

Federally Funded Project Authorization Fundamentals and the Fiscal Management Information System (FMIS)

Presenters:

Mark Newland

Financial Manager, FHWA Indiana Division

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Project Finance Manager, INDOT



Agenda

- Overview of FMIS
 - What it is
 - How it works
- LPA Project Authorization Overview
 - Requirements
 - Definition of Project Phases
 - Authorization Process
 - Consequences of not following the process

Federal-aid Highway Program

- Federal Gas Tax = \$0.184/gal.
- Proceeds go to the Highway Trust Fund (HTF).
- HTF is apportioned to states each year based on a formula.
- Apportionments consist of different funding programs.
- State requests to apply federal funds to projects based on type of funding.
- Requests are processed utilizing....

FMIS

- **Fiscal Management Information System**
- System FHWA utilizes to authorize the use of Federal-aid funds.
- It's where:
 - All project information is located;
 - Type of federal funds are identified;
 - Funding split (Federal/State-Local funding ratio) is established;
 - Phase of project is identified (PE, ROW, UT, CN, RR, CE, PL).

FMIS

- Establishes the approval to move forward with project work.
- ALL federal funding authorizations MUST be processed through FMIS!
- Authorization MUST take place BEFORE any work begins to be eligible for federal reimbursement!
- Bottom Line: No FMIS authorization = No federal reimbursement.

PROJECT HEADER INFORMATION

Cost Center 00 IN Proj # 1173(467) Suffix St Proj # 1173467 Version PENDING

GENERAL PROJECT INFORMATION

Transaction Business Month DUNS # 824799555 Project type CONVENTIONAL
Number Project Prefix

Project Status **Division Authorization Signature needed for New Project**

Project Description ST 1001, SIGN MODERNIZATION (SERIES OF UNITS), SIGN INVENTORY, VARIOUS LOCATIONS, CITY OF WASHINGTON, DAVIESS COUNTY

GEOGRAPHICAL INFORMATION

Standard Place Code NA
Inventory Route #

Mile Point Number
Beginning
Ending

PROJECT STATUS DATES

Est Construction Date MM/YYYY
Project Completed Date
Final Voucher Paid Date
Last Action Date 01/24/2012

EFFECTIVE AUTHORIZATION DATES

PE 01/21/2012
ROW
Construction
SPR
MCSAP
Other

Related Projects

ST PROJECT #
1173467
Delete

PROJECT COST

Adv. Construction	\$0.00
Federal Funds	\$45,000.00
State Funds	\$0.00
Local Funds	\$5,000.00
Private Funds	\$0.00
Non-Monetary Donations	\$0.00
Other Funds	\$0.00
Total Cost	\$50,000
Adv. Const. Converted	\$0.00
Expenditures	
102 Expenditures	

HBI #	P. C.	IMPROVEMENT TYPE

P. C. --- Program Code
HBI # --- National Bridge Inventory Number Add Delete

OTHER PROJECT INFORMATION

Project Oversight State Administered
STIP Reference AMENDMENT 12-04

Disaster
Fiscal Year
Sequence #

Environmental Document
Type C.E.- Programmatic
Date: Year Month Day

SPECIAL PROJECT GROUPINGS

Major Projects
Pooled Fund
Demo Group

PROJECT HEADER INFORMATION

Cost Center 00 IN Proj # 1173(467) Suffix St Proj # 1173467 Version CURRENT

DIVISION DEFINED FIELDS

DETAIL SUMMARY

Add Detail Detail Overview

Group By Program Code View Withdrawn/Deleted

Prog Code	Dtl #	Demo ID	Improvement Type	Cnty	Urb	Wth	Total Cost	Federal Funds	Advanced Construction
LS30	10		Preliminary Engineering	027			\$14,943	\$13,449.07	\$0.00
LS30							\$14,943	\$13,449.07	\$0.00
LS3R	10		Preliminary Engineering	027			\$35,057	\$31,550.93	\$0.00
LS3R							\$35,057	\$31,550.93	\$0.00

STATE REMARKS

PE
This agreement is subject to the following award terms: <http://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf>

DIVISION REMARKS

SIGNATURES

Project First Updated By BRADLEY T. ROOD 01/12/2012
Modification #

State Signatures		Date
Available Funds Certified By	BRADLEY T. ROOD	01/19/2012
Approval Recommended By	BRADLEY T. ROOD	01/19/2012
Authorization / Modification Requested By	BRADLEY T. ROOD	01/19/2012

Division Signatures		Date
Project Info Reviewed By	ANTHONY L. PERKINSON SR	01/23/2012
Approval Recommended By	RICK O. DRUMM	01/24/2012
Approved and Authorized By	MICHELLE ALLEN	01/30/2012



Run Date: 03/10/2014

Run Time: 19:04:21

**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL-AID PROJECT AGREEMENT**

Report: FMISD05A

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STATE: INDIANA

PROJECT NO: 1173(467)

STATE PROJ. NO: 1173467

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 THERETO 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. (Nu

PROJECT DESCRIPTION: ST 1001, SIGN MODERNIZATION (SERIES OF UNITS), SIGN INVENTORY, VARIOUS LOCATIONS, CITY OF WASHINGTON, DAVIESS COUNTY

