

FACTS II

What's New?

This *FACTS II What's New* document provides general information for reporting in FACTS II, as well as specific information that pertains to the FACTS II Client and FACTS II Client Bulk Applications.

2004 Quarter 3

The 3rd Quarter 2004 FACTS II Reporting window will officially open on July 14, 2004 at 7 a.m. and close August 5, 2004 at 5:00 p.m. Eastern Standard Time. **No extensions will be granted.**

Note: The original date for the FACTS II Window to open was Thursday July 15th. This date has been changed to Wednesday July 14th as noted above.

Access to FACTS II: Client Online Application

Roles

FACTS II uses a “role based” concept that includes the “least privilege” principle, to manage user access to the FACTS II Client Application. FACTS II has defined a number of roles, which relate to specific access privileges within in FACTS II. Each role has defined access privileges that provide the least amount of access to accomplish a related task specific to a job requirement. A person can have multiple roles, however, that practice is discouraged. The FACTS II End User roles consist of Preparer, Certifier, and Headquarters Reviewer. These roles are defined as follows:

- **Preparer.** The Preparer role is for the user who needs data entry and report generation functions in FACTS II. In summary, a Preparer can add, modify, and delete data, change the status of reported data (during quarters 1-3) and generate reports. (See chart below for a detailed list of Preparer functions)
- **Certifier.** The Certifier role enables a user to certify data reported by a Preparer as accurate and correct in accordance with the guidelines governing the submission of the Treasury Year End Closing Statement, the FMS 2108. Certifiers are required to certify data during the 4th quarter, as required by the guidance for submitting the FMS 2108. In addition to certifying data, Certifiers are able to produce reports and view data. (See chart below for a detailed list of Certifier functions)
- **Headquarters Reviewer.** The Headquarters Reviewer role enables users to view reported data in FACTS II submitted by others within their organization. In general, the user who needs this functionality is a person who may be responsible for overseeing the financial reporting activity for numerous individuals in their organization, but is not responsible for

submitting or certifying data. In addition to viewing the reported data by others, the Headquarters Reviewer can view and print reports. (See the chart below for detailed list of Headquarter Reviewer functions).

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The following table describes, in detail, the FACTS II user roles and functions.

Access Role	Functions Performed
Preparer	<ul style="list-style-type: none"> • Update contact information (almost all fields) • Update password • View and print broadcast messages • Add Current Quarter • Delete Current Quarter (if "Editing" status or lower) • Add SGL accounts and attributes based on their Admin profile • Add footnotes • Add Category B data, if the SGL account requires it • Delete their own SGL accounts • Restore deleted SGL accounts • Copy rows or quarters of SGL account data • Run all or specific edit checks • View undisbursed balance (cannot change) • Add a supplemental (within administrative constraints) • Update status to certified in Quarters 1 – 3 • Update status to pending in Quarter 4 • View Processing Window • View Exception Window (for their accounts) • Export transaction records (to Word, Multi-Edit, etc.) • Export and view some table data • View and print all reports • Invoke and use Windows calculator
Certifier	<ul style="list-style-type: none"> • Update contact information (almost all fields) • Update password • View and print broadcast messages • View fund symbols and fund symbol data (cannot update) • Change status to "Certified" or back to "Editing" • View and print all reports

Access Role	Functions Performed
HQ Reviewer	<ul style="list-style-type: none"> • View and print broadcast messages • View and print fund symbols and fund symbol data (cannot update) • View and print all reports

