

**FISCAL MANAGEMENT INFORMATION SYSTEM**  
**Implementation of Version 5.0**  
**Frequently Asked Questions**

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The following questions and answers are intended to aid users of the Fiscal Management Information System (FMIS) in preparing for implementation of the modernized FMIS – version 5.0. This is a dynamic document, meaning that it will be modified as users submit additional questions, the answers to which may be of interest or assistance to other users.

It is recommended that FMIS users check the FMIS User News and Information (FUNI) website for updates to the Frequently Asked Questions. For answers to questions which are not contained in this document, see question A1. – Contacts and Additional Resources.

**Change log:**

08/06/2014: FAQs C9, D9, D10, D11, D12, D13, E9

## A. Contacts and Additional Resources

### A1.

General questions and comments		<a href="mailto:FMIS-5-Support@dot.gov">FMIS-5-Support@dot.gov</a>
Website	From Fiscal Management Information System (FMIS-4), click on: - Help Menu - FUNI - FMIS Modernization webpage	<a href="#">FUNI website</a>
Project Manager	Phil Troutman	202-366-4663 <a href="mailto:phil.troutman@dot.gov">phil.troutman@dot.gov</a>
Current Bill (RASPS)	Rochelle Zellars-Crawford	202-366-2862 <a href="mailto:rochelle.zellars-crawford@dot.gov">rochelle.zellars-crawford@dot.gov</a>
Outreach: Communications Plan and Training Development	Sandy Zimmer	<a href="mailto:sandy.zimmer@dot.gov">sandy.zimmer@dot.gov</a> or <a href="mailto:FMIS-5-Support@dot.gov">FMIS-5-Support@dot.gov</a>
FMIS-4 questions		<a href="mailto:FMISTeam@dot.gov">FMISTeam@dot.gov</a>

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### A2. Will FMIS-5 training be offered to State and Division users?

**A:** Yes, training will be offered via e-learning workshops for State and Division users, as well as other user groups. Announcements of all training events will receive a wide distribution - via emails sent to the Financial Managers mailing list and the Official Mailboxes; and posted on the [FUNI website](#), as appropriate.

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### A3. Are previous informational outreach sessions available for viewing?

**A:** Yes. The following webinars were recorded and are available to view in their entirety.

DFS South, conducted on 02/10/2014:

<https://connectdot.connectsolutions.com/p93khp4wdas/>

DFS West, conducted on 02/12/2014:

<https://connectdot.connectsolutions.com/p36vxic6wm3/>

DFW North, conducted on 02/20/2014:

<https://connectdot.connectsolutions.com/p17a80g0ext/>

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**A4. What if my State is not completely ready by June 2nd as required in the State guidance?**

**A:** The June 2<sup>nd</sup> date referenced in the State Preparation Guide is a checkpoint date to assess the status of States in preparing for FMIS-5. It is not intended to be a deadline for preparation. States may continue making preparations for the implementation of FMIS-5 until the system is launched at the opening of fiscal year 2015.

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**A5. Acronyms:**

EDS	Electronic Data Sharing
FMIS	Fiscal Management Information System
FUNI	FMIS Users News and Information
GIS	Geospatial Information System
HPMS	Highway Performance Monitoring System
LRS	Linear Referencing System
NBI	National Bridge Inventory
PAPAI	Project and Program Action Information System (formerly known as EDTS)
RASPS	Rapid Approval and State Payment System
SFTP	Secure File Transfer Protocol
UAT	User Acceptance Testing
XML	Extensible Markup Language

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## B. General Information

### B1. Can a State claim reimbursement for the costs of upgrading their financial management system(s) to meet requirements of the FMIS modernization initiative?

