Financial Management Service

FACTS II

User's Guide

Department of the Treasury
Financial Management Service

U.S. Department of the Treasury
Financial Management Service
Government-wide Accounting (GWA)
Jeff Hoge Accounting Systems Division, Director
Keith Stith FACTS II Project Manager

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1

Introduction

Welcome to the *FACTS II User's Guide*. This guide describes the features of the Federal Agencies Centralized Trial-Balance System II (FACTS II) Client program.

1.1 History

FACTS II is a computer program that enables Federal Program Agencies (FPAs) to electronically report budget execution information to the Department of the Treasury. FPAs formerly reported this information in the following documents:

- FMS 2108 Year-End Closing Statement (FMS 2108)
- SF 133 Report on Budget Execution (SF 133)
- Program and Financing Schedule of the President's Budget (P&F)

For more information on the history of the development of FACTS II, see *FACTS II Client Application Program Documentation*. That document also contains a description of the FACTS II system architecture.

1.2 System Requirements

The recommended system requirements for FACTS II include:

- Pentium Processor
- 32 MB RAM
- SVGA monitor and video card
- Mouse (with right and left buttons)
- 56 KB modem
- Analog telephone line for data calls, like those used by FAX machines.
- Microsoft Windows 9x, and Windows NT 3.51 will be supported.
- Web Browser

Windows 9x and Windows NT users will need "Dial-Up Networking" using PPP (Point-to-Point Protocol) provided on Windows installation diskettes.

1.3 User Access

1.3.1 FACTS II Client User 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 (See section 1.3.2, Separation of Duties Standard for details). 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 the 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 a detailed list of Headquarter Reviewer functions.)

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

Access Role	Functions Performed
Preparer	• 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

Access Role	Functions Performed
	• 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	• 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
HQ Reviewer	• View and print broadcast messages • View and print fund symbols and fund symbol data (cannot update) • View and print all reports

1.3.2 Separation of Duties Standard

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 wavier 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.

1.3.3 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.

  Note: As of 2nd Quarter 2006, a Headquarter Reviewer will be assigned to one or more Department Regulars and as a result, see all Preparers' TAFS under their assigned Department Regular. Upon initial log on to the FACTS II application, the Headquarter Reviewer will be presented with a list of Preparers associated to their specific Department Regular assigned to the Headquarter Reviewer. The Headquarter Reviewer will select the Preparer ID for which they wish to view TAFS information. All TAFS currently assigned to the Preparer will be displayed, including those with Department Transfers. The role will remain the same in that it will be view only and have access to all the FACTS II Reports.

1.3.4 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 Contacts page of the FACTS II website http://fms.treas.gov/factsii/contacts.html.

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.

1.4 Starting the FACTS II Client Program

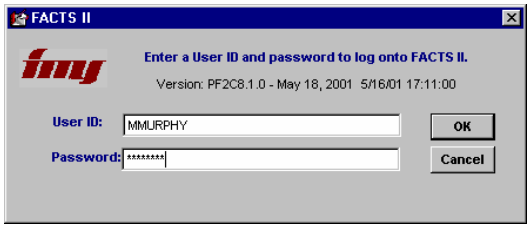
How you start the FACTS II Client program depends on your connectivity to FMS. Whether you establish connectivity to FMS via a T1 line or a dial-up connection to FMS using a SecurID, use the FMS In Touch website to start the program. See your network administrator if you do not know what type of connectivity to FMS you have.

To start the FACTS II Client program

1. Using the communications software on your workstation, establish a connection to FMS.

See your network administrator for steps to connect to FMS.

2. Using Microsoft Internet Explorer® or Netscape Navigator®, go to http://intouch.fpa.fms.treas.gov/.
3. On the FMS In Touch home page, click the Programs link.
4. On the Programs page, click the GOALS II/FACTS II link.
5. On the GOALS II/FACTS II page, click the FACTS II Client (Production) link.
6. On the FACTS II logon window, type your User ID and Password and then press ENTER.



Note: Your password is case-sensitive. However, the application will

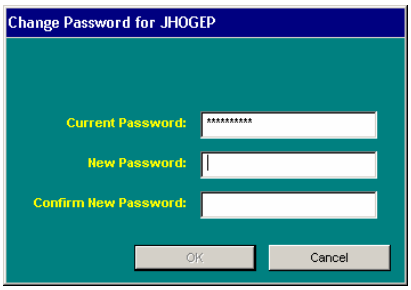
automatically change your entry to upper-case.

7. On the GOALS2 Message window, look for descriptions of the changes to FACTS II for the current quarter or other important information. You can click Print to print the information.

8. Click OK and the main FACTS II Client window appears.

1.5 Changing Your Password

To change your FACTS II password



1. On the main FACTS II window, from the Tools menu, select *Change Password*.

2. On the Change Password window, in the Current Password field, type your old password.

3. In both the New Password and Confirm New Password fields, type your new password and then click OK.

Note: Your password is case-sensitive. For example, the FACTS II program considers a lower case *a* different than an upper case *A*. When you type your new password, be aware of whether or not you turned on the Caps Lock feature on your keyboard.

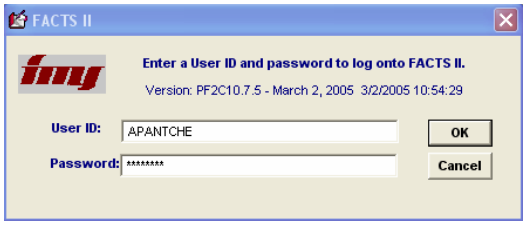
1.6 Password Expiration

To access FACTS II after your password expired

If you attempt to log on to the FACTS II application and your password has expired, a password expiration window will appear.

1. Enter a new password into the Enter Password and Re-enter Password fields and then click OK.

2. The FACTS II log on window will appear. Enter your password and click OK.



1.7 Quitting the FACTS II Client Program

To quit the FACTS II Client program

- On the main FACTS II window, from the File menu, select *Exit*.

1.8 Getting Help

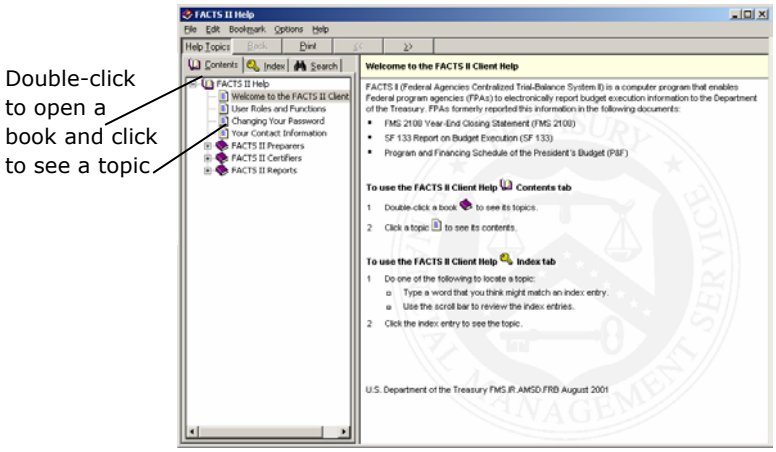
The FACTS II Client program includes a comprehensive Help feature.

To see FACTS II Help

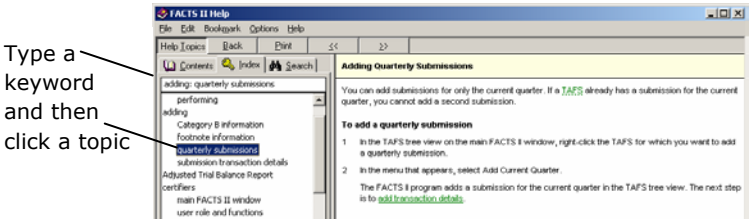
1. On the main FACTS II window, from the Help menu, select *Help Topics*.

Do one of the following:

- Double-click to search for a Help topic and click to open the topic.

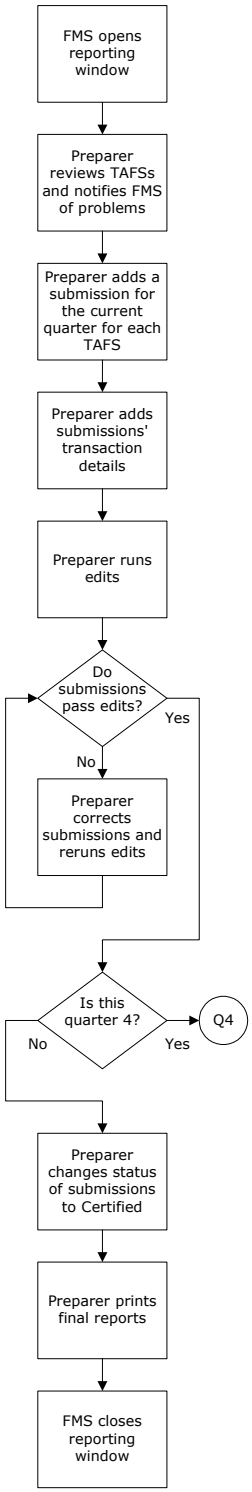


- Select the Index tab, type a keyword, and then click a topic.



1.9 The FACTS II Processing Cycle

The following diagram illustrates the typical quarterly processing cycle for FPAs using the FACTS II Client program.



See Chapter 3 for steps to see the current quarter's open and close dates.

See "TAFSs and Quarterly Submissions" on page 3.

You can either add a submission or copy an existing submission. See "

Working with Submissions" starting on page 3.

You can also either add transaction details or copy existing transaction details. See "

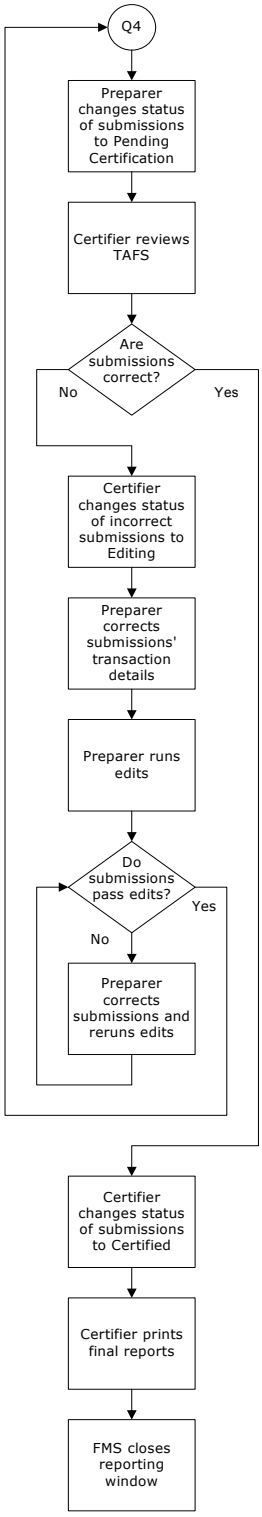
Working with Submissions" starting on page 3.

Edit your TAFSs before you attempt to change their statuses to verify that they will pass the accounting edits. See "Editing Quarterly Submissions" on page 3.

You cannot change the status of a TAFS if it fails the accounting edits.

During quarters 1-3, a preparer can change the status of a submission to Certified. See "Changing a Submission's Status" on page 3.

See Chapter 8.



During quarter 4, the preparer changes the status of a submission to Pending Certification. The steps to change a status to either Certified or Pending Certification are the same. See "Changing a Submission's Status" on page 3.

See "Reviewing TAFS Submissions" on page 3.

The certifier cannot change submissions. Only the preparer can change submissions. See "Changing a TAFS Submission's Status" on page 3.

See "

Working with Submissions" starting on page 3.

See "Editing Quarterly Submissions" on page 3.

You cannot change the status of a TAFS if it fails the accounting edits.

During quarter 4, only the certifier can change the status of a submission to Certified.

See Chapter 8.

1.10 Acronyms and Definitions

The following table contains the acronyms, abbreviations, and terms used in this document.

Acronym	Definition
ATB	Adjusted Trial Balance
FACTS	Federal Agencies Centralized Trial-Balance System
FACTS II	The program used by FPAs to electronically report budget execution information to the Department of the Treasury instead of on the FMS 2108, SF 133, and P&F paper documents.
FMS	Financial Management Service
FMS 2108	FMS 2108 Year-End Closing Statement
FPA	Federal Program Agency
GOALS	Government On-Line Accounting Link System
GOALS II	A Unix-based server with a relational database management system (RDBMS), Sybase that serves a variety of purposes, including acting as a repository for FACTS II data. GOALS II is being developed and maintained by FMS in-house resources.
MAF	Master Account File; contains each TAFS's pre-closing balance, net outlays amount, and valid preparer ID.
MAX	An integrated database for the collection, retrieval, manipulation, presentation, and publication of budget formulation and budget execution data as well as other related data. FACTS II data will be provided to OMB for use in its MAX system at least four times a year.
P&F	Program & Financing Schedule published in the Appendix volume of the President's Budget.
Pre-closing Balance	Amount representing a TAFS's pre-closing undisbursed or unexpended balance as of the fiscal year-end.
Revision Period	A period of time, typically one week in January, that allows agencies to change submissions with a status of certified that were entered during the 4th Quarter.
RT7	Record Type 7. An RT7 is a unique identifier for other authority types for a TAFS such as borrowing, contract, and investments.
SF 133	SF 133 Report on Budget Execution and Budgetary Resources
SGL	The U.S. Standard General Ledger series of account numbers created to improve the quality and consistency of data reported by agencies.
STAR	A relational database containing budget execution data served by operational, analytical, and report programs supporting the Treasury's central accounting function. The FACTS II Administrative Module prepares an output file containing the year-end closing information needed by STAR.

Acronym	Definition
TAFS	Treasury Appropriation Fund Symbol. A TAFS is a unique identifier for each of your funds and consists of department regular number, department transfer number, fiscal years 1 and 2, main account number, and sub account number.

2

Contact Information

This chapter describes how all FACTS II users can review and change their contact information. Your contact information is simple demographic information used to contact you such as your name, your work address, and your work telephone number. Keep your contact information up-to-date because FMS FACTS II administrators use it to send you important information via mail, email, or fax.

The FACTS II program may prompt you to update your contact information when you start the program.

As of 2nd Quarter 2004, FACTS II activated the User Contact Information Text Window to collect current contact information for users. Once you successfully log onto FACTS II Client Online or Client Bulk Applications you will be prompted to enter two required fields: Email Address and Supervisor Email Address. First you will be prompted to enter your email address, when you are finished enter your supervisor's email address and click OK. These fields are required, so if you do not remember to enter the information a message window will display requesting that you enter either your email address and/or your supervisor's email address. You will not be able to proceed to access data processing and reporting modules in the applications until this information is provided. We encourage all users to log on to FACTS II during this window to update their contact information. Your cooperation in this matter is greatly appreciated.

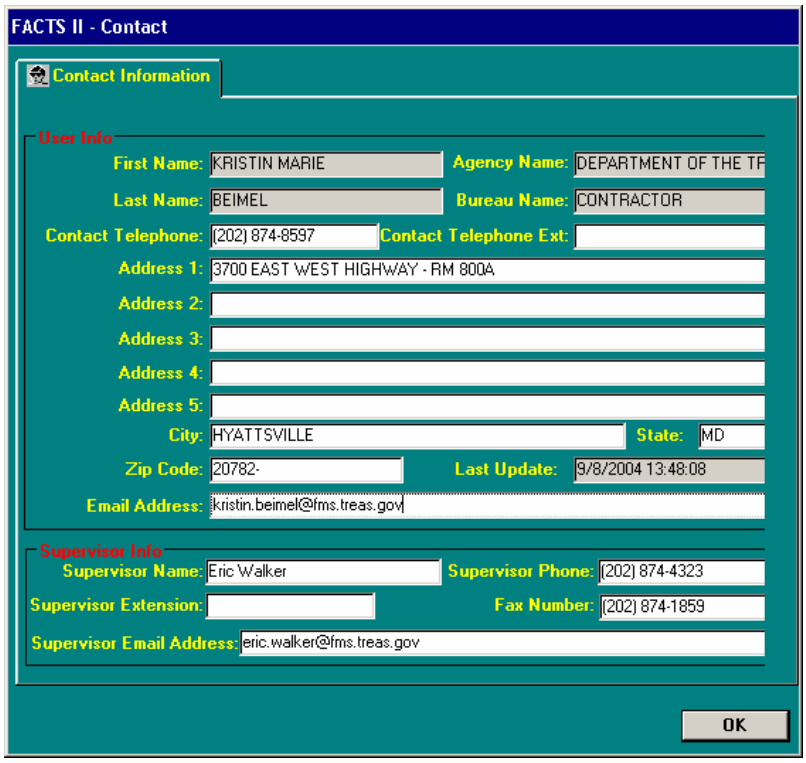
To review and change your contact information

1. On the main FACTS II window, from the File menu, select *Contact*.

2. On the Contact window, change your contact information as necessary. Also, each time you enter the Contact window you will be required to enter your email address to ensure its accuracy. The email address field will be blank and to continue you must enter your email address. After you have finished updating your contact information, click OK.

3. Please review *all* information for accuracy especially Supervisor Info which is used for FACTS II user recertification. Administer any changes as needed.

See a FACTS II administrator to change your First Name, Last Name, Agency Name, or Bureau Name.



3

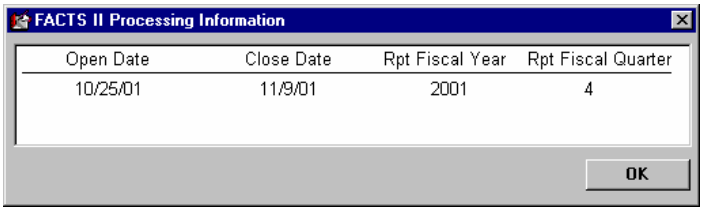
Processing Window

The processing window includes the dates that FMS opens and closes the reporting window for the current quarter.

To see the processing window dates

1. On the main FACTS II window, do one of the following:
   - From the Tools menu, select *Processing Window*.
   - In the TAFS tree view, right-click a TAFS or submission and in the menu that appears select *Display Processing Window*.

2. After you review the open and close dates, click OK to close the Processing Information window.



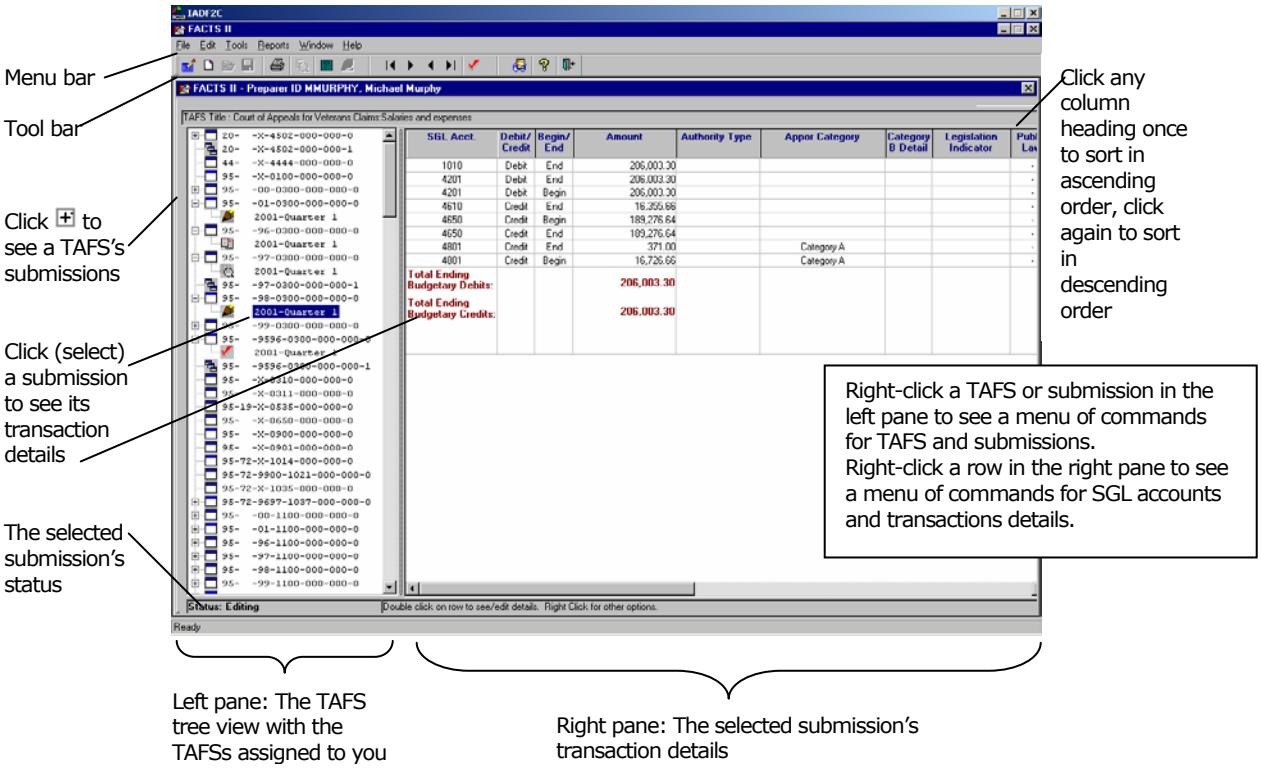
4

FACTS II Preparers

Use this chapter if you are a FACTS II preparer. If you are a FACTS II certifier, use chapter 5. This chapter describes the following functions available on the preparer's main FACTS II window:

- Reviewing the TAFSs assigned to you
- Adding, changing, and deleting quarterly submissions for a TAFS
- Editing quarterly submissions
- Changing the status of a TAFS

4.1 The Preparer's Main FACTS II Window



4.1.1 Menu Bar Icons

Icon	Description
	Click to view the ATB SGL Transaction records
	Click to view the MAF
	Click to display the Bulk Submission Report
	Click to log off the current user and log on as a different user
	Click from within the Client Online to submit a bulk file.
	Click to save changes
	Click to print screen
	Click to see a print preview
	Click to use the calculator
	Click to certify records
	First (navigation)
	Next (navigation)
	Prior (navigation)
	Last (navigation)
	Click to perform FACTS II edit checks.
	Click to view FACTS II information (version number, etc.)
	Click to view Help topics
	Click to Exit the application

4.1.2 The Main FACTS II Window Icons

The following table describes the icons that you see in the TAFS tree view.

