FATS Manual 2009

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Chapter 1: Managing Appropriations
What is a Form 27/27A?

Agency heads are both accountable and responsible for many financial management roles. This chapter provides information and identifies responsibilities for managing state appropriations, both operating and capital budget appropriations. Part 4, General Provisions of the Appropriation Act, sets forth authority and responsibilities of agencies.

The General Assembly enacts appropriations for each year of the biennium for operating and capital expenses. These appropriations are printed in the Appropriation Act and are effective on July 1 of each year, unless otherwise specified. DPB transmits these original appropriations to the Department of Accounts, together with the related allotments and subobject expenditure codes, after which the agency may process expenditures against the allotments.

Adjusting appropriation amounts

There may be a need to adjust these appropriations during actual operations. Accordingly, the General Assembly has authorized the Governor and DPB to make administrative adjustments to the original legislative appropriations. Thus, the appropriated amount for an agency, as shown in PROBUD and CARS, can change significantly from the amount printed in the Appropriation Act.

For example, the agency may receive an allocation from Central Appropriations. The agency may generate additional revenue not reflected in the Appropriation Act. The agency may have an unexpended appropriation balance at the end of the fiscal year for which it may receive authorization for expenditure in the next fiscal year.

It may be necessary to transfer funds from one capital project to supplement another capital project. It may be necessary to transfer funds from one agency to another to affect a program objective. There may be an agency reorganization involving reallocation of funds among agency programs.

Administrative adjustments to appropriations are accomplished through the Form 27 process. Form 27 is a document that initiates an administrative adjustment (increase, decrease, or transfer) in the appropriation and allotment of funds and in the subobject details of expenditure plans. The processing of a Form 27 effects these changes in both the Program Budget System (PROBUD) operated by DPB and the Commonwealth Accounting and Reporting System (CARS) operated by DOA. It may be either hard copy (paper) or automated.

In most cases, Form 27 action is initiated by the agency. For certain actions, such as transfers from central appropriations, Form 27 action is initiated by .

Adjusting positions

Form 27A is also a mechanism that initiates changes in position levels. The General Assembly also approves in the Appropriation Act the staffing levels of state agencies, expressed as position level, allocated between general fund positions and nongeneral fund positions. As is the case with dollar appropriations, it is occasionally necessary to adjust the agency's employment level during actual operations. Form 27A effects this change in PROBUD and a notification is sent concurrently to the Personnel Management Information System (PMIS) operated by the Department of Human Resource Management.

Operating Budget Appropriations

Initial allotment of program appropriations

The following information applies to the general responsibilities for initial appropriations and allotments and the annual operating plan. No Form 27 action by agencies is required to establish the initial appropriations and allotments.

The Department of Planning and Budget (DPB) is responsible for:

- Creating the initial appropriations and allotments, at the subobject code level, for all state agencies. This is done by comparing the data produced by the Division of Legislative Automated Systems for the enacted Appropriation Act and the Budget Bill, computing the differences between the two and recording the monies and positions on convenience subobject codes and funds for legislative adjustments to the Budget Bill;

- Transmitting initial appropriations and allotments, at the subobject code level, based on the Appropriation Act, plus the transfer for the regrade supplement, to DOA;

- Processing responses from agencies and updating the PROBUD files to ensure that all adjustments are in accordance with the Appropriation Act; and

- Notifying agencies when the appropriation and allotment of funds has been authorized.

Each agency head is responsible for:

- Reconciling and verifying final legislative actions for dollar appropriations and positions within each program;

- Removing convenience subobject codes and distributing legislative adjustments for personal services and nonpersonal service categories to valid subobject expenditure codes in a manner consistent with legislative intent and as designated by DPB.

- Ensuring that any proposed redistribution of resources included in convenience subobject codes does not increase or decrease the amount of resources mandated by specific language in the Appropriation Act;

- Ensuring that any proposed redistribution of resources will not begin any new service requiring any operating or fixed asset expenditure in the following biennium without prior written approval from the Governor; and

- Monitoring, and adjusting as required, planned versus actual expenditures and actual expenditures versus available cash during the fiscal year.

DOA (DOA) is responsible for:

- Recording data concerning the agency's revenues, appropriations, allotments and expenditures of funds in the Commonwealth Accounting and Reporting System (CARS); and

- Ensuring before any payment is processed that the particular account has a legal appropriation, a sufficient allotment, and available cash.

Supplemental appropriations and allotments

Once the initial annual operating plan and the initial appropriation and allotment are established, any changes will be made through the DPB Form 27 process. The following general information addresses adjustments of allotments and appropriations during the fiscal year.

Each agency head is responsible for:

- Reviewing and submitting any requested adjustments to appropriations, allotments, or the agency's internal annual operating plan through the DPB Form 27 process;

- Reviewing the rationale for requests for adjustments to the agency appropriation, and allotments, to ensure that the adjustment is in compliance with administrative and legislative policy; and

- Ensuring that the requested adjustment is consistent with the goals and objectives of the program.

DPB is responsible for:

- Reviewing and approving or rejecting agency requests for adjustments for appropriations and allotments, and annual operating plans;

- Notifying the agency in writing by email or by comment in FATS Transaction Brief and within 30 days of the decision if the adjustment is not approved;

- Transmitting approved adjustment information to CARS; and

- Advising the agency of approved adjustment actions through transmittal of the Appropriation/Allotment Status Report.

Reappropriations

General fund reappropriations

General fund appropriations of Executive Department agencies which are unexpended at the end of the fiscal year may be reappropriated for use in the succeeding year for non-recurring costs, subject to the Governor's approval, unless the General Assembly has mandated the reappropriation by language in the Appropriation Act. Any unexpended appropriations not approved for reappropriation revert to the fund balance of the general fund.

The Appropriation Act requires the reappropriation of unexpended general fund appropriations for agencies in the Legislative and Judicial Departments and the Independent agencies.

Each agency head is responsible for ensuring that the Form 27 request reflects legislative intent and for comprehensively addressing the analytical requirements.

If a reappropriation is authorized by the Appropriation Act:

- Indicate adjustment type A on the Form 27 request; and insert in the remarks area: "Reappropriation in Fiscal Year <u>XXXX</u> authorized by Item <u>XXX</u>, Chapter <u>XXX</u> (20XX)."

If the transaction is effected under the Governor's authority:

- Indicate adjustment type B on the Form 27 request. The transaction brief submitted to DPB must state that the request is consistent with the agency's discretionary reappropriation plan approved by the Governor's Office.

Nongeneral fund reappropriations

Unexpended nongeneral fund <u>appropriations</u> expire at the end of each fiscal year. They are not carried forward into the succeeding fiscal year. If the agency anticipates receiving nongeneral fund revenue in the succeeding fiscal year which is not included in its nongeneral fund appropriation for that year in the Appropriation Act, the agency should execute a Form 27 transaction, Adjustment Type G, "Additional Revenue Appropriation," to provide an appropriation for such revenue and to identify the source of the new revenue.

Unexpended nongeneral fund <u>cash</u> at the end of the fiscal year may be brought forward for expenditure in the succeeding year, pursuant to Part 4, General Provisions, "Reversion of Appropriations and Reappropriations," of the Appropriation Act. DPB must approve reappropriation of nongeneral fund cash, unless the General Assembly has specifically provided otherwise by language in the Appropriation Act.

Each agency head is responsible for ensuring that the Form 27 request reflects legislative intent and for comprehensively addressing the analytical requirements.

If the General Assembly has provided for the cash to be brought forward by language in the Appropriation Act:

- Indicate adjustment type E on the Form 27 request and the following language inserted in the remarks area: "Cash reappropriation in fiscal year XXXX authorized by Item XXX, Chapter XXX (20XX).

If the cash action is subject to DPB approval:

- Indicate adjustment type E on the Form 27 request.

- Submit a transaction brief to DPB addressing one of these two sets of questions:

Is the cash essential to meet an obligation of the prior year that the agency could not otherwise meet? What is the nature of the obligation (describe it) and what are the consequences of not approving the transaction?

<div align="center">*OR*</div>

Is the cash essential for continuing services, addressing workload increases, or providing better quality services in the second year? Are the services for clients or for activities specifically mandated by the Governor, General Assembly, federal government, or the courts? What are the program and political consequences of not approving the transaction? What assumptions, if any, are used in calculating the request?

Additional revenue appropriations

The Director of DPB can authorize an increase to appropriations for nongeneral fund revenue received from the sale of surplus property, insurance recovery, gifts, grants, donations, and other sources of nongeneral fund revenues. The increase is subject to the conditions outlined in Part 4, General Provisions, "Unappropriated Nongeneral Funds" and "Nongeneral Fund Revenues" of the Appropriation Act.

The DPB Director may also authorize an increase in general fund appropriations for the selected agencies identified in Part 4, General Provisions, "General Fund Revenues," of the Appropriation Act.

Each agency head is responsible for ensuring that the Form 27 request reflects legislative intent and for comprehensively addressing the analytical requirements.

To request the use of unappropriated nongeneral funds, the agency must submit a:

- Form 27 request, indicating adjustment type G, "Additional Revenue Appropriation";

- Transaction brief explaining the requested action.

The transaction brief

The transaction brief for additional nongeneral fund revenue appropriations must address the following questions:

- Which of the ten criteria specified in Part 4, General Provisions, "Nongeneral Fund Revenues," are met by this request?

- What is the source of additional revenue?

The DPB budget analyst examining the request may also ask the following questions:

- How will additional revenue affect agency programs, e.g., expand services or maintain service levels?

- Does the additional revenue imply a general fund commitment, e.g., state match or long-term spending commitment? (No mention of a general fund match in the transaction brief shall be presumed to mean "No matching required.")

- Can general fund appropriations be reduced as a result of additional nongeneral fund revenue?
- Why was the additional revenue not included in the agency's biennial budget request?

To request the use of unappropriated nongeneral fund revenue, the agency must submit:

- Form 27 request, indicating adjustment type G, "Additional Revenue Appropriation"; and
- Transaction brief explaining the requested action.

Approval of the transaction brief by DPB authorizes a state agency to solicit or accept any monetary donation, gift, grant, or contract in compliance with Part 4, General Provisions, "Nongeneral Fund Revenues," of the Appropriation Act.

Allotment of unallotted appropriations

Allotment procedures are a means of controlling expenditures until certain conditions are met. The Director of DPB is authorized to allot funds according to the Appropriation Act. However, the Director may elect not to allot certain appropriations because of language in the Appropriation Act or for some other reason. Agencies may request allotment of these funds when the required conditions are met.

Each agency head is responsible for ensuring that the Form 27 request reflects legislative intent and for comprehensively addressing the analytical requirements.

How to request allotment of appropriations:

- The agency must submit a Form 27, indicating adjustment type L, "Adjustment to Allotment and Operating Plan Only." The unallotted amount should be entered on the FATS request in the appropriate subobject code (1188, 1611, or 2411) as a negative sum. It should be offset by valid expenditure subobject codes as positive sums. In the remarks area, enter "Allotted by authority of (describe)."
- The agency must also submit a transaction brief explaining how the required conditions have been met.