**A:** Yes. If a State wishes to seek reimbursement for the costs of upgrading their system they may do so. There are two options with which to claim reimbursement for the FMIS modernization costs: (1) indirect cost allocation plan or (2) direct cost reimbursement. For more information, see the memorandum, "Reimbursement Methods for FMIS Modernization Activities," signed by the FHWA Chief Financial Officer on November 25, 2013. The memorandum is posted on the [FUNI website](https://funi.fhwa.gov) at <https://fhwaapps.fhwa.dot.gov/fmiswnp/FMISModernization.do>. Questions about interpreting the guidance can be addressed to Dan Parker ([daniel.parker@dot.gov](mailto:daniel.parker@dot.gov), 720-963-3216) or Joan Rost ([joan.rost@dot.gov](mailto:joan.rost@dot.gov), 515-233-7303) of the Office of Financial and Management Programs.

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### B2. How long will FMIS-4 be available after 2014 fiscal year close?

**A:** FMIS-4 will be in view-only status for the days following the end of FY2014 obligation and expenditure. After all fiscal year end transactions are recorded in FMIS-4 and FYE reports are generated, FMIS-4 will be retired. It is likely that neither FMIS-4 nor FMIS-5 will be accessible for a few days. During this time, data from FMIS-4 will be migrated to FMIS-5, and funding accounts (apportionments and limitation) will be loaded into FMIS-5.

At the beginning of the business year, only the FMIS-5 environments (production and test) will be available for data input, viewing or report generation.

More information on the transition timetable will be released later in the year.

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### B3. Would a State need to register as a "tester" State in order to view the FMIS-5 before the October launch date?

**A:** No. The system testing will proceed in three phases. After initial testing by the FMIS Team, the Projects Input screens will be made available for User Acceptance Testing (UAT) to those States and Divisions which have been accepted as testers.\* In addition, the system will be accessible to all "EDS From" States - those which submit project data electronically. Following the UAT, the project module and other

modules of the system will be made available for testing and viewing by all user groups, including all State and Division users. The tentative timetable for testing is:

Budget Execution Team (FMIS SMEs):	April/May
UAT:	mid-May
All groups:	June

Users will need to have an account with access rights to the FMIS-4 test environment (FMIST). Additional information on testing will be released as test dates near.

In an email dated February 28<sup>th</sup>, the FHWA CFO announced the selection of the Divisions/States that will participate as partners in the UAT. (The email is available on the [FUNI website](#).) The selected Divisions/States are:

- California
- Florida
- Illinois
- Louisiana
- Nevada
- New York
- Pennsylvania
- Texas

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**B4. How do we get a copy of the FMIS State Guidance document?**

**A:** The latest version of the State Preparation Guide is posted on the [FUNI website](#) (<https://fhwaapps.fhwa.dot.gov/fmiswnp/FMISModernization.do>). As the document is updated, revised versions will be sent via email to a wide distribution of FHWA Official Mailboxes, Financial Managers mailing list, and be posted on FUNI.

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## C. Project Input – General

### C1. When is ownership type required on a detail line?

**A:** Ownership is required when:

1. the Program code belongs to recode 963 - HSIP or 964 – HRRR; or
2. when improvement type on the detail line is Safety (21, 57); or
3. when the safety indicator on the detail line is marked Y.

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### C2. How many State and Division Defined Fields will there be and what type of data can be entered in each field?

**A:** There will continue to be State and Division Defined Fields on both the Project Header and each Detail line. However, there will be an increase in the number of available fields with enhanced flexibilities to accommodate data needs of both project input user groups. The design consists of:

#### Project Header

- State Defined: 14 fields accepting data type as specified by user – numeric, date, boolean or text; plus one pre-defined field for Estimated Construction Date.
- Division Defined: 15 fields accepting data type as specified by user – numeric, date, boolean or text.

#### Detail Line Level

- State Defined: 15 fields accepting data type as specified by user – numeric, date, boolean or text.
- Division Defined: 14 fields accepting data type as specified by user – numeric, date, boolean. Also, 1 pre-defined field for FHWA Area which accepts input from both State and Division users. Existing data from detail lines will be migrated into this Division Defined Field.

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### C3. For the Estimated Construction Date - is it required that we send this data as a State Defined Field?