Separation of Duties

Separation of duties is the practice of dividing the critical steps in a function among different people, ensuring that no single individual has sufficient access to defraud, waste or otherwise abuse government assets. This section will serve to define the separation of duties standard for FACTS II. With respect to FACTS II, the role of Preparer, a person who can input reported data, and Certifier, a person who verifies the accuracy of reported data, should be separate and distinct. No one user should be granted both Preparer and Certifier access privileges. In other words, the minimum requirement for FACTS II users within a federal program agency is one Preparer and one Certifier. Therefore, the minimum requirement for FACTS II users at a Federal Program Agency (FPA) is two individuals. However, there are circumstances or situations that may exist that may make it difficult for a federal program agency to comply with this standard. In such cases where difficult circumstances exist, the FPA must submit written justification to request a waiver of the Separation of Duties Standard. The written justification must explain in detail the special circumstances that prevent the agency from complying with the FACTS II Separation of Duties Standard. All written justifications should be forwarded to the FMS Budget Reports Division to the attention of the FACTS II Team for consideration. All approved waiver request will be maintained at FMS and certified annually to ensure that the special circumstances and situations still exist. If the justification for a waiver is rejected, the user will be required to select one of the two restricted roles before access privileges are approved.

Other combinations of multiple roles are permitted, and do not require written justification. For example, a Preparer could also have access privileges as a Headquarters Reviewer, or a Certifier could also have access privileges as a Headquarters Reviewer. FMS discourages the assignment of multiple roles, however the functional capability is available to support user needs.

FACTS II Administrators are responsible for monitoring user accounts on a quarterly basis. Be advised, FACTS II Administrators will take immediate action to correct any violations when found.

ESAAS Form

Any user requesting access to FACTS II must submit a GOALS II Enterprise System Access Request Form (ESAAS) in order to obtain a SecurID card, logon ID and password. An ESAAS form can be downloaded from the Internet at <http://www.fms.treas.gov/goals/index.html>. The completed form can be faxed to GOALS Marketing at 202-874-6170. On the ESAAS form, one of the following FACTS II roles must be selected:

- **Preparer** – a person that inputs FACTS II data and ensures that edits are passed and the statuses of accounts are changed.
- **Certifier**- a person who rejects or approves data by certifying that the data is correct.
- **Headquarters Reviewer**– a person who is only able to view and print the data of all TAFS within a department.
- Preparers must be assigned TAFS. Certifiers and Headquarters Reviewers must be assigned Preparers.

Obtaining a Secure ID Card

After completing and faxing the ESAAS form to the GOALS Marketing Group, you will be issued a SecurID card, logon ID and password from security. After faxing the completed ESAAS form you must contact your agency representative and inform them that you are a new FACTS II user. You must also inform your agency representative of which Treasury Appropriation Fund Symbols (TAFS) will be assigned to your User ID.

If you do not know who your agency representative is, access the FACTS II website <http://fms.treas.gov/factsii/contacts.html> and click the Contacts link.

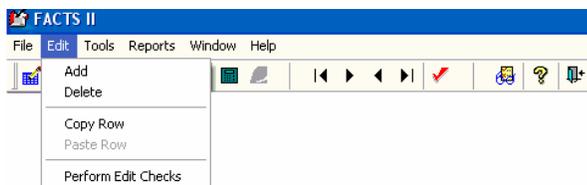
Note: Due to FMS security standards, once you receive your Secure ID Card you must log on to the FACTS II System within 180 days or it will be deactivated by FMS' Database Managers. Also, after you have activated your account you must log on to FACTS II at least every 90 days or your account will be deactivated by FMS' Database Managers.

FACTS II Client Online Accounting Edit Checks

Beginning 3rd Quarter, 2004 the FACTS II Client Online Application will run all of the accounting edits, however the 4th Quarter edits that run during Quarters 1-3 will be informational only.

To execute the accounting edits check:

- Right-click on the tree view and select Perform Edits Checks.
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- You may also select “Perform Edit Checks” from the Edit Menu located on the Menu Bar, or click the red check mark located on the Tool Bar.



The Data Entry/Edit Screen will appear.