Icon	Description
	Represents one TAFS.
	Represents one supplemental TAFS.
	Represents one TAFS reassigned to a different preparer.
	Represents one quarterly submission with **Editing** status. The FACTS II program assigns the Editing status to a submission. The assigned preparer can edit the quarterly submission.
	Represents one quarterly submission with **Pending Certification** status. After running the edit process, the preparer assigns the Pending Certification status to a submission during quarter 4. The certifier can review the submission and change its status to Certified.
	Represents one quarterly submission with **Certified** status. After running the edit process, the preparer assigns the Certified status to a submission during quarters 1-3. Only the certifier can assign the Certified status to a submission during quarter 4.
	Represents one quarterly submission with **Reported On** status. The FACTS II program assigns this status to a submission. The submission was reported to FMS and OMB.

4.1.3 TAFS Format

The TAFS is a unique identifier for each of your funds and consists of the following:

- 2-digit Department Regular Number
- 2-digit Department Transfer Number – This field may be blank.
- 4-character Fiscal Year – The Fiscal Year field may appear in the following formats:
  - *9999* – Multi-year funds. The first two digits are the first year of fund availability under law that a TAFS may incur obligations. The second two digits are the last year that a TAFS may incur obligations.
  - *bb99* – Annual funds. The first two positions are blank. The second two digits are the year of fund availability under law that a TAFS may incur obligations.
  - *bbb*X – No-year funds. The first three positions are blank. X indicates that funds are available until the purposes for which the funds were made available are accomplished.
  - *bbb*M – M account. The first three positions are blank.
- 4-digit Main Account Number
- 3-digit Sub-Account Number
- 3-digit Account Split Sequence Number – A number > 000 indicates an account split.
- 3-digit MAF Sequence Number – 000 indicates an original MAF, a number > 000 indicates a supplemental MAF.

4.2 TAFSs and Quarterly Submissions

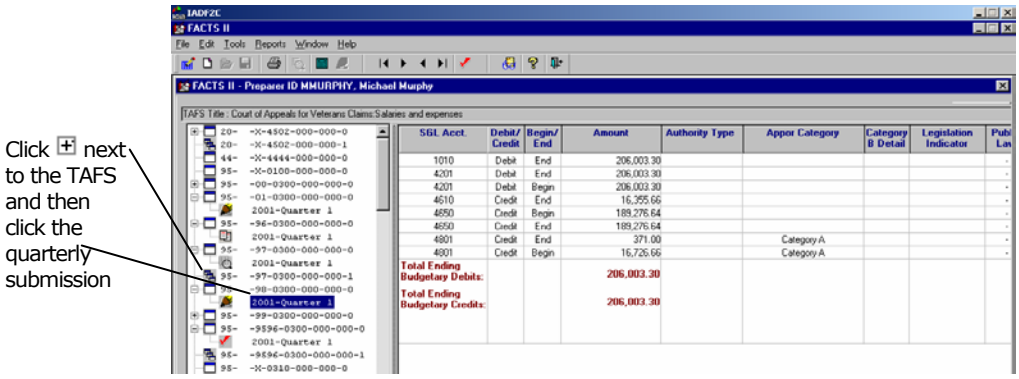
Your TAFSs appear in the TAFS tree view in the left pane of the main FACTS II window. You see only the TAFSs assigned to your preparer User ID. To see a TAFS's quarterly submissions, click ⊞ next to the TAFS. Each submission contains a set of U.S. Standard General Ledger (SGL) account numbers and a balance and transaction details for each SGL account number. The sum of a submission's SGL account balances is the TAFS's adjusted trial balance.

In most cases, the TAFSs you see should appear on your SF 6653 report, "Undisbursed Appropriation Account Ledger." Your TAFSs should not include receipt, deposit, or suspense accounts. See your FACTS II administrator if there are problems with the TAFSs assigned to you. You must report inactive TAFSs, even if all adjusted trial balances are zero, until your FACTS II administrator deletes the inactive TAFSs.

To review a TAFS's quarterly submissions

1. In the TAFS tree view on the main FACTS II window, locate the TAFS for which you want to see quarterly submissions and click ⊞ to see the submissions.

2. Click a quarterly submission. The submission's SGL account numbers and transaction details appear in the right pane of the window.



4.3 Working with Submissions

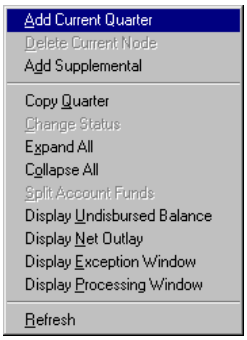
To add a quarterly submission

You can add submissions for the current quarter only. If a TAFS already has a submission for the current quarter, you cannot add a second submission.

1. In the TAFS tree view on the main FACTS II window, right-click the TAFS for which you want to add a quarterly submission.

2. In the menu that appears, select *Add Current Quarter*.

   The FACTS II program adds a submission for the current quarter in the TAFS tree view. To add transaction details, see the next procedure.

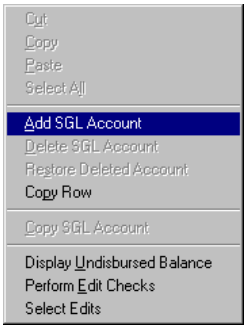


To add transaction details to a quarterly submission

1. In the TAFS tree view on the main FACTS II window, click the quarterly submission for which you want to add transaction details.

2. Right-click on the right pane of the window and in the menu that appears select *Add SGL Account*.

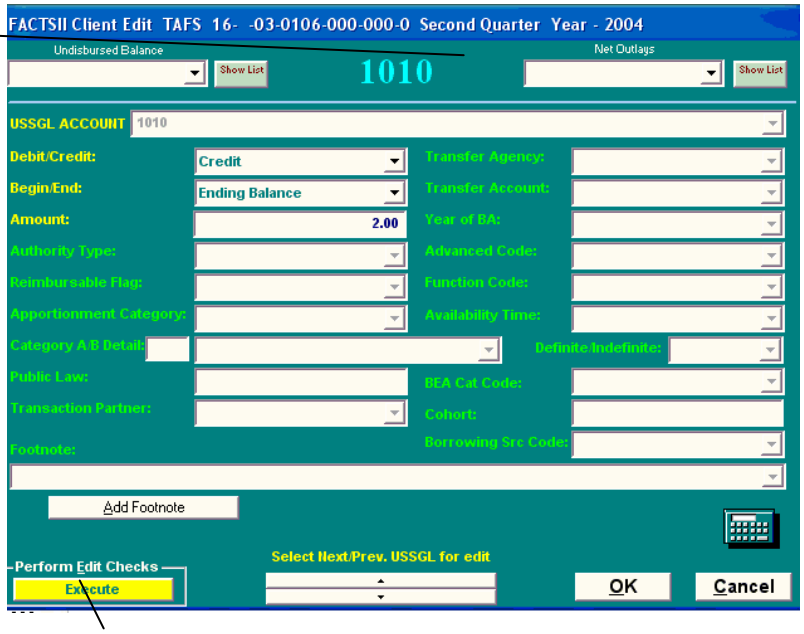
3. On the Edit Screen, in the USSGL Account field, type an SGL account number or select one from the drop-down list. You can select only the SGL account numbers available for the selected TAFS.



Show List buttons, when clicked, will continuously display the account balances as you work within the Entry/Edit Screen.

Net Outlays field displays net outlays, from a drop-down menu, for all the TAFS including sub-accounts.

Category A information can be selected from the drop-down

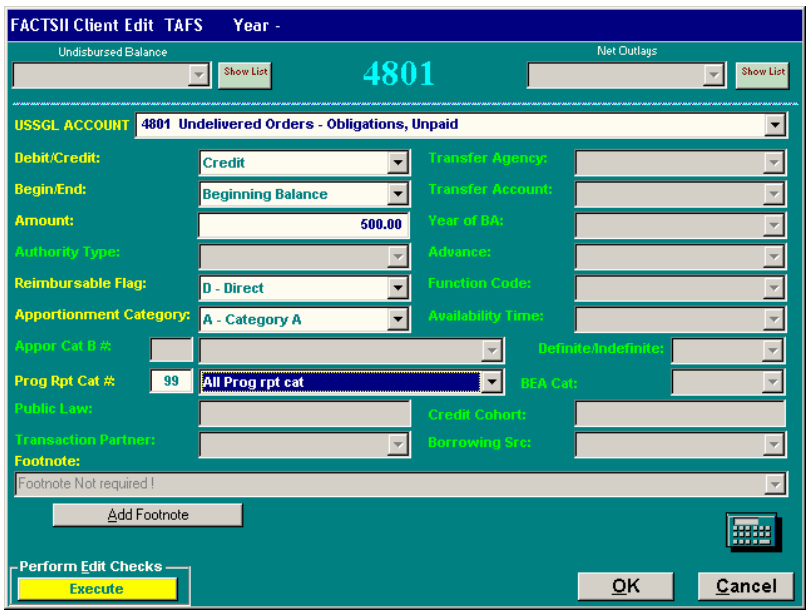


The Execute button will run all the FACTS II Edits

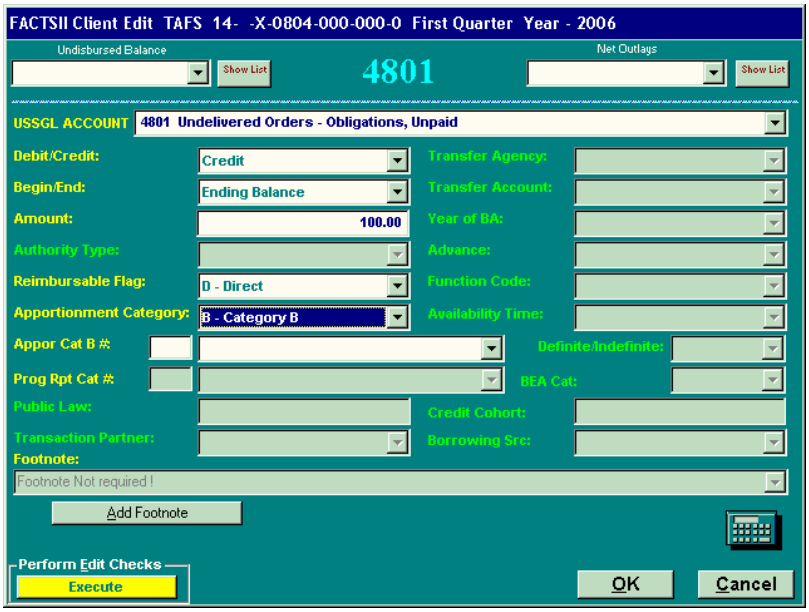
5. Select or type the appropriate information in the remaining fields. The FACTS II program makes certain fields active (fields with a white background) based on the SGL account number you selected in step 3. All of the active fields are required.

4.3.1 Program Reporting Categories and Cat B Projects

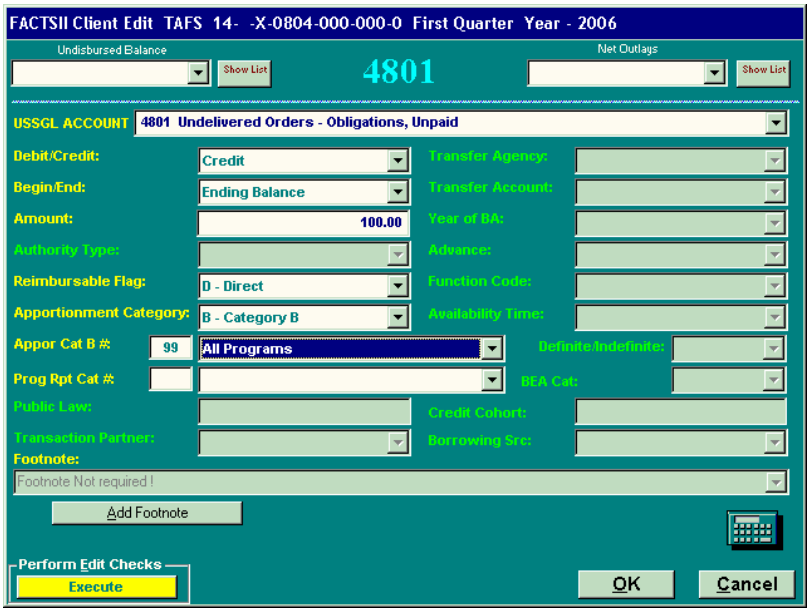
The Data Entry/Edit Screen now has the **Appor Cat B #** (Apportionment Category B Number) field and the **Program Rpt Cat #** (Program Report Category Number) field. If the Apportionment is A then the **Appor Cat B #** fields will be grayed-out (disabled) and the **Program Rpt Cat #** fields will be enabled and required as shown below.



If the Apportionment is B, when you select **B- Category B** for the Apportionment Category field, then the **Appor Cat B #** fields becomes enabled and required as shown below.



Once you select/enter input for the **Appor Cat B #** fields the **Program Rpt Cat #** fields will be enabled and required.



4.3.2 Limitation on Authority Types

Beginning 2nd Quarter 2006, FACTS II is limiting the Authority Type selections for TAFS containing the RT7 941,951, or 962 to Borrowing or Contract Authority. When a TAFS contains a RT7 of 941,951, or 962 the authority types available to select for the Authority Type field in the Data Entry/Edit screen will be limited to Borrowing Authority or Contract Authority.

Descriptions of the three record types mentioned above are as follows:

- 941 – Unfunded Contract Authority
- 951 – Authority to Borrow from the Treasury
- 962 – Authority to Borrow from the Public

4.3.3 FACTS II Edit Checks

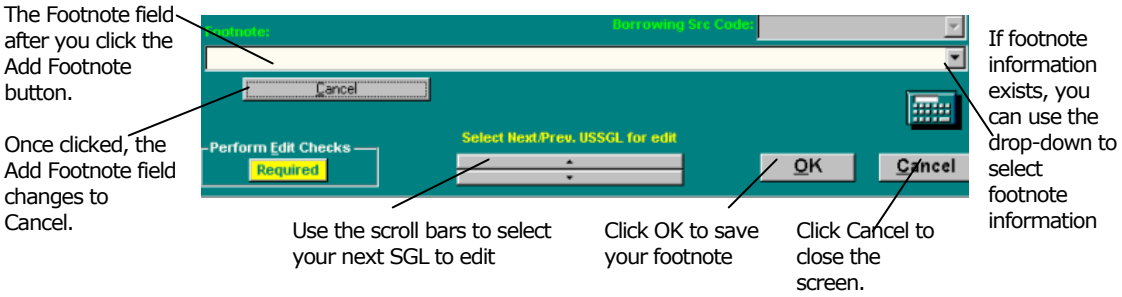
1. The Perform Edits Checks section of the Data Entry/Edit Screen contains the Execute button. The Execute button will run will run all of the accounting edits, however the 4th Quarter edits that run during Quarters 1-3 will be informational only. Refer to Section 4.4 Editing Quarterly Submissions for more details.

   EDIT REPORT: Once you run the edits (either Required Edits or All FACTS II Edits), a report will display showing your edit results. Refer to the Report below.

2. If you do not pass all the edits simply click on the "title line" of the edit you did not pass, then FACTS II will list the SGL Account(s) that relate to the edit failure at the bottom of the Edit Check Report. In addition, FACTS II will also allow users to print the Edit Check Report with the SGL accounts listed at the bottom of the report.

   NOTE: The edit check function has been designed to be informational in nature. To change the status of a TAFS to "Certified" or "Pending Certification" you must use the "Run Edit" function from the FACTS II main screen Tool Bar.

3. To add footnote information, click the Add Footnote button. The Add Footnote button will change to a Cancel button and the Footnote field will change from gray to white. In the Footnote field either type information required by edit 11 (see The Accounting Edits on page 3) or if a footnote has previously been added then select a footnote from the drop-down list. If you decide not to enter a footnote click the Cancel button.



4. After you complete the footnote information, click **OK** to save the footnote.

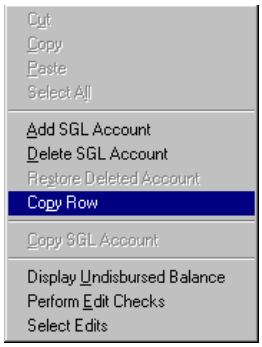
5. After you complete the Edit Screen, do one of the following:

- If you would like to enter another SGL Account, click **OK** to save the transaction details. Then select another SGL account by using the scroll bars to select the next or previous USSGL or go back to the USSGL Account field and select another SGL account from the drop-down.
- If you are finished, click Cancel to close the Data Entry/Edit Screen.

To copy an SGL account and its transaction details

You cannot add duplicate transactions within a quarterly submission. In other words, if you copy an SGL account and its transaction details, you must change at least one of the transaction details. If you change the Debit/Credit Code or the Amount, you must change at least one other field.

Follow these steps to copy an SGL account and its transaction details within a quarterly submission:



1. In the right pane of the main FACTS II window, right-click the SGL account that you want to copy and in the menu that appears, select *Copy Row*.

2. On the Edit Screen, change the appropriate fields and then click OK.

To copy a TAFS quarterly submission

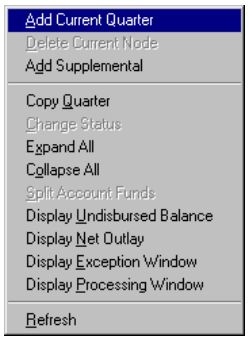
<u>NOTE</u>: Beginning 3rd Quarter 2006, FACTS II Preparers will no longer have to add the current quarter when reporting. FACTS II will automatically add the current quarter for each existing fund symbol on the MAF. Upon initial entry to the FACTS II system a message will appear stating, "The current quarter has been added to each of the fund symbols associated with your Preparer ID. Please proceed with normal operations". <u>Note</u>: This does not replace the Copy Quarter function. To copy all allowable TAFS

you will still need to select the quarter you want to copy from and paste the data to the current quarter.

Take advantage of this feature if you consistently report the same SGL accounts for a TAFS each quarter. You can copy submissions within one TAFS or copy submissions from one TAFS to another. After you copy a submission, you need to change only amounts and other appropriate transaction details for the current quarter.

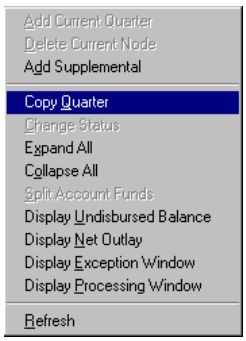
You can add submissions for only the current quarter. If a TAFS already has a submission for the current quarter, you cannot add a second submission.

Follow these steps to copy a TAFS's prior quarterly submission as a submission for the current quarter:



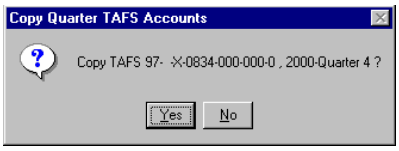
1. In the TAFS tree view on the main FACTS II window, right-click the TAFS to which you want to copy a quarterly submission and in the menu that appears, select *Add Current Quarter*.

The FACTS II program adds a submission for the current quarter in the TAFS tree view.



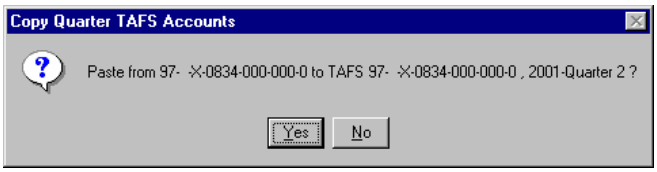
2. Right-click the quarterly submission that you want to copy and in the menu that appears, select *Copy Quarter*.

3. On the Copy Quarter TAFS Accounts window, click Yes



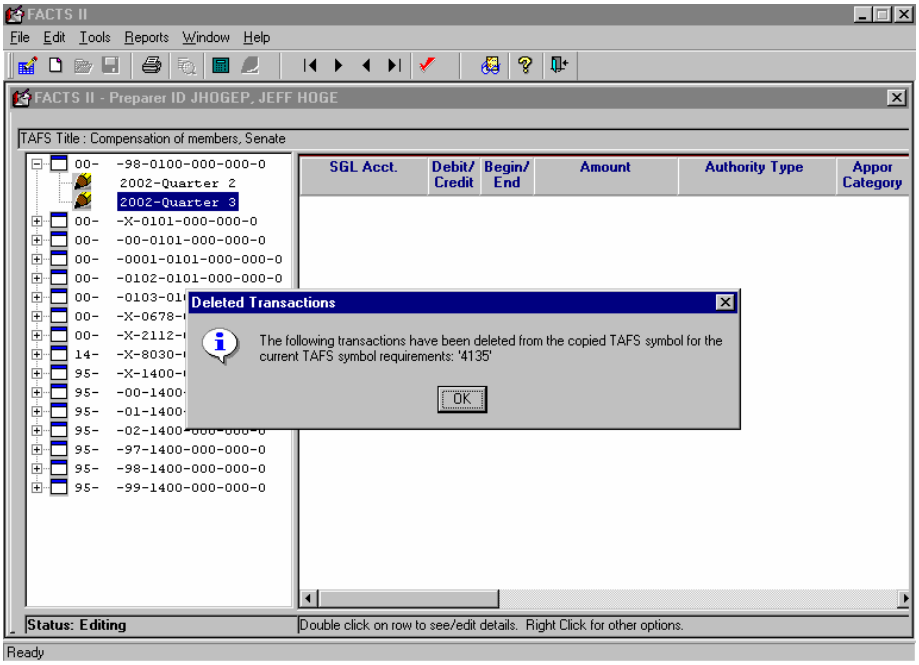
4. Click the submission for the current quarter that you added in step 2.
5. On the Copy Quarter TAFS Accounts window, click Yes.

   The FACTS II program copies all of the SGL accounts and transaction details from the prior quarterly submission to the submission for the current quarter.