Other nongeneral fund appropriations

The Director of DPB can authorize an increase in appropriations for other nongeneral funds that are not revenues. The principal example is the proceeds of bond issues for capital projects. The increase is subject to the conditions outlined in Part 4, Nongeneral Fund Revenues, of the Appropriation Act.

Each agency head is responsible for ensuring that the Form 27 request reflects legislative intent and for comprehensively addressing the analytical requirements.

To request the use of other nongeneral funds, the agency must submit:

- Form 27 request, indicating adjustment type H, "Other Nongeneral Funds;" and

- Transaction brief explaining the requested action. The transaction brief must address the same questions as for additional revenue appropriations.

Appropriation transfers

The Director of DPB may authorize the transfer of an appropriation within an agency or from one agency to another to supplement an appropriation or reappropriation for a closely and definitely related purpose. Transfers may also be made from the second year to the first year, between operating budgets and capital projects, between capital projects, and between some fund sources. Appropriation transfers are subject to the conditions in Part 4, General Provisions, "Appropriation Transfers," of the Appropriation Act.

Each agency head is responsible for:

- Reviewing any contemplated request for transfer to or from another program appropriation in order to ensure that the purpose for the transfer is for a closely and definitely related purpose for which the appropriation was originally made and that the transfer reflects the intention of the General Assembly as set forth in Section 4-1.03;

- Reviewing any contemplated transfer from the second year to the first year to insure that the conditions in Part 4, General Provisions, "Appropriation Transfers" of the Appropriation Act are met.

- Submitting the request for receipt of an appropriation transfer through the DPB FATS process to the agency providing the transfer (if applicable);

   Ensuring that no funds are transferred other than by appropriation, unless in accordance with administrative regulations; and

- Comprehensively addressing all analytical requirements.

How to request internal transfers

To request transfers WITHIN an agency, a set of Form 27 requests should be completed as follows:

- Indicate adjustment type N, P, R, T, or V for the appropriation(s) TO which the transfer is to be made.

- Indicate adjustment type O, Q, S, U, or W for the appropriation FROM which the transfer is to be made.

- Supply cross-reference information to the other side of the transaction.

- Submit a transaction brief that explains the requested action.

How to request external transfers

For transfers BETWEEN agencies:

- Each agency should submit the Form 27 action (one or more requests) reflecting its side of the transaction.

- Supply cross-reference information showing the other agency involved in the transaction.

- Submit a transaction brief that explains the requested action.

How to request transfers from second year to first year

- The transfer from the second year to the first year must meet one or more of the criteria specified in Part 4, General Provisions of the Appropriation Act for general fund and nongeneral fund operating expense appropriations. **NOTE: DPB budget analysts and agencies are not permitted to submit this type of transaction.** It must be created by DPB's Information System Services. The transfer must meet one or more of the criteria specified in the Appropriation Act.

- The appropriation increase must be recorded in the first year. The corresponding appropriation decrease must be recorded in the second year, after PROBUD and CARS are open to receive second year data.

- The transaction brief must identify the program(s) in which the increase and decrease are to be recorded and cite the Appropriation Act authority.

What to put in the transaction brief for transfers

Based upon the type of transfer requested, the transaction brief must provide answers to the following questions:

- Do transfers meet at least one of the conditions in Part 4, General Provisions, "Appropriation Transfers," of the Appropriation Act (e.g. closely and related purpose, legislatively mandated agency reorganizations or new responsibilities, unbudgeted increases for essential services)? In other words, why is the transfer needed?

- What will be the impact on the delivery of services?

- What will be the fiscal impact on the program?

- How will program changes (that may result from the transfer) be consistent with legislative intent and administrative policy?

Sum sufficient appropriations

Sum sufficient appropriations are for unspecified amounts or for an estimated amount of funds needed to carry out the program for which the appropriation is made. Periodic increases or decreases may be warranted. There must be authority in the Appropriation Act for sum sufficient appropriations.

Each agency head is responsible for ensuring that the Form 27 request reflects legislative intent and for comprehensively addressing the analytical requirements. Agencies may need to submit a FATS at the beginning of the fiscal year to establish an initial appropriation.

How to request a sum sufficient appropriation

▪ The Form 27 request should indicate adjustment type F.

▪ If an increase is requested, the transaction brief must demonstrate how the additional appropriation will be expended and how the extra nongeneral fund revenue will be generated.

Withholding allotments

Intervening developments from the time the General Assembly initially provides an appropriation will sometimes warrant that funds be withheld from allotment. Clear legislative intent expressed in the Appropriation Act is that funds are not to be expended for any purpose other than for which they are specifically appropriated. The following information applies to responsibilities relating to the withholding of appropriations from allotment for expenditure.

Each agency head is responsible for:

▪ Ensuring that no funds are expended for any purpose other than that for which the funds are specifically appropriated; and

▪ Withholding from allotment any appropriated amount not required, by submitting to DPB a DPB Form 27 request.

DPB is responsible for:

▪ Withholding funds from expenditure when program evaluations conclude that such expenditures are not warranted;

▪ Withholding funds from expenditure when client service levels or workload levels related to appropriated amounts differ from the estimate made of these factors as a basis for appropriation;

▪ Withholding from allotment for expenditure any portion of appropriations from the general fund equivalent to that provided from nongeneral funds received in programs for which new or additional grant funds become available after appropriation actions of the General Assembly;

▪ Notifying in writing any state agency that will have all or a portion of its appropriation withheld;

▪ Placing within the Department and making available upon request a copy of any order withholding funds from expenditure, setting forth the reasons for withholding or transferring the appropriation; and

▪ Notifying the chairmen of the House Appropriations and Senate Finance committees of any decision to withhold appropriations.

Appeal of withholding

To appeal any decision by DPB to withhold appropriations, an agency must submit a letter to its Secretary, setting forth the reasons why the funds should not be withheld and the consequences if the funds are not made available for expenditure.

The Secretary, after consultation with DPB, will review the appeal and provide a recommendation to the Secretary of Finance.

The Secretary of Finance, acting as the Governor's designee, will review the recommendation and approve or disapprove it.

Within five days of the decision made by the Secretary of Finance, DPB will notify the agency of the final action on the request.

Capital budget appropriations

New capital projects

At the beginning of each fiscal year, DPB enters into the PROBUD files all **new** capital projects listed in the regular biennial Appropriation Act and in subsequent Acts amending that Act. The appropriations are designated as unallotted. The PROBUD information is transmitted to DOA concurrently with the initial operating expense appropriations on or about June 15. No FATS action by the agencies is required for these initial actions.

Capital appropriations are appropriated in year one and year two of the biennium for each project.

Before any expenditure can be made from a new project's appropriation, the Appropriation Act requires that the Governor approve the initiation of the project. Engineering and Buildings Form CO-2 is the vehicle for this approval. The Departments of General Services and Planning and Budget review this form, and it is signed on behalf of the Governor by the Director of DPB.

Each agency head is responsible for:

- Reconciling and verifying the final legislative actions for appropriations within each project.

- Ensuring that any proposed redistribution of resources included in the project does not increase or decrease the amount of resources mandated by specific language in the Appropriation Act;

- Monitoring planned versus actual expenditures during the fiscal year, and adjusting as required.

How to request the initial allotment

Upon approval of the Form CO-2 for the project, the agency should submit a Form 27 request to allot the appropriation. The approved Form CO-2 is essential. Adjustment type L should be indicated. The appropriation is entered as a positive amount in a valid expenditure subobject code and as a negative amount in subobject code 2411. A transaction brief is not required with this adjustment.

DPB is responsible for:

- Ensuring that the initial capital project appropriation is entered into PROBUD as unallotted;

- Transmitting the initial capital appropriation, as unallotted, to DOA;

- Advising the agency of initial actions through transmittal of the Appropriation/Allotment Status Report; and

- Allotting the appropriations upon receipt of Form 27 request from state agencies.

The Department of Accounts is responsible for:

- Recording data concerning appropriations, allotments and expenditures for the project in CARS; and

- Ensuring before any payment is processed that the particular project has a legal appropriation, a sufficient allotment, and available cash and that the conditions of Section 4-401.i.2 have been met.

Supplemental appropriations and allotments

Once the initial capital appropriation and the initial allotment request are approved, any changes will be made through DPB Form 27/27A process. The following general information addresses the adjustments of appropriations and allotments for capital projects during the fiscal year.

Each agency head is responsible for:

- Reviewing and submitting any requested adjustments to appropriations and allotments through DPB Form 27 process;

- Reviewing the rationale for requests for adjustments to project appropriations and allotment to ensure that the adjustment is in compliance with administrative and legislative policy; and

- Ensuring that the requested adjustment is consistent with the goals and objectives of the program.

DPB is responsible for:

- Reviewing and approving or rejecting agency requests for adjustments for appropriations and allotments for capital projects;

- Transmitting approved adjustment information to CARS; and

Capital Reappropriations

The Appropriation Act provides that under certain conditions a capital project may be continued in the state budget and accounting systems until it is completed. Thus a project may be shown in the state systems for two or more biennia. When the agency has certified that all bills have been paid and the project has been accepted by the Commonwealth, the Director of DPB certifies to the State Comptroller that the project should be terminated and any unspent appropriations returned to their fund sources.

Each agency head is responsible for:

- Monitoring the progress of all capital projects in his agency; and

- Notifying the Department of General Services and DPB when the project has been completed.

DPB is responsible for acting on behalf of the Governor to approve the reappropriation of a capital project and DPB's certification of completion of the project.

The Department of Accounts is responsible, upon receipt of the Governor's certification of completion, for deleting the project from CARS and for returning unexpended project appropriations to their fund sources.

For reappropriations at the beginning of a biennium:

- DPB notifies DOA of projects that are approved for reappropriation from the preceding biennium.   DOA then brings forward the unexpended appropriations and allotments from June 30 of the preceding year and enters this information in CARS.

- DOA provides DPB a disk dataset containing the exact amounts brought forward. DPB accesses this file and generates FATS transactions, which are then updated in PROBUD.

- No Form 27 action is required by state agencies, except in the case of an appropriation which may have been brought forward as unallotted and for which allotment is subsequently required.

For reappropriations in the second year of a biennium:

- DOA brings forward the **unexpended** appropriations and allotments from June 30 of the preceding year. DPB brings forward the **current** appropriations and allotments. These amounts do not reflect CARS expenditures, and therefore, may not agree.

- The Department of Planning and Budget, in cooperation with the agencies, performs a comprehensive review of all active capital projects recorded on CARS at the end of each fiscal year. Agencies are required to identify projects that have been completed and should be terminated. They are also required to identify projects which should remain active but which have appropriations not needed for completion and which can be reverted.

- No FATS action is required.

Capital transfers

Transfers between capital projects must conform to the provisions of the Appropriation Act, including Part 4, General Provisions, "Capital Projects."

