Financial Management Service

FACTS II

User's Guide

Department of the Treasury
Financial Management Service

U.S. Department of the Treasury
Financial Management Service
Information Resources
Accounting and Management Systems Division
Financial Reporting Branch
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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. The information that you see on the FACTS II window and the functions that you perform are based on the user role that your FACTS II administrator assigned to your User ID. The following table describes the FACTS II user roles and functions.

User Role	Functions
Preparer	▪ Add, review, change, and delete a TAFS's quarterly submissions, including SGL accounts, transaction details, footnotes, and Category B information ▪ Perform accounting edit procedures against TAFS submissions ▪ Change a TAFS submission's status from Editing to Certified during quarters 1-3 ▪ Change a TAFS submission's status from Editing to Pending Certification during quarter 4 ▪ Print reports
Certifier	▪ Review TAFS submissions ▪ Change a TAFS submission's status from Pending Certification to Editing or Certified during quarter 4 ▪ Print reports
HQ Reviewer	▪ Review TAFS submissions ▪ Print reports

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 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/.

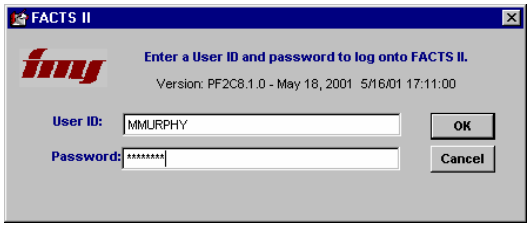
3. On the FMS In Touch home page, click the Programs link.

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.

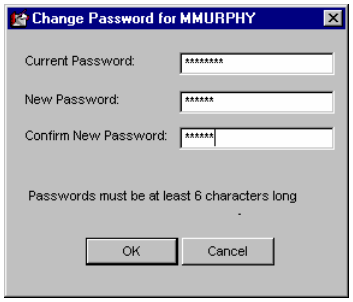


7. On the GOALS2 Message window, look for descriptions of the changes to FACTS II for the current quarter or other important information. You can click Print to print the information.

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

1.4 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.

1.5 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*.

1.6 Getting Help

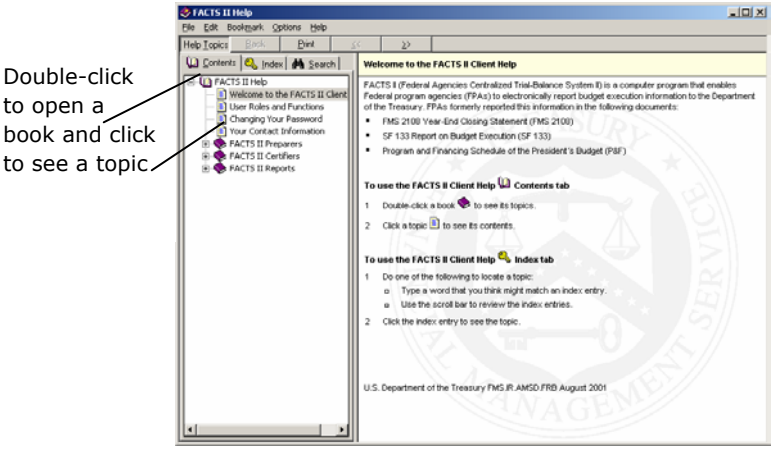
The FACTS II Client program includes a comprehensive Help feature.

To see FACTS II Help

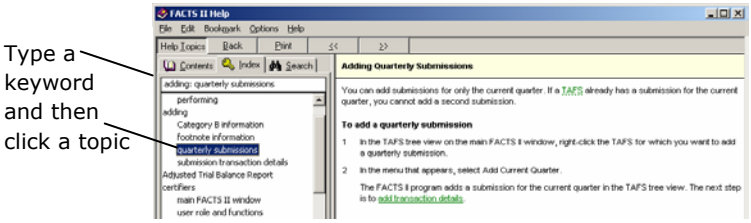
1. On the main FACTS II window, from the Help menu, select *Help Topics*.

Do one of the following:

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

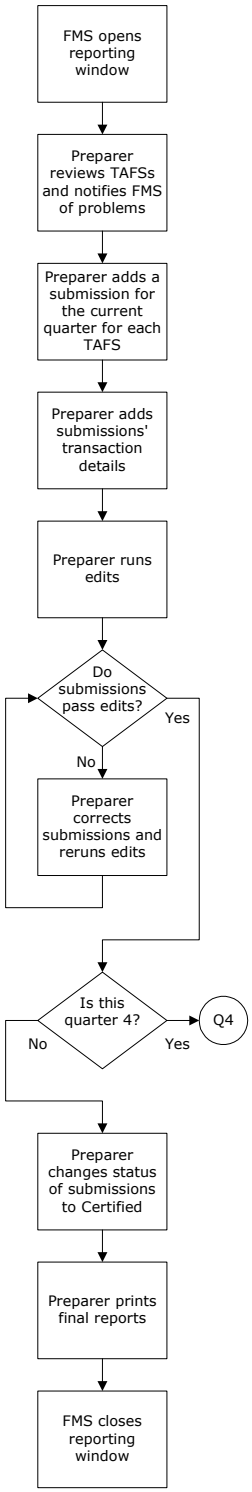


- Select the Index tab, type a keyword, and then click a topic.



1.7 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 15.

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

Working with Submissions" starting on page 15.

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

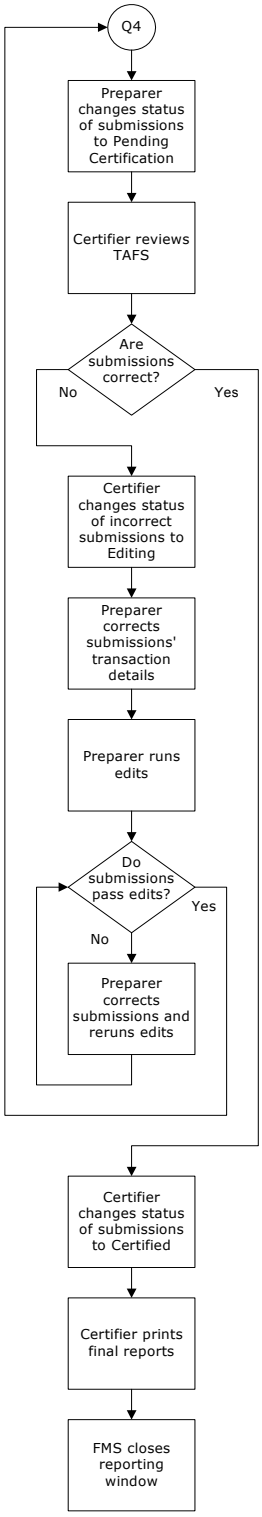
Working with Submissions" starting on page 15.

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 21.

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 25.

See Chapter 7.



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 25.

See "Reviewing TAFS Submissions" on page 36.

The certifier cannot change submissions. Only the preparer can change submissions. See "Changing a TAFS Submission's Status" on page 37.

See "

Working with Submissions" starting on page 15.

See "Editing Quarterly Submissions" on page 21.

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 7.

1.8 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.

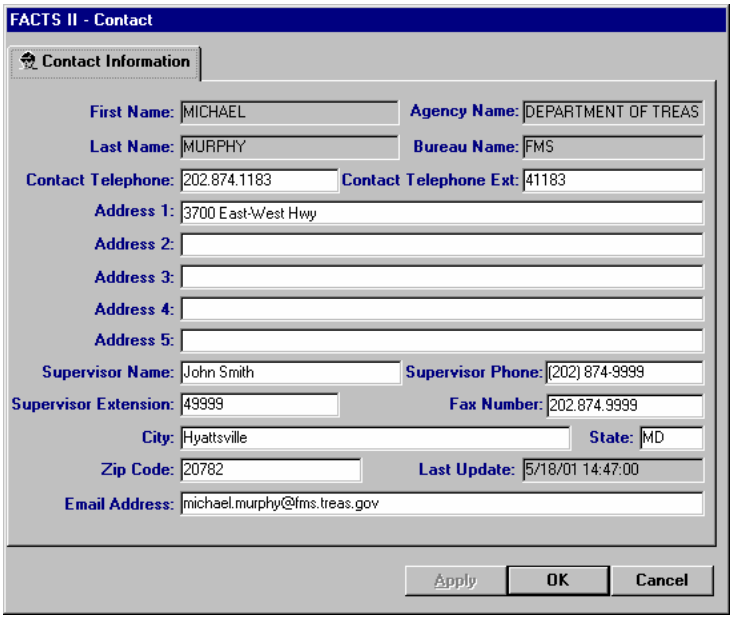
The FACTS II program may prompt you to update your contact information when you start the program.