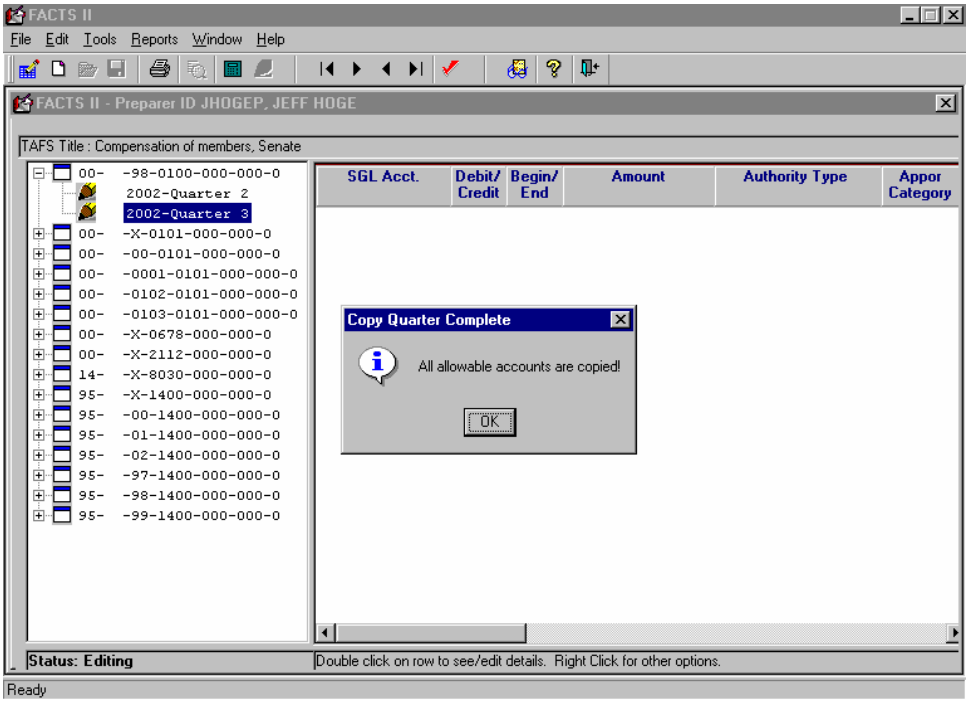


   There are instances when all of the SGL accounts *are not* copied. The system will not copy an SGL account if a particular change has occurred for the current Quarter to an SGL attribute associated with the SGL account. The Deleted Transactions window will appear identifying the transactions the system deleted based on the current Quarter requirements.

6. On the Deleted Transactions window, click OK.



7. On the Copy Quarter Complete window, click OK.



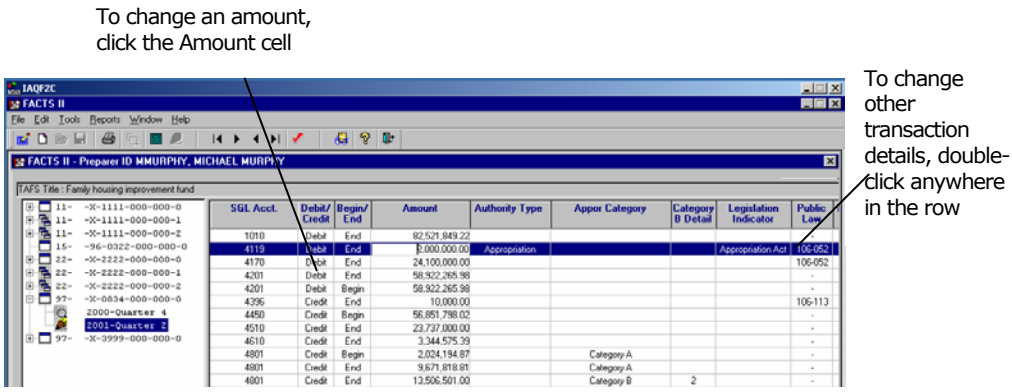
To change a quarterly submission

Do the following to change the transaction details of a TAFS's quarterly submission. You can change only the submissions that have a status of Editing.

1. In the TAFS tree view on the main FACTS II window, locate the TAFS for which you want to see quarterly submissions and click ⊞ to see the TAFS's submissions.

2. Click a quarterly submission. The submission's SGL account numbers and transaction details appear in the right pane of the window.

3. To change an SGL account's balance, click the Amount cell and then type a new value.



4. To change other transaction details, do the following:

   - Double-click anywhere in the row of the SGL account that you want to change.
   - On the Edit Screen, change the appropriate transaction details and then click OK.

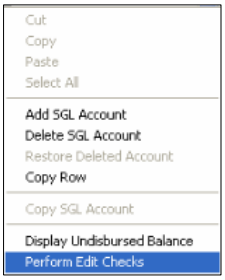
4.4 Editing Quarterly Submissions

When you change a TAFS submission's status to Certified or Pending Certification, the FACTS II program performs a series of accounting edits to verify the accuracy of the information that you provide in the submission. You can perform these accounting edits before you change the submission's status to ensure that all of the edits will be passed.

To perform accounting edits

1. In the TAFS tree view on the main FACTS II window, click the quarterly submission for which you want to perform accounting edits.

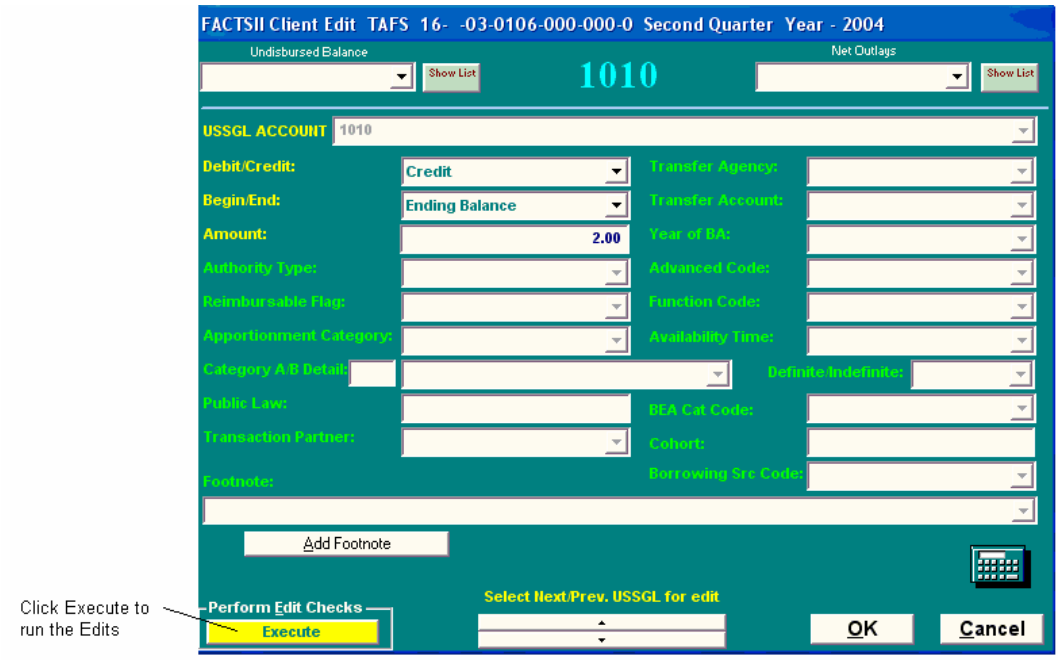
2. Right-click anywhere in the right pane of the window and in the menu that appears, select *Perform Edit Checks*.



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

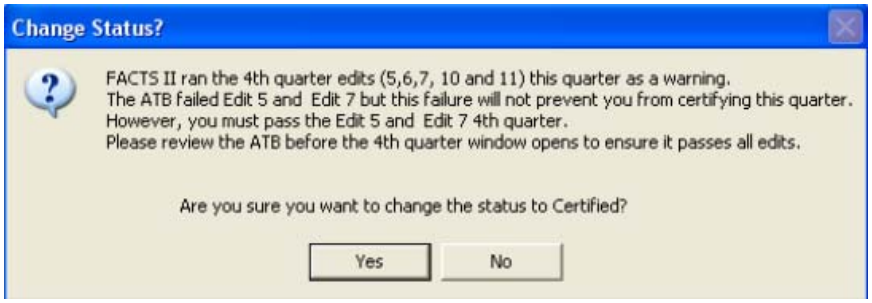
informational only.

3. If a window appears describing an error, note the error and then click OK to continue performing the accounting edits. The Data Entry/Edit Screen will appear.



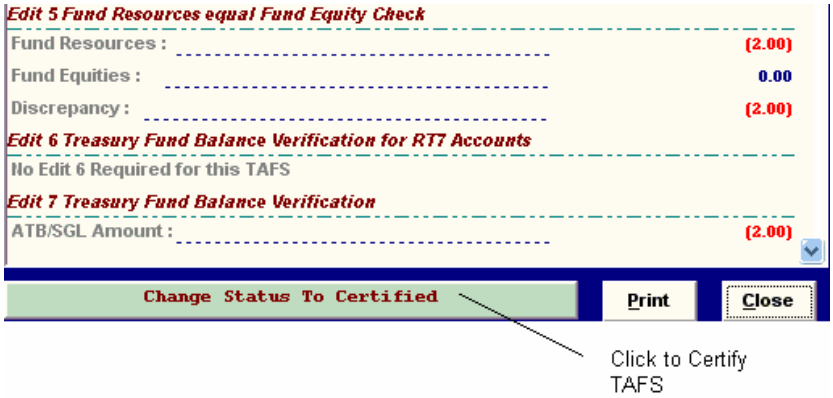
Enter the necessary data and click the "Execute" button located in the bottom left corner of the Data Entry/Edit Screen. The text "Failed Edit Checks" will appear in the top right of the Edit Checks Report if you failed any of the Edits.

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 **Ye**s 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.



4.4.1 Running Edit Report AFTER the Reporting Window Closes

FACTS II Client Online Application has been enhanced to allow users to run the FACTS II accounting edits to view/print the Edit Report *after* the reporting window has closed. The process for running the accounting edits after the window closes is exactly the same as running the edits during the open window. Refer to Section 4.4 for detailed instructions on running the accounting edits.

Note: You **will not** be able to change the status of your TAFS once the reporting window has closed.

4.4.2 The Accounting Edits

The following table describes the accounting edits.

Edit	Description	Performed
1	**Debit vs. Credit**. Total ending budgetary debits must equal total ending budgetary credits (4000 series of accounts).	All quarters
2	**Resources vs. Status of Resources**. Total budgetary resources must equal total status of resources, as reported on the SF 133 report.	All quarters
3	**Beginning balance**. The beginning budgetary resources less the beginning obligated balances must equal the beginning unobligated balances (beginning budgetary debits must equal beginning budgetary credits).	All quarters
4	**Zero balance accounts**. Certain SGL accounts should have no balance for fourth quarter reporting. Anticipated amounts, such as SGL account number 4060, "Anticipated Collections from Non-Federal Sources" is one example.	Informational Quarters 1-3 Quarter 4
5	**Resource vs. Equity**. The SGL account balances that correspond to fund resources on the FMS 2108 report must equal the SGL account balances that correspond to fund equities on the FMS 2108 report. Fund resources include the Post-closing Unexpended Balance (column 5), Other Authorizations (column 6), and Receivables (columns 7 and 8). Fund equities include Undelivered Orders and Contracts (column 9), Accounts Payable and Other Liabilities (column 10), and Unobligated Balances (column 11).	Informational Quarters 1-3 Quarter 4
6	**Treasury fund balance**. SGL account balances for authority types such as contract, borrowing, and investments reported in your submission must equal the Pre-closing Unexpended Balance (FMS 2108 column 2) that Treasury maintains in its books.	Informational Quarters 1-3 Quarter 4
7	**Treasury fund balance**. SGL account balances that correspond to the undisbursed fund balances reported on the FMS 2108 report (SGL account 1010 in column 5, plus or minus SGL accounts 4350 "Canceled Authority" and 4391 "Adjustments to Indefinite No-Year Authority" in column 4) must equal the Pre-closing Unexpended Balance that Treasury maintains in its books.	Informational Quarters 1-3 Quarter 4
8	**SF 133 Proof Edit** The SF 133 Proof checks the internal consistency of the SF 133. The following SF 133 lines are used in the proof: Outlays = Lines 8 – (3D1+3D2+3D5a+3D5b+2A) + 12 ± 15 – (18A -18B)	All quarters
9	Available for future use.	N/A
10	**Proper cancellations**. For the following TAFSs, the SGL accounts that crosswalk to columns 7-8 (receivables) and 9-11 (payables) on the FMS 2108 report must contain zero balances: ▪ All annual TAFSs for the canceling fiscal year (five years prior to the current fiscal year) ▪ All multi-year TAFSs whose period of availability ended in the canceling	Informational Quarters 1-3 Quarter 4

Edit	Description	Performed
	fiscal year ▪ All canceling "X" year TAFSs	
11	**Footnotes**. A footnote is required for any Treasury Appropriation Fund Symbol with any of the following: ▪ Negative receivables ▪ Negative payables ▪ Negative balances in the following SGL accounts: ▫ 4221 "Unfilled Customer Orders Without Advance" ▫ 4133 "Actual Adjustments to Contract Authority" ▪ Non-zero balances in any of the following SGL accounts: ▫ 4131 "Current-Year Contract Authority Realized - Definite" ▫ 4132 "Current-Year Contract Authority Realized - Indefinite" ▫ 4135 "Contract Authority Liquidated" ▫ 4141 "Current-Year Borrowing Authority Realized - Definite"	Informational Quarters 1-3 Quarter 4
12	**Outlay reconciliation**. Outlay amounts reported in your submission must equal those reported on the SF 224 "Statement of Transactions" (year-to-date, cumulative balances).	All quarters

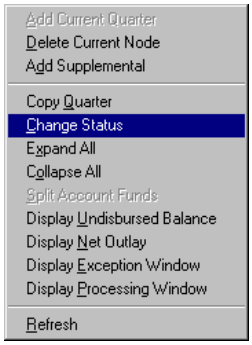
4.5 Changing a Submission's Status

Do the following to change the status of a TAFS submission from Editing to Certified (quarters 1-3) or Pending Certification (quarter 4). When you change a TAFS's status, the FACTS II program automatically performs the accounting edits. You cannot change the status of a submission that fails any of the accounting edits.

You cannot change a submission's status to Certified during quarter 4. You can change the status to Pending Certification, and then your certifier can change the status to Certified after he or she reviews the submission.

To change the status of a submission

Note: The steps to change the status of a submission to either Certified or Pending Certification are the same. After you perform this procedure, if a submission passes the accounting edits, then the FACTS II program changes its status to Certified during quarters 1-3 or Pending Certification during quarter 4.



1. In the TAFS tree view on the main FACTS II window, right-click the quarterly submission for which you want to change the status and in the menu that appears, select *Change Status*.

2. On the Change Status window, click Yes.

3. If a window appears describing an accounting edit failure, then note the information and click OK.

   You must correct all accounting edit failures before you can change a submission's status.

4.6 Creating Supplemental Submissions

Supplemental submissions provide a way for you to amend incorrect or incomplete information that you reported in the previous and/or current quarter's submission.

Include in your supplemental submission only the SGL accounts for which you reported incorrect or incomplete information. If you reported an incorrect amount for an SGL account, include in your supplemental submission an amount to be netted with the amount that you previously reported. For example, if you reported a $10,000 credit for a specific SGL account, but the amount should be $9000, your supplemental submission should contain a $1000 debit.

Because several exceptions exist for submissions during quarters 1-3 verses quarter 4, the supplemental submission process has been divided into two sections:

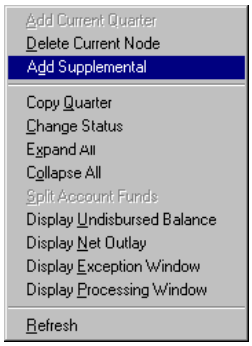
1. Quarters 1-3

You are able to create a supplemental submission for current quarters during quarters 1-3 and you are able to create a supplemental submission for the previous quarter during quarters 2-4. A supplemental record can only be created if the status of the previous/current quarter's submission is Certified or Reported On. You *will not* be able to create a second or subsequent submission. To have a second supplemental submission created, you must contact your FACTS II administrator. Like regular submissions, the preparer must certify supplemental submissions in quarters 1-3.

2. Quarter 4

Because of the importance of timely reporting at year-end, only your FACTS II administrator can add a supplemental submission for quarter 4, either during the quarter 4 reporting window or during the Revision Period, a special reporting period in January. After your administrator adds the supplemental submission, you can add its transaction details. Like regular submissions, the certifier must certify supplemental submissions during quarter 4.

To create a supplemental submission



1. In the TAFS tree view on the main FACTS II window, right-click the quarterly submission for which you want to add a supplemental submission and in the menu that appears, select *Add Supplemental*.

   The FACTS II program adds a TAFS to the TAFS tree view that contains a MAF Sequence Number = 1.

2. Right-click the new TAFS and in the menu that appears, select *Add Current Quarter*.

3. Click the new supplemental submission and in the right pane of the window, add transaction details.

4.6.1 Supplemental Submissions with RT7 Association

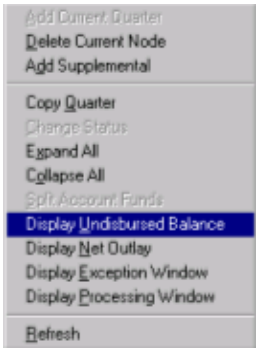
A RT7 (Record Type 7) is a unique identifier for other authority types for a TAFS such as borrowing, contract, and investments. Examples of RT7s include:

- 911 – Unrealized Discount on Investments
- 921 – Imprest Funds (Funds Held Outside the Treasury)
- 931 – Unamortized Premium and Discount
- 941 – Unfunded Contract Authority

- 951 – Authority to Borrow from the Treasury
- 961 – Other Monetary Assets
- 962 – Authority to Borrow from the Public
- 965 – Other Monetary Assets
- 971 – Investments in Public Debt Securities
- 972 – Investments in Agency Securities

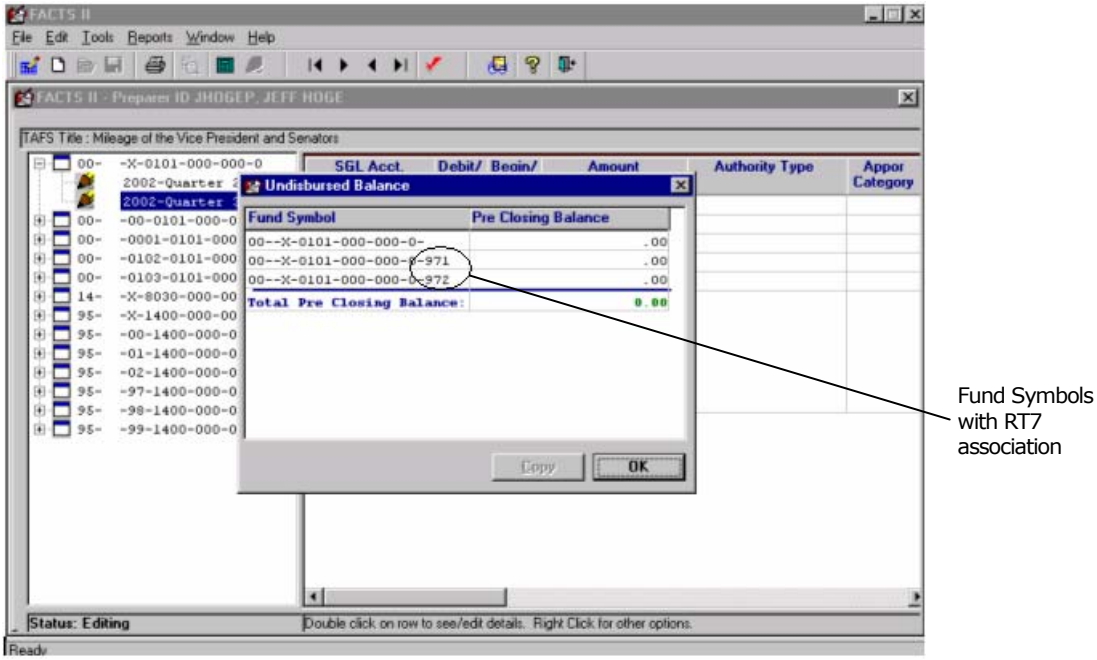
A RT7 supplemental record can be added for Quarters 1-4 by contacting the FACTS II Administrators via email. Contact information can be found at. The FACTS II administrators are the only individuals that can http://fms.treas.gov/factsii/contacts.html add RT7s to a supplemental record.

To view a TAFS with RT7 Association



1. If you are not certain whether the TAFS contains a RT7 identifier then in the TAFS tree view on the main FACTS II window, right-click the quarterly submission for which you want to add a supplemental submission. In the menu that appears, select *Display Undisbursed Balance.*

2. An Undisbursed Balance window will appear and display the Fund Symbol and Pre-Closing Balance. If the Fund Symbol has a RT7 identifier, then you will need to contact a FACTS II administrator to add the supplemental record (for *all* Quarters).



4.7 Exporting Data

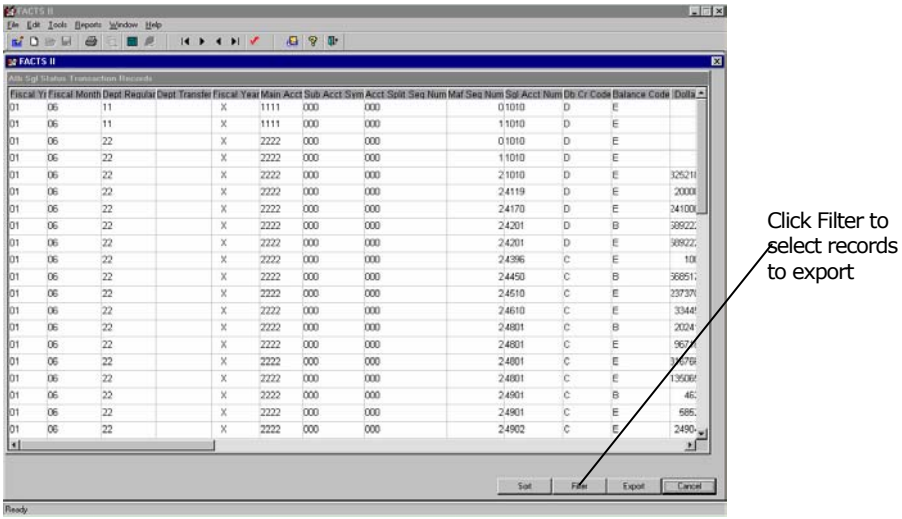
The following table describes the data that you can export using the FACTS II program.

Types of Data	Description
Transaction data	Selected TAFSs and adjusted trial balances that you entered using the FACTS II program, including SGL accounts, balances, and transaction details.
SF 133 Crosswalk Table	Information used to indicate on which line on the SF 133 report that SGL account balances appear.
FMS 2108 Crosswalk Table	Information used to indicate in which column on the FMS 2108 report that SGL account balances appear.
OMB Budget Account Table	OMB Budget Agencies, their Bureau Codes and required SGL account attribute values.
OMB Budget Agency Table	OMB Budget Agency numbers and descriptions.
OMB Budget Bureau Table	OMB Budget Bureau codes and descriptions.
Accounting Edit 1-12 Tables	Information used during accounting edits 1-12.
Accounting Pre-Edit Table	Information used before the accounting edits to determine which SGL accounts are valid for a TAFS.
SGL Domain Table	Valid SGL account attribute values.
SGL Account Table	The current fiscal quarter's SGL accounts and valid attribute values.