**A:** Yes. The Estimated Construction Date data field has been removed from the Project Header. Existing project level data from this field will be migrated into a State Defined Field.

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**C4. With the FHWA Area field on the detail line being converted to a Division Defined Field, will State users be able to enter data in the field?**

**A:** No. At this time, all Division Defined Fields will continue to restrict input to only FHWA Division personnel. We are exploring the impact of lifting the restriction on this field or other options to accommodate both user groups. If the decision is made to allow edits of this field by both State and Division users, the change will occur following the period of User Acceptance Testing.

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**C5. Will existing data on detail lines in the FHWA Area data field be migrated into the FHWA Division Defined Field?**

**A:** Yes. That is correct. Data will not be lost.

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**C6. With the Environmental Document data fields being removed from the Header Record, where will this information be recorded or is it no longer required?**

**A:** The information continues to be required. However, it will be recorded in the Project and Program Action Information System (PAPAI, formerly known as EDTS). State approvers of project information in the FMIS will be required to certify that the project's environmental assessment is complete and, based on that assessment, the project is approved to proceed.

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**C7. Will Project Oversight designations on the header record be modified to include Projects of Division Interest (PoDI).**

**A:** Yes. The change will be made first in FMIS-4 and carried over to FMIS-5. Contact [FMISTeam@dot.gov](mailto:FMISTeam@dot.gov) for additional information.

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**C8. Which location statistics are required for statewide and non-geospatial locations?**

Location Element	Required For Statewide?	Required for Non-Geospatial?
County	Y (statewide entered)	Y
Congressional district	N	Y
Urbanized Area	N	Y for urban required programs
Functional System	Y <sup>3</sup>	Y <sup>3</sup>
Ownership	<sup>1</sup>	<sup>1</sup>
System Code	Y	Y
Urban or Rural	<sup>2</sup>	<sup>2</sup>

<sup>1</sup> Ownership is required when:

- a. program code belongs to recode 963 HSIP or 964 HRRR, or
- b. improvement type on the detail is Safety (21, 57) or
- c. when the safety indicator on the detail line is marked Y.

<sup>2</sup> Selection of urban or rural is required when county code is not statewide or if the detail line is statewide and the recipient is the District of Columbia. Urban or rural is not allowed for statewide detail lines when the recipient is other than the District of Columbia.

<sup>3</sup> Functional System and System Code always are required. Choices include “No Functional Classification” and “Not on any Federal-aid System”.

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**C9: What are “NonMonetaryFunds” and how are they determined?**

**A:** The **NonMonetaryFunds** field is the place to record the value of non-monetary donations. For example, if a person or entity donated land for the project, the appraised value of that land would be recorded in this field. The FMIS User Manual defines Non-monetary Donations as: “Total of all non-monetary donations on the project, such as services, materials, and equipment.”

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## D. Project Input – Geospatial

### D1. Is there an alternative to using a percentage to link funds to a location?

**A:** States will be able to supply fund amounts both through online screens and EDS. Fund amounts can be supplied for structure numbers, route IDs, and non-geospatial locations.

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### D2. What if the State's LRS network changes following the yearly HPMS submittal?

**A:** States should send routes that are consistent with their annual submission.

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### D3. What happens if the shape of a roadway changes at a time following the final project signature?

**A:** The shape will be retained as it was at the time of signature, unless the project is modified by a change in funding or location.

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### D4. What should be done if my State is unable to provide a complete LRS network by June 15, 2014, as requested by FHWA's Office of Policy?

**A:** The Office of Policy should be contacted. FMIS project input edits may allow geospatial data to be omitted for local roads if such information is not available in a State's annual LRS file. The exceptions must be coordinated in advance through the Office of Policy and the Budget Execution Team (FMISTeam@dot.gov).

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### D5. From where will the auto-populated location data on the project record - counties, congressional district(s), functional system, urbanized area, ownership, system code, and urban/rural area - be derived?