DUNS #: 82-479-9555

**CLASSIFICATION OF PHASE OF WORK
TO BE PUT UNDER AGREEMENT**

**EFFECTIVE DATE
OF AUTHORIZATION**

HIGHWAY PLANNING & RESEARCH
PRELIMINARY ENGINEERING
RIGHT-OF-WAY
CONSTRUCTION
MCSAP
OTHER

01/21/2012

PROGRAM CODE	URBAN/ WITH	TOTAL COST	FEDERAL SHARE	FEDERAL FUNDS UNDER AGREEMENT	ADVANCED CONST. FUNDS
LS30		\$14,943.00	90.00%	\$13,449.07	\$0.00
LS3R		\$35,057.00	90.00%	\$31,550.93	\$0.00
TOTAL		\$50,000.00		\$45,000.00	

ESTIMATED TOTAL COST: \$50,000.00

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Karen Hicks
Project Finance Manager, INDOT

March 11, 2014



Process for Utilizing Approved Federal Allocations from Project Calls (Obligating Funds)

What – An approved federal allocation and LPA contract with INDOT **does not** grant permission to begin securing cost. The federal allocation or a portion of the federal allocation must first be obligated in the Fiscal Management Information System (federal).

Why – Without this obligation any cost incurred **will not** be eligible for reimbursement.



When – **Prior to beginning any activity** that federal reimbursement would be requested for, contact the district office LPA Program Director.

How – The LPA Program Director will request through INDOT's Central Office obligation authority. INDOT's Central Office will enter the information provided from the District into FMIS. FHWA will review and if acceptable, will electronically sign the authorization. **The signature date from the FMIS authorization is the first date federally reimbursable costs can be incurred.** INDOT's Central Office will notify the District and the District will notify the Local.



- Phase requirements

- PE – Follow the LPA Guidance Document, federal funding requirements:

- Executed contract with consultant
- LPA contract with INDOT; note this is the same contract if LPA is a Group 3 or Group 4 entity.
- Notice of Authorization from district indicating federal funds have been authorized in the federal system prior to performance of any reimbursable work.
- Purchase Order with INDOT for federal portion of cost.



- RW – Follow the LPA Guidance Document, federal funding requirements:
 - LPA contract with INDOT; note this is the same contract if LPA is a Group 3 or Group 4 entity.
 - Certified environmental document
 - Notice of Authorization from district indicating federal funds have been authorized in the federal system prior to performance of any reimbursable work
 - Purchase Order with INDOT for federal portion of cost



- UT – Follow the LPA Guidance Document, federal funding requirements:
 - Executed contract with Utility.
 - LPA contract with INDOT; note this is the same contract if LPA is a Group 3 or Group 4 entity.
 - Matching funds submitted to INDOT, if applicable:
 - A Local entity where the Utility belongs to the Local does not have a match requirement. Submissions for reimbursements are for federal dollars only.
 - If Utility is not owned by Local, matching funds must be submitted to INDOT.
 - Notice of Authorization from district indicating federal funds have been authorized in the federal system prior to performance of any reimbursable work.
 - Purchase Order with INDOT for federal portion of cost.



- RR – Follow the LPA Guidance Document, federal funding requirements:
 - Executed contract with Railroad.
 - LPA contract with INDOT; note this is the same contract if LPA is a Group 3 or Group 4 entity.
 - Matching funds submitted to INDOT, if applicable.
 - Notice of Authorization from district indicating federal funds have been authorized in the federal system prior to performance of any reimbursable work.
 - Purchase Order with INDOT for federal portion of cost.



- CN – Follow the LPA Guidance Document, federal funding requirements:
 - A contract will not go to letting if all of the documentation identified in the LPA Guidance Document is not submitted.
 - Federal authorization is carried out by INDOT through the letting process.
 - INDOT contracts with the Contractor.



- CE – Follow the LPA Guidance Document, federal funding requirements:
 - Executed contract with Consultant.
 - LPA contract with INDOT; note this is the same contract if LPA is a Group 3 or Group 4 entity.
 - Notice of Authorization from district indicated federal funds have been authorized in the federal system prior to performance of any reimbursable work
 - Purchase Order with INDOT for federal portion of cost



Tracking tools

SPMS – INDOT tracks how a project is moving along through our Scheduling Production Management System. The system has multiple milestones moving a project from phase to phase with anticipated start dates for each phase. This system also shows when a project is expected to go to letting. All milestones leading up to the letting date are intended to help keep the project on target.

Please refer to the LPA Document Guidance Manual and work with the assigned District Project Manager to help utilize this tool and keep your project on target.



Excel – All Local federal funds authorized are tracked by Central Office in the Project Finance Section. This section has the responsibility of obligating federal funds as they are requested by the Districts for all projects. As funds are obligated and authorization is approved by FHWA, the Section enters into an Excel spreadsheet amounts therefore maintaining the balance of federal funds within the larger picture. For instance Rural (previously Group 3 and Group 4) localities may have \$52M available to them in a given year. As Rural projects are authorized in the federal system, an entry is made similar to a checkbook entry keeping the balance remaining and available.

This does not replace the tracking done by the Local Programs Management Division in Central Office. They are responsible for allocation of federal funds as approved by the initial project request for eligibility.



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