To export transaction data (TAFS submissions)

1. On the main FACTS II window, from the Tools menu, select *Export Transaction Data*.

   All of the transaction details of your TAFSs appear in the ATB SGL Status Transaction Records table sorted on the Department Regular Number column.



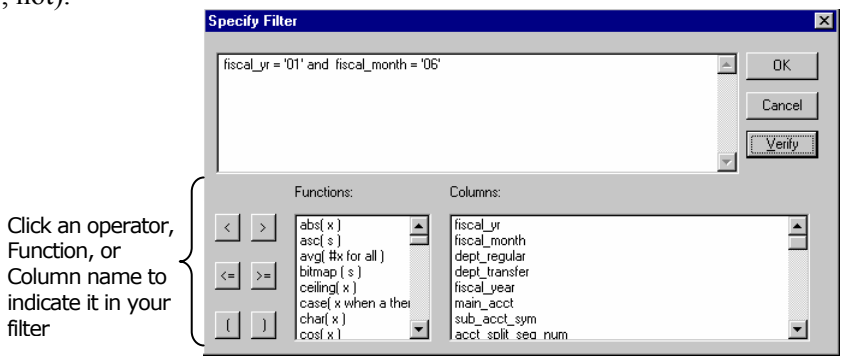
2. Do the following to select specific records to export. If you want to export all of the records, skip this step.

- Click Filter.
- On the Specify Filter window, build a filter using the Functions, Columns, and operator buttons.

  For example, to export only the TAFS submissions for fiscal year 2001 quarter 2, your filter should look like the following:

  fiscal_yr = '01' and fiscal_month = '06'

  You can use standard arithmetic operators (+ - * / = < >) and logical operators (and, or, not).



- After you build your filter, click Verify.

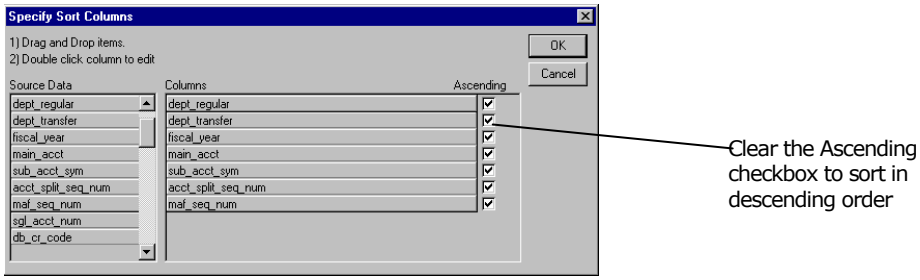
  The FACTS II program verifies that the syntax of your filter is correct. One problem you may encounter is incorrect data types. For example you may assume that the fiscal_yr column is numeric, but the fiscal_yr column is alphanumeric and you must enclose the value after the operator in quotes. For example fiscal_yr = '01'.

- If an error window appears after you click Verify, click OK and correct your filter.
- If the Filter is OK window appears after you click Verify, click OK and on the Specify Filter window, click OK.

  The records that satisfy the conditions of your filter appear in the ATB SGL Status Transaction Records table.

3. Do the following to sort the records in the ATB SGL Status Transaction Records table. If you don't want to sort the records, skip this step.

- Click Sort.
- On the Specify Sort Columns window, to select the columns on which to sort the table, use your mouse to drag the column names from Source Data to Columns.



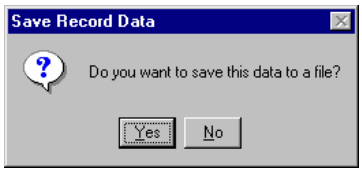
The order in which the names appear under Columns determines the sorting hierarchy. For example in the sample window, the dept_regular column is the primary sort, the dept_transfer column is the secondary sort, and so on.

- To specify sorting conditions for a specific column name, double-click the name under Columns and on the Modify Expression window, build your sort condition the same way you build a filter as described in step 2.
- On the Specify Sort Columns window, click OK.

  The sorted records appear in the ATB SGL Status Transaction Records table. The FACTS II program exports records in the order in which you sorted them.

4. To export the records, click Export.

5. On the Save Record Data window, click Yes.

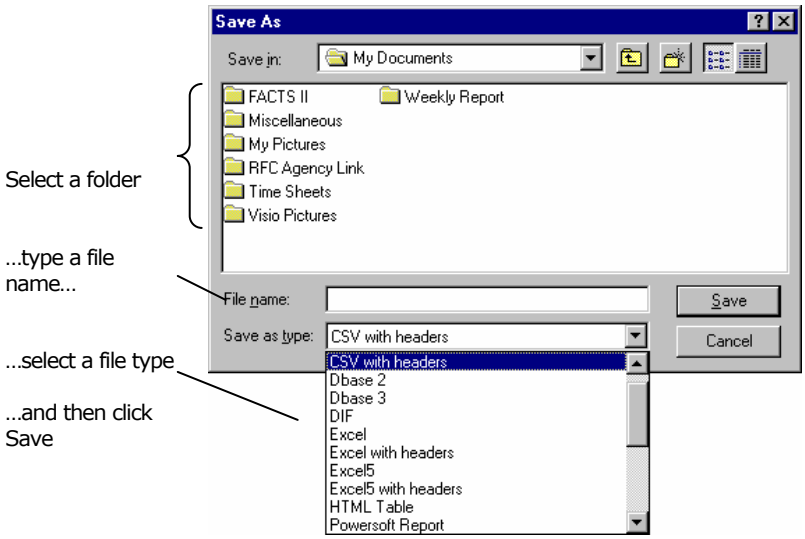


6. On the Save As window, select the folder where you want to save the TAFS submissions file.

7. In the File name field, type a name for the TAFS submissions file that you are saving.

8. From the Save as type drop-down list, select a file type.

For information on file types, see the following section "File Types."



9. Click Save.

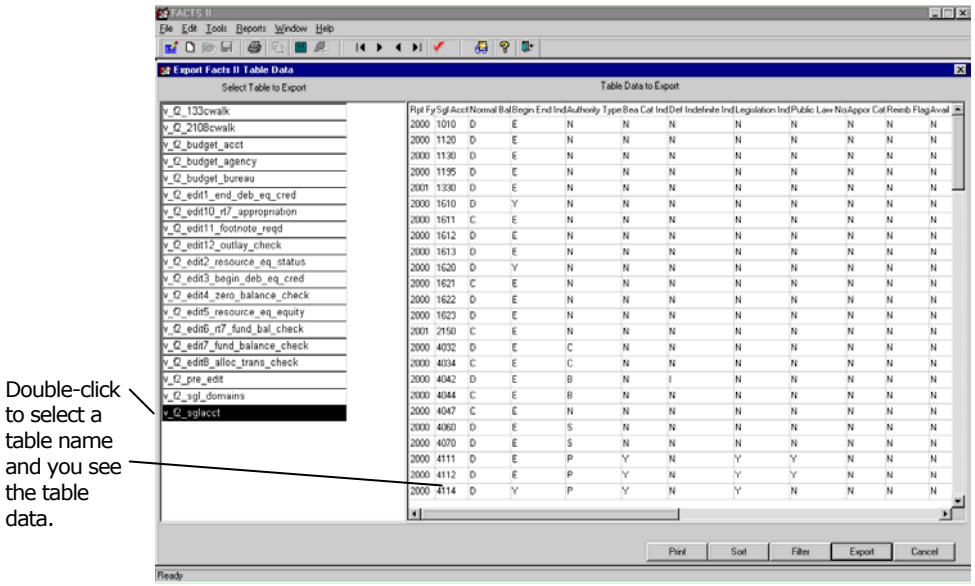
10. To return to the main FACTS II window, on the ATB SGL Status Transaction Records table, click Cancel.

To export table data

1. On the main FACTS II window, from the Tools menu, select *Export Table Data*. The tables that you can export appear on the Export FACTS II Table Data window.

2. Under Select Table to Export, double-click the table name that you want to export.

   The contents of the table that you selected appear under Table Data to Export.



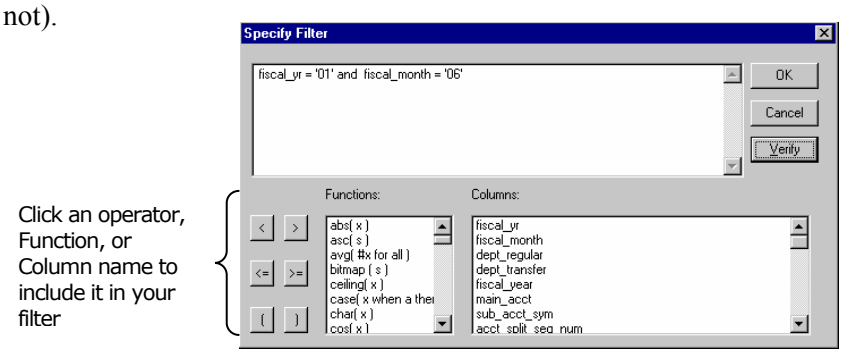
3. Do the following to select specific rows in the table to export. If you want to export all of the rows, skip this step.

- Click Filter.
- On the Specify Filter window, build a filter using the Functions, Columns, and operator buttons.

  For example, to export only the SGL accounts that normally have credit balances, your filter should look like the following:

  normal_bal = 'C'

  You can use standard arithmetic operators (+ - * / = < >) and logical operators (and, or, not).



- After you build your filter, click Verify.

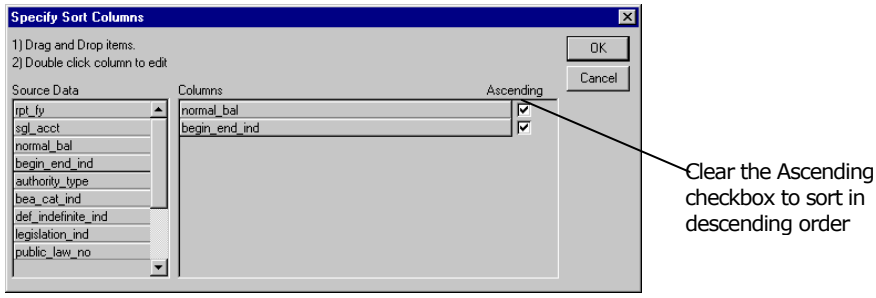
  The FACTS II program verifies that the syntax of your filter is correct. One problem you may encounter is incorrect data types. For example you may assume that the SGL Acct column is numeric, but the column is alphanumeric and you must enclose the value after the operator in quotes. For example sgl_acct = '1010'.

- If an error window appears after you click Verify, click OK and correct your filter.
- If the Filter is OK window appears after you click Verify, click OK and on the Specify Filter window, click OK.

  The records that satisfy the conditions of your filter appear under Table Data to Export.

4. Do the following to sort the records in the table. If you don't want to sort the records, skip this step.

- Click Sort.
- On the Specify Sort Columns window, to select the columns on which to sort the table, use your mouse to drag the column names from Source Data to Columns.



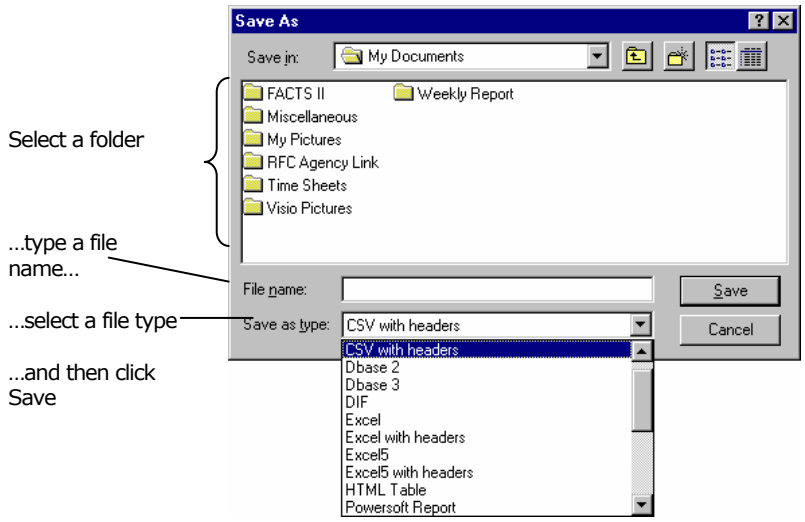
The order in which the names appear under Columns determines the sorting hierarchy. For example in the sample window, the normal_bal column is the primary sort and the begin_end_ind column is the secondary sort.

- To specify sorting conditions for a specific column name, double-click the name under Columns and on the Modify Expression window, build your sort condition the same way you build a filter as described in step 3.
- On the Specify Sort Columns window, click OK.

  The sorted records appear under Table Data to Export. The FACTS II program exports records in the order in which you sorted them.

5. To export the table, click Export.

6. On the Save As window, select the folder where you want to save the file.



7. In the File name field, type a name for the table data file that you are saving.

8. From the Save as type drop-down list, select a file type.

For information on file types, see the following section "File Types."

9. Click Save.

10. To return to the main FACTS II window, on the Export FACTS II Table Data window, click Cancel.

4.7.1 File Types

The following table describes the file types you can select when you export and save a transaction or table file. If a file type fails to work, export the file again and select a different file type.

File Type	Description
CSV	Comma-separated values (CSV)
CSV with headers	Comma-separated values with column headings
dBASE 2	dBASE® version 2 format
dBASE 3	dBASE version 3 format
DIF	Data interchange format (DIF). A format consisting of ASCII codes in which database, spreadsheet, and similar documents can be structured for use by and transfer to other programs.
Excel	Microsoft Excel® spreadsheet
Excel with headers	Microsoft Excel spreadsheet with column headings
Excel5	Microsoft Excel version 5 spreadsheet
Excel5 with headers	Microsoft Excel version 5 spreadsheet with column headings

File Type	Description
HTML tables	Hypertext Markup Language (HTML). The markup language used for documents on the World Wide Web.
Powersoft Report	Powersoft® report format
SQL	Structured Query Language (SQL) syntax. SQL is a database sub-language used in querying, updating, and managing relational databases.
SYLK	A symbolic link file (SYLK) constructed with a proprietary Microsoft format, used primarily for exchanging spreadsheet data so that formatting information and intercellular data value relationships are preserved. This format is used by Microsoft Multiplan®.
SYLK with headers	SYLK format, the first record contains column headings
Text	ASCII format with each field padded with spaces to maintain field widths and a carriage return at the end of each record.
Text with headers	ASCII format, the first record contains column headings
WKS	Lotus 1-2-3® spreadsheet
WKS with headers	Lotus 1-2-3 spreadsheet with column headings
WK1	Lotus 1-2-3 spreadsheet
WK1 with headers	Lotus 1-2-3 spreadsheet with column headings
Windows Metafile	Windows metafile format. A metafile is a file that contains or defines other files. Many operating systems use metafiles to contain directory information about other files on a given storage device.

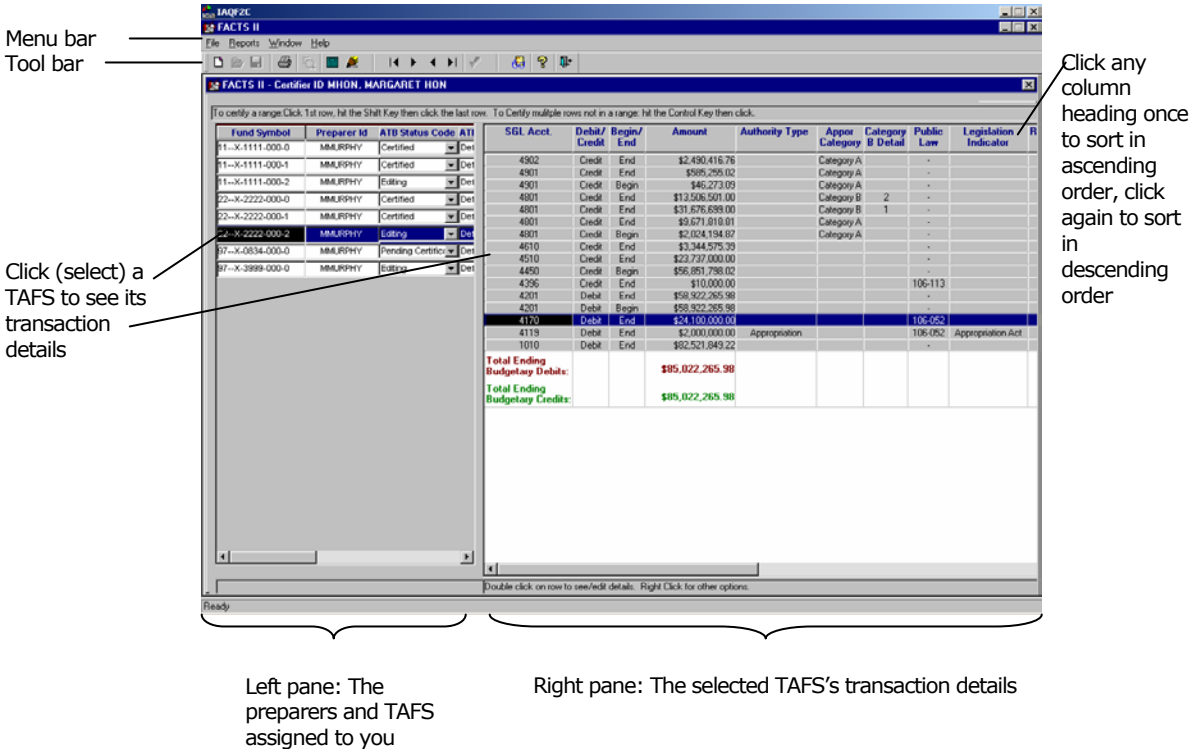
5

FACTS II Certifiers

Use this chapter if you are a FACTS II certifier. If you are a FACTS II preparer, use chapter 4. This chapter describes the following functions available on the certifier's main FACTS II window:

- Reviewing a TAFS's quarterly submissions
- Changing the status of a TAFS

5.1 The Certifier's Main FACTS II Window



5.1.1 TAFS Format

The TAFS is a unique identifier for each fund and consists of the following:

- 2-digit Department Regular Number
- 2-digit Department Transfer Number – This field may be blank.
- 4-character Fiscal Year – The Fiscal Year field may appear in the following formats:
  - *9999* – Multi-year funds. The first two digits are the first year of fund availability under law that a TAFS may incur obligations. The second two digits are the last year that a TAFS may incur obligations.
  - *bb99* – Annual funds. The first two positions are blank. The second two digits are the year of fund availability under law that a TAFS may incur obligations.
  - *bbb*X – No-year funds. The first three positions are blank. X indicates that funds are available until the purposes for which the funds were made available are accomplished.
  - *bbb*M – M account. The first three positions are blank.
- 4-digit Main Account Number
- 3-digit Sub-Account Number
- 3-digit Account Split Sequence Number – A number > 000 indicates an account split.
- 3-digit MAF Sequence Number – 000 indicates an original MAF, a number > 000 indicates a supplemental MAF.

5.2 Reviewing TAFS Submissions

During quarters 1-3, a preparer can change the status of a TAFS submission from Editing to Certified. Therefore, a certifier is not required to perform any certification functions during these quarters. However, FMS recommends that certifiers review all submissions each quarter.

During quarter 4, the preparer changes the submission's status to Pending Certification and then the certifier to which the preparer is assigned must change the status to Certified. Review the TAFSs of each preparer assigned to you before you change their statuses.

To review a TAFS submission

- In the left pane on the main FACTS II window, click a TAFS. The transaction details of the TAFS submission appear in the right pane.

5.3 Changing a TAFS Submission's Status

To change a status from Pending Certification to Certified

After you review a TAFS submission and verify the accuracy of its transaction details, do the following to change its status to Certified. You can change the status of only a submission whose current status is Pending.

1. In the left pane on the main FACTS II window, right-click the TAFS whose status you want to change.

2. In the menu that appears, select *Certify Records*.

3. On the Certification Authorization window, click Yes.

To change a status from Pending Certification to Editing

If the preparer needs to correct a TAFS submission, do the following to change the status of the submission to Editing.

1. In the left pane on the main FACTS II window, right-click the TAFS whose status you want to change.

2. In the menu that appears, select *Status To Editing*.

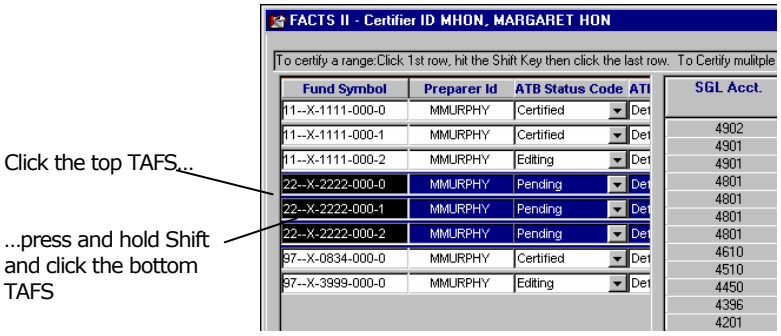
3. On the Status to Editing window, click Yes.

To select a group of TAFS in consecutive rows

Do the following to select multiple TAFS in consecutive rows so that you can change their statuses at the same time. After you select a range of TAFS, right-click any one of the TAFS to change all of their statuses.

1. Click the TAFS in the top row.

2. Press and hold SHIFT and click the TAFS in the bottom row.

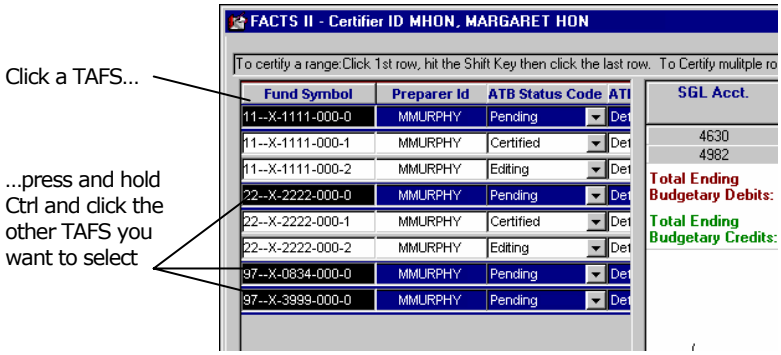


To select multiple TAFS that are not in consecutive rows

Do the following to select multiple TAFS that are not in consecutive rows so that you can change their statuses at the same time. After you select several TAFS, right-click any one of the selected TAFS to change all of their statuses.