FACTSII Client Edit TAFS 16- -03-0106-000-000-0 Second Quarter Year - 2004

Undisbursed Balance: Show List

Net Outlays: Show List

USSGL ACCOUNT: 1010

Debit/Credit: Credit

Begin/End: Ending Balance

Amount: 2.00

Authority Type:

Reimbursable Flag:

Apportionment Category:

Category A/B Detail:

Public Law:

Transaction Partner:

Footnote:

Transfer Agency:

Transfer Account:

Year of BA:

Advanced Code:

Function Code:

Availability Time:

Definite/Indefinite:

BEA Cat Code:

Colort:

Borrowing Src Code:

Add Footnote

Perform Edit Checks

Select Next/Prev. USSGL for edit

Execute

OK

Cancel

Enter the necessary data and click the “Execute” button located in the bottom left corner of the Data Entry/Edit Screen. The text “Failed Edit Checks” will appear in the top right of the Edit Checks Report if you failed any of the Edits.

FACTS II

Edits Check Report Edits check Run On: 6/23/2004 11:30:02 11:30:02

Fail Edits Check

DR-16 DT- FY- 03 Main-0106 SUB-000 MSEQ- 0

Edit 1 Debit equal Credit Check

Total Credits :	0.00
Total Debits :	0.00
Discrepancy :	0.00

Edit 2 Total Resources equal Status of Resources Check

Total Resources :	0.00
Status of Resources :	0.00
Discrepancy :	0.00

Edit 3 Beginning Balance Check

Unobligated Balances :	0.00
Prior Year Status :	0.00
Discrepancy :	0.00

Edit 4 Zero Balance Accounts

No Inappropriate USSGL'S Detected!

Edit 5 Fund Resources equal Fund Equity Check

Fund Resources :	(2.00)
Fund Equities :	0.00
Discrepancy :	(2.00)

Edit 6 Treasury Fund Balance Verification for RTT Accounts

No Edit 6 Required for this TAFS

Edit 7 Treasury Fund Balance Verification

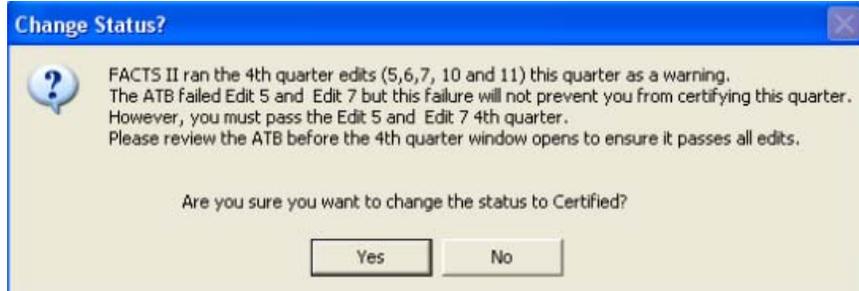
ATB/SQL Amount :	(2.00)
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Print

Close

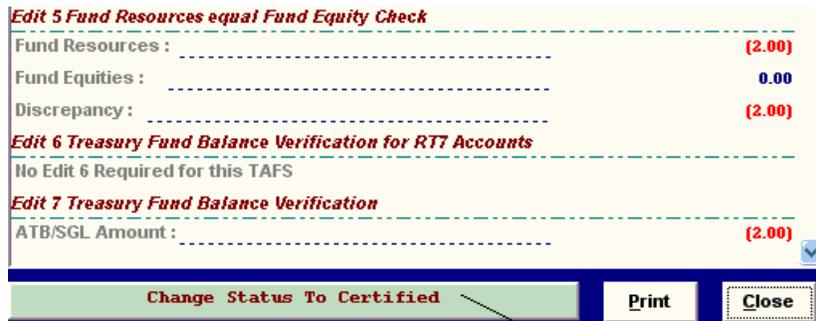
This text will display if you failed any of the Accounting Edits

In addition, you will see the following warning. **Note:** In this example, Edit 5 and 7 failed during the 3rd Quarter. This message will vary based on your Agency's data and the Quarter in which the edits are run.



You can still choose to certify your TAFS by clicking **Yes** or you can cancel the certification process by clicking **No**.

If you pass all the edits you can click the Change Status to Certified button at the bottom of the Edit Check Report to certify your TAFS.



Click to Certify TAFS