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, click Apply, and then click OK.

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



3

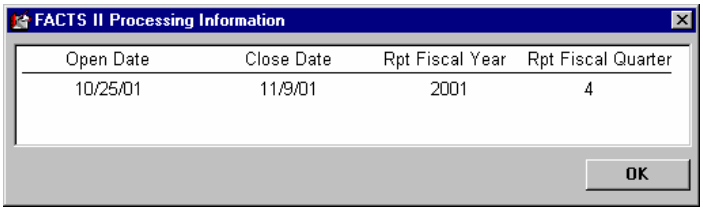
Processing Window

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.



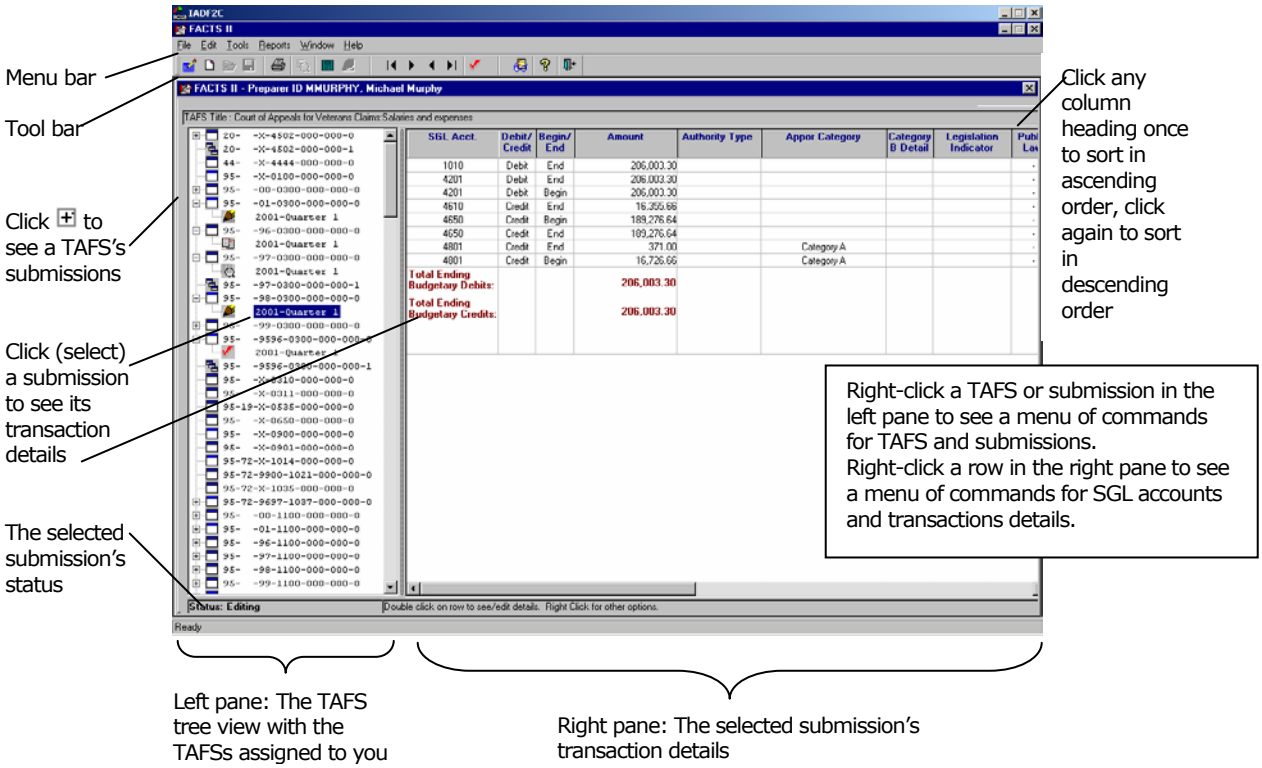
4

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



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.

4.1.2 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.

4.2 TAFSs and Quarterly Submissions

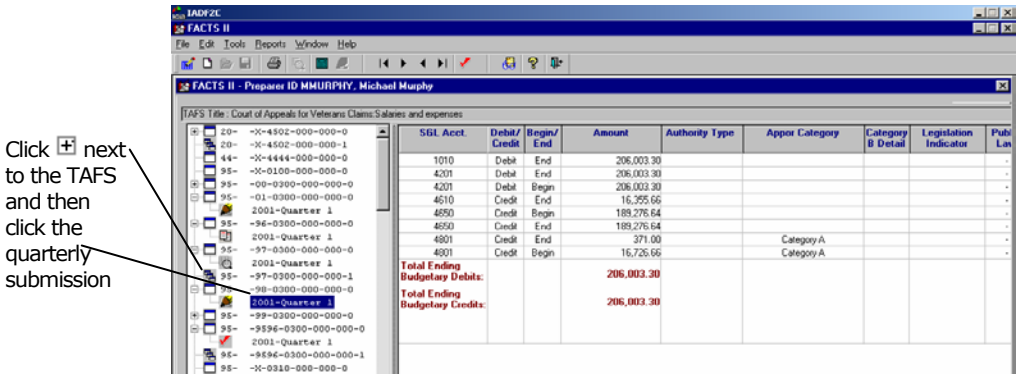
Your TAFSs appear in the TAFS tree view in the left pane of the main FACTS II window. You see only the TAFSs assigned to your preparer User ID. To see a TAFS's quarterly submissions, click ⊞ next to the TAFS. Each submission contains a set of U.S. Standard General Ledger (SGL) account numbers and a balance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

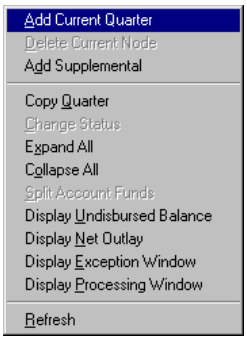
To add a quarterly submission

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.

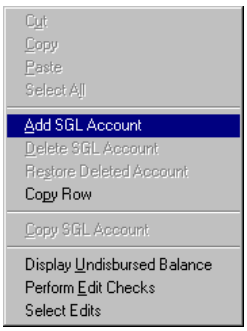


To add transaction details to a quarterly submission

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.

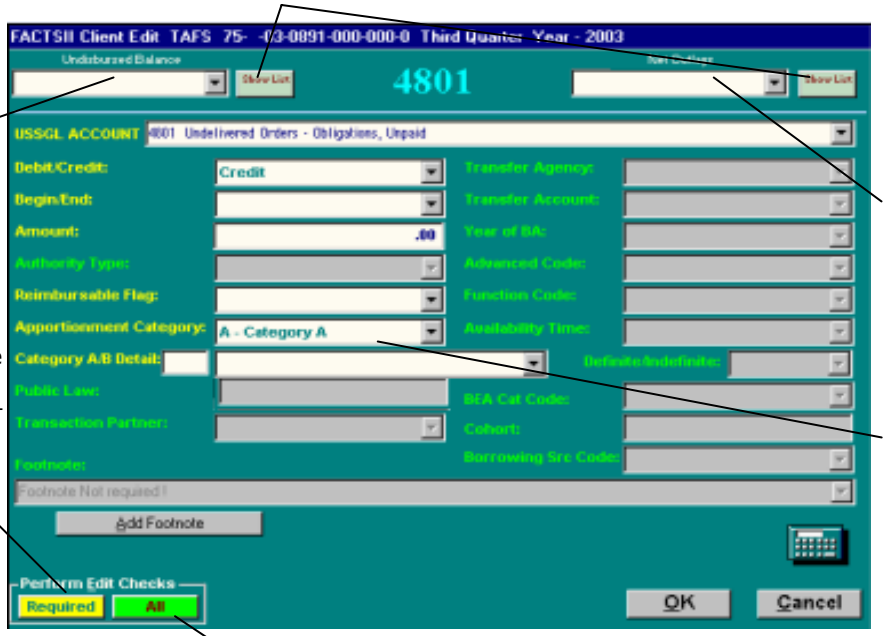


Show List buttons, when clicked, will continuously display the account balances as you work within the Entry/Edit Screen.