**A:** The State user will input the route IDs and mile points. The FMIS-5 will populate certain location data fields from the geospatial data which each State submits to the FHWA Office of Policy on an annual basis for purposes of the HPMS. Other data fields will be populated from data compiled by the U.S. Census Bureau. The HPMS source files will be accessed electronically to extract the most recent data submitted by a State. The census data files will be downloaded annually and housed within the FMIS-5 database.

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**D6.** When will the State see the geospatial data that is auto-populated for location fields - county, congressional district, rural/urban, functional system code, etc.?

A: For direct key of project modifications, the data will be visible online immediately upon “Save” of project input. For project modifications submitted via EDS (using SFTP), the location breakout will be available through an EDS projects data download.

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**D7.** For a project that includes both roadway construction and bridge work, how would geospatial coordinates be entered on the detail line?

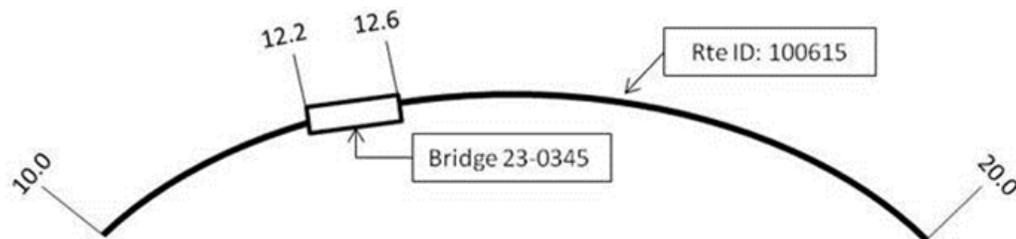


Figure Source: Randy Steen, California Department of Transportation

**A:** Separate detail lines would be required. (This is not a change from FMIS-4 requirements.) The bridge costs would be separated onto a different detail line from the roadway costs. This would be necessary due to the requirement that a bridge replacement or rehabilitation improvement type be used for obligation of funds.

The roadway segments - before and after the bridge - would require the use of an improvement type related to roadway construction or maintenance. For the roadway segments detail line, the route ID, beginning milepoint and ending milepoint should be entered for each side of the bridge. The before and after breakout can be entered on the same detail line.

For the bridge segment of the project, the structure number would be entered on a separate detail line along with the beginning milepoint. See Section E - Project Input - Structures (Bridges and Tunnels) for additional information on inputting data for bridge work.

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**D8. Are route IDs and milepoints required for local roads?**

**A:** Yes. On August 7, 2012, the Office of Highway Policy Information issued a memorandum, subject line “Geospatial Network for All Public Roads”, in which it outlined the “requirement for States to submit their linear referencing system (LRS) network for all roads eligible for Federal Aid” effective with the submission for 2013. The memorandum states that the LRS submission is due by June 15, 2014. The initiative by the Office of Policy Information to collect LRS data for all public roads is independent of the FMIS modernization project, although FMIS-5 will utilize the data that is collected.

If a State has not updated its LRS network to include local roads, FMIS-5 will allow for geospatial data to be omitted for local roads temporarily. Additional information on this temporary GIS exception will be provided prior to launching of FMIS-5.

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**D9. What should be recorded as beginning and ending milepoints if work is performed at a single place – one specific point?**

**A:** FMIS can only prorate costs based on mileage. If work is performed at a single point, then FMIS has no basis to use to calculate costs. Currently, FMIS does not allow the beginning and ending mile-points to be the same, however, this control will be modified to accommodate sign work, etc.

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**D10. If our State does not track project costs by location, can we provide funding information at the project/program code level?**

**A:** No. In FMIS-5, geospatial information is required.

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**D11.** Our state has several projects with multiple locations; if we arbitrarily provide one of those locations (such as the first one) in the location field, can we then enter funding information at project/program code level?

