



# Memorandum

Subject: **Action:** Manual Project Authorization Procedures  
for Fiscal Management Information System (FMIS)  
Shutdown

Date: August 27, 2015

From: *Brian Bezio*  
Brian R. Bezio  
Acting Chief Financial Officer

In Reply Refer To:  
HCFB-10

To: Directors of Field Services  
Division Administrators

This memorandum provides Federal Highway Administration (FHWA) Federal-aid division offices with procedures for FMIS project authorization or modification requests during the FMIS 4 shut down and migration to FMIS 5.

## Background

FHWA will follow its standard fiscal year-end closeout for FMIS, meaning that the system will be closed for up to two weeks at end of fiscal year (FY) 2015 (weeks of September 28 and October 5, 2015) to properly close out FY 2015 and to prepare the FMIS system for the new fiscal year. Once these regular annual actions have been completed in FMIS 4, FHWA will convert FMIS 4 data to FMIS 5 and perform other necessary implementation activities, which may take approximately two additional weeks (weeks of October 12 and 19, 2015).

While FHWA will minimize the length of time FMIS is closed, it is likely that the system will be unavailable for four or more weeks. The following procedures were developed to ensure States have the ability, in very limited circumstances, to authorize or modify projects while FMIS is off line.

To minimize the need for manual actions, Divisions are encouraged to work with their States to authorize planned projects ready to advance in FMIS before September 25, 2015 (the last date in FY 2015 to process obligations in FMIS). States can use advance construction to accomplish this and then convert the advance construction to Federal funds as soon as FMIS 5 is operational.

## Procedures

Manual authorizations and modifications should be limited to only those Federal approval actions absolutely necessary while FMIS is closed. All other project modifications should be deferred until FMIS 5 is operational. Actions that should be deferred include modifying existing projects to reflect changes in project costs (due to overruns or underruns), converting advance constructed funds, or closing a project.

Divisions must ensure that any manually approved authorizations and modifications comply with all pertinent laws, regulations, policies, and contractual requirements.

Divisions will be responsible for tracking the manually approved projects by maintaining a chronological transaction log for all project authorization and modification approval actions. To assist Divisions, OCFO has developed the attached templates that divisions can use to track their project approval actions (see suggested form) and their State DOT's Federal funding status (see suggested spreadsheet to track both Contract Authority and Obligation Authority). Improper tracking of obligations can result in Anti-Deficiency Act violations.

Divisions are also responsible for ensuring manual project approval actions are entered into FMIS 5 as expeditiously as practicable after the system is opened. At a minimum, Divisions and their States must enter all manually executed authorizations into FMIS 5 prior to executing any other activity in the Projects module and no later than October 31 (should the FMIS 5 open date change, we will adjust this date accordingly). Approvals executed outside of FMIS must be entered into FMIS 5 in the chronological order in which they were approved. All required FMIS data fields, such as FMIS meta-data and geospatial references, must be appropriately entered in FMIS 5. The "effective authorization date" for the appropriate phase is the date the paper authorization received final approval.

Divisions will be responsible for reconciling the information and amounts entered in FMIS 5 by project to the corresponding project information and amounts in their manual transaction log. Division Administrators must electronically notify the Acting Chief Financial Officer at [FMIS\\_TEAM@dot.gov](mailto:FMIS_TEAM@dot.gov) when all manually approved project authorizations have been entered into FMIS 5 and reconciled by the Division. Negative replies are requested.

Divisions are also responsible for ensuring the attached manual procedures are incorporated into their updated Project Action Review and Approval Standard Operating Procedure.

Please direct questions for the:

- planned FMIS transition to Jon Gatti at (202) 366-6235; or
- manual project authorization procedures to Robert Eatmon at (720) 963-3275.

cc: Walter Waidelich, Jr., Associate Administrator for Infrastructure  
Thomas Echikson, Chief Counsel

Attachment