Undisbursed Balance field displays undisbursed balances from a drop-down menu, for all the TAFS including sub-accounts.

Click Add Footnote to add a footnote or select one from the drop-down list.

The Required button will run only the edits required for the current quarter.



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

Category A inforation can be selected from the drop-down

The All 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.

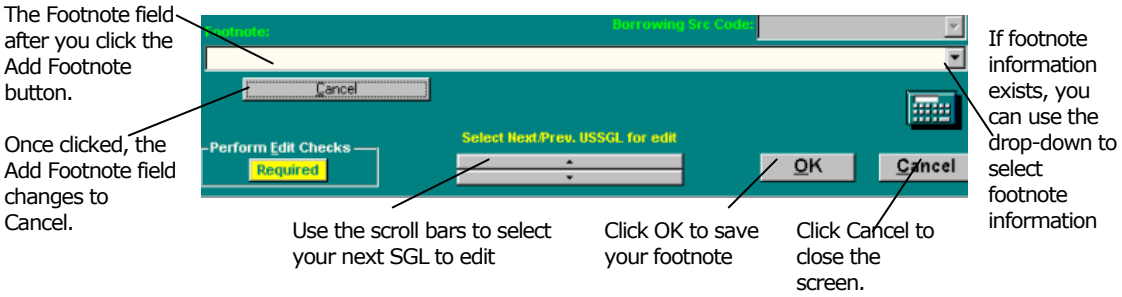
6. The Perform Edits Checks section of the Data Entry/Edit Screen contains the Required and All buttons. The Required button will run *only the edits required for the current quarter* while the All button will run *all* the FACTS II Edits.

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.

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.

7. 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 22) 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.



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

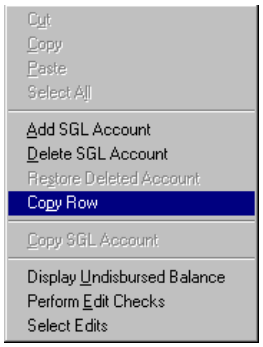
9. After you complete the Edit Screen, do one of the following:

   - 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.

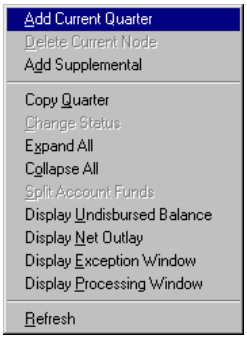
To copy a TAFS's quarterly submission

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.

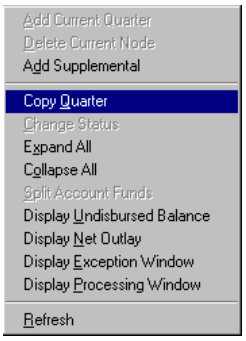
Follow these steps to copy a TAFS's prior quarterly submission as a submission for the current quarter:

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*.

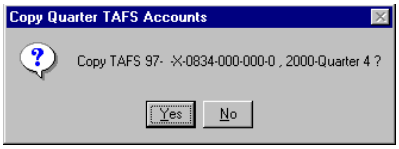


The FACTS II program adds a submission for the current quarter in the TAFS tree view.

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



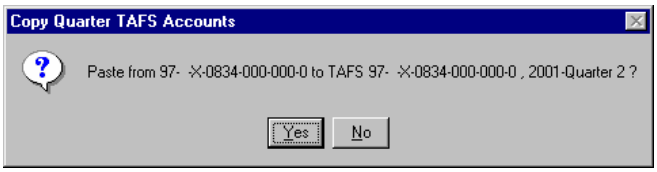
3. On the Copy Quarter TAFS Accounts window, click Yes.



4. Click the submission for the current quarter that you added in step 2.

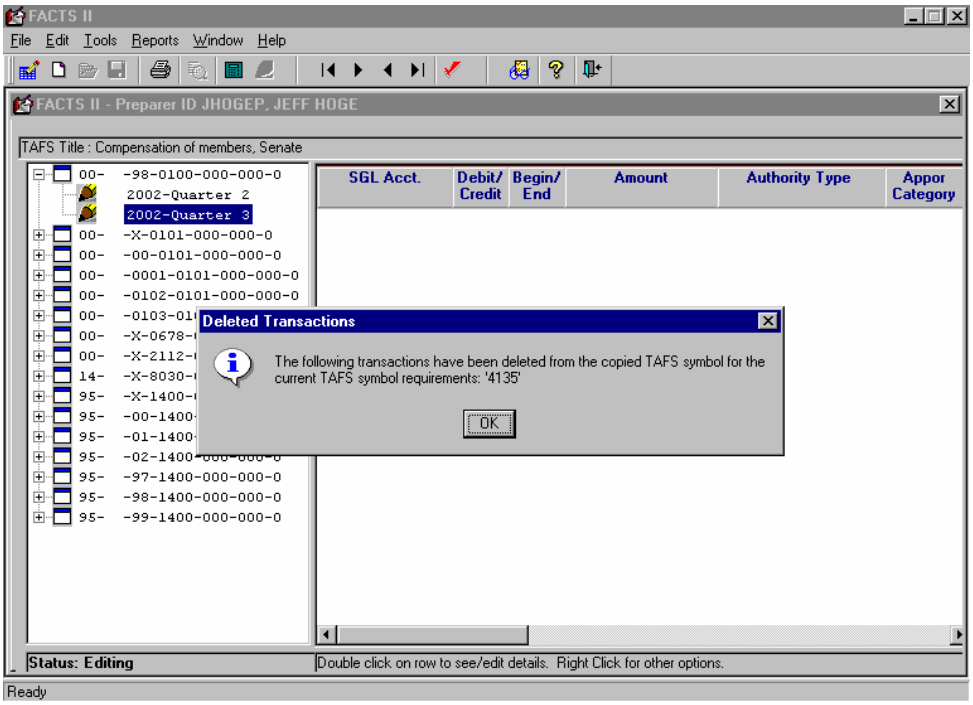
5. On the Copy Quarter TAFS Accounts window, click Yes.

   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.

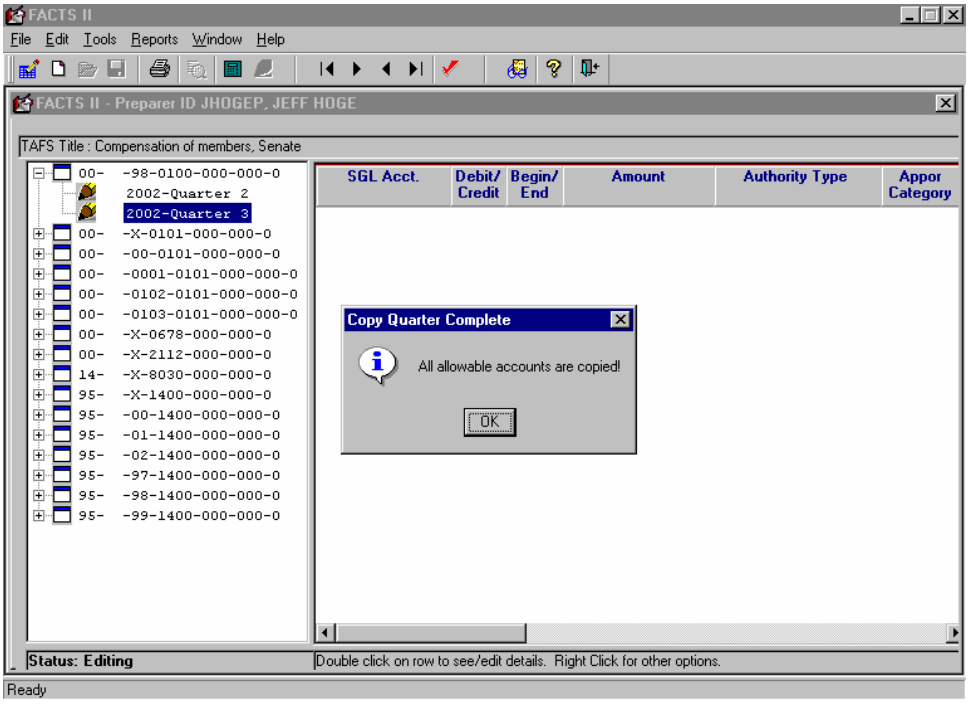


   There are instances when all of the SGL accounts *are not* copied. The system will not copy an SGL account if a particular change has occurred for the current Quarter to an SGL attribute associated with the SGL account. The Deleted Transactions window will appear identifying the transactions the system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