Each agency head is responsible for ensuring that the Form 27 request reflects legislative intent and for comprehensively addressing the analytical requirements.

How to request a transfer from operating programs to capital projects:

- The transaction brief must address: the impact on service delivery for the program, the impact on the program's fiscal resources, the legislative intent or administrative policy that the transfer is intended to accomplish, and the impact on the project if the transfer is not made.

How to request a transfer from one capital project to another capital project:

- The transaction brief must address: the impact on the "transferred from" project, the impact on the "transferred to" project, and the legislative intent of Part 4, General Provisions, "Capital Projects," of the Appropriation Act.

DPB is responsible for:

- Ensuring that the Form 27 request carries out legislative intent or is in accordance with administrative policy;

- Transmitting approved adjustment information to CARS; and

How to request transfer from second year to first year

The Director of DPB may transfer appropriations pursuant to Part 2, Capital Project Expenses, from the second year to the first year in accordance with Part 4, General Provisions, "Appropriation Transfers," of the Appropriation Act for general and nongeneral fund capital expense appropriations.

DPB budget analysts and agencies are not permitted to submit this type of transaction. It must be created by DPB's Information System Services. The transfer must meet one or more of the criteria specified in the Appropriation Act.

An appropriation increase must be recorded in the first year. The corresponding appropriation decrease must be recorded in the second year, after PROBUD and CARS are open to receive second year data.

The transaction brief must identify the project(s) in which the increase and decrease are to be recorded and cite the Appropriation Act authority.

Operating plan adjustment types

A n adjustment type is an alphabetic code used in the submission of operating plan adjustments. This code initiates the proper PROBUD adjustment in the appropriation and allotment of funds and in the subobject detail expenditure plans. This code also identifies the proper transaction code to be generated for transmittal to CARS.

Listed below are all valid operating plan adjustment types with a brief description of each. Following this page is a more detailed description of each adjustment type. The detailed descriptions identify any stipulations associated with an adjustment type, e.g., general/ nongeneral funding, operating/capital, positive/negative amounts, and dollar/position, etc. They also list the CARS transaction code that will be generated for updating of the CARS System.

All transfer adjustments (N - W) require submission of two or more separate adjustment requests, one or more for the "transfer to" portion of the transfer and one or more for the "transfer from" portion.

DPB Form 27/27A adjustment types

Type	What it means
A.	Mandated reappropriation
B.	Discretionary reappropriation
C.	Special legislative adjustment
D.	Amended legislative appropriation
E.	Nongeneral fund cash balance
F.	Sum sufficient appropriation
G.	Additional revenue appropriation
H.	Other nongeneral funds
I.	Deficit appropriation
J.	Transfer from second year to first year
K.	Reversion and restoration of capital project
L.	Adjustment to allotment/operating plan
M.	Adjustment to operating plan only

Transfer adjustments

Transfer to (positive)		Offsets	Transfer from (negative)	
N.	Approp transfer to GF		O.	Approp transfer from GF
P.	Approp transfer to NGF		Q.	Approp transfer from NGF
R.	Approp transfer to GF		S.	Approp transfer from NGF
R.	Approp transfer to NGF		S.	Approp transfer from GF
T.	Approp transfer to GF		U.	Approp transfer from HEOF
T.	Approp transfer to HEOF		U.	Approp transfer from GF
V.	Approp transfer to HEOF		W.	Approp transfer from HEOF

Detailed description of Transaction Types

Type	Definition	Fund Source	Operating / Capital	Positive/ Negative/	Dollar/ FTE	Offsetting Adjustment	CARS Trans. Code	Transaction Brief
A	**Mandated reappropriation** To record amounts previously appropriated and continued by the General Assembly by language in the Appropriation Act for the new fiscal year. The reappropriated amounts cannot exceed the unexpended appropriation recorded on the final CARS report for the prior fiscal year. Amounts must be rounded down to the nearest dollar. **No cross-reference needed.** *Note: Valid nongeneral funds for Higher Education: OCR Funds: 0300, 0310, 0312, 0313, 0314, and 0315. Valid program codes for Higher Education: 100 through 107*	GF/NGF	Operating	Positive	Dollar	None	022-increase 023-decrease	Yes
B	**Discretionary reappropriation** To record the reappropriation in each year of the biennium of the prior fiscal year's unexpended general fund appropriation, as approved by the Governor. The total amount reappropriated cannot exceed the unexpended appropriation recorded on the final CARS report for the prior fiscal year. Amounts must be rounded down to the nearest dollar. **No cross-reference needed.** *Note: Valid nongeneral funds for Higher Education: OCR FUNDS: 0300, 0310, 0312, 0313, 0314, and 0315. Valid program codes for Higher Education 100 through 107.*	GF/NGF	Operating	Positive	Dollar	None	030-increase 031-decrease	Yes
C	**Special Legislative Adjustment** To record special legislative appropriations made in language in the Appropriation Act, but not included in the appropriated amounts as well as appropriations made in laws other than the regular Appropriation Act, such as "Relief Bills" or appropriations approved in a special session of the General Assembly. **No cross-reference needed.**	GF/NGF	Operating/ Capital	Positive/ Negative	Dollar/ FTE	None	024-increase 025-decrease	Yes

Type	Definition	Fund Source	Operating / Capital	Positive/ Negative/	Dollar/ FTE	Offsetting Adjustment	CARS Trans. Code	Transaction Brief
D	**Amended Legislative Appropriation** To record legislative amendments in the succeeding odd-year or even-year session to the original Appropriation Act. No cross-reference needed. *Note: Agencies will not be permitted to submit this type of transaction. Actions will be handled by DPB.*	**GF/NGF**	**Operating/ Capital**	**Positive/ Negative**	**Dollar/ FTE**	**None**	**026-increase** 027-decrease	Yes
E	**Nongeneral Fund Cash Balance** To record appropriation increases based upon nongeneral fund cash on hand June 30, irrespective of whether or not it was appropriated in the prior year. Amounts appropriated cannot exceed the prior fiscal year's unexpended cash as recorded on the final CARS report for the prior year. Dollar amounts must be rounded up to the nearest dollar. *Note: For nongeneral fund capital, agencies will not be permitted to submit this type of transaction. Actions will be handled by DPB.* **No cross-reference needed.**	**NGF**	**Operating/ Capital**	**Positive**	**Dollar**	**None**	**028-increase** **029-decrease**	Yes
F	**Sum Sufficient Appropriation** To record appropriations in excess of the amount printed in the Appropriation Act. Authority must exist in the Appropriation Act for such transactions. **No cross-reference needed.**	**GF/NGF**	**Operating**	**Positive**	**Dollar/ FTE**	**None**	**032-increase** **033-decrease**	Yes

Type	Definition	Fund Source	Operating / Capital	Positive/ Negative/	Dollar/ FTE	Offsetting Adjustment	CARS Trans. Code	Transaction Brief
G	**Additional Revenue Appropriation** To record additional revenue appropriations, both general and nongeneral funds. Authority for additional general fund revenue appropriations must be consistent with criteria listed in the General Provisions of the Appropriation Act. Additional nongeneral fund appropriations must consist of amounts in excess of the original legislative appropriations. *A valid revenue source code must be used (required by the APA). Note: Nongeneral fund revenue sources specifically identified and appropriated by language in the Appropriation Act, but not included in the appropriated amounts included in the Act should be processed by a type "C" transaction or "Special Legislative Appropriation."* **No cross-reference needed.** *Note: For additional general fund revenue appropriations, agencies will not be permitted to submit this type of transaction. For general fund and nongeneral fund capital additional revenue appropriations, agencies will not be permitted to submit this type of transaction. Actions will be handled by DPB.*	GF/NGF	**Operating/ Capital**	Positive	**Dollar/ FTE**	None	**034-increase 035-decrease**	Yes
H	**Other Nongeneral Funds** To record nongeneral fund supplements and adjustments other than transactions involving additional revenues. For capital projects, this includes nongeneral funds used to supplement the appropriation for a capital project from available balances and operating revenue and from the proceeds of bond issues. **No cross-reference needed.**	NGF	**Operating/ Capital**	Positive	**Dollar**	None	**062-increase 063-decrease**	Yes

Type	Definition	Fund Source	Operating / Capital	Positive/ Negative/	Dollar/ FTE	Offsetting Adjustment	CARS Trans. Code	Transaction Brief
I	**Deficit Appropriation** To record a deficit appropriation. Documentation to authorize the transaction either by the Appropriation Act or the Governor is required. If an agency is permitted to operate at a deficit in one fiscal year, the appropriation of the subsequent fiscal year will be used to compensate for the deficit. **No cross-reference needed.**	**GF**	**Operating**	**Positive**	**Dollar**	**None**	**036-increase 037-decrease**	**Yes**
J	**Transfer from second year to first year** To record increases in first year appropriations, with a decrease in the same appropriation to be effected in the second year. Action must be within the biennium. Amounts must be positive for first year transactions and negative for second year transactions. Documentation must identify the second year appropriation and cite the Appropriation Act authority. **No cross-reference needed.** *Note: Agencies will not be permitted to submit this type of transaction. Actions will be handled by DPB.*	**GF/NGF**	**Operating/ Capital**	**Positive in 1st first year, Negative in 2nd year**	**Dollar**	**None**	**044-increase 045-decrease**	**Yes**
K	**Reversion (decrease) and restoration (increase) of capital projects** To record reversion of unexpended appropriations and restoration of previously reverted appropriations for capital projects. Documentation must cite Appropriation Act authority. Amounts must be rounded down to the nearest dollar. **No cross-reference needed.** *Note: Agencies will not be permitted to submit this type of transaction. Actions will be handled by DPB.*	**GF/NGF**	**Capital**	**Positive/ Negative**	**Dollar**	**None**	**041-increase 040-decrease**	**Yes**

Type	Definition	Fund Source	Operating / Capital	Positive/ Negative/	Dollar/ FTE	Offsetting Adjustment	CARS Trans. Code	Transaction Brief
L	**Adjustment to allotment and operating plan** To record the transfer of monies from allotted to unallotted or unallotted to allotted. Also to record adjustments of subobject detail that agree to the appropriation, the allotment, and the unallotment. Amounts for allotted/ unallotted must net to zero. Amounts for detail subobjects must net to zero. **No cross-reference needed.**	GF/NGF	Operating/ Capital	Positive/ Negative	Dollar	None	051-increase 091-decrease	Yes
M	**Adjustment to operating plan only** To record the adjustments of sub-object details to agency operating plans. Subobject codes MUST identify the related fund source. Amounts must net to zero. **No cross-reference needed.**	GF/NGF	Operating/ Capital	Positive/ Negative	Dollar/ FTE	None	881-increase 882-decrease	Yes