1. Click a TAFS.

2. Press and hold CTRL and click the other TAFS that you want to select.



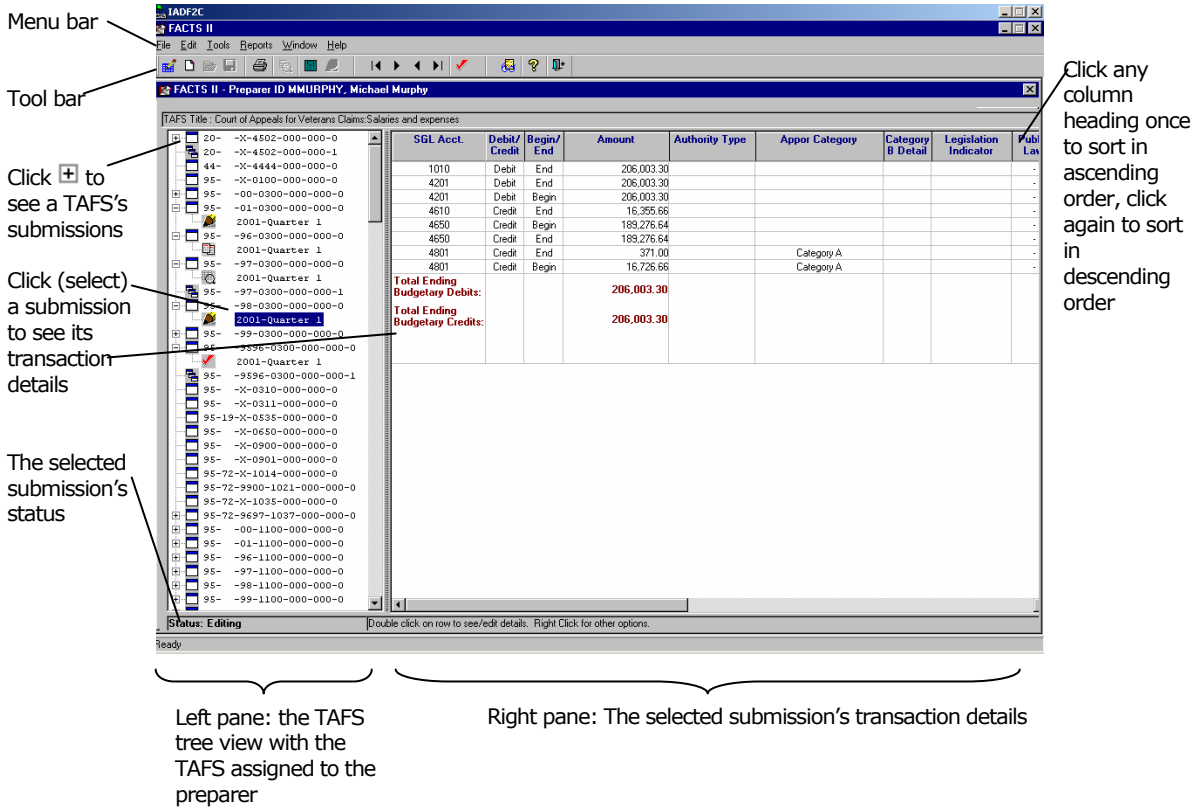
6

FACTS II HQ Reviewers

Use this chapter if you are a FACTS II HQ reviewer. FMS created the HQ reviewer user role to enable agency administrative personnel to review TAFSs. This chapter describes the following functions available on the HQ reviewer's main FACTS II window:

- Reviewing a TAFS's quarterly submissions

6.1 The HQ Reviewer's Main FACTS II Window



6.1.1 The Main FACTS II Window Icons

The following table describes the icons that you see in the TAFS tree view.

Icon	Description
	Represents one TAFS.
	Represents one supplemental TAFS.
	Represents one TAFS reassigned to a different preparer.
	Represents one quarterly submission with **Editing** status. The FACTS II program assigns the Editing status to a submission. The assigned preparer can edit the quarterly submission.
	Represents one quarterly submission with **Pending Certification** status. After running the edit process, the preparer assigns the Pending Certification status to a submission during quarter 4. The certifier can review the submission and change its status to Certified.
	Represents one quarterly submission with **Certified** status. After running the edit process, the preparer assigns the Certified status to a submission during quarters 1-3. Only the certifier can assign the Certified status to a submission during quarter 4.
	Represents one quarterly submission with **Reported On** status. The FACTS II program assigns this status to a submission. The submission was reported to FMS and OMB.

6.1.2 TAFS Format

The TAFS is a unique identifier for each of your funds and consists of the following:

- 2-digit Department Regular Number
- 2-digit Department Transfer Number – This field may be blank.
- 4-character Fiscal Year – The Fiscal Year field may appear in the following formats:
  - *9999* – Multi-year funds. The first two digits are the first year of fund availability under law that a TAFS may incur obligations. The second two digits are the last year that a TAFS may incur obligations.
  - *bb99* – Annual funds. The first two positions are blank. The second two digits are the year of fund availability under law that a TAFS may incur obligations.
  - *bbb*X – No-year funds. The first three positions are blank. X indicates that funds are available until the purposes for which the funds were made available are accomplished.
  - *bbb*M – M account. The first three positions are blank.
- 4-digit Main Account Number
- 3-digit Sub-Account Number
- 3-digit Account Split Sequence Number – A number > 000 indicates an account split.
- 3-digit MAF Sequence Number – 000 indicates an original MAF, a number > 000 indicates a supplemental MAF.

6.2 Starting the FACTS II Client Program

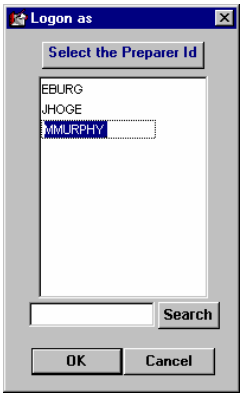
After you start the FACTS II program, you are prompted to select a preparer. Select the preparer whose TAFS you want to review.

Beginning 2nd Quarter 2006, a Headquarter Reviewer will be assigned to one or more Department Regulars and as a result, see all Preparers' TAFS under their assigned Department Regular. Upon initial log on to the FACTS II application, the Headquarter Reviewer will be presented with a list of Preparers associated to their specific Department Regular assigned to the Headquarter Reviewer. The Headquarter Reviewer will select the Preparer ID for which they wish to view TAFS information. All TAFS currently assigned to the Preparer will be displayed, including those with Department Transfers. The role will remain the same in that it will be view only and have access to all the FACTS II Reports.

To select a preparer

- On the Logon as window, select the preparer whose TAFSs you want to see and then click OK.

  Note: After you select a preparer, you must quit and restart the FACTS II program to see another preparer's TAFSs.

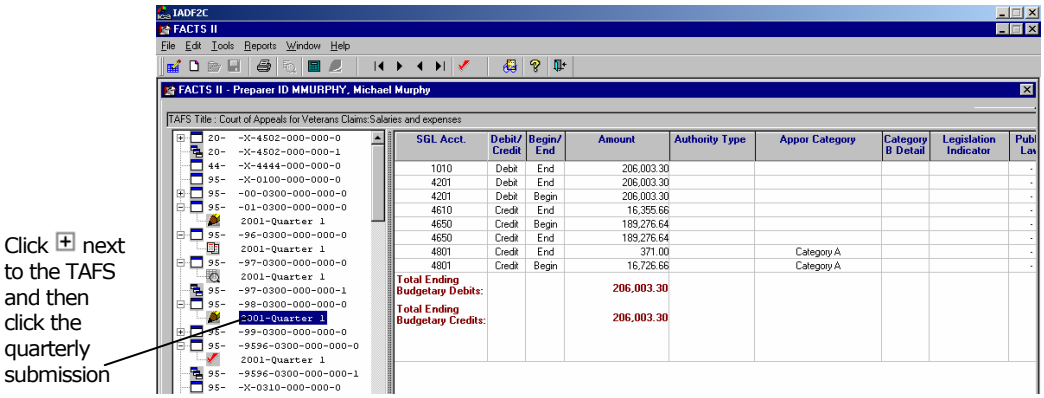


6.3 TAFSs and Quarterly Submissions

The TAFSs assigned to your preparer appear in the TAFS tree view in the left pane of the main FACTS II window. You see only the TAFSs assigned to the preparer that you selected when you started the FACTS II program. To see a TAFS's quarterly submissions, click ⊞ next to the TAFS. Each submission contains a set of SGL (U.S. Standard General Ledger) account numbers and a balance and transaction details for each SGL account number. The sum of a submission's SGL account balances is the TAFS's adjusted trial balance.

To review a TAFS's quarterly submissions

1. In the TAFS tree view on the main FACTS II window, locate the TAFS for which you want to see quarterly submissions and click ⊞ to see the submissions.
2. Click a quarterly submission. The submission's SGL account numbers and transaction details appear in the right pane of the window.



7

Bulk Files

7.1 Accessing FACTS II

Effective Quarter 1, 2005 you are able to submit a bulk file via the Client Online application. You may do so in two ways:

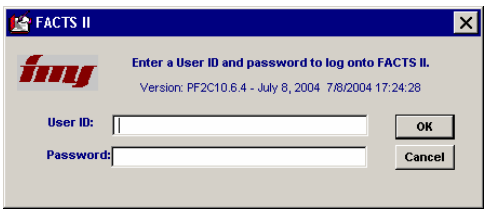
1. From initial access to the Client Online application
2. From within the Client Online application

How to submit a bulk file from initial access to the Client Online application

1. On the GOALS II/FACTS II page, click the FACTS II Client (Production) link.

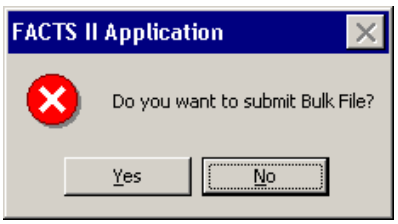
2. A warning message appears to inform you that you have accessed a government computer. Click **OK** to proceed.

3. On the FACTS II window type your User ID and Password then click **OK**.

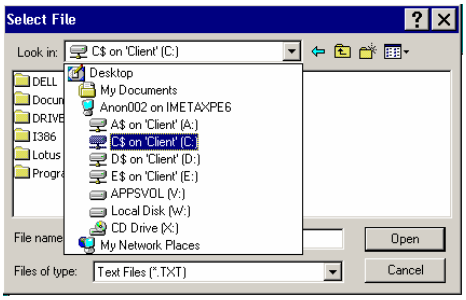


4. On the GOALS2 Message window, click **OK**.

5. The FACTS II Application window will appear asking if you would like to submit a Bulk File. Click **Yes** and the Select File window will appear. Click **No,** and you will be redirected to the Client Online Application to view, correct and/or submit your TAFS.

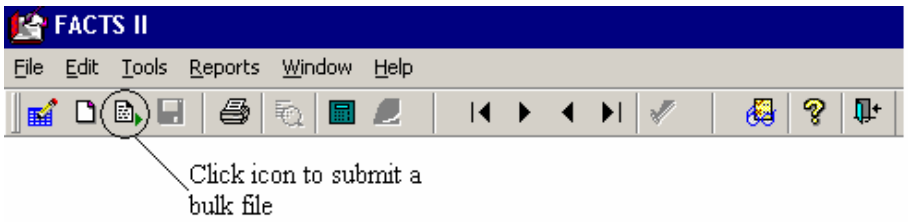


6. From the Select File window, choose the bulk file you would like to submit and click **Open**.

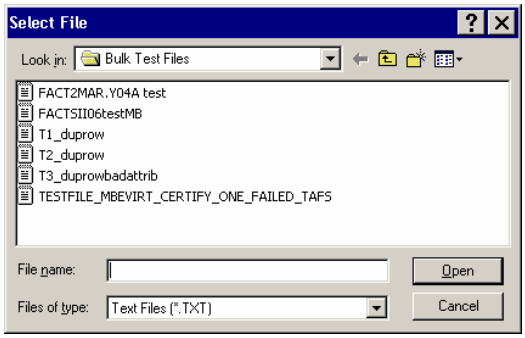


How to submit a bulk file within the Client Online application

1. If you are within the FACTS II Client Online Application and would like to submit a bulk file, simply click the bulk file icon on the Tool Bar as shown below.



2. The Select File window will appear. Choose a bulk file and click **Open**.



7.2 Download SGL Data

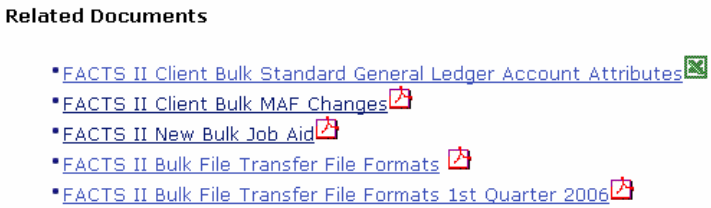
The Department of Treasury requires you to report your budget execution information using the U.S. Standard General Ledger (SGL) account numbers. You are also required to report specific information for each SGL account number. This required information is identified by the SGL account attributes. Use the Client Bulk portion of the FACTS II Web site to download and save the SGL account numbers and their attributes.

7.2.1 Downloading and Saving SGL Data

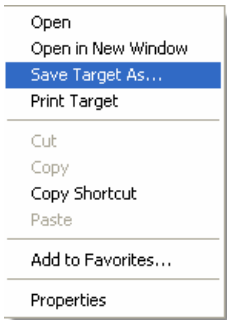
How to download and save SGL Data in Text format or PDF format

1. SGL Data can be accessed through the FACTS II Web site within the Client Bulk section at **http://fms.treas.gov/factsii/bulkfile.html**.

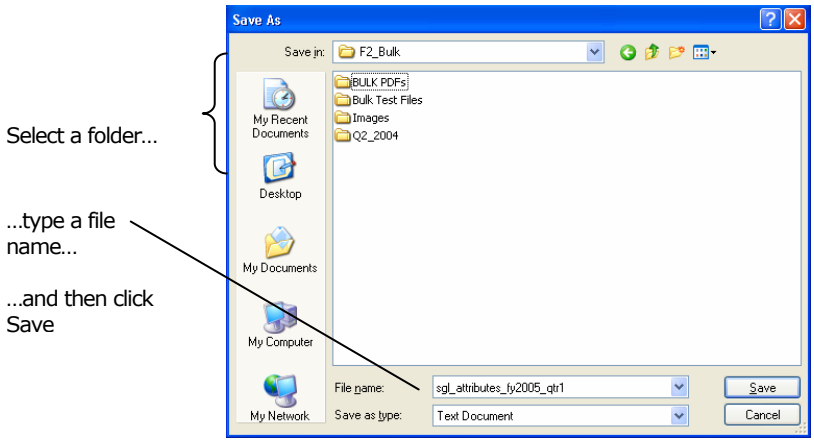
2. To download and save SGL Data in *Text format* right click the link **FACTS II Client Bulk Standard General Ledger Account Attributes** link with the text icon next to it.



3. Click **Save Target As…** from the menu that appears.



4. The **Save As** window will appear, select the folder where you would like to save the SGL data file.



5. If necessary, in the File name field, type a name for the SGL data file that you are saving.

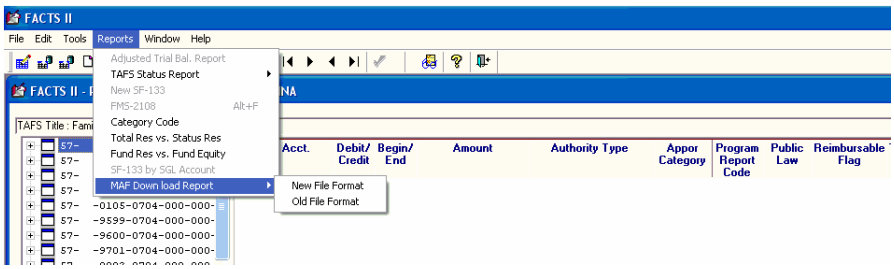
6. Click Save.

7.3 Download Master Account File (MAF) Data

The Master Account File (MAF) contains the valid TAFSs (Treasury Appropriation Fund Symbols) for the preparer currently logged on to the Client Online program. Each MAF record contains a TAFS and the TAFS's pre-closing balance. When you download the MAF, all TAFS under a preparer or group of preparers will display.

To download the MAF

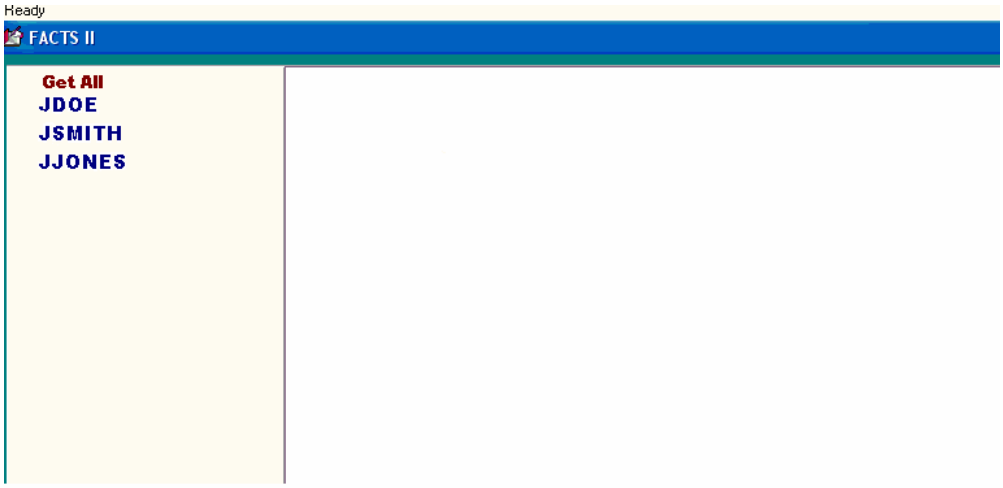
1. The New Master Account Download Report is located under the "Reports" menu on the FACTS II Tool Bar. To access the report from the FACTS II Client Online Main screen, click on "Reports", highlight MAF Download Report, and then select the New Report Format or the Old Report Format.



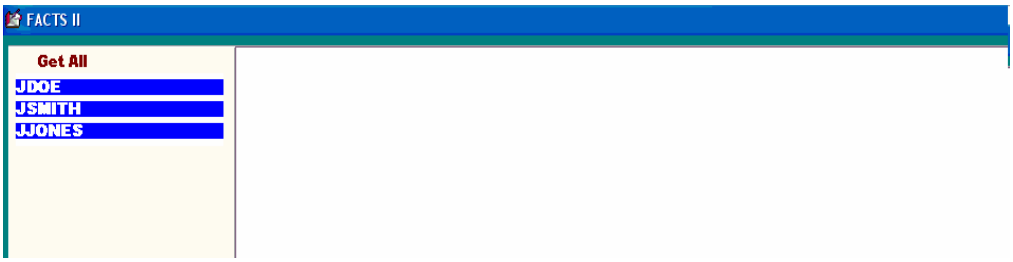
The "New Report Format" provides the same information as the old format. The change to the format is the resizing of the Pre-Closing Balance field. This field has been expanded to 18 digits from 15 digits, adding 3 digits to the overall length of the record. Again, no action is required by system users at this time as a result this record change. The old format will be available for use during FY 2005 reporting. Beginning 1st Quarter 2006, the old record format will not be supported by FACTS II.

The "Old Report Format" produces the old format as presented by the retired FACTS II Client Bulk Application. Unfortunately, we found a potential error with the old format, in that the size of the amount fields for the Pre-closing Balance of the MAF down load record were set too small, and could result in errant information being presented to a user. The "Old Record Format" is safe to use and only presents a problem when the dollar amounts exceed 15 digits, otherwise the correct dollar amount is reflected in the MAF record. However, we recommend you use the "New Report Format", unless you use the old record format as an input source to an electronic data storage environment. Please refer to the updated MAF Record layout on this website for details.

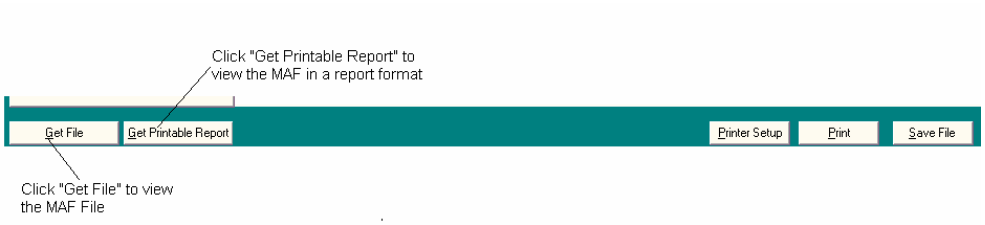
2. If you select "New Report Format" from the drop-down menu the following window will appear.



3. Select specific preparers by clicking (highlighting) the preparer.



4. Next click "Get File" or "Get Printable Report to view MAF data.



5. If you clicked "Get File", then the following screen will appear.

```
89  X0206000000000  NYJJONES 00000000000464284000000000000000000015Y  YYY
89  X0212000000000  NYJJONES 000000003141016037-0000000038833271215Y  YYY
89  X0213000000000  NYJJONES 000000102336086126000000004914656774015Y  YYY
89  X0214000000000  NYJJONES 00000000001989977700000000000000000015Y  YYY
89  X0215000000000  NYJJONES 000000063300754924000000009263748780315Y  YYY
89  X0216000000000  NYJJONES 000000002220740458000000000878184507515Y  YYY                    NYJJONES
89  X0217000000000  NYJJONES 000000000059013377000000000009044906715Y  YYY
89  X0218000000000  NYJJONES 000000012294260447000000001534034181015Y  YYY
89  X0219000000000  NYJJONES 000000002071015921000000000229712924615Y  YYY
89  X0222000000000  NYJJONES 000000207253353196000000033356212253915Y  YYY
89  X0224000000000  NYJJONES 000000064192480351000000007009216068715Y  YYY
89  X0228000000000  NYJJONES 000000006803711960000000001276901576915Y  YYY
89  X0233000000000  NYJJONES 000000001416516348000000000012994463515Y  YYY
89  X0234000000000  NYJJONES 000000000010253405000000000000135340015Y  YYY
89  X0235000000000  NYJJONES 000000036558710670000000000091502394615Y  YYY
89  X0236000000000  NYJJONES 000000000801442378000000000382906755815Y  YYY
89  X0240000000000  NYJJONES 000000241954963712000000062075184207515Y  YYY   *001FY 2005
89  X0242000000000  NYJJONES -000000006133141780000000009498846451 5Y  YYY
89  X0243000000000  NYJJONES 000000047835050196000000006753989579315Y  YYY
89  X0244000000000  NYJJONES 000000008886467990000000032991210479 15Y  YYY
89  X0249000000000  NYJJONES 000000038797328835000000097155110905 15Y  YYY
89  X0250000000000  NYJJONES 000000004795145112000000017121507228 15Y  YYY
89  X0251000000000  NYJJONES 000000256048491089000000562994016993 15Y  YYY
89  X0302000000000  NYJJONES 000000000324504271000000000523870986 15Y  YYY
89  X0303000000000  NYJJONES 000000001758641081000000002976921480 15Y  YYY
89  X0304000000000  NYJJONES 000000000089754830000000000005079240 15Y  YYY
```

6. And if you clicked "Get Printable Report", then the following screen will appear.

FACTS II

Page 1 of 4 — MAF Record by a Preparer ID - Current Processing Window — 1/11/2005

Preparer Id : RHANNA — Number of Accounts :44

TAFS ID	Record Type 7	Preparer Id	Certifier Id	Pre Closing Balance	Net Outlay	Chapter Code	OMB Recommended Cat A/B Program Reporting C Descriptions
20- - X-8004-000-000-000	971	JDOE		$17,000,000,000.00	$0.00	16	
20- - X-8005-000-000-000		JDOE		$10,000,000.49	$1,000,420,027.24	16	
20- - X-8005-000-000-000	971	JDOE		$0.00	$0.00	16	
20- - X-8006-000-000-000		JDOE		473.28	$6,000,000,835.31	53	
20- - X-8006-000-000-000	971	JDOE		$1,000,598,000,000.00	$0.00	53	
20- - X-8007-000-000-000		JDOE		$1,510,764.76	$2,000,000,260.21	53	
20- - X-8007-000-000-000	971	JDOE		$182,000,236,000.00	$0.00	53	
20- - X-8042-000-000-000		JDOE		$140,000,000.25	$46,000,000,600.41	28	
20- - X-8042-000-000-000	971	JDOE		$45,000,381,000.00	$0.00	28	
20- - X-8102-000-000-000		JDOE		$3,000,000,000.24	$0.00	37	

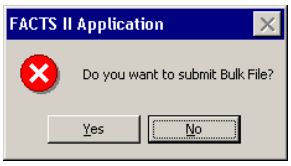
NOTE: Names and numbers have been changed for privacy purposes.