6. On the Deleted Transactions window, click OK.



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



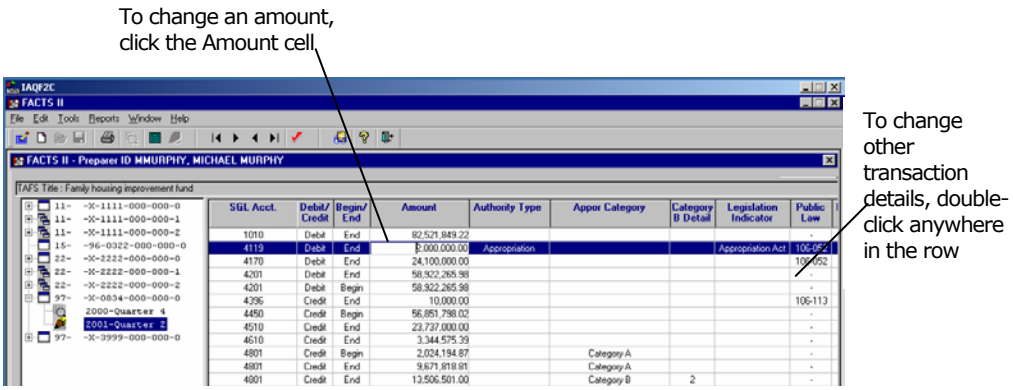
To change a quarterly submission

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.

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



3. 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

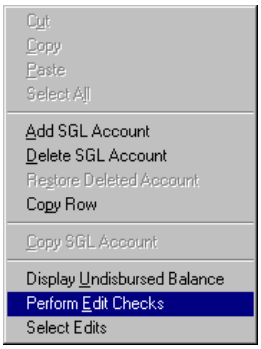
When you change a TAFS submission's status to Certified or Pending Certification, the FACTS II program performs a series of accounting edits to verify the accuracy of the information that you provide in the submission. You can perform these accounting edits before you change the submission's status to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

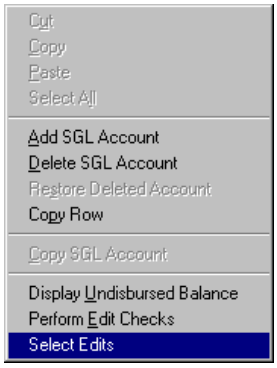
The FACTS II program performs all of the accounting edits appropriate for the current quarter.



3. If a window appears describing an error, note the error and then click OK to continue performing the accounting edits.

To perform selected accounting edits

Do the following to perform selected accounting edits. When you change the status of a submission, the FACTS II program performs all of the accounting edits appropriate for the current quarter regardless of what you select here.

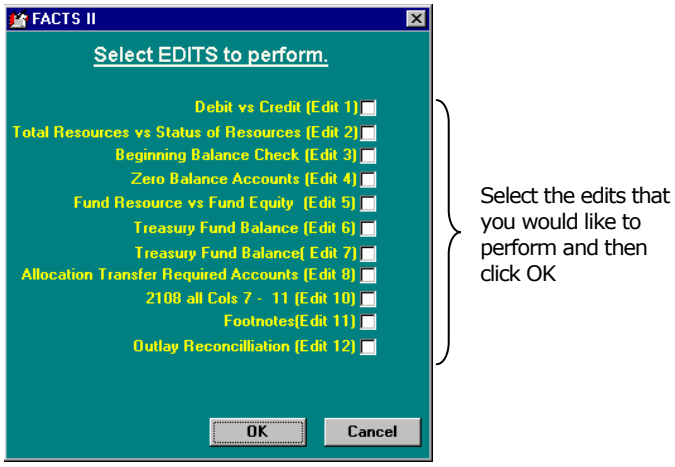


1. In the TAFS tree view on the main FACTS II window, click the quarterly submission for which you want to perform accounting edits.

2. Right-click anywhere in the right pane of the window and in the menu that appears, select *Select Edits*.

3. On the window that appears, select the edits that you want to perform and then click OK.

This option is informational only. **You may select *any* of the accounting edits**, i.e., you will not be restricted to select only the edits appropriate for the current quarter. The FACTS II program performs the accounting edits you have selected.



4.4.1 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	All quarters

Edit	Description	Performed
	budgetary credits (4000 series of accounts).	
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.	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).	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.	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.	Quarter 4
8	**Required SGL accounts**. Any TAFS that contains SGL account numbers 1330 or 2150 must also contain the following SGL account numbers: ▪ 4135 ▪ 4138 ▪ 4170 ▪ 4175 ▪ 4176 ▪ 4190	Quarter 4
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 fiscal year	Quarter 4

Edit	Description	Performed
	▪ 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"	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

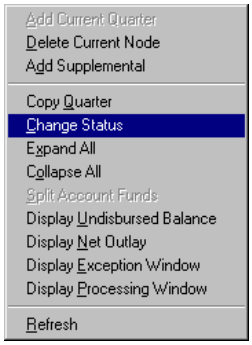
4.5 Changing a Submission's Status

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 then 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:

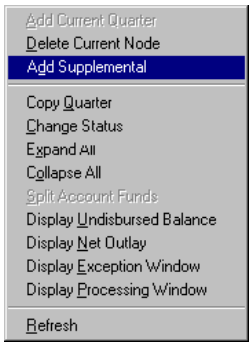
1. Quarters 1-3

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

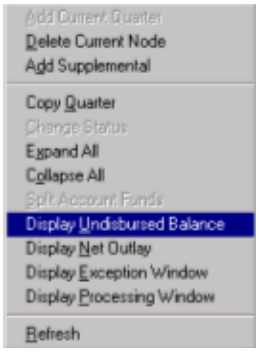
A RT7 (Record Type 7) is a unique identifier for other authority types for a TAFS such as borrowing, contract, and investments. Examples of RT7s include:

- 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

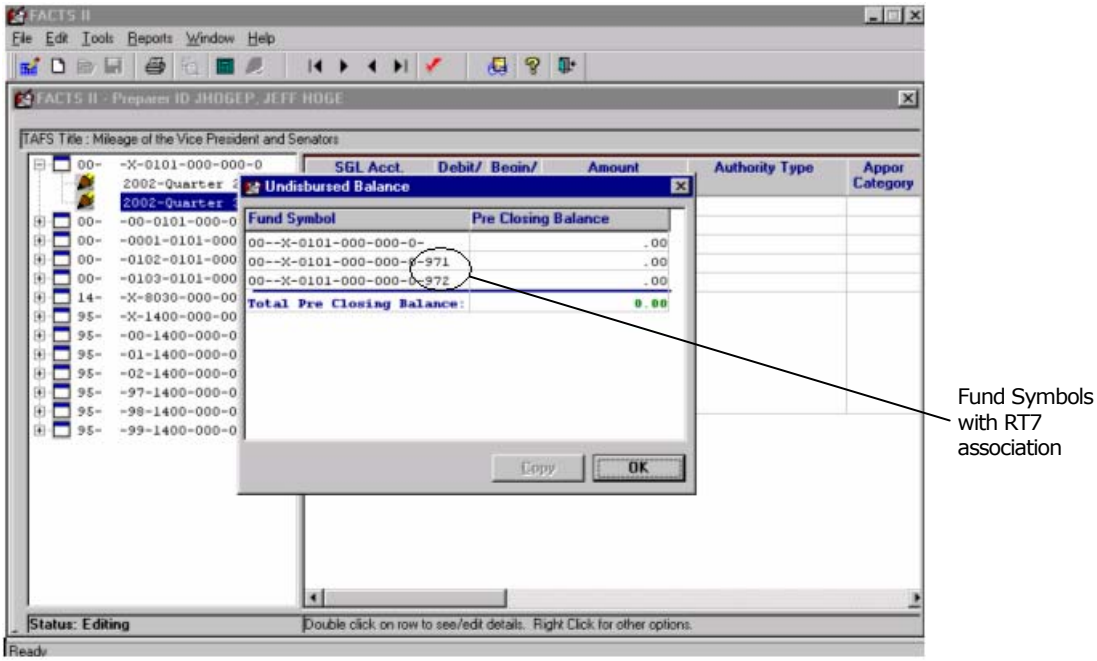
A RT7 supplemental record can be added for Quarters 1-4 by contacting the FACTS II Administrators via email. Contact information can be found at http://www.fms.treas.gov/ussgl/factsii/index.html. The FACTS II administrators are the only individuals that can add RT7s to a supplemental record.