Appropriation Transfer Adjustments

Type	Definition	Fund Source	Operating / Capital	Positive/ Negative/	Dollar/ FTE	Offsetting Adjustment	CARS Trans. Code	Transaction Brief
N	**Appropriation Transfer "TO" General Fund from General Fund** To record an appropriation transfer into a program. Documentation must include the appropriation from which the transfer is being received and the Appropriation Act authority. **Offsetting adjustment "O".**	GF	Operating/ Capital	Positive	Dollar/ FTE	Adj. "0"	038-increase	Yes
O	**Appropriation Transfer "FROM" General Fund to General Fund** To record an appropriation transfer from a program. Documentation must include the program which is receiving the appropriation and the Appropriation Act authority. **Offsetting adjustment "N".**	GF	Operating/ Capital	Negative	Dollar/ FTE	Adj. "N"	039-decrease	Yes
P	**Appropriation transfer "TO" Nongeneral Fund from Nongeneral Fund** To record an appropriation transfer into a program. Documentation must include the appropriation from which the transfer is being received and the Appropriation Act Authority. **Offsetting adjustment "Q".** *Note: Excludes transfers "TO" fund/ fund details 0300 through 0399 from0300 through 0399.*	NGF	Operating/ Capital	Positive	Dollar/ FTE	Adj. "Q"	048-increase	Yes
Q	**Appropriation transfer "FROM' Nongeneral Fund to Nongeneral Fund** To record an appropriation transfer from a program. Documentation must include the program which is the receiving the appropriation and the Appropriation Act Authority. **Offsetting adjustment "P".** *Note: Excludes transfers "FROM' fund/fund details 0300 through 0399 to 0300 through 0399.*	NGF	Operating/ Capital	Negative	Dollar/ FTE	Adj. "P"	049-decrease	Yes

Type	Definition	Fund Source	Operating / Capital	Positive/ Negative/	Dollar/ FTE	Offsetting Adjustment	CARS Trans. Code	Transaction Brief
R	**Appropriation transfer "TO" General Fund from Nongeneral Fund or "TO" Nongeneral Fund from General Fund** To record an appropriation transfer into a program. Documentation must include the appropriation from which the transfer is being received and the Appropriation Act authority. **Offsetting adjustment "S".** *Note: Includes fund details in fund 0300 but NOT 0300 itself.*	GF/NGF	Operating/ Capital	Positive	Dollar/ FTE	Adj. "S"	058-increase	Yes
S	**Appropriation transfer "FROM" General Fund to Nongeneral Fund or FROM Nongeneral Fund to General Fund** To record an appropriation transfer from a program. Documentation must include the program which is receiving the appropriation and the Appropriation Act authority. **Offsetting adjustment "R".** *Note: Includes fund details in fund 0300 but NOT 0300 itself.*	GF/NGF	Operating/ Capital	Negative	Dollar/ FTE	Adj. "R"	059-decrease	Yes
T	**Appropriation transfer "TO" General Fund from Higher Education Operating Fund (0300) or TO Higher Education Operating Fund (0300) from General Fund** To record an appropriation transfer into a program. Documentation must include the appropriation from which the transfer is being received and the Appropriation Act authority. **Offsetting adjustment "U".** *Note: General Fund (0100) and Higher Education Operating Fund 0300. Excludes fund details in fund 0300. Used mainly by DPB to move 0100 funds to 0300 funds at July start-up.*	GF/NGF Fund 0300	Operating/ Capital	Positive	Dollar/ FTE	Adj. "U"	078-increase	Yes

Type	Definition	Fund Source	Operating / Capital	Positive/ Negative/	Dollar/ FTE	Offsetting Adjustment	CARS Trans. Code	Transaction Brief
U	**Appropriation transfer "FROM" General Fund to Higher Education Operating Fund (0300) or FROM Higher Education Operating Fund (0300) to General Fund** To record an appropriation transfer from a program. Documentation must include the program which is receiving the appropriation and the Appropriation Act authority. **Offsetting adjustment "T".** *Note: General Fund (0100) and Higher Education Operating Fund 0300. Excludes fund details in fund 0300. Used mainly by DPB to move 0100 funds to 0300 funds at July start-up.*	GF/NGF Fund 0300	Operating/ Capital	Negative	Dollar/ FTE	Adj. "T"	079-decrease	Yes
V	**Appropriation transfer "TO" Higher Education Operating Fund/ Fund Details** To record an appropriation transfer into a program. Documentation must include the appropriation from which the transfer is being received and the Appropriation Act authority. **Offsetting adjustment "W".** *Note: Fund 0300 and includes fund details in fund 0300 (0300-0399).*	NGF/ Funds	Operating/ Capital	Positive	Dollar/ FTE	Adj. "W"	088-increase	Yes
W	**Appropriation transfer "FROM" Higher Education Operating Fund/ Fund Details** To record an appropriation transfer from a program. Documentation must include the program which is receiving the appropriation and the Appropriation Act authority. **Offsetting adjustment "V".** *Note: Fund 0300 and includes fund details in fund 0300 (0300-0399).*	NGF/ Funds	Operating/ Capital	Negative	Dollar/ FTE	Adj. "V"	089-decrease	Yes

Methods of submitting adjustments

Two methods are available to support submission of agency Form 27/27A operating plan adjustments to DPB. They are**: (1) FATS 27/27A Automated Transaction System (FATS)** and **(2) hard copy**, "DPB Form 27/27A, Appropriation / Allotment/ Position Adjustment Request":

Form 27/27A Automated Transaction System (FATS)

This system provides online data entry capability, review and approval processes for agencies and DPB, and report capabilities, including both detail and summary reports. FATS allows agencies to monitor the progress of their Form 27/27A from the time the request originates through the transmission of this information to the Department of Accounts CARS system. Agencies are encouraged to use FATS and may obtain access by contacting JowJou Hamilton (786-1816) of DPB. For more information on this mode of submission, refer to Chapter II, "Online Submissions (FATS)."

Hard copy DPB Form 27/27A

Agencies without the capability to access the online system may submit Form 27/27A operating plan adjustments on hard copy. For more information on this mode of submission, refer to Chapter III, "Hard Copy Submissions."

Chapter 2: FATS Online System Overview

What is the FATS online system?

The Form 27/27A Automated Transaction System (FATS) provides a means for state agencies to submit operating plan adjustments and transaction briefs to the Department of Planning and Budget (DPB) via computer terminal. The FATS system allows the agencies to monitor the Form 27/27A process from origination of the adjustment request through review, approval, and final release to CARS.

FATS allow agencies to identify funding by subobject. From this information, the system automatically calculates the appropriation and the allotted and unallotted program/project balances. DPB rolls up the funding information to the program level prior to passing approved adjustments to CARS for further processing.

At the start of a new biennium, the oldest biennial data will be archived and deleted from FATS. Fiscal year open and close dates will restrict agency access to FATS, i.e., closing date by which agencies must have entered all adjustments for the closing of a fiscal year, as well as an open date when agencies may start entering adjustments for the startup of a new fiscal year. These dates will vary slightly from year to year, based on deadlines set by the Department of Accounts. Agencies will be notified of these dates by DPB.

FATS provides the user with online data entry capability, an automated approval process, a batch system for passing transactions to CARS, and a reporting capability which includes agency summaries, adjustment type summaries and others. Definitions, descriptions, and procedures to address each of the FATS capabilities are provided in individual sections of this manual.

FATS provides extensive online editing to validate requests and provides error messages to guide the user through corrective action. Should you have any questions or require assistance when working with the system, please see Chapter V, "DPB Contacts and Assistance," for a list of individuals who can help.

Using PF keys in FATS

All functions within FATS are controlled by the ENTER key, PF keys (program function keys), or the CLEAR key. These keys, typically located at the top of your keyboard, are used to update records and to move from one screen to another. For 24-key terminals, PF keys 1-12 produce the same results as keys 13-24. If you are using 3270 emulation software, consult your documentation for the CLEAR key equivalent.

Security and user access

There are various levels of security that can be assigned to users of FATS. The DPB Agency Security Officer is responsible for establishing and maintaining all aspects of system security.

A FATS Access Request Form must be completed for each user and sent to the DPB Agency Security Officer before access can be granted to FATS. Instructions for completing this form are given in "Becoming A User," on the following page.

There are three basic levels of security in FATS. They are:

Access to agency data

Most users will be set up to access only the data for the agency at which they work. However, there are certain circumstances where users will be given access to multiple agencies. This enhanced access is for those state agencies which, by legislation, serve as "control" agencies and are responsible for the accounting requirements and procedures of other state agencies.

Inquiry or Update

"Inquiry" gives the user access to view the data only. "Update" gives the user access to add or modify data.

Review/Approval

Signoff authority is given to those users who are authorized by the agency budget or fiscal officer to review or approve Forms 27/27A. Users granted review/approval signoff authority automatically receive update access to the data. Users granted approval signoff authority automatically receive review authority. At a minimum, each agency must have one user with approval signoff authority. The approval process in your agency will determine if you need to set up logons with review signoff authority.

If you have questions or problems regarding security or user access, contact the DPB Agency Security Officer (see Chapter 8, "Contacts and Assistance").

Online/Batch processing schedules

FATS online services are available as outlined below. These hours are set by VITA and are subject to change.

Monday - Friday	6:00 a.m. - 10:00 p.m.
Saturday	7:45 a.m. - 10:00 p.m.
Sunday	8:00 a.m. - 10:00 p.m.

The batch update will run each night (Monday-Friday) at approximately 11:00 p.m. This process will extract all DPB-approved Forms 27/27A from the FATS file and apply these transactions to the DPB Execution Master File. This process will also create CARS transactions for the Department of Accounts, and update each FATS online request with a "Complete" status, extract date, and CARS batch number.

DPB forwards a monthly hard copy submission to the Department of Human Resource Management reflecting any transfers of positions between agencies.

Please note that not all DPB-approved requests from the FATS file are automatically processed through the batch update procedure. Following the extraction of the records, additional batch editing is performed. Such conditions as insufficient funding and matching of to/from transfer adjustments are verified. Requests that fail the batch edits will be written to an EXM EDIT Report. DPB Information System Services staff will review the EXM EDIT Report daily and notify DPB budget analysts, or the agency, of problems that require their attention.

How to become a FATS user

FATS runs under the CICS communications monitor at VITA. To access the system, you will need a valid VITA User Identification logon, and you must register and terminate access with DPB as a FATS user.

To acquire or terminate a VITA logon, fill out form VITA03-001, "Logon ID Request Form - IBM Technology." This VITA form is available on the VITA web site at www.vita.virginia.gov/misforms/forms/vita03_001.cfm. Your agency security officer must sign the form and can assist you with its preparation, including logon identification naming conventions.

To register or terminate access with DPB as a FATS user, complete a "FATS Access Request Form." Completion instructions are provided on the next page. (Please see sample form in the back of this chapter.)

You may also access the form from DPB's website at www.dpb.virginia.gov by clicking on Document and Forms and typing "FATS access" in the Search Phrase. The link to the form will then appear.

NOTE 1: Please feel comfortable forwarding both forms to the Agency Security Officer at DPB, who will process them and forward the appropriate information to VITA.