**A:** No. For improvement types that are always associated with a roadway, the State Preparation Guide for FMIS-5 states that all route IDs that are part of the project detail line must be provided, along with associated funding. Funding can be specified either as a dollar amount, or as a percentage of Project Detail funds. For certain improvement types, the FMIS-5 software will require that the State supply a route.

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**D12.** For those projects with multiple locations – can the State or Division decide where a reasonable cut-off is to enter the project as Statewide?

**A:** This is an outstanding issue which the OCFO needs to resolve in cooperation with the Office of Infrastructure. Guidance will be issued later.

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**D13:** What should be recorded as beginning and ending milepoints if work is performed at a single place – one specific point?

**A:** FMIS can only prorate costs based on mileage. If work is performed at a single point, then FMIS has no basis to use to calculate costs. Currently, FMIS does not allow the beginning and ending mile-points to be the same, however, this control will be modified to accommodate sign work, etc.

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## E. Project Input – Structures (Bridges and Tunnels)

**E1. Will the National Bridge Inventory (NBI) structure numbers on FMIS-4 project headers be moved to detail lines when data is migrated to FMIS-5?**

**A:** A State has the option to direct the relocation of NBI structure numbers and related data (program codes and improvement types) to detail lines for all, some, or none of its projects. The FMIS-5 system development team will convert the data in accordance with instructions received from the State. A communications tool and process has been established for States to use for this purpose. See the State Preparation Guide, Appendix B and the Bridge Relocation Worksheets. Both documents can be accessed on the FMIS Modernization page of the [FUNI website](#).

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**E2. If a State opts out of relocating FMIS-4 NBI structure numbers from project header record to project detail line before FMIS-5 is launched, how will the information be displayed in FMIS-5 on current (active) projects?**

**A:** The NBI structure number and related data (program codes and improvement types) may be displayed either with the project header information or on a detail line. The placement can vary amongst State projects, but only one display type per project - all header record or all detail line.

Relocation of NBI structure numbers and related data will occur automatically as part of the system migration on active projects where there is a one-to-one-to-one correlation of data elements – meaning that the combination is unique. There could be multiple detail lines of the same program code and improvement type, as long as only one NBI structure number is recorded on the project header for that combination of program code and improvement type. On projects that meet these criteria, the NBI structure number and related data will be relocated to detail lines.

On projects where there is not a clear correlation amongst all of the data elements – NBI structure number, program code and improvement type – the FMIS-4 data will be migrated to the header record in FMIS-5.

See the State Preparation Guide, Appendix B and the Bridge Relocation Worksheets for additional information on this topic. Both documents can be accessed on the FMIS Modernization page of the [FUNI website](#).

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**E3. Can a State continue to record NBI structure numbers on the header record?**

**A:** States will not be allowed to record new or modified NBI structure numbers on a header record. In most cases, the projects which retain NBI structure numbers on the header record cannot be modified without first manually relocating the NBI structure number to the corresponding detail line(s) and allocating the obligated funds appropriately. In a few circumstances, a project can be modified by an action unrelated to the amount of funds obligated for bridge related work, and still retain the placement of the NBI structure number on the project header. Examples of such project modification actions would be project close, project withdraw, edit of State Remarks, etc. Changes involving funds amounts will invoke the requirement to record the NBI structure number on a detail line along with funds allocation. Once invoked, the requirement applies to all NBI structure numbers on the project.

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**E4. Will a State have an opportunity to examine the placement of NBI structure numbers on detail lines before FMIS-5 goes live?**

**A:** Yes. A State may submit its Bridge Relocation Worksheets via email to [FMIS-5-Support@dot.gov](mailto:FMIS-5-Support@dot.gov) when completed and continue to submit updates as needed. The relocation data will be uploaded into the FMIS-5 test environment. As final preparations for launching of FMIS-5 are being laid out, States will be notified of the final date that worksheets will be accepted.

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**E5. Will the system prorate costs if multiple structures are present on a detail line?**

**A:** Either a percent of federal funds or a dollar amount must be supplied for each structure number. Where the selected entry option is percent of funds, the amounts of federal, state and/or other funds obligated on the detail line are calculated and distributed for each structure number using the percent or factor provided.