7.4 Upload New or Existing Bulk Data

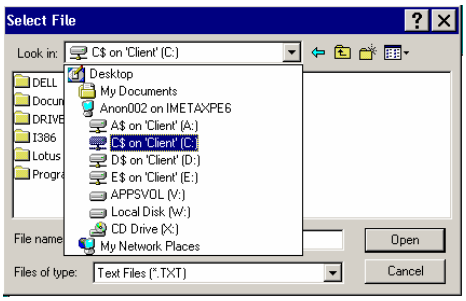
The bulk data file that you upload to FMS contains the adjusted trial balance for each of your TAFS. This file also contains the information required by the SGL account attributes and any footnotes that you have attached to each SGL. You may attach multiple footnotes to a TAFS. Refer to the SF 133 Report to view the multiple footnotes. The FACTS II Client System will validate the size of footnotes. A footnote must be 255 characters or less. If a TAFS contains a footnote greater than 255 characters, then it will be rejected. For a description of the record format for the bulk transfer file, see the document *Bulk File Transfer File Formats.*

To Upload a New Bulk Data File

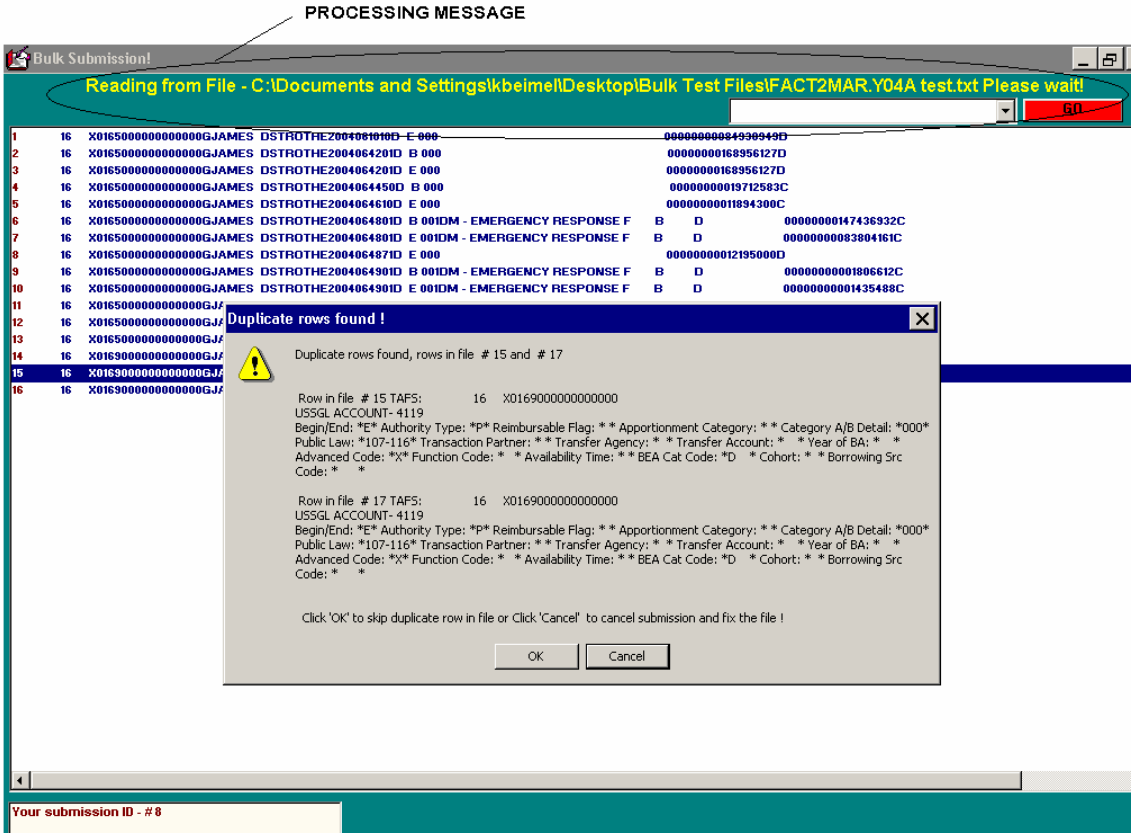
1. After logging onto the FACTS II application (refer to directions section 7.1 Submitting a Bulk File). Click **Yes** from the FACTS II Application window.



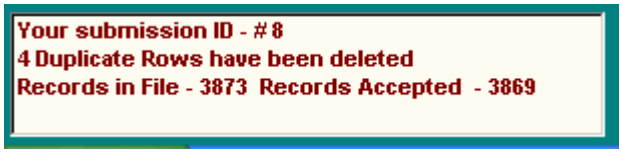
2. Select the Bulk file you would like to upload from the drop-down menu and click **Open**.



3. The Client Bulk application will then begin to read your bulk file. (**Note**: Processing messages are displayed in yellow at the top of the screen.)



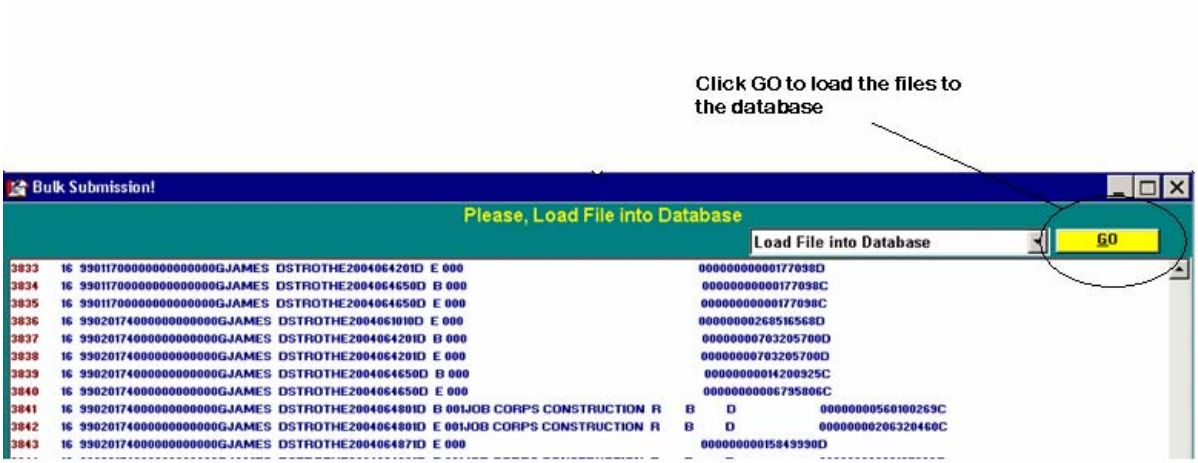
4. In this example, there are 4 duplicate rows that have been detected and will automatically be deleted. This will be shown at the bottom left of the screen.



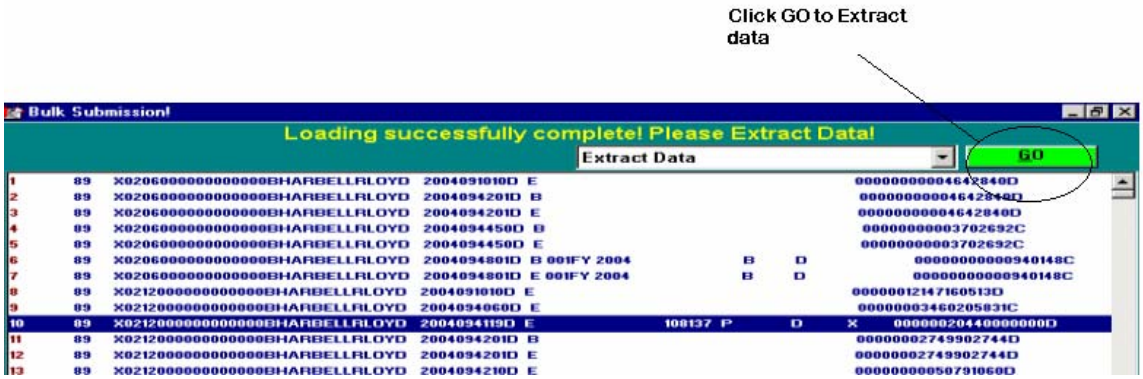
5. Depending on your submission, several informational windows may display. Click **OK** to proceed.

6. When the Bulk application has finished reading your file, a message window will display with the number of records in your file and the number of records accepted. Click **OK** to proceed.

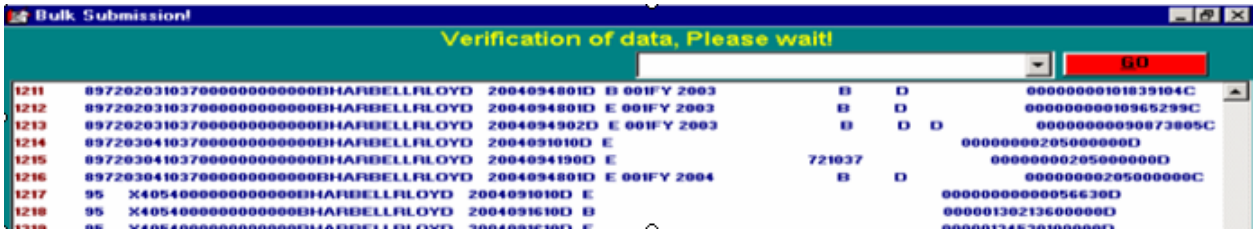
7. A message will display at the top of the screen requesting that you load the files into the database. Click the flashing **GO** button to load the files.



8. Once the load has completed, a message will display at the top of the screen stating that your load successfully completed. The next step is to extract the data. The extraction process transforms the data in your bulk file to a format for FACTS II to complete a verification/validation process. Click the flashing **GO** button to begin the extraction process.



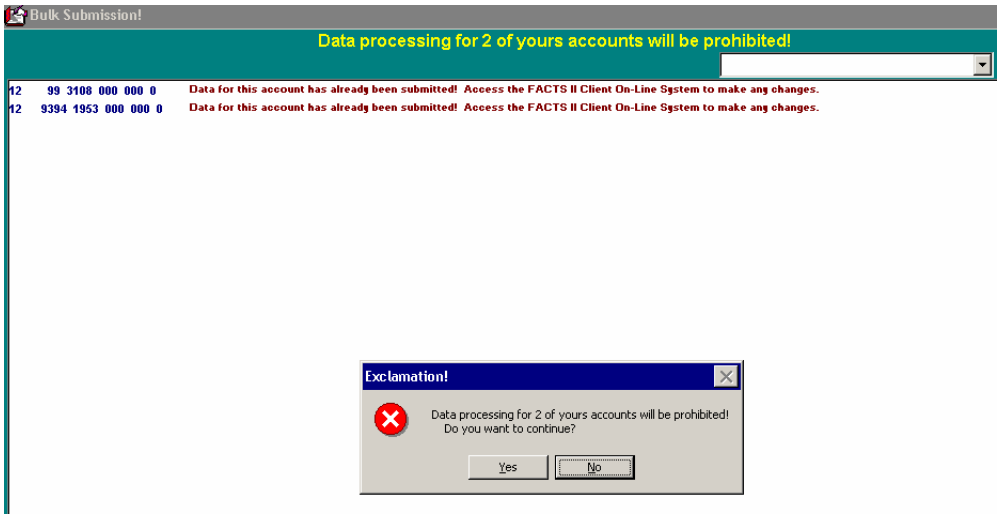
9. When the extraction process has completed the application automatically begins validating the data. A yellow message will appear at the top of your screen indicating that the verification/validation process has begun.



10. Once the load has completed, there are three situations that could occur:

    1) **Your entire file successfully loads to the database**. In this case, a message will display stating that the load was successful. Click **OK** to continue.

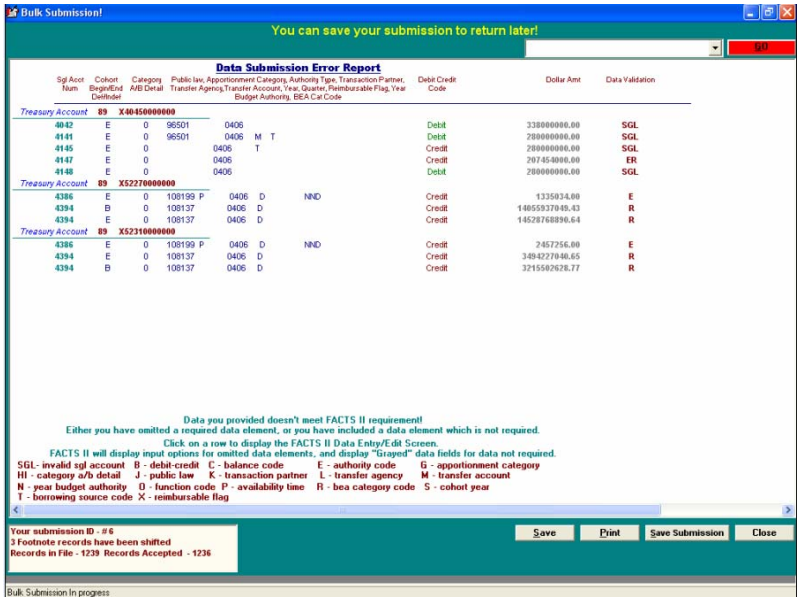
    2) **Part of your file successfully loads to the database and part of your fie is rejected**. With this scenario a message window will display informing you of the number of accounts prohibited. In the example shown below, two accounts did not successfully process. The reason for the rejection is listed to the right of the symbol. In this case, two rows were rejected because they were previously submitted. Click **Yes** to process the file without these two accounts or click **No** to cancel the submission.



    3) **All of you accounts will be rejected.** In this case, a message window will appear stating that all of your accounts will be prohibited. Click **OK** to cancel the submission.

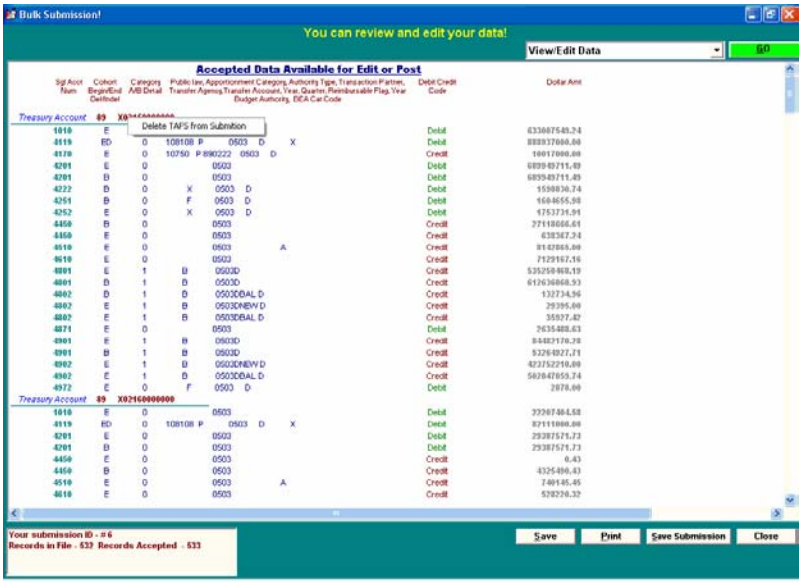
11. After the data verification/validation process has completed, FACTS II generates a Data Submission Error Report if errors exist or Accepted Data Report if no errors exist.

Data Submission Error Report



12. The user can stop and save the submission or correct the errors at this point. Each error line shows the SGL account and other pertinent information as well as an error code at the end of the line. At the bottom of the report there is an error code legend to for deciphering the codes.

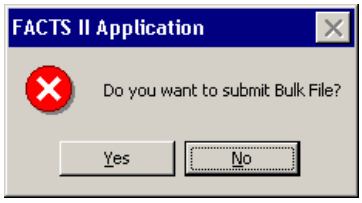
Accepted Data Report



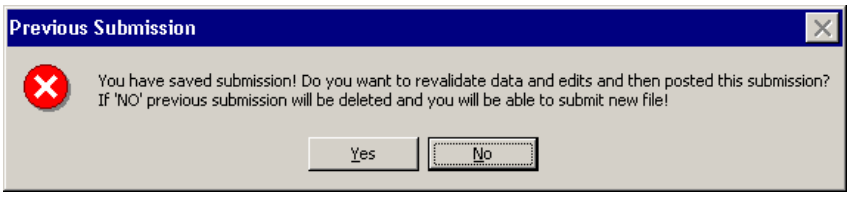
The user can stop and save the submission or right-click the line of the TAFS or SGL account to delete it from the submission.

To upload an existing bulk data file

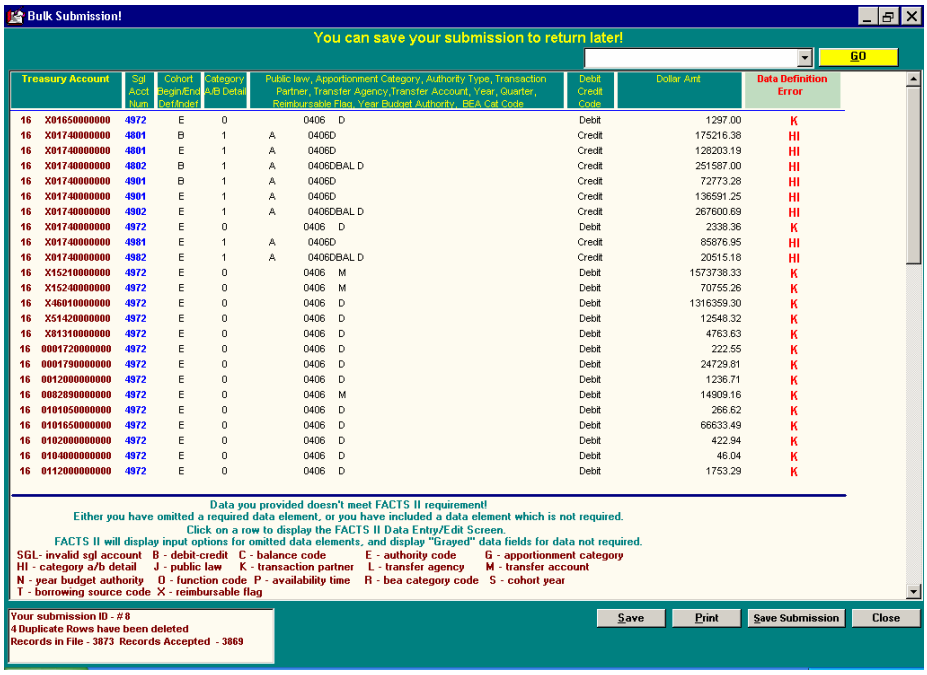
1. Click **Yes** from the FACTS II Application window.



2. If you have a saved bulk submission, the Previous Submission window will display. Click **Yes** to return to your saved bulk submission or click **No** to delete the saved submission and submit a new file.



The following screen will appear displaying your TAFS.



The remaining steps to upload an existing file are identical to the steps to upload a new file which are detailed at the beginning of this section.

7.5 Bulk Functionality

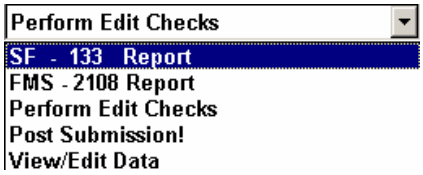
7.5.1 Drop-down Menu

The drop-down menu within the Bulk portion of the application becomes available after the validation/verification process has successfully completed. The drop-down menu controls the many functions available when submitting a bulk file. Because of the new bulk process's versatility you can utilize many of these functions and choose to post or not to post your data to the database. The drop-down menu located within the Client Bulk portion of the application allows you to view uploaded data as well as edit uploaded data. The menu is located on the top right of the screen and can be accessed simply by clicking (highlighting) the report you would like to view or task you would like to initiate and clicking **GO**.

SF 133 Report

To see the SF 133 Report when submitting a bulk file

1. From the drop-down menu at the top right of the application, click (highlight) **SF 133 Report**.



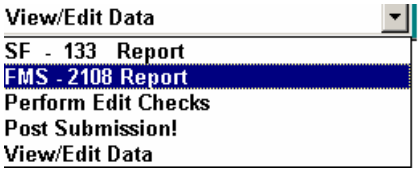
2. Click the **GO** button to the right of the drop-down menu and the SF 133 Report will display as shown.

For more information on the SF 133 Report refer to Chapter 8 FACTS II Reports.