NOTE 2: For FATS access terminations, while VITA requires its forms in hardcopy, DPB will accept electronic mail notification from your agency's budget officer to our ACF2 security officer. Hardcopy is required by both VITA and DPB for FATS access additions or changes.

How to complete the FATS access request form

A copy of the form appears at the end of this chapter.

Field	What to put in the field
Name	Format is LAST NAME, FIRST NAME, MIDDLE INITIAL.
Phone	Phone number of the agency user.
Agency name	Agency name.
Agency code	Three-digit agency code.
Are there other agencies for which this agency is responsible?	Indicate with a "Yes" or "No." Answer "Yes" if you are the controlling or responsible agency for any other agency and have the authority to process budget information for that agency. List the other agency codes in the special considerations area of the form.
System access	Indicate with one choice if this request is to ADD a new FATS user, CHANGE the access rights of an existing FATS user, or DELETE a FATS user.
Data access	Indicate with one choice if this user should have INQUIRY or UPDATE access to the Form 27/27A data.
Signoff authority	Indicate with one choice the level of signoff authority the user should have to the Form 27/27A data. Signoff authority is given to those users who are authorized by the Agency Budget/Fiscal Officer for review/approval of Forms 27/27A. Users granted review/approval signoff authority automatically receive update access to the data.
	Users granted approval signoff authority automatically receive review authority.
	At a minimum, each agency must have one user with approval signoff authority. The approval process in your agency will determine if you need to set up logons with review signoff authority.
VITA logon id	Enter the user's VITA User Identification logon. Refer to item on Form VITA03-001 (Logon ID Request Form - IBM Technology).
CICS opid	Leave this field blank. DPB will assign the CICS Operator ID upon receipt of the request.
VITA account	Enter the 10-character VITA Account Number that is to be used for billing.
Printer destination	Identify where printed output is to be routed. Agencies which have remote printers registered with VITA: enter your RJE remote location number. Agencies not having remote printers: enter LOCAL. Output will be printed at VITA and delivered to you.
Special considerations	Use this area for any comments or to note any special circumstances you feel are necessary. Also use this area to list the other agency codes for which you have the authority to process budget information.
Agency/Budget Fiscal Officer	Please have your budget or fiscal officer to print and sign his/her name. It would be very helpful to include his/her phone number.

Flow of data through FATS
(See flow chart on the following page)

1. Agency enters the Form 27/27A request into FATS. The online status becomes AGY PEND.

2. AGY PEND means the request is currently in progress at the agency level. The request may have been only partially keyed or awaiting appropriate review/approval signoff. System "ownership" of the request belongs to the agency until necessary signoffs have been entered, at which time the online status will change to DPB PEND. Once the status becomes DPB PEND, the originating agency no longer has access to change the request. If changes are necessary, the originating agency must remove the logon id from the approval line, changing the status of the request back to AGY PEND.

3. DPB PEND means the request is currently in progress at DPB for review and approval. DPB PEND* indicates DPB has requested corrections/additional information from the originating agency. Once the DPB Budget Analyst has entered his or her logon id on the review line of the approval function, the request may not be changed by the originating agency unless DPB removes this logon id from the review line. When DPB approval is entered, the status will change to APPROVED.

4. APPROVED means the request is ready to be extracted by the batch update program for processing.

5. During the extraction process, all Form 27/27A requests which have the status of APPROVED are pulled from the FATS file. These transactions are then input into an edit program.

6. Batch editing takes place on the FATS approved requests. Conditions such as insufficient funding, correct to/from transfer adjustment matching, etc. are verified.

7. All requests that fail the batch edit are written to an EXM Edit Report. DPB Information System Services staff reviews the EXM Edit Report daily and notifies DPB budget analysts of problems that require their attention to resolve.

8. All requests that pass the batch edit are processed to update the DPB Execution Master File. The necessary CARS transactions are generated and the status of the online requests is changed to COMPLETE.

9. The online requests are updated with the CARS batch number and date. Appropriation/ allotment status reports are produced and routed to the agencies, showing the incremental change(s) as a result of the Form 27/27A adjustment(s) by fund, program, subprogram, and subobject.

```
                    ┌─────────────┐
                    │ ORIGINATING │
                    │   AGENCY    │
                    └─────────────┘
                           │
                           ▼
                    ┌─────────────┐
                    │Entry of Form 27│   ❶
                    │  Into FATS  │
                    └─────────────┘
                           │
                           ▼
                    ┌─────────────┐
                    │Agency Pending│   ❷
                    └─────────────┘
                           │
                           ▼
                        ◆ Agency ◆
        ┌───── NO ──── Approves ?
        ▼
   ┌─────────┐
   │ VOIDED  │              │ YES
   └─────────┘              ▼
                    ┌─────────────┐
                    │ DPB Pending │   ❸
                    └─────────────┘
                           │
                           ▼
                        ◆  DPB  ◆
        ┌───── NO ──── Approves ?
        ▼
   ┌─────────┐
   │ DENIED  │              │ YES
   └─────────┘              ▼
                    ┌─────────────┐
                    │  APPROVED   │   ❹
                    └─────────────┘
                           │
                           ▼
                    ┌─────────────┐
                    │ EXTRACTION  │   ❺
                    └─────────────┘
                           │
                           ▼
                    ┌─────────────┐
                    │ Additional  │   ❻
                    │Batch Editing│
                    └─────────────┘
                           │
                           ▼
                        ◆ Pass ◆
   ❼   ┌───── NO ──── Edits?
       ▼
  ┌──────────┐
  │Exception │              │ YES
  │ Report   │              ▼
  └──────────┘       ┌─────────────┐
                     │   UPDATE    │   ❽
                     └─────────────┘
                           │
                           ▼
                     ┌─────────────┐
                     │ COMPLETED   │   ❾
                     └─────────────┘
```
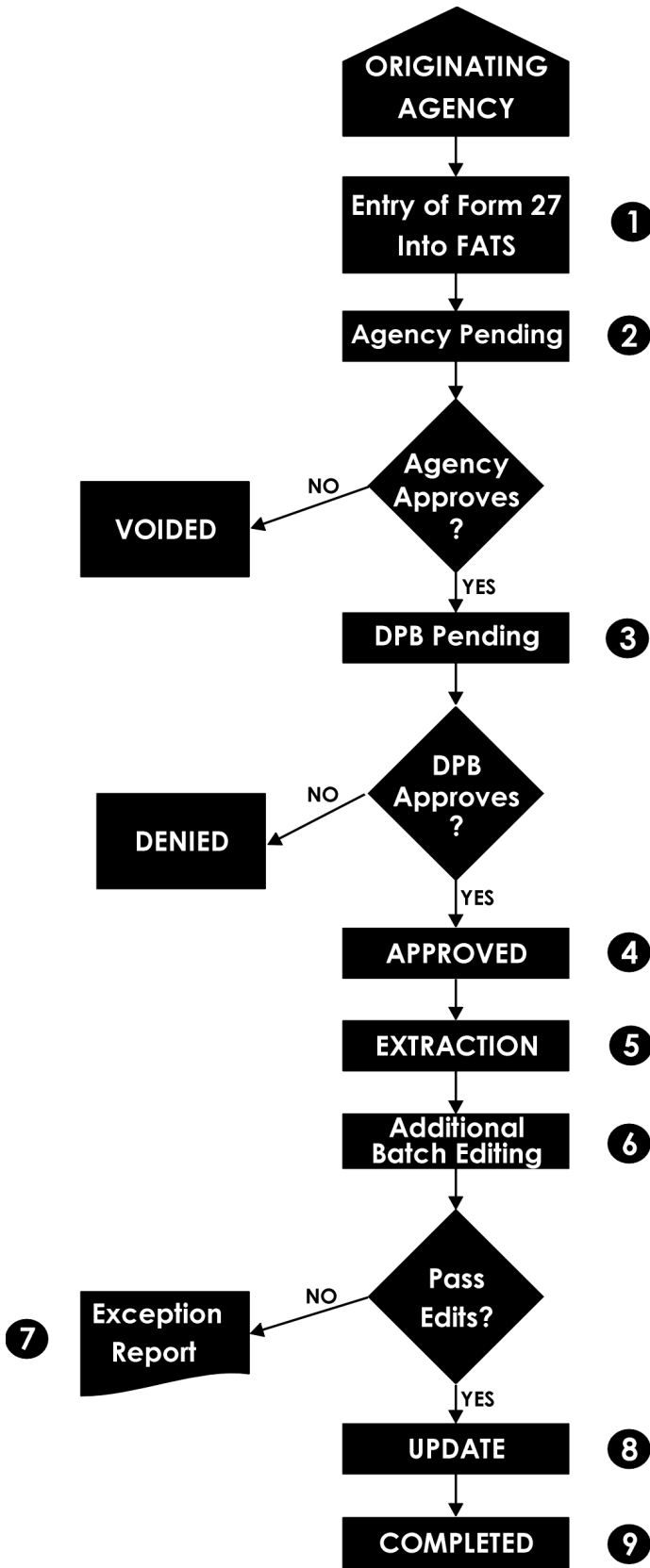
Accessing the online system

Online FATS operates under the CICS communications monitor provided by the Virginia Information Technologies Agency through its Hitachi mainframe computer. To access FATS, you will need a valid CICS User Identification logon and you must be registered with the Department of Planning and Budget as a FATS user. Refer to "Becoming a User," in Chapter 2, for more information.

Logging on to FATS

Step 1: Connect to VITA

System: The Virginia Information Technologies Agency Commonwealth Network screen prompts the user with "ENTER."

NOTE: Some agencies provide a front-end menu listing various VITA options. Consult your Data Processing Department to determine the correct option.

User: Key in "CICP5" and press (ENTER).

```
                  VIRGINIA INFORMATION TECHNOLOGIES AGENCY
                         COMMONWEALTH  NETWORK


NOTICE AND WARNING:  THIS SYSTEM IS THE PROPERTY OF THE COMMONWEALTH OF

VIRGINIA.  ONLY PERSONS AUTHORIZED BY THE COMMONWEALTH OF VIRGINIA SHALL
BE

PERMITTED ACCESS TO THIS SYSTEM.  PERSONS PERMITTED ACCESS SHALL USE THIS

SYSTEM ONLY FOR THOSE PURPOSES FOR WHICH THEY HAVE BEEN AUTHORIZED.  ALL

ACCESSES AND ACTIVITIES ON THIS SYSTEM ARE MONITORED CONTINUOUSLY.  ANY

EVIDENCE OF UNAUTHORIZED ACCESS, UNAUTHORIZED USE, MISUSE, OR ABUSE OF
THIS

SYSTEM OR THE INFORMATION CONTAINED IN THIS SYSTEM SHALL BE PROMPTLY
REPORTED

TO APPROPRIATE AGENCY MANAGEMENT, SECURITY PERSONNEL, AND FEDERAL, STATE,
AND

LOCAL LAW ENFORCEMENT OFFICIALS FOR INVESTIGATION AND PROSECUTION TO THE

FULLEST EXTENT OF THE LAW.


                         ENTER : CICP5
```

Step 2: Enter Logon ID and password

System: On the CICS sign on screen, the system will prompt you for "LOGONID," "PASSWORD," and "NEW PASSWORD."