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**E6. Will a State need to modify the bridge or structure percentages on a detail line based on actual costs throughout the life of the project or can the percentages be set and left unchanged throughout the life of the project?**

**A:** Bridge or structure percentages should be modified based upon actual costs throughout the life of the project. If more accurate information becomes available at a later time, then the obligations and/or assigned percentage of costs should be adjusted to reflect actual costs.

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**E7. With the change of moving the NBI number from the project header to the detail line, will there be any change in the type of work or program funds that require the NBI number?**

**A:** No. Information on FMIS-related bridge, tunnel and other asset improvement types and program funds can be found in a memorandum from the Office of Bridge Technology at <http://www.fhwa.dot.gov/bridge/nbi/120927.pdf>.

In addition to bridge related work or improvement types that require input of the NBI number, there are other improvement types where the entry of an NBI number is optional. They are:

8	Bridge New Construction
15	Preliminary Engineering
16	Right of Way
17	Construction Engineering
20	Environmental Only
40	Special Bridge
43	Utilities

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**E8. For a project that includes both roadway construction and bridge work, how would geospatial coordinates be entered on the detail line?**

**A:** See response to FAQ D7 in Section D - Project Input – Geospatial.

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**E9. Our State does not record funding at structure level. Are we now required to provide the NBI Number and associated costs?**

**A:** Yes, the NBI number must be provided. In FMIS-5, the project detail funds must be linked directly to the NBI number, and each NBI number associated with a detail line must be included on the detail line. Funds can be specified either as a dollar amount, or as a percentage of Project Detail funds.

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## F. Project Input – EDS

### F1. When will details be provided on how to invoke the Web Services?

**A:** Web Services will not be available initially – at the launching of FMIS-5. Instead, FMIS-5 will support the Secure File Transfer Protocol (SFTP) mechanism that is currently in place for Current Bill upload, as well as Electronic Data Sharing (EDS) uploads and downloads. If the FMIS-5 later supports Web Services, States will be notified of the availability of the option or requirement in sufficient time for States to prepare for the change.

The November 6, 2013, version of the State Preparation Guide incorrectly stated that Web Services would be used for file transfer.

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### F2. Will FMIS-5 continue to generate the W40, W41 and/or W43 files to the FHWA server?

**A:** Yes. FMIS-5 will generate these downloads, except they will be in XML format as described in the State Preparation Guide.

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## G. Reports and Query Tools

### G1. Will Business Objects be available for customizing data queries?

**A:** Business Objects will continue to be available to users for extracting data from FMIS-5. Enhancements will be made to the application in the months following the launch of FMIS-5 to make it tool more user friendly.

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## H. Software, Hardware, and Other Technical Matters

**H1. Will an Application Programming Interface (API) or another tool be provided to check XML format during testing?**

**A:** There will be an XML schema that will be available which one could use to check files. No API or service is scheduled to be provided at this time.

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**H2. Will FMIS-5 use the latest version of Java?**

**A:** The FMIS-5 will not use Java. On user workstations, FMIS-5 will use “plain HTML” screens which do not require Java or any other special software to be installed on the workstation. The product used to develop the FMIS-5 system is Microsoft Visual Studio .Net, which uses a language called “C#” rather than Java.

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**H1. What version(s) of Internet Explorer (IE) will work with FMIS-5? Will FMIS-5 support other web browsers?**

**A:** FMIS-5 will be compatible with at least IE10 and IE11. It also will support FireFox and Chrome.

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## I. Current Bill (formerly Rapid Approval State Payment System (RASPS))

- I1.** Will the new Current Bill use Secure File Transfer Protocol (SFTP) for file transfer, the same as RASPS uses now?

**A:** Yes. There will not be a change in the process. Current Bill users will continue to have the option of uploading files via SFTP or by using an online screen to browse and import a file.

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