to the FAPG and Non-Regulatory Supplements?** The FAPG is being discontinued and all relevant materials will be moved to the topic-based Web sites and listed in the PGC.

13. **What will happen to Technical Advisories (TAs)?** TAs will be removed from the directives system. They will be maintained by the Program Offices and listed in the PGC. New TAs will be issued by memorandum signed by the Associate Administrator of the Program Office.

14. **What is the difference between Policy, Guidance, and Information?** “Category Definitions” are available as a link on the PGC main page.

15. **What is the difference between the FHWA Web site, the Discipline Support Systems Web sites, and the Federal-aid Policy and Guidance Center?** The [FHWA Web site](http://www.fhwa.dot.gov), available to the general public, provides information on our offices, programs, and topics to others in the agency, our partners, and the public. The information on the FHWA Web was originally organized by offices and is in transition to a topic-based structure. The topics cover everything done by the Agency.
The **Discipline Support Systems** sites are internal SharePoint sites that support field staff. This is a ‘one-stop shopping gateway’ to documents and information that employees need to do their job in one of the 17 disciplines.

The **PGC** is the official source of legislation, regulations, policy, guidance, and information for the disciplines. The PGC does not store or maintain any documents but links to the owner’s copy on an Agency Web site. The PGC contains information or meta-tags on each document. These include keywords, disciplines, subdisciplines, and categories.

The various sites compliment each other. The three sites overlap in the information they contain but serve three different purposes. The agency has a population of documents/information. Each of the sites selects and displays information base on the needs of its users. The same piece of information may be on all of the sites. If the same piece of information is on all of the sites, then it will be housed in one place and linked from the others.