> *NOTE: If you receive the message "Session Establishment Failed," CICS is not active at this time. Discontinue the access procedures and try again later.*

User: Key in your CICS LOGON ID and your CICS PASSWORD and press (ENTER).

> *NOTE: The security system which controls access to FATS is a product called ACF2. ACF2 will require you to change your password every 30 days. Passwords must be between five and eight characters in length.*

```
     SYSTEM: CICP5    DFHZC2312 ***  WELCOME TO CICS  ***
                      CICS P5 SYSTEM SECURED BY CA-ACF2/CICS 6.5

   TERMINAL: 0879
       NODE: CIP01010
        DAY: FRIDAY
 SYSTEM DATE: MAY 25, 2006
 SYSTEM TIME: 05:17 PM


    LOGONID: ===>  dpbvdt
   PASSWORD: ===>


 NEW PASSWORD: ===>
 (enter twice) ===>


CICS - CIP5  (SYSTEM SIGNON/SIGNOFF FACILITY)
```

TIP: About FATS passwords

➤ **If you key your password incorrectly:** The system will prompt you for the correct password. After three unsuccessful attempts, your logon id will be suspended. If you have trouble logging on, contact <u>YOUR</u> agency security officer for assistance. <u>Note: The DPB Agency Security Officer can only reset DPB logons that have been suspended.</u>

➤ **If you receive a "Password Has Expired" message while logging on:** The system will prompt you for a new password. Key the new password once at the "NEW PASSWORD" prompt, press the (TAB) key, and key in the new password a second time for verification. Press the (ENTER) key. The next screen will display "Password Successfully Altered." The next time you access the system, use your new password at the "PASSWORD" prompt.

➤ **To change your password:** Follow these steps from the above sign-on screen. Key your CICS LOGON ID at the "LOGONID" prompt, press the (TAB) key, key your CICS password at the "PASSWORD" prompt, press the (TAB) key, key the new password once at the "NEW PASSWORD" prompt, press the (TAB) key, and key the new password a second time for verification. Press the (ENTER) key. The next screen will display "Password Successfully Altered." The next time you access the system, use your new password at the "PASSWORD" prompt.

Step 3: Enter the FATS system

System: If the sign-on is successful, the following screen will display.

```
FATS




ACF01137 DPBVDT LAST SYSTEM ACCESS 11.26-05/04/06 FROM 0381
ACFAE139 CICS 0879 Signon OK: User=DPBVDT NAME=VAN NESSA DAVIS-
THORNTON




```

User: Key in "FATS" and press (ENTER).

> *NOTE: If you encounter problems, press the (CLEAR) key. This will clear your screen. Key in
> "FATS" and press (ENTER).*

FATS bulletin board: Once you have entered "FATS", the following screen will appear
if there is pertinent information concerning the system, such as when FATS may be coming
down for maintenance, or of special FATS adjustments that have been processed that do not
appear on the FATS system. After reviewing the bulletin board press (ENTER) to continue.

```
DEPARTMENT OF PLANNING & BUDGET
*--------------------------------------------------------------------
--*
*   THE FATS SYSTEM WILL BE BROUGHT DOWN TODAY
*   APRIL 18 AT 3:00PM FOR 2 HOURS.    THANKS.
**
**
**                   PRESS ENTER TO CONTINUE……..
**
**
**
**
*
```

Step 4: The FATS Main menu

System: The FATS Form 27/27A Request Menu will appear on your screen.

```
                    DEPARTMENT OF PLANNING AND BUDGET
DPBM040
                         FORM 27 REQUEST
                            MENU
                                          -  REVIEW STATUS  -


     PF1   CREATE NEW REQUEST          PF3   ALL
     PF2   SELECT EXISTING REQUEST     PF4   AGENCY PENDING
     PF11  REPORT                      PF5   DPB PENDING
                                       PF6   APPROVED

     FISCAL YR:  06
     AGENCY NO:  122                   PF7   COMPLETED
     REQUEST NO:

                                       PF8   VOIDED
     DEPRESS APPROPRIATE PF KEY
     DEPRESS PF12 TO EXIT SYSTEM       PF9   DENIED
```

User: You have now completed the procedure for logging on to FATS.

_____

TIP: System will log you off in 15 minutes if no activity!

If you are logged on and have not used your (ENTER) key or PF keys for 15 minutes, VITA's monitoring system will automatically log you off and return you to the Virginia Information Technologies Agency Commonwealth Network screen.

_____

Logging off FATS

After completing a work session on FATS, you must log off properly. Do not remain logged on as this utilizes computer resources and presents security risks. The procedure for logging off the system involves the following steps:

Step 1: Go to FATS main menu

User: If you are at the Form 27/27A Request Menu, go to Step 2. If you are at any other screen, press PF12 until you reach the Form 27/27A Request Menu, or press the (CLEAR) key.

System: The system displays the Form 27/27A Request Menu.

```
                      DEPARTMENT OF PLANNING AND BUDGET
DPBM040
                              FORM 27 REQUEST
                                  MENU
                                              -  REVIEW STATUS  -


      PF1   CREATE NEW REQUEST            PF3   ALL
      PF2   SELECT EXISTING REQUEST       PF4   AGENCY PENDING
      PF11  REPORT                        PF5   DPB PENDING
                                          PF6   APPROVED
      FISCAL YR:  06
      AGENCY NO:  122                     PF7   COMPLETED
      REQUEST NO:
                                          PF8   VOIDED
      DEPRESS APPROPRIATE PF KEY
      DEPRESS PF12 TO EXIT SYSTEM         PF9   DENIED
```

Step 2: Log off

User: Press PF12.

System: The System displays "CESF LOGOFF - DEPRESS ENTER KEY."

```
CESF LOGOFF - DEPRESS ENTER KEY
```

User: Press (ENTER) to log off.

System: The System displays the Virginia Information Technologies Agency Commonwealth Network Screen with the prompt "ENTER."

User: You have completed the procedure for logging off FATS.

TIP: If you encounter a problem while logging on or off CICS

Press the (CLEAR) key, key "CESF LOGOFF" and press the (ENTER) key. This will log you off of CICS and return you to the Virginia Information Technologies Agency Commonwealth Network screen.

Problem Diagnosis and System Messages

There may be times when the data entry equipment or FATS itself fails to operate. Below are some simple problem diagnosis procedures that can be performed locally prior to calling the DPB Information System Services for assistance:

First, verify that the terminal is turned on and that the intensity is turned up sufficiently to see what is displayed on the screen.

If the terminal is operating properly, but attempts to access FATS are unsuccessful, verify that the system logon procedure was executed properly. Refer to "Accessing Online System," in Chapter II, for appropriate logon procedure.

Possible system messages that might be displayed are:
1. "03920 - UNAUTHORIZED ACCESS" - User is not authorized to access FATS. You must be registered with DPB as a FATS user. See "Becoming a User," in Chapter II.

2. "03923 - APPLICATION NOT AVAILABLE - CALL DPB FOR MORE INFORMATION." FATS has been temporarily closed. Wait 15 minutes and try again.

3. If you are logged on and have not used your ENTER key or PF keys for fifteen minutes, the system will log you off and return you to the Virginia Information Technology Agencies Network screen. Fifteen minutes is the DIT default, but your agency security officer can change it if desired.

If you have checked all of these key areas and the terminal or system still fails to operate, contact your agency data processing section. If you cannot resolve the problem, call DPB's Information System Services. Refer to "DPB Contacts and Assistance," in Chapter 7, for a list of individuals who can help.

There are numerous system messages that a FATS user may receive while working with the system. If you are unable to resolve a problem, refer to "DPB Contacts and Assistance," in Chapter 7, for a list of individuals who can help. Please have the message number and message text available to give to DPB to enable us to identify problems in a timely manner. If you receive any of the messages starting with "CICS ERROR," please notify DPB immediately.

Virginia Department of Planning and Budget

FATS ACCESS REQUEST FORM

Name _____ **Phone** _____

        Last,   First,   MI

Agency Name _____ **Agency Code** _____

Are there other agencies for which this agency is responsible? ☐ **Yes** ☐ **No**
If yes, please list the agencies in the "Special Considerations" block below.

System Access	Data Access	Signoff Authority
☐ **Add**		☐ **None**
☐ **Change**	☐ **Inquiry Only**	☐ **Review**
☐ **Delete**	☐ **Update**	☐ **Approval**

VITA LOGIN ID

_____

VITA ACCOUNT # _____ **PRINT DESTINATION** _____

Special Considerations:
NOTE: Twice a year, DPB will delete all FATS logons that have been inactive for two years.
Please notify DPB within 30 days when a user no longer needs access to FATS.**

_____

_____

_____

Requesting Agency's Budget/Fiscal Officer:

_____ _____

           Printed Name   *Date*

_____ _____

           Signature   *Phone*

DPB Security Officer:

_____ _____

           Signature   *Date*

Please forward to: Agency Security Officer
                      Department of Planning and Budget
                      1111 E. Broad Street, Room 5040
                      Richmond, VA 23219
                      FAX NUMBER: (804) 225-3291

Use Black or Blue Ink

	Virginia Department of Planning and Budget

DPB Form 27 / 27A (2006)

Page ☐ of ☐

Appropriation / Allotment / Position
Adjustment Request

SECTION A: General Information

Agency Code ☐☐☐   Title _____

Program Code ☐☐☐   Title _____

Project Code ☐☐☐☐☐   Title _____

Request No. **5** ☐☐   Transaction Brief Attached   YES ☐   NO ☐

Fiscal Year ☐☐   Position Adjustment   YES ☐   NO ☐

Revenue Source Code ☐☐☐☐☐   Bond Indicator   YES   NO ☐

Adjustment Type ☐

SECTION B: Appropriation / Allotment / Position Adjustments

Current Balance (For this Program / Project)	Total Adjustment (All Pages)	New Balance (Current Balance + Total Adj.)

Fund	Subprogram	Subobject	Adjustment Amount
Total adjustments for this page			

SECTION C: Approvals

Agency Approvals	DPB Approvals
Prepared By _____ **Date** _____	**Prepared By** _____ **Date** _____
Reviewed By _____ **Date** _____	**Reviewed By** _____ **Date** _____
Approved By _____ **Date** _____	**Approved By** _____ **Date** _____
Remarks _____	**Remarks** _____

SECTION D: Cross References   (Mandatory for transfer adjustments)

Agency Code   ☐☐☐ ☐☐☐ ☐☐☐ ☐☐☐ ☐☐☐

Request Number   ☐☐☐ ☐☐☐ ☐☐☐ ☐☐☐ ☐☐☐

Chapter 3: Creating and changing a FATS request
The FATS main menu

T he Form 27/27A Request Menu is the main menu for FATS. It provides the user with PF key selections for entering new requests, reviewing existing requests, and submitting reports.

NOTE: You may access the main menu from any screen in FATS by pressing PF12 until the main menu screen is displayed.

```
          DEPARTMENT OF PLANNING AND BUDGET      DPBM040
                    FORM 27 REQUEST
                        MENU


   -  REVIEW STATUS  -
   PF1   CREATE NEW REQUEST          PF3   ALL
   PF2   SELECT EXISTING REQUEST     PF4   AGENCY PENDING
   PF11  REPORT                      PF5   DPB PENDING
                                     PF6   APPROVED
   FISCAL YR:  06                    PF7   COMPLETED
   AGENCY NO:                        PF8   VOIDED
   REQUEST NO:                       PF9   DENIED


   DEPRESS APPROPRIATE PF KEY
   DEPRESS PF12 TO EXIT SYSTEM
```

Main Menu PF Keys

Here is a summary of the functions represented by each PF key on the main menu screen.

Pf Key	What it means
PF1	**Create New Request.** This function will display the Form 27 Request screen that allows the user to add Form 27/27A requests.
PF2	**Select Existing Request.** This function will display a specific form 27/27A request based on the request number entered on the main menu.
PF11	**Report.** This function will display the report selection screen.

PF12	**Exit.** This function will exit the user from FATS.
Fiscal Year	This defaults to the current fiscal year. You may enter a prior fiscal year or the next fiscal year.
Agency Code	This will be supplied by the system if your logon is set up to have access to only one agency.
Request Number	This should be left blank when creating a new request (PF 1). The system will supply the next sequential number. When selecting an existing request (PF 2), you must enter the request number.
PF3-PF9	**Review.** These functions will display all Form 27/27A requests based on their current status. Refer to the next section for a description of each status.

FATS processing status codes

FATS provide an automated review and approval process of Form 27/27A requests for agencies and DPB. Each request has a "status" which identifies the current stage of processing. The "status" changes as requirements are met for the various phases of processing. Refer to "Approvals," in Chapter 4, for more information on these functions. Listed below is a description of each "status" in FATS.

*Status*_____	*What it means* _____
AGY PEND	The request is currently in progress at the agency level. The request may have been partially keyed or may be awaiting appropriate approvals.
DPB PEND	The request has been approved by the agency and now "belongs" to DPB. The request will go through DPB's review and approval process. DPB PEND* indicates DPB has requested corrections/additional information from the originating agency. Once the DPB budget analyst has entered his or her logon id on the review line of the approvals screen, the request may not be changed by the originating agency, unless DPB removes this logon id from the review line.
APPROVED	The request has received appropriate DPB approval. The request is ready to be extracted by the batch update program and applied to the DPB Execution Master File. The corresponding CARS transactions are produced.
COMPLETE	Batch processing has been completed. The online request is updated with the CARS batch number and date. DPB Appropriation/Allotment Status Reports are routed to agencies.
VOIDED	The request was created in error and has been withdrawn by the originating agency.
	NOTE: The system will not allow a request to be physically deleted. The record is simply given a voided status and remains on the system.
DENIED	The request has been denied by DPB.

The Request Screen

The Request Menu is used to create new FATS adjustments. It can be accessed by pressing PF 1 from the Main Menu. Two steps are involved in creating new requests: (1) entering data on the "general information line," and (2) adding detail line items.

```
FISCAL 06           DEPARTMENT OF PLANNING AND BUDGET           DPBM043
 AGENCY 501                     FORM 27 REQUEST
 DEPT OF TRANSPORTATION

  STATUS   REQ NO   ADJ TYPE    DESCRIPTION    PGM  PROJ   BOND IND  27A   BRF
 AGY PEND   0001

             FUND    SUBPGM    SUBOBJ      ADJ AMOUNT

             ----    ------    ------    --------------


                                         --------------
                  TOTAL ADJUSTMENT
                  NEW BALANCE

  PF1 FIND      PF3 APPROVALS     PF5 TRAN BRF      PF7 PREV     PF11 REPORT
  PF2 VALIDATE  PF4 CROSS REF     PF6 FUND SUM      PF8 NEXT     PF12 RETURN
```

Creating a new FATS request

Step 1: Entering data on the 'general information line'

System: The fiscal year, agency code, agency title, request status and request number appear on the Request Menu screen.

User: Enter the general information as described below:

Field _____   *What they do* _____

ADJ TYPE -   **Adjustment Type** - Enter the adjustment type. Refer to "Operating Plan Adjustment Types," in Chapter I, for a list of all valid adjustment types and a description of each.

PGM -   **Program Code** - Enter a valid 3-digit numeric program code. If education and general program, use program 100. If capital, enter "998" or leave blank, and the system will assign "998."

PROJ -   **Project Code** - If capital, enter a valid 5-digit numeric project code. If operating, leave blank.

BOND INDICATOR   **Indicate an "B" in this box if Form 27 is being submitted** for a capital project financed by bonded debt. Otherwise, leave blank.

27A -   **Position Adjustment Indicator**. If adjusting positions, enter "Y." Otherwise, leave blank.

User: After entering information on the 'general information line,' press (ENTER) to create the request. If you have entered invalid data in any of the above fields, you will receive an error message the bottom of the screen. Correct the entry and press (ENTER). If the request is valid, you will receive the message "FORM 27/27A REQUEST CREATED."

```
FISCAL 06             DEPARTMENT OF PLANNING AND BUDGET            DPBM043
 AGENCY 501                    FORM 27 REQUEST
 DEPT OF TRANSPORTATION

  STATUS   REQ NO   ADJ TYPE    DESCRIPTION    PGM  PROJ   BOND IND  27A   BRF
  AGY PEND   0001      Q        NGF XFER FR     603  00000

               FUND    SUBPGM    SUBOBJ      ADJ AMOUNT

               ----    ------    ------    --------------
                       PROGRAM BALANCE     1204,302,033


                                         --------------
                       TOTAL ADJUSTMENT
                          NEW BALANCE

 PF1 FIND       PF3 APPROVALS     PF5 TRAN BRF     PF7 PREV     PF11 REPORT
 PF2 VALIDATE   PF4 CROSS REF     PF6 FUND SUM     PF8 NEXT     PF12 RETURN
 04348-FORM 27 REQUEST CREATED (OTHER PENDING REQUESTS EXIST FOR THIS PGM/PROJ)
```

Changing the "general information line"

► Once a request has been successfully created, you can change any of the field values on the general information line provided you have not entered any detail line items.

► Once you have entered detail line items, the only field values on the general information line that can be changed are ADJ TYPE and BOND INDICATOR. **To change the fields on the general information line,** position your cursor on the field you wish to change and key in the new value. Press (ENTER). If valid you will receive an "Update Successful" message.

► If you wish to change PGM, PROJ, or 27A, you must delete all detail line items first.

TIP: When is the program/project balance updated in FATS?

The current program or project balance from DPB's Execution Master File is displayed on the screen. However, this balance does not reflect any Form 27/27A requests coded to the same program or project on FATS that have the status of AGY PEND, DPB PEND, or APPROVED. If this situation exists, the following message is displayed, "OTHER PENDING OR APPROVED REQUEST(S) MAY AFFECT PGM/PROJ BALANCE." **The program balance only reflects FATS requests that have the status of COMPLETED.**

Step 2: Adding detail line items

User: To create the detail line items of the request, enter the following

Field	What to enter
FUND	**Fund Code** – Enter a valid 4-digit numeric fund or fund detail code.
	NOTE: The system accepts multiple fund adjustment (general fund and/or nongeneral funds) within a single request, provided you follow the guidelines established for the adjustment type. Refer to "Operating plan adjustment types," in Chapter 1, for a complete description of valid adjustment types.
SUBPGM	**Subprogram Code** – Enter a valid 2-digit numeric subprogram code.
	NOTE: If you entered Program 100 (Higher Education – Educational & General) on the general information line, the SUBPGM field will format as AAA BBB, where AAA = one of the E&G programs 101-107 and BB = subprogram.
SUBOBJ	**Subobject Detail Code** – Enter a valid 4-digit numeric subobject code.
ADJ AMOUNT	**Adjustment Amount** – Left-justified numeric amount. If FTE adjustment, enter 100 for "1" position.

User: After entering all the information on the detail line, press (ENTER) to add the detail information. If you have entered any invalid data in the above fields, you will receive an error message at the bottom of the screen. If you receive an error, correct the entry and press (ENTER). If the request is valid, the record will be updated and you will see the detail line item appear below the "Program/Project Balance." Also, the Total Adjustment field and Program Balance fields will be incremented. *(See example completed screen n the next page.)*

Repeat the above instructions for all additional detail line items comprising the request.

```
 FISCAL 99              DEPARTMENT OF PLANNING AND BUDGET              DPBM043
  AGENCY 501                      FORM 27 REQUEST
  DEPT OF TRANSPORTATION


  STATUS    REQ NO   ADJ TYPE     DESCRIPTION     PGM   PROJ   BOND IND   27A    BRF
  AGY PEND   0001       Q      NGF XFER FR        603   00000


                  FUND    SUBPGM    SUBOBJ      ADJ AMOUNT

                  ----    ------    ------    --------------
                          PROGRAM BALANCE      1204,302,033
                  0401      02       2323        -93,237,560
                  0472      02       2323         -4,495,859
                  ****
                  ****
                                              --------------
                        TOTAL ADJUSTMENT        -97,733,419
                           NEW BALANCE         1106,568,614

  PF1 FIND        PF3 APPROVALS     PF5 TRAN BRF      PF7 PREV       PF11 REPORT
  PF2 VALIDATE    PF4 CROSS REF     PF6 FUND SUM      PF8 NEXT       PF12 RETURN
```

Changing/deleting detail line items

► **To change an existing detail line item:** Position the cursor on the field and key in the new value. Press (ENTER). If valid, you will receive an "Update Successful" message.

► **To delete a detail line item:** Position the cursor on the first character of the Fund Code. Enter "D" and press (ENTER). The message "UPDATE SUCCESSFUL – PRESS PF 1 TO REFRESH SCREEN" is displayed. Press PF 1. The record has been deleted. You cannot delete a line by spacing through the values in the fields. You must use a "D" as described above.

Final Steps: Transaction Brief, Cross Reference and Approvals

To complete submission of a new FATS request, you must take additional steps:

► For all FATS transactions except Types A, C, D, and I transactions, you must complete a Transaction Brief to explain and justify the transaction. See the *Transaction Briefs* section in this chapter for more information.

► For FATS transactions involving a transfer, you must also complete a cross reference. See the *Cross Reference* section in this chapter for more information.

► Your agency must review and approve transaction prior to submitting to DPB. See Chapter 4, "Approvals" for details.