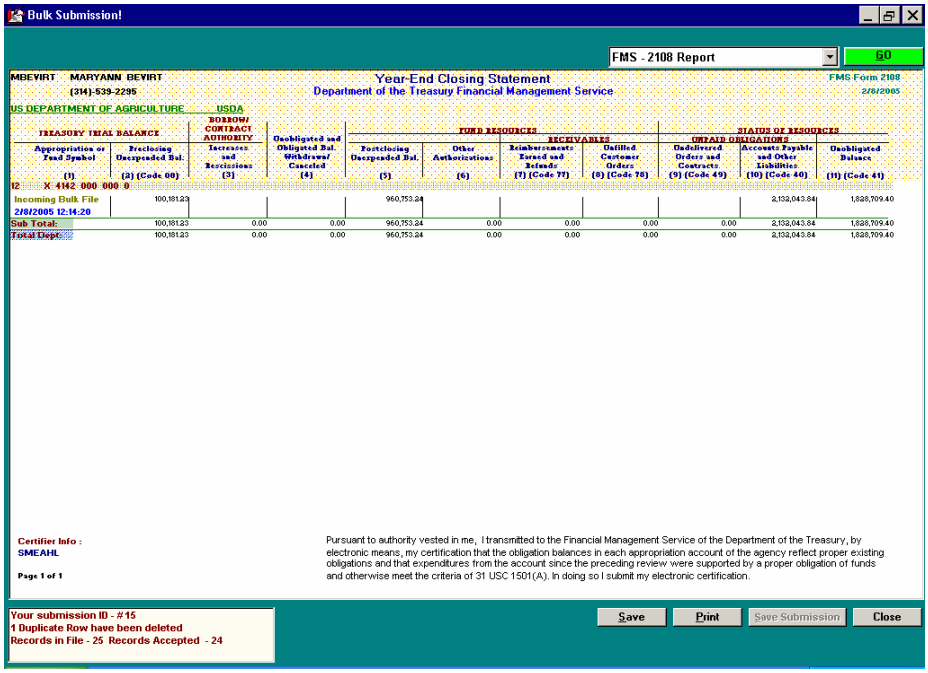
FMS 2108 Report

To see the 2108 Report when submitting a bulk file

1. From the drop-down menu at the top right of the application, click (highlight) **FMS 2108 Report**.



2. Click the **GO** button to the right of the drop-down menu and the FMS 2108 Report will display as shown.



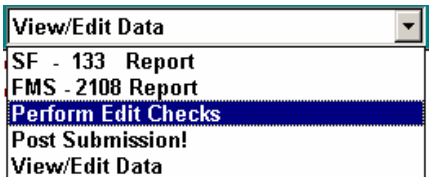
For more information on the FMS 2108 Report refer to Chapter 8 FACTS II Reports.

Perform Edit Checks

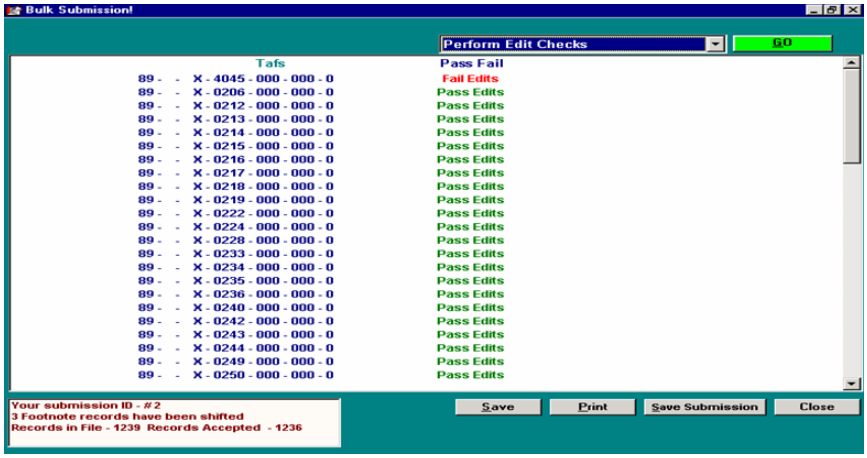
Before you can change a TAFS' status to Certified or Editing, the FACTS II program must perform a series of accounting edits to verify the accuracy of the information that you provide in the submission.

To perform the edit checks when submitting a bulk file

1. From the drop-down menu at the top right of the application, click (highlight) **Perform Edit Checks**.



2. Click the flashing **GO** button to the right of the drop-down menu and the results of the accounting edit check will display in summary form listing the accounts that failed the edits at the top of the report.



3. Right-click the TAFS that passed the edits to change the status to Editing.

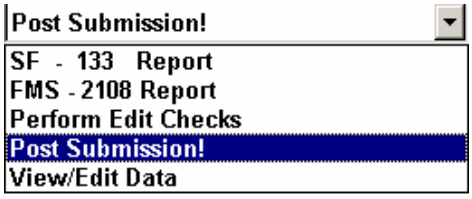
4. You may click on the TAFS to display Edit Check Report, which displays a more detailed description of the TAFS.

Edit Check Report

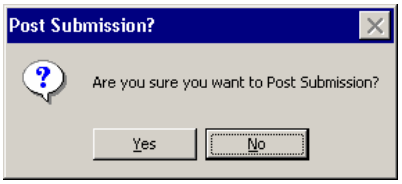
Post Submission

To post a submission to the FACTS II Database

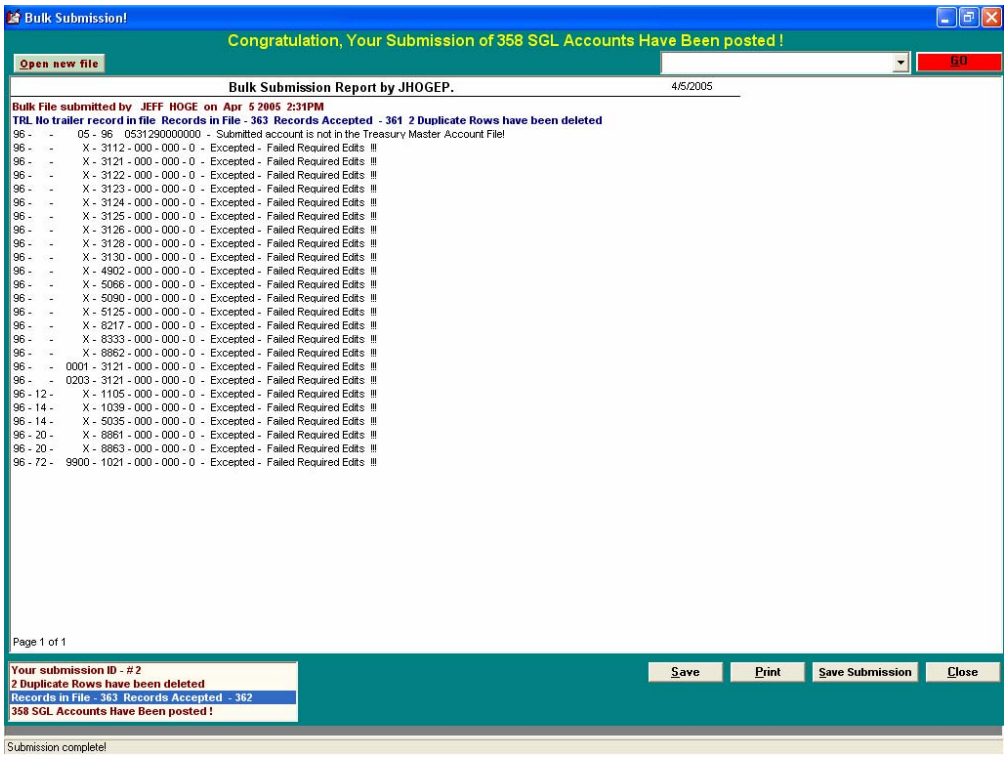
1. To post the TAFS that passed the edits click (highlight) **Post Submission** from the drop-down menu.



2. Click the **GO** button to the right of the drop-down menu and the Post Submission? Window will display confirming your selection. Click **Yes** to continue or **No** to cancel. You can post your edits with a status of certified or editing.



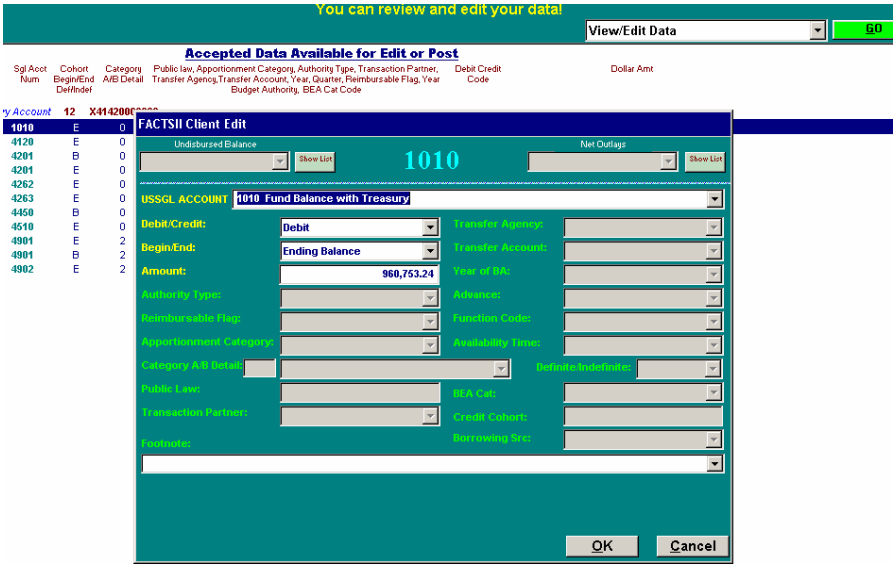
3. The Bulk Submission Report automatically appears after the bulk submission process has completed. If you exit the bulk portion of FACTS II and would like to view or print the Bulk Submission Report you must do so through the Client Online portion of FACTS II.



View/Edit Data

To view data after a submission

Select View/Edit Data from the drop-down menu. The Accepted Data report will appear.

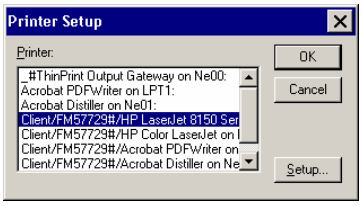


7.5.2 Action Buttons

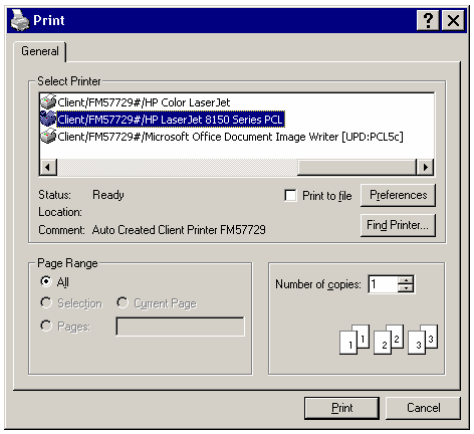
File Report

The File Report button appears after the data is read. This function allows the user to print a report of data being read from the user's file. While the file is being read, the application may automatically correct various lines, i.e., duplicate rows may be deleted, the Public Law field may be corrected, and/or the Reimbursable Flag field may be made blank. All of these changes will be shown on the report printed from this option. Once the file is read and the user clicks the **GO** button to start the load process, the File Report button disappears.

To print a report using the File Report button



1. Click the File Report button located at the bottom of the screen and the Printer Setup window will appear.
2. Click **OK** on the Printer Setup Window to continue.
3. Click **Print** on the Print window shown below.



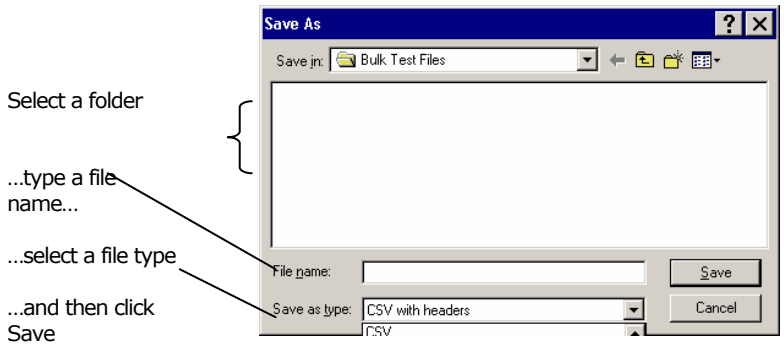
Save

The Save button allows the user to save the screen as a file to his/her computer in a format selected from the drop-down menu.

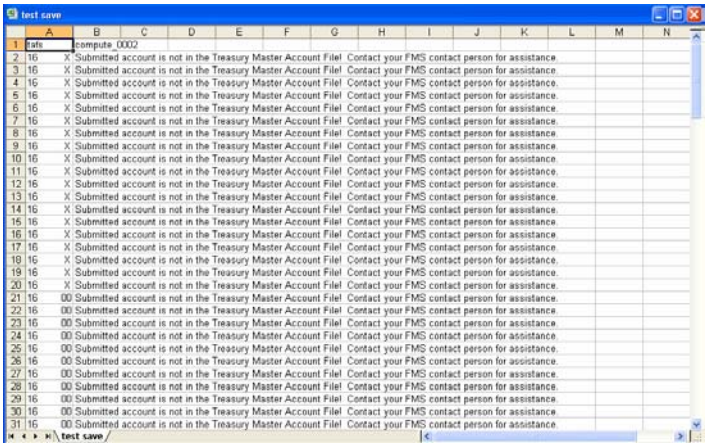
To save a file using the Save button

1. Click the Save button at the bottom right of the screen and the Save As window will appear.

2. Select a folder, type a file name, and select a file type from the drop-down menu and click **Save**.



3. When you open the file it will appear as shown below. In this example, the file is in Excel format with headers.



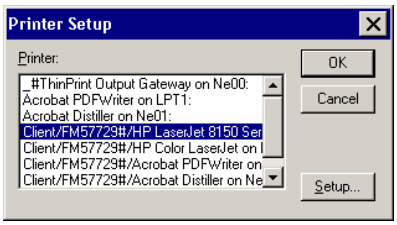
Print

The Print button allows the user to Print the data that appears on the screen. This function is the same as the File Report function.

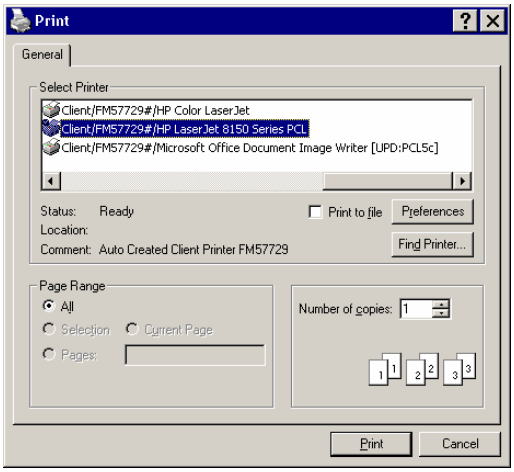
To Print data

1. Click the Print button located at the bottom of the screen and the Printer Setup window will appear.

2. Click **OK** on the Printer Setup Window to continue.



3. Click **Print** on the Print window shown below.



Save Submission

The Save Submission button remains inactive (grayed-out) until the extraction and validation process has successfully completed. Once the extraction and validation process completes a message will appear at the top of the application screen stating, "You can save your submission to return later" and the Save Submission button is no longer grayed-out.

To save a submission to the FACTS II Database

1. Click the Save submission button located at the bottom right of the application screen.

Cancel

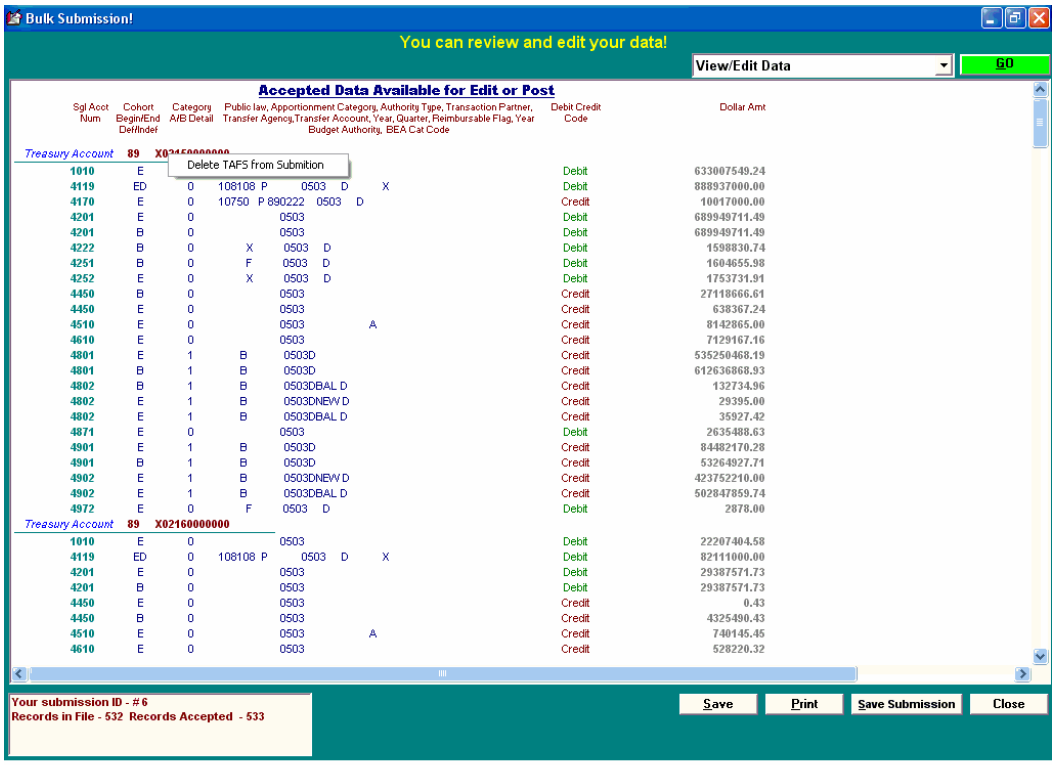
How to Cancel a submission

Stops processing and exits the bulk portion of the application.

7.5.3 Delete Functionality when submitting a bulk file

How to delete a TAFS from the Accepted Data Report

1. Right-click the TAFS and select the text **Delete TAFS from Submission**. You may also delete an SGL account using the same method (right-click and select **Delete TAFS from submission**



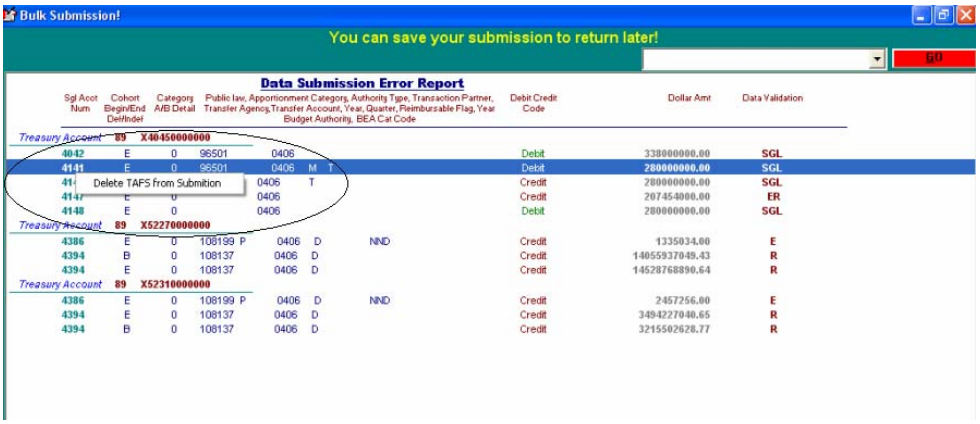
How to delete a TAFS after the edits checks are run

If all of your TAFS failed the edit checks, then you may delete them.
Right-click the TAFS you would like to delete and select **Delete TAFS from Submission**.

How to delete SGL accounts with or without errors

1. Right click on the SGL account and select **Delete TAFS from Submission**.

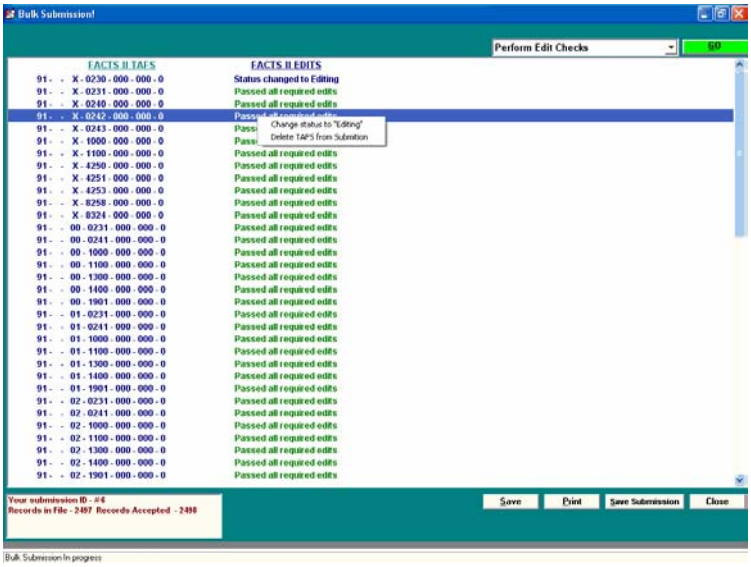
Note: There does not have to be an error for you to delete an SGL account. You may delete any account for any reason.



7.5.4 Changing the Status of TAFS

How to change the status of a TAFS after the edit checks are run

1. Right-click the line you would like to change and select **Change status to Editing** from the drop-down menu that appears.



8

FACTS II Reports

The following table describes the FACTS II reports available from the Reports menu on the main FACTS II window.