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

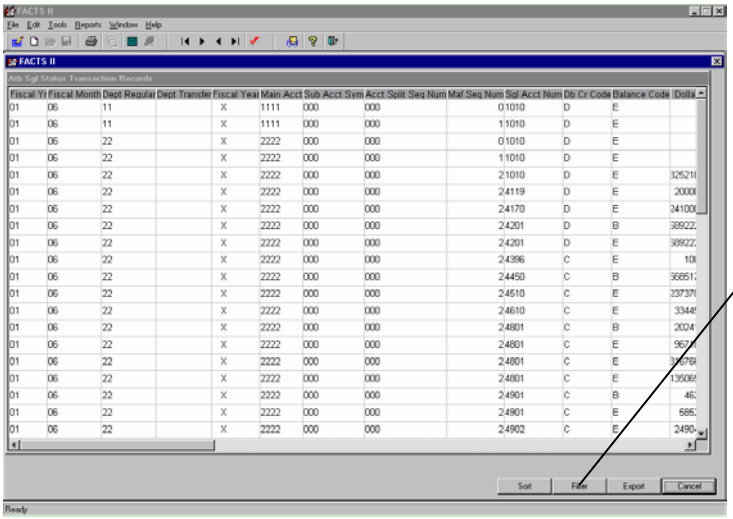
The following table describes the data that you can export using the FACTS II program.

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.



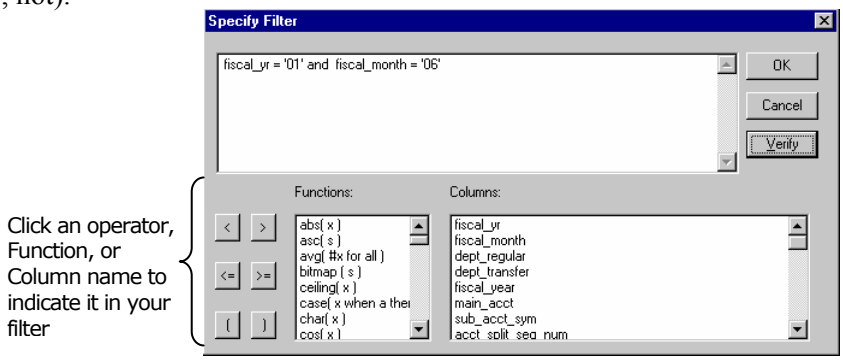
2. Do the following to select specific records to export. If you want to export all of the records, skip this step.

- 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.

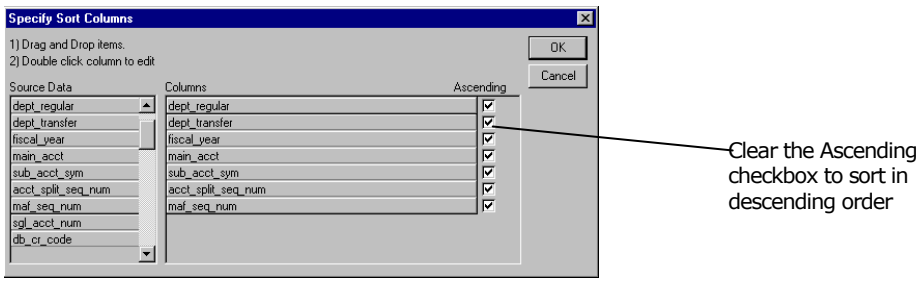
  The FACTS II program verifies that the syntax of your filter is correct. One problem you may encounter is incorrect data types. For example you may assume that the fiscal_yr column is numeric, but the fiscal_yr column is alphanumeric and you must enclose the value after the operator in quotes. For example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

2. 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.



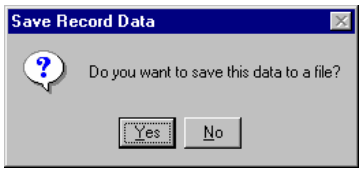
The order in which the names appear under Columns determines the sorting hierarchy. For example in the sample window, the dept_regular column is the primary sort, the dept_transfer column is the secondary sort, and so on.

- 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.

3. To export the records, click Export.

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

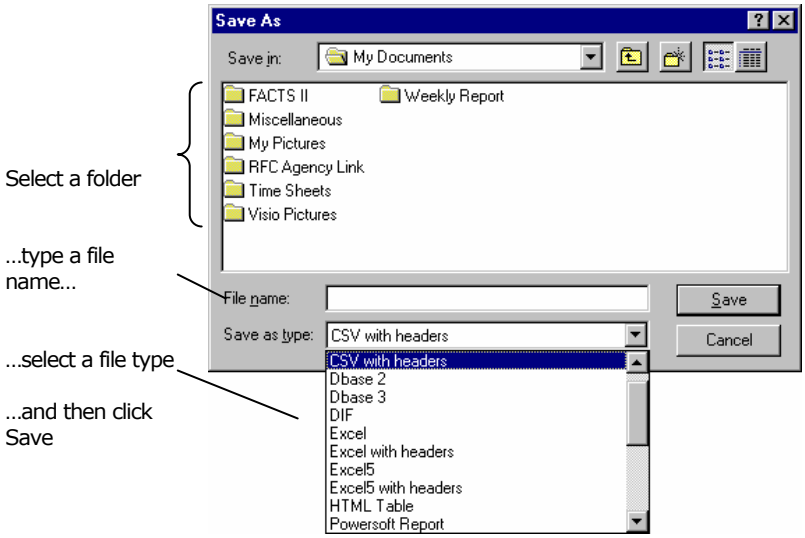


5. On the Save As window, select the folder where you want to save the TAFS submissions file.

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

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

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



8. Click Save.

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

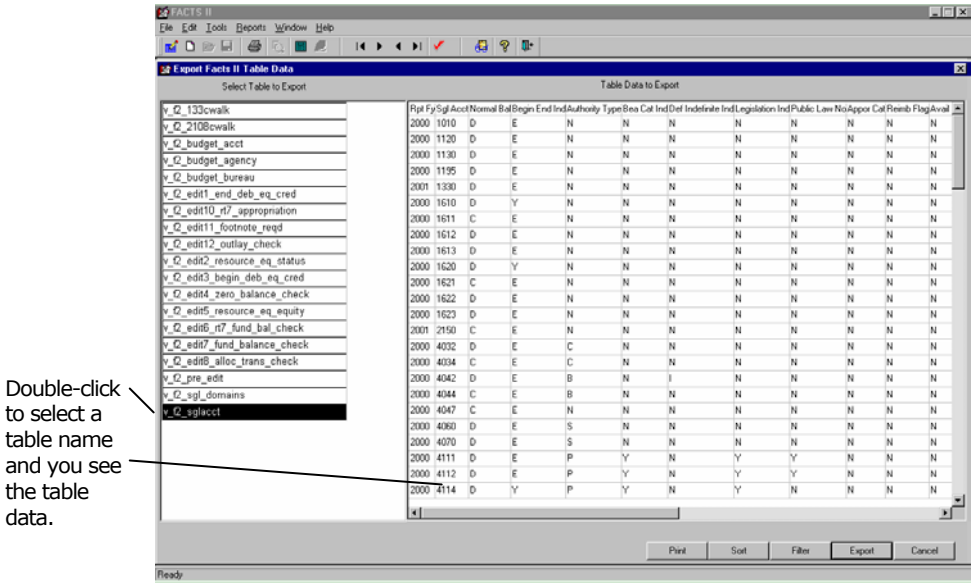
To export table data

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.



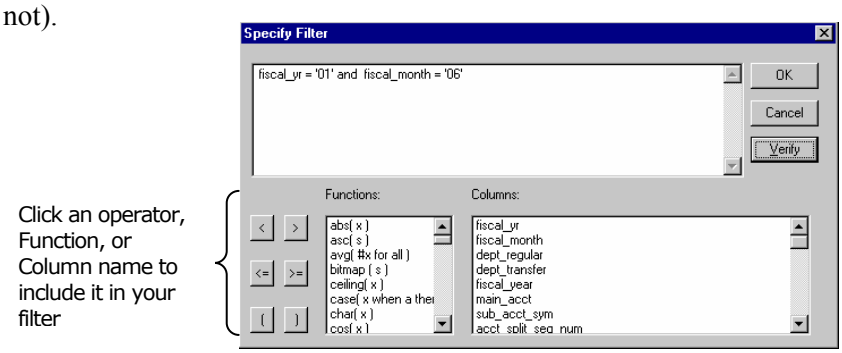
3. Do the following to select specific rows in the table to export. If you want to export all of the rows, skip this step.

- 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.

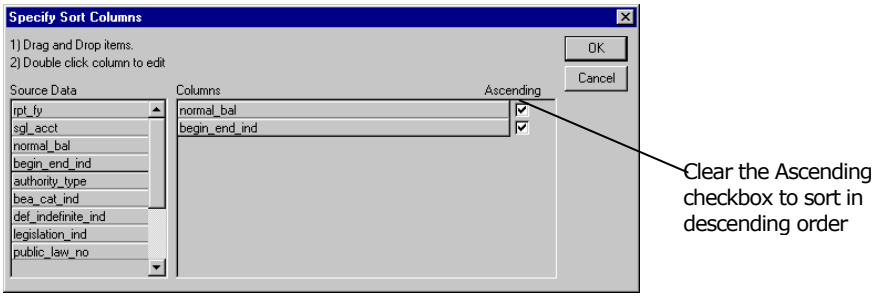
  The FACTS II program verifies that the syntax of your filter is correct. One problem you may encounter is incorrect data types. For example you may assume that the SGL Acct column is numeric, but the column is alphanumeric and you must enclose the value after the operator in quotes. For example sgl_acct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



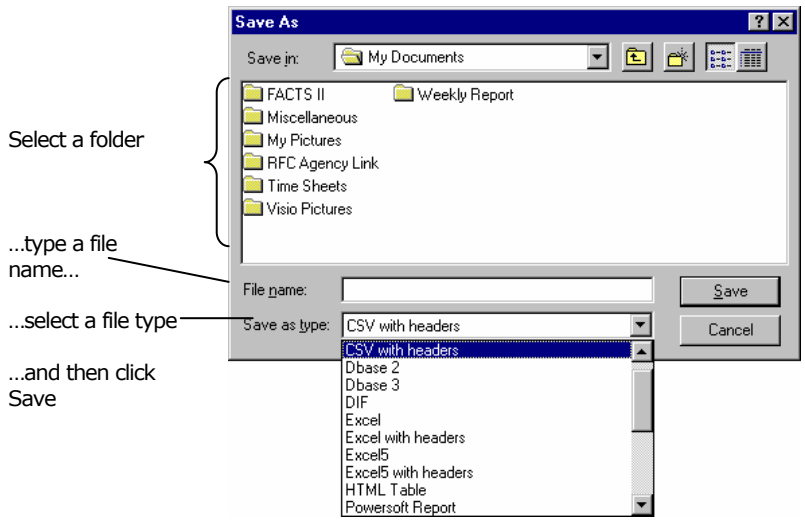
  The order in which the names appear under Columns determines the sorting hierarchy. For example in the sample window, the normal_bal column is the primary sort and the begin_end_ind column is the secondary sort.

- 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.

3. To export the table, click Export.

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



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

6. From the Save as type drop-down list, select a file type.
   For information on file types, see the following section "File Types."

7. Click Save.

8. 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

File Type	Description
Excel5 with headers	Microsoft Excel version 5 spreadsheet with column headings
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.

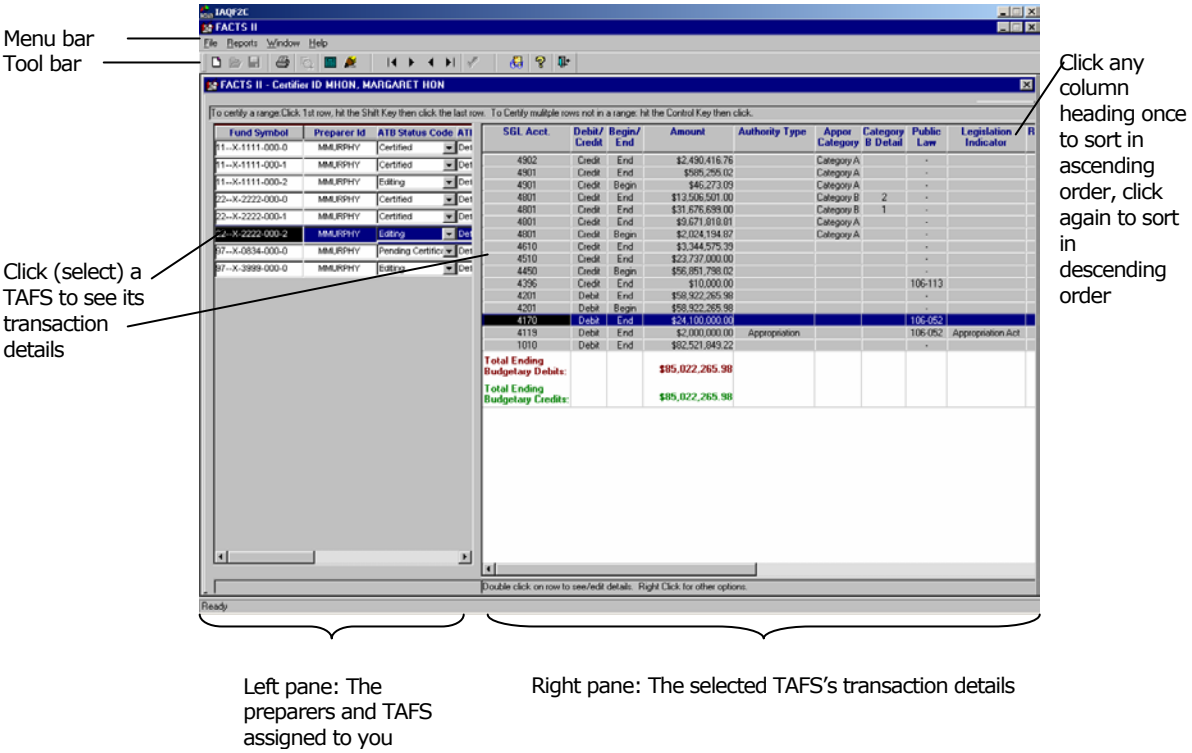
5

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*.

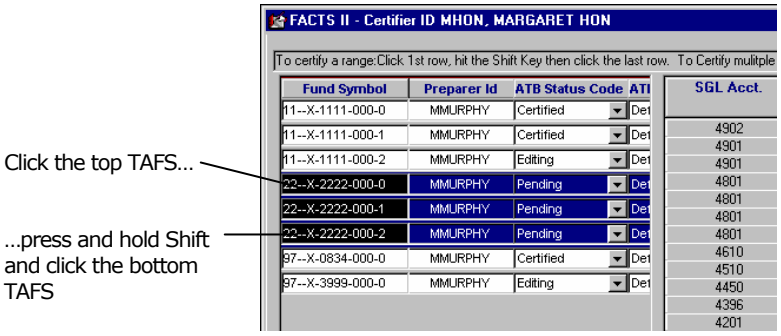
3. On the Status to Editing window, click Yes.

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.

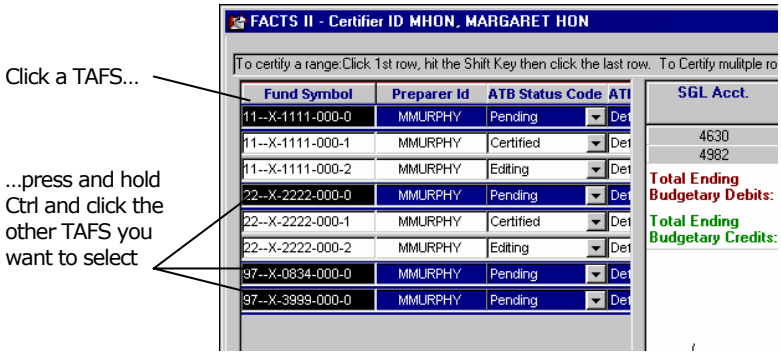


To select multiple TAFS that are not in consecutive rows

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.



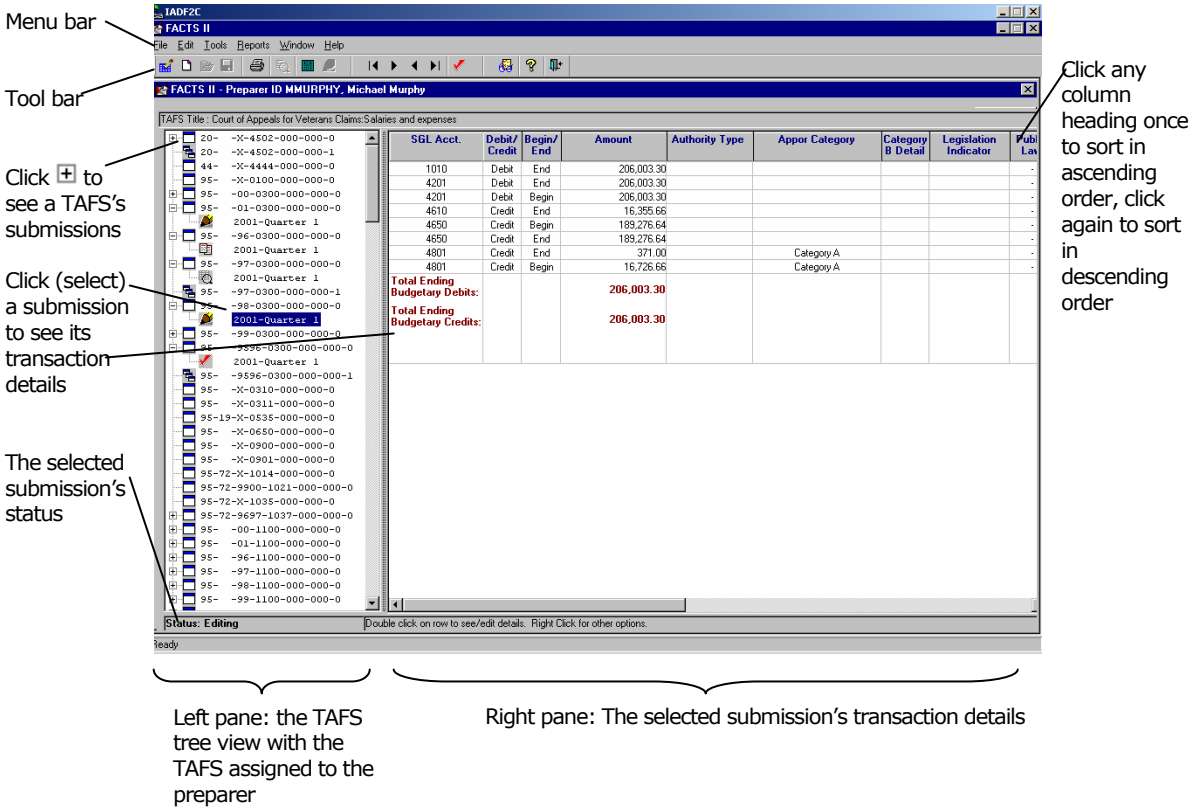
6

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.

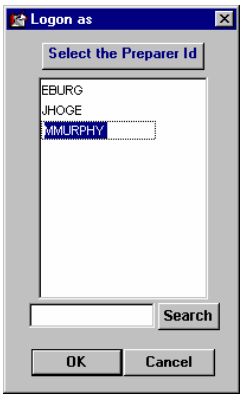
6.2 Starting the FACTS II Client Program

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

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.

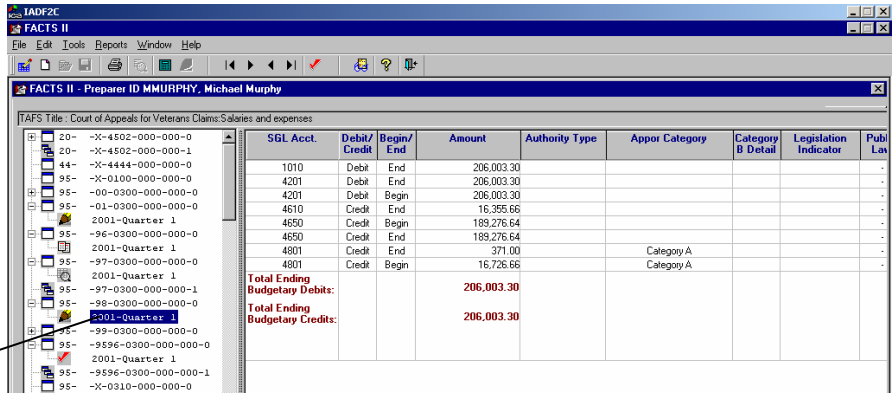


6.3 TAFSs and Quarterly Submissions

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.



Click ⊞ next to the TAFS and then click the quarterly submission

7

FACTS II Reports

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

Report	Description
Adjusted Trial Bal. Report	Reports the balance of each SGL account for a Department Regular Number and Main Account Number.
TAFS Status Report	Reports all or specific statuses of all TAFS submissions for a specific fiscal year and quarter.
SF-133	Creates an SF 133 report, "Report on Budget Execution," for a Department Regular Number and Main Account Number.
FMS-2108	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	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	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.

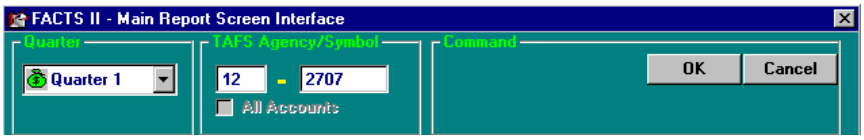
To see the Adjusted Trial Balance Report

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.



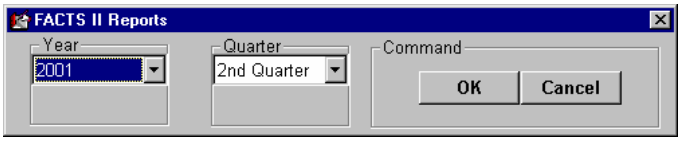
   4. Click OK.

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 statuses, select *Selected Status*. To limit the report to TAFSs not yet reported to FMS, select *Not Submitted*.

2. On the FACTS II Reports window, select a Year from the drop-down list, select a Quarter from the drop-down list, and then click OK.



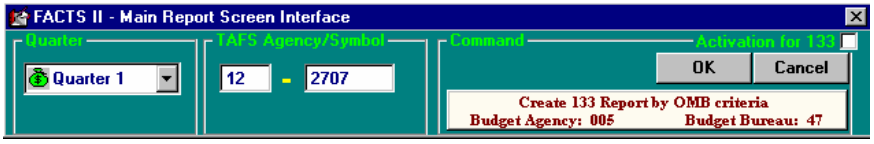
To see the SF 133 Report

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*.

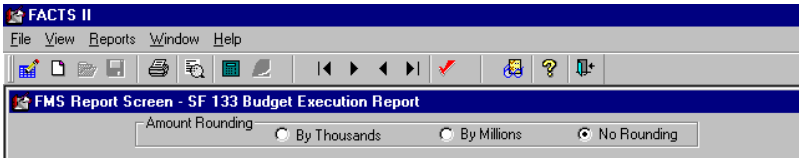
3. Do the following if you want to report on a different TAFS or quarter than those you selected in step 1. Skip this step if you don't want to select a different TAFS or quarter.

- 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.



- Click OK.

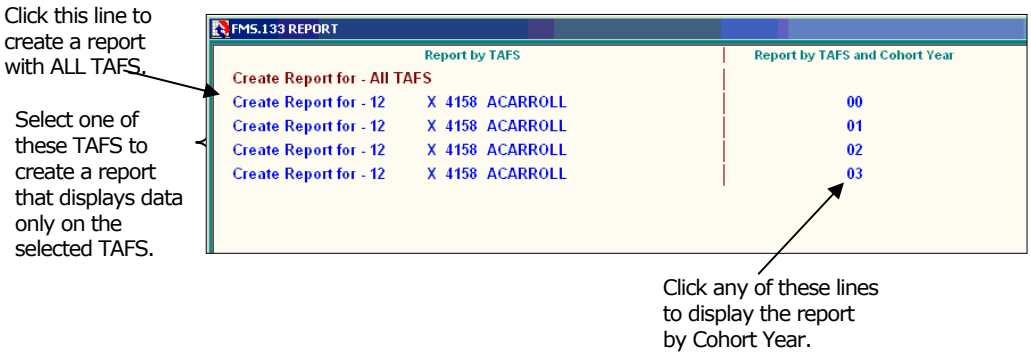
4. On the FMS Report Screen, select an appropriate Amount Rounding option.



To see the new SF 133 Report

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

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



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.

FACTS II

SF 133 Report on Budget Execution and Budgetary Resources
Department of the Treasury Financial Management Service
(In dollars and cents)

Page 1 of 2
Report Run On: 1/16/03 09:43:04

Treasury Account: 14 0203 1036 000 Fiscal Year 0203 4 th Quarter, Fiscal Year: 2002 Status: Reported On

Agency : Department of the Interior Bureau : National Park Service OMB Account : 010 24 1036 Operation of the national park system

Certifier ID : PRIENDEA First Name : PATRICIA Last Name : RIENDEAU Phone # : 7034879308 Ext. Email : pat_riendeau@nps.gov

Preparer ID : TMEARA First Name : THOMAS Last Name : MEARA Phone # : 7034879043 Ext. Email : thomas_meara@nps.gov

BUDGETARY RESOURCES	
1. Budget authority:	
A. Appropriation	$72,640,000.00
B. Borrowing authority	
C. Contract authority	
D. Net transfers (+) or (-)	($142,097.00)
E. Other	
2. Unobligated balance:	
A. Brought forward, October 1 (+ or-)	
B. Net transfers, balances, actual (+ or-)	
C. Anticipated transfers, balances (+ or -)	
3. Spending authority from offsetting collections (gross):	
A. Earned:	
1. Collected	
2. Receivable from Federal sources	
B. Change in unfilled customer orders (I. or -):	
1. Advance received	
2. Without advance from Federal sources	
C. Anticipated for rest of year, without advance	
D. Transfers from trust funds:	
1. Collected	
2. Anticipated	
4. Recoveries of prior year obligations:	
A. Actual	
B. Anticipated	
5. Temp not available pursuant to Public Law (-)	
6. Permanently not available:	
A. Cancellations of expired/no-year accts (-)	
B. Enacted rescissions (-)	
C. Capital transfers and redemption of debt (-)	
D. Other authority withdrawn (-)	
E. Pursuant to Public Law (-)	
F. Anticipated rest of year (-)	

Line 7 and 11 | New Report | Printer Setup | Print | Close

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 to which you print 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.

4. 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.

FACTS II

SF 133 Report on Budget Execution and Budgetary Resources
Department of the Treasury Financial Management Service
(In dollars and cents)

Page 1 of 1
Report Run On: 1/16/03 09:45:38

Treasury Account: 14 X 1036 000 Fiscal Year X 2 th Quarter, Fiscal Year: 2002 Status: Reported On

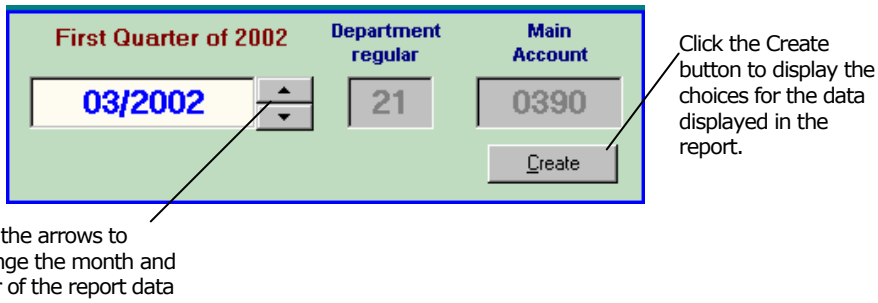
Agency : Department of the Interior Bureau : National Park Service OMB Account : 010 24 1036 Operation of the national park system

Certifier ID : PRIENDEA First Name : PATRICIA Last Name : RIENDEAU Phone # : 7034879308 Ext. Email : pat_riendeau@nps.gov

Preparer ID : LWILSON First Name : LINDA Last Name : WILSON Phone # : 7034879027 Ext. Email : linda_wilson@nps.gov

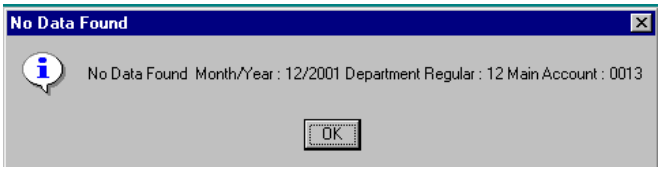
7. Total budgetary resources	$38,934,413.41
11. Total status of budgetary resources	$38,934,413.41

5. 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.



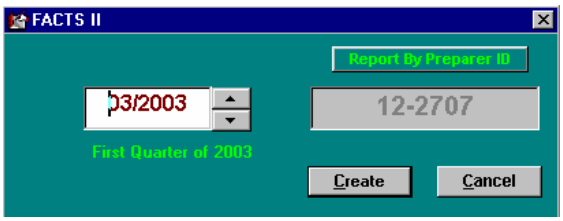
To see the FMS 2108 Report

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.

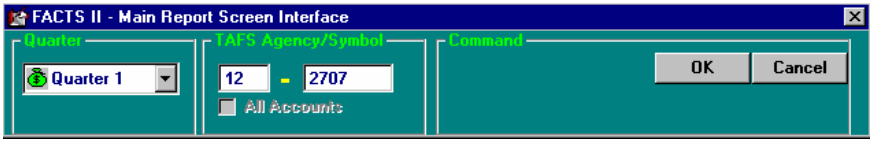
To see the Total Resources versus Status Resources Report

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.

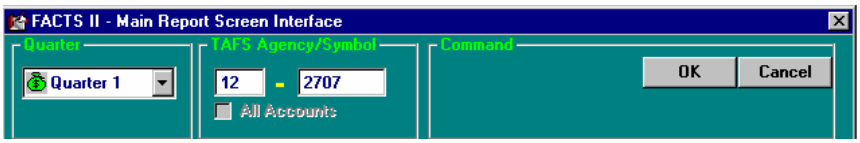
To see the Fund Resources versus Fund Equity Report

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.

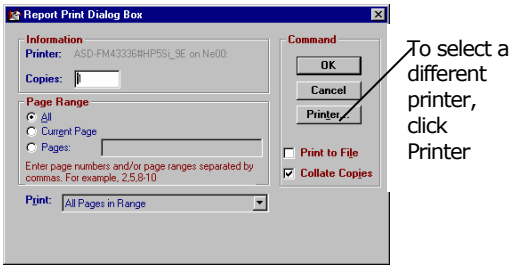


3. Click OK.

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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