Request Menu PF keys

Below is a summary of the functions represented by each PF key on the request screen :

Pf Keys	*What it does*
PF1	FIND - This function will perform a search on the detail line items. Enter the search values for fund, subprogram, or sub-object. You do not need to enter a value in all of the fields, but you must enter the values consecutively from left to right. After you press PF1, the detail line items will be displayed starting with the record equal to the search criteria.
PF2	VALIDATE - This function will perform several validity checks on the request and should be performed when all detail line items have been entered. Based on the adjustment type of the request, the following conditions may need to be met: 1) total net amount of the request must be positive/negative; 2) total amount of request must net to zero; or 3) fund code mix must be valid within a request. If these conditions do not meet the requirements, you will receive an error message. If the conditions are met, you will receive a message "REQUEST VALIDATED."
PF3	APPROVALS - This function will display the review and approval log and comment area related to the specific request. The user enters his or her logon id to REVIEW, APPROVE, VOID, or DENY (DPB only) a request.
PF4	CROSS REF - This function will display the cross reference screen allowing the user to identify all related Form 27/27A requests which are part of a transfer adjustment.
PF5	TRAN BRF - This function will display a free-form text-entry screen that allows the user to document the need and effect of the adjustment request.
PF6	FUND SUM - This function will display the request summarized to the fund level with allotted and unallotted amounts.
PF7	PREV - This function will display the previous screen of detail line items for the request.
PF8	NEXT - This function will display the next screen of detail line items for the request.
PF11	REPORT - This function will display the report selection screen.
PF12	RETURN - This function will return the user to the previous screen.

Review Status

O nce you have submitted a request , you may wish to know its status. From the Main
Menu press any of the review status PF keys (PF3 – PF9)

```
         DEPARTMENT OF PLANNING AND BUDGET              DPBM040
                    FORM 27 REQUEST
                       MENU


                                 -  REVIEW STATUS  -

     PF1   CREATE NEW REQUEST        PF3    ALL

     PF2   SELECT EXISTING REQUEST   PF4    AGENCY PENDING

     PF11  REPORT                    PF5    DPB PENDING

                                     PF6    APPROVED

     FISCAL YR:  06
     AGENCY NO:                      PF7    COMPLETED
     REQUEST NO:
                                     PF8    VOIDED

     DEPRESS APPROPRIATE PF KEY
     DEPRESS PF12 TO EXIT SYSTEM     PF9    DENIED
```

Viewing the status of requests

After pressing one of the review status PF keys on the Main Menu, a status screen appears.
Based on the PF key selected, all records with a particular status code are displayed.

```
FISCAL 06          DEPARTMENT OF PLANNING AND BUDGET          DPBM042
AGENCY 501                    FORM 27 REQUEST
DEPT OF TRANSPORTATION            REVIEW


          REQ  ADJ                 PGM/  27A BRF    PREP     COMP     BATCH
   STATUS  NO   TYP  DESCRIPTION   PROJ   ?   ?     DATE     DATE      ID
   -------- ---- - --------------- ----- - - -------- -------- -------
 _ COMPLETE 0001  S  GF/NGF XFER FR  612        Y   06/08/05 06/24/05 041-042
 _ COMPLETE 0002  R  GF/NGF XFER TO  612        Y   06/08/05 06/24/05 041-042
 _ COMPLETE 0003  P  NGF XFER TO     612        Y   06/08/05 07/27/05 081-082
 _ COMPLETE 0004  P  NGF XFER TO     612        Y   06/08/05 07/27/05 081-082


PF2 SELECT     PF4 CROSS REF    PF6 FUND SUM   PF8  NEXT     PF12 RETURN
PF3 APPROVALS  PF5 TRAN BRF     PF7 PREV       PF11 REPORT   PF13 APPROVE ALL
```

A brief summary of each request is given, i.e., status code, request number, adjustment type and description, program/project, 27A indicator and transaction brief indicator. The last two columns display the completion date and CARS batch number for those requests with a status of "COMPLETE." The Department of Accounts may need this information if questions arise concerning the request.

No changes can be made to the requests from this screen. To make changes or to display an individual request, position your cursor on the request and press one of the PF keys discussed below.

TIP: How to start the browse list at a request number

If you enter a request number and press one of the PF3 - PF9 review keys, the browse listing will start with the request number entered.

Main Menu Review Status PF Keys

Below is a summary of the functions represented by each of the Review Status PF key on the Main Menu screen:

Pf Keys	*What they do*
PF2	SELECT – This function will display the selected request.
PF3	APPROVALS - This function will display the review/approval log and comment area related to the specific request. The user enters his or her logon id to REVIEW, APPROVE, VOID, or DENY (DPB only) a request.
PF4	CROSS REF - This function will display the cross reference screen allowing the user to identify all related Form 27/27A requests which are part of a transfer adjustment.
PF5	TRAN BRF - This function will display a free-form text-entry screen that allows the user to document the need and effect of the adjustment request.
PF6	FUND SUM - This function will display the request summarized to the fund level with allotted and unallotted amounts.
PF7	PREV - This function will display the previous screen of detail line items for the request.
PF8	NEXT - This function will display the next screen of detail line items for the request.
PF11	REPORT - This function will display the report selection screen.
PF12	RETURN - This function will return the user to the previous screen.
PF13	APPROVE ALL – This function will display the approve all screen allowing the user to approve a range of FATS adjustments by request series. Valid adjustment types for this function are "A through M." Transfer adjustments are not allowed.

Transaction Brief

A transaction brief is the instrument used by agencies to document the need for and effect of appropriation adjustments and allotments of appropriations. In general, a transaction brief describes the circumstances that necessitate the request.

Under certain circumstances, a transaction brief need not be prepared. These circumstances include: submission of legislative adjustments to operating plan (adjustment types A, C, D, or I). Only one transaction brief is required for any group of requests that are part of a single transfer adjustment.

Online FATS gives you the ability to enter the transaction brief online. From any screen within FATS, except the main menu, you can press PF5 and access the transaction brief entry screen, *as shown below.*

```
FISCAL 06              DEPARTMENT OF PLANNING AND BUDGET            DPBM047
 AGENCY 501                          FORM 27 REQUEST
 DEPT OF TRANSPORTATION              TRANS BRIEF                         CONF


  STATUS    REQ NO   ADJ TYPE    DESCRIPTION    PGM   PROJ   BOND IND   27A    BRF
 DPB PEND   0001        O      GF XFER FR       603   00000


 01
 02
 03
 04
 05
 06
 07
 08
 09
 10


             PF3 APPROVALS     PF5 COPY ____       PF7 PREV      PF11 REPORT
 PF2 TAB OFF    PF4 CROSS REF     PF6 FUND SUM       PF8 NEXT      PF12 RETURN
```

How to add a transaction brief

Lines 01 through 13 of the Transaction Brief Screen provide a free-form text-entry area. The screen provides 13 lines of text. If you need additional lines, press PF8. This will give you an additional 12 lines each time you press PF8. The maximum number of lines for any transaction brief is 80.

User: To create a transaction brief, follow these steps:

Step 1: Describe the transaction being requested, e.g., carry-forwards, transfers, redistribution between funds, etc..

Step 2: Insert the required authority for the transaction.

Step 3: Press (ENTER) to update.

```
FISCAL 06              DEPARTMENT OF PLANNING AND BUDGET              DPBM047
 AGENCY 501                      FORM 27 REQUEST
 DEPT OF TRANSPORTATION            TRANS BRIEF                         CONF


  STATUS    REQ NO   ADJ TYPE    DESCRIPTION    PGM   PROJ   BOND IND  27A    BRF
 AGY PEND   0001       Q      NGF XFER FR      603   00000                    Y


 01   TO:       DPB BUDGET ANALYST
 02             DEPARTMENT OF PLANNING AND BUDGET
 03
 04   FROM:     DEPARTMENT OF TRANSPORTATION
 05
 06   REQUEST:  TO REDISTRIBUTE THE STP STATEWIDE AND STP REGIONAL FUNDING
 07             TO THE INTERSTATE, PRIMARY, SECONDARY, AND URBAN
 08             CONSTRUCTION PROGRAM TO MATCH VDOT'S SPENDING PLANS.
 09
 10
 11
 12


                PF3 APPROVALS    PF5 COPY ____       PF7 PREV     PF11 REPORT
 PF2 TAB OFF    PF4 CROSS REF    PF6 FUND SUM        PF8 NEXT     PF12 RETURN
 04722-UPDATE SUCCESSFUL
```

How to change or delete a transaction brief

If you need to change a transaction brief, simply key over the existing text with the new text and press (ENTER) to update. *If you need to add or delete entire lines, follow these steps:*

1. Press PF2, Tab Off.

2. This will provide access to the line number area at the left of the screen.

3. To delete a line, position the cursor on the line number you want to delete. Type a "D" over the line number and press (ENTER). The line will be deleted.

4. To insert a line, position the cursor on the line number preceding where you wish to insert a line. Type an "I" over the line number and press (ENTER). A blank line will be inserted on which you can enter additional text.

5. After completing the insert or delete function, press PF2 (Tab On) to reposition your cursor within the text area.

TIP: How to copy an existing transaction brief

If you want to copy a transaction brief from an existing request for the same agency on FATS, enter the request number at the bottom of the screen beside "PF5 COPY _ _ _ _." Press (PF5) and the transaction brief from the specified request will be copied.

Transaction Brief PF Keys

Below is a summary of the functions of each PF key on the transaction brief screen:

Pf Keys	*What they do*
PF2	TAB OFF/ON - This function will unprotect/protect the left margin of the text screen area where the line numbers are located. When the tab is off, you are able to position the cursor on any line number for inserting or deleting lines. When the tab is on, the cursor automatically tabs to the first column in the text area.
PF3	APPROVALS - This function will display the review/approval log and comment area related to the specific request. The user enters his or her logon id to REVIEW, APPROVE, VOID, or DENY (DPB only) a request.
PF4	CROSS REF - This function will display the cross reference screen allowing the user to identify all related Form 27/27A requests which are part of a transfer adjustment.
PF5	COPY - This function will copy a transaction brief from an existing request for the same agency on FATS.
PF6	FUND SUM - This function will display the request summarized to the fund level with allotted and unallotted amounts.
PF7	PREV - This function will display the previous screen of transaction brief text for the request.
PF8	NEXT - This function will display the next screen of transaction brief text for the request.
PF11	REPORT - This function will display the report selection screen.
PF12	RETURN - This function will return the user to the previous screen.

Cross Referencing

F or transfer adjustments (adjustment types N, O, P, Q, R, S, T, U, V, or W), you must identify through the FATS cross reference facility those related Form 27/27A requests which offset the transfer to/from adjustment. This cross-referencing will enable the system to balance "transfer to/from" adjustments.

You cannot cross reference to a request that has not yet been entered on FATS. All related requests involved in a transfer to/from adjustment, including those between agencies, must exist on FATS before the cross-referencing can be done. The originating agency should initiate the cross-reference.

NOTE: You can access the cross-referencing function from any screen within FATS, except the main menu, by pressing PF4.

```
FISCAL 06              DEPARTMENT OF PLANNING AND BUDGET            DPBM046
                              FORM 27 REQUEST
                              CROSS-REFERENCE


              REQ               ADJ   PGM/
       AGY    NO     STATUS     TYP   PROJ   BRF     ADJ AMOUNT

       