Report	Submission Type	Description
Adjusted Trial Bal. Report	Client Online	Reports the balance of each SGL account for a Department Regular Number and Main Account Number.
TAFS Status Report	Client Online	Reports all or specific statuses of all TAFS submissions for a specific fiscal year and quarter.
SF-133	Client Online and Bulk file	Creates an SF 133 report, "Report on Budget Execution," for a Department Regular Number and Main Account Number.
FMS-2108	Client Online and Bulk file	Creates an FMS 2108 report, "Year-End Closing Statement," for a Department Regular Number and Main Account Number or for all of a preparer's TAFSs.
Total Res vs. Status Res	Client Online	Compares the total budgetary resources to the total status of budgetary resources for a Department Regular Number and Main Account Number. Use this report to help you pass edit 2.
Fund Res vs. Fund Equity	Client Online	Compares the total fund resources to the total fund equity for a Department Regular Number and Main Account Number. Use this report to help you pass edit 5.
Edit Check Report	Both	Displays results of FACTS II accounting edits
MAF Download Report		Displays valid TAFS. Each MAF record contains a TAFS and the TAFS's pre-closing balance.
Accepted Data Report	Bulk file	Displays bulk data successfully submitted to FACTS II.
Data Submission Error Report	Bulk file	Displays errors when bulk data is not accepted by FACTS II
Bulk Submission Report	Bulk file	Displays all bulk data posted to FACTS II
BEA Category Report	Both	Displays the BEA Category Code assigned by OMB

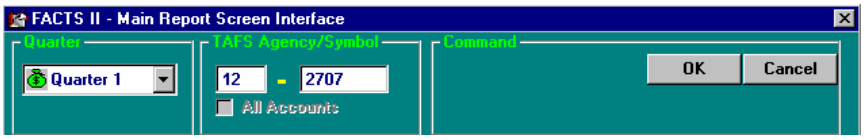
To see the Adjusted Trial Balance Report

1. In the left pane on the main FACTS II window, click the TAFS's quarterly submission that you want to see on the report.

2. On the main FACTS II window, from the Reports menu, select *Adjusted Trial Bal. Report*.

3. Do the following if you want to report on a different TAFS or quarter than those you selected in step 1. Skip this step if you do not want to select a different TAFS or quarter.

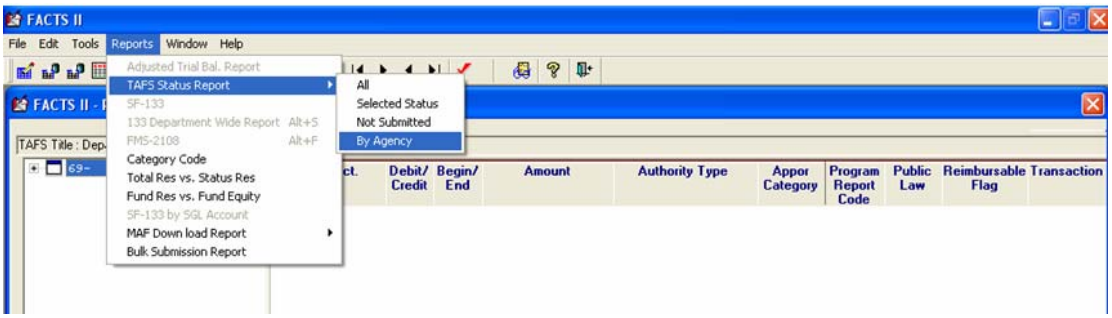
   - Select a quarter from the Quarter drop-down list.
   - Under TAFS Agency/Symbol, type a 2-digit Department Regular Number and a 4-digit Main Account Number.



4. Click OK.

To see the TAFS Status Report

1. On the main FACTS II window, from the Reports menu, select *TAFS Status Report* ▸ *All*.



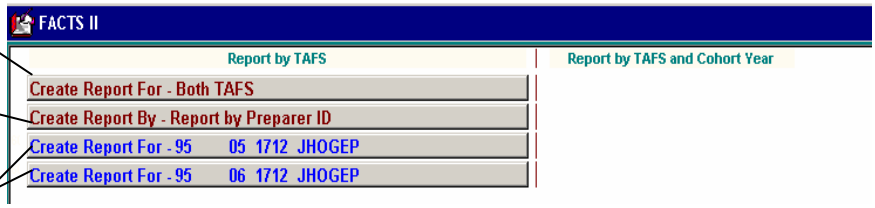
To limit the report to specific data select *Selected Status*. To limit the report to TAFSs not yet reported to FMS, select *Not Submitted,* and to limit the report to TAFS grouped and displayed by Agency, select *By Agency*.

To see the SF 133 Report

1. In the left pane on the main FACTS II window, click the TAFS's quarterly submission that you want to see on the report.

2. On the main FACTS II window, from the Reports menu, select *SF-133*. The FMS 133 Report window will appear.

Click this line to create a report with ALL TAFS or click this line to display the report by Preparer ID



Select one of these TAFS to create a report that displays data only on the selected TAFS.

The above window contains a list of TAFS which can be reported. The list consists of unique TAFSs, which include fiscal year. In addition, the list will specifically identify specific Cohort Year, if applicable, for report generation.

To display the SF 133 with data for all of the preparer's TAFS select **Create Report for – All TAFS**. To display the SF 133 for only a specific TAF, select the TAF from the list.

After one of the lines in the above screen is selected, the SF 133 Report will display.

The new SF 133 displays the Status of the TAFS

If the TAFS is certified, the name, telephone number, and email address of the certifier will appear.

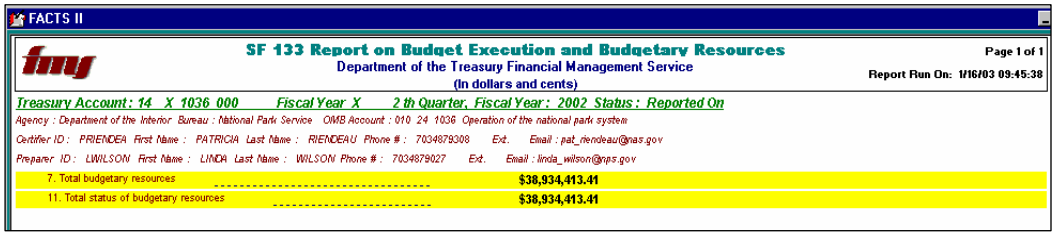
Clicking the **Line 7 and 11** button creates a report that compares lines 7 and 11, which must be balanced. (The Report is shown on the next page.)

The **New Report** button takes you to the a screen change the month and year of report data and click Create to display a new report.

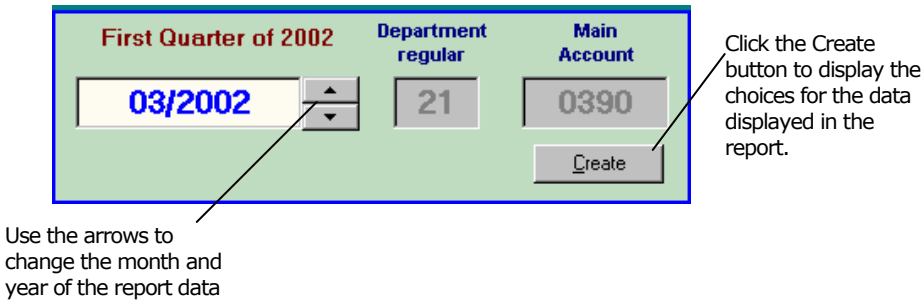
The **Printer Setup** button takes you to the Printer setup where you can change the printer that you print to or choose to save the report as a PDF File.

The **Print** button will print the current report and the **Close** button will close the current report.

5. In the SF 133 Report, the Total budgetary resources (Line 7) and Total status of budgetary resources (Line 11) should be equal. The new version of the SF 133 Report allows you to compare the two lines more easily. Simply click the **Line 7 and 11** button and the two lines will display consecutively highlighted in yellow.

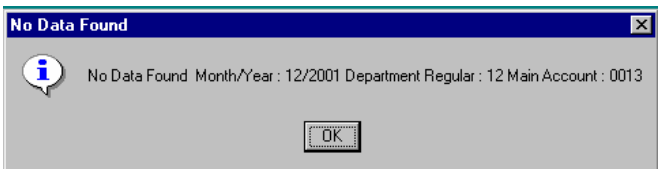


6. To display a new report, click the New Report button and the following window will appear.



6. Once you have selected a date and clicked the **Create** button the SF 133 Report window will appear (as shown at the bottom of page 45). To display the SF 133 with data for all of the preparer's TAFS select **Create Report for – All TAFS**. To display the SF 133 for only a specific TAF, select the TAF from the list.

7. If you select a date for a report that is invalid, then the following window will appear advising you that no report data is available for the specified date. Click **OK** to return to the query window where you may re-enter a date.



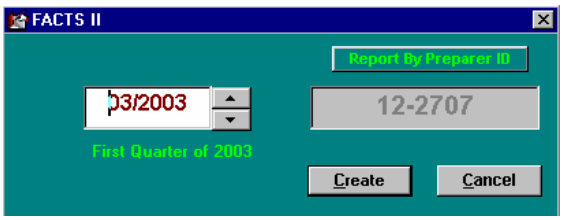
To see the FMS 2108 Report

1. In the left pane on the main FACTS II window, click the TAFS's quarterly submission that you want to see on the report.

2. On the main FACTS II window, from the Reports menu, select *FMS-2108*.

3. Do the following if you want to report on a different quarter than the one you selected in step 1. Skip this step if you do not want to select a different quarter.

- Select a quarter using the arrows. .



4. Click Create to display the report.

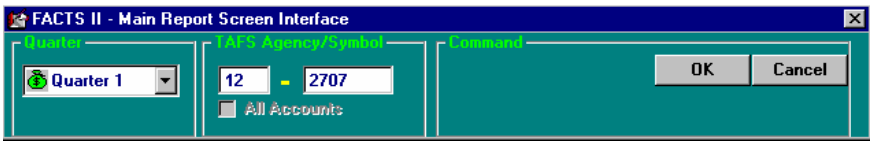
To see the Total Resources versus Status Resources Report

1. In the left pane on the main FACTS II window, click the TAFS's quarterly submission that you want to see on the report.

2. On the main FACTS II window, from the Reports menu, select *Total Res vs. Status Res*.

3. Do the following if you want to report on a different TAFS or quarter than those you selected in step 1. Skip this step if you don't want to select a different TAFS or quarter.

- Select a quarter from the Quarter drop-down list.
- Under TAFS Agency/Symbol, type a 2-digit Department Regular Number and a 4-digit Main Account Number.



4. Click OK.

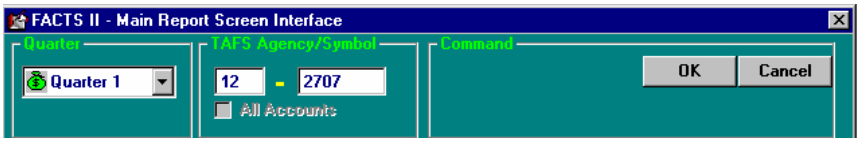
To see the Fund Resources versus Fund Equity Report

1. In the left pane on the main FACTS II window, click the TAFS's quarterly submission that you want to see on the report.

2. On the main FACTS II window, from the Reports menu, select *Fund Res vs. Fund Equity*.

3. Do the following if you want to report on a different TAFS or quarter than those you selected in step 1. Skip this step if you do not want to select a different TAFS or quarter.

- Select a quarter from the Quarter drop-down list.
- Under TAFS Agency/Symbol, type a 2-digit Department Regular Number and a 4-digit Main Account Number.

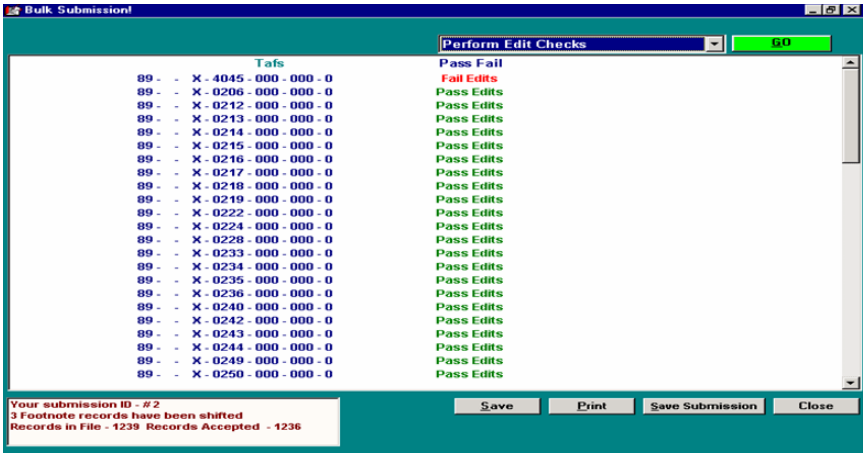


4. Click OK.

To see the Edit Check Report

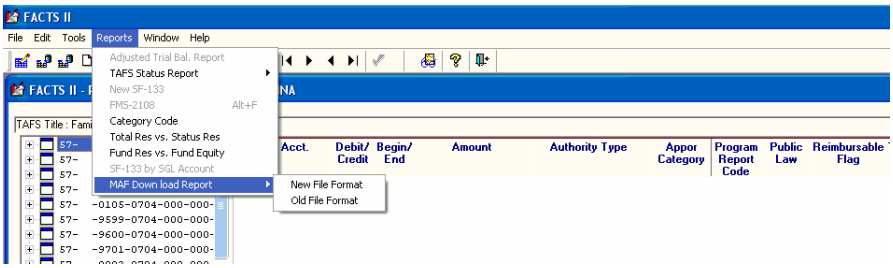
Online Submission: Once you run the edits (either Required Edits or All FACTS II Edits), a report will automatically display showing your edit results.

Bulk Submission: On the summary displaying accounts that passed/failed the accounting edits click on the TAFS to display Edit Check Report.



To see the MAF Download Report

The New Master Account File (MAF) Download Report is located under the "Reports" menu on the FACTS II Tool Bar. To access the report from the FACTS II Client Online Main screen, click on "Reports", highlight MAF Download Report, and then select the New Report Format or the Old Report Format.



To see the Accepted Data Report

In the Bulk section of the application, after the data verification/validation process has completed, FACTS II automatically generates the Accepted Data Report if no errors exist.

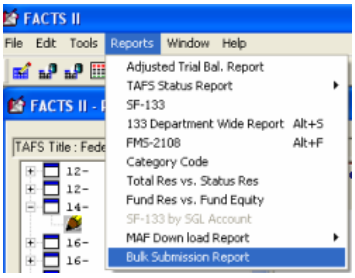
To see the Data submission Error Report

In the Bulk section of the application, after the data verification/validation process has completed, FACTS II generates a Data Submission Error Report if errors exist.

To see the Bulk Submission Report

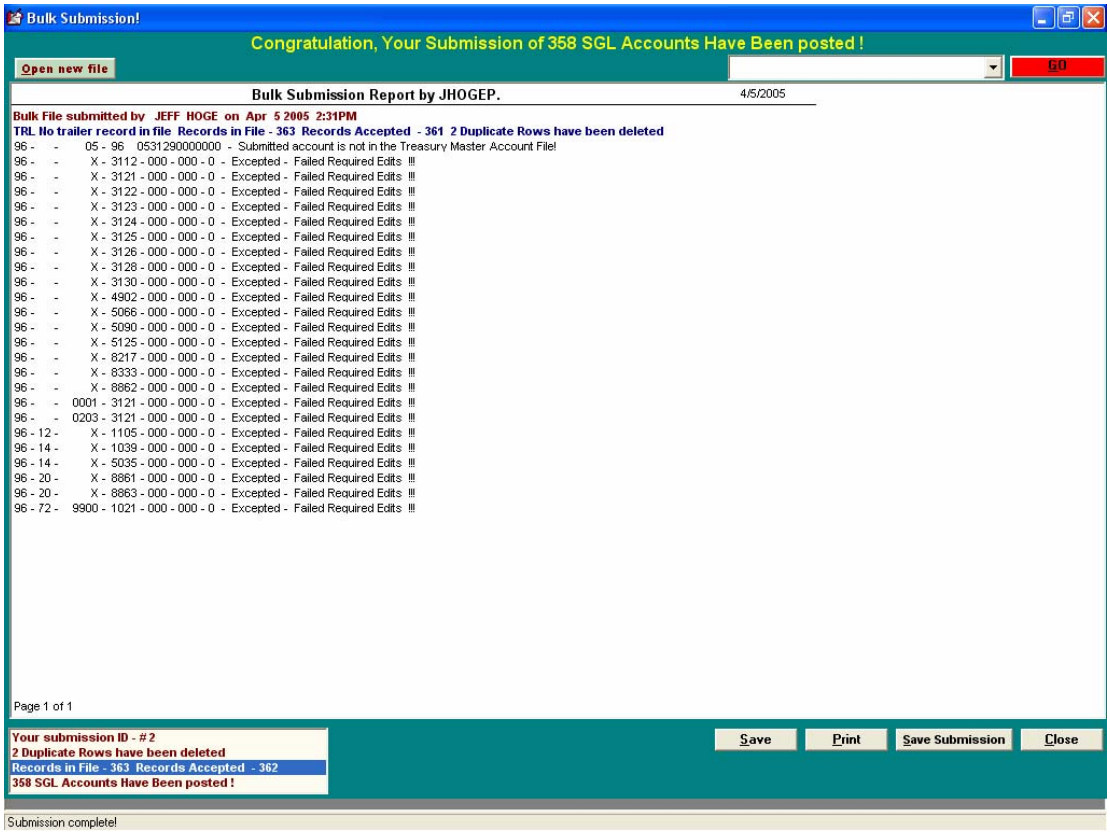
The Bulk Submission Report automatically appears in the bulk portion of the application after the bulk submission process has completed. If you exit the bulk portion of FACTS II and would like to view or print the Bulk Submission Report you must do so through the Client Online portion of FACTS II.

To see the Bulk Submission Report through Client Online:



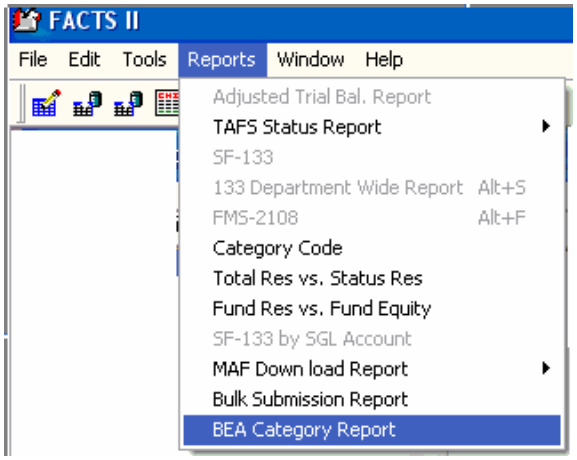
1. Click the Reports menu at the top of the FACTS II Client Online application.

2. From the sub-menu that appears, select Bulk Submission Report.

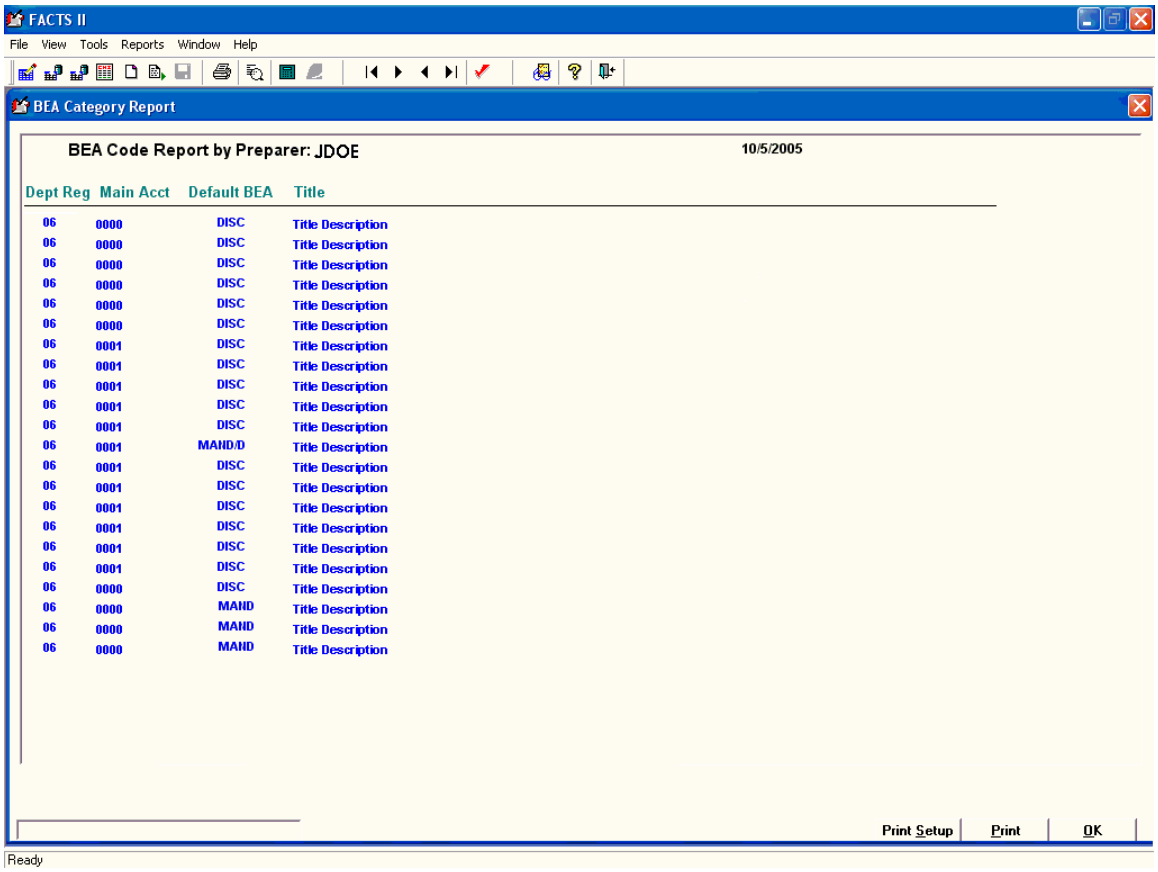


To see the BEA Category Code Report

1. Under the Reports Menu, click BEA Category Report.



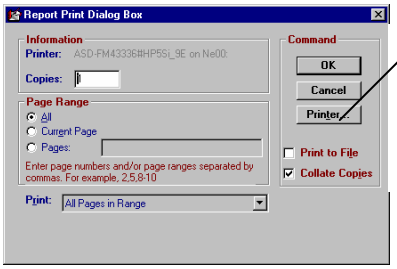
2. The BEA Category Code Report will display as shown below.



To print a report

1. On the report window, click Print.

2. On the Report Print Dialog Box, select your options and then click OK.



To save a report in Portable Document Format (PDF)

Save a report in PDF when you need to distribute the report to other people and you don't know what program they will use to see the report. Documents saved in PDF are viewed using the Adobe Acrobat Reader®. The Reader is free and can be downloaded at www.adobe.com.

You can select, copy, and then paste text and graphics from a document in PDF to another application just like you can from a Microsoft Word® document. See the Reader Help.

1. On the report window, click Print.

2. On the Print Dialog Box, click Printer.

3. On the Printer Setup window, select the Acrobat PDFWriter driver and click OK.

4. On the Save PDF File As window, select the folder where you want to save the file, type a file name, and then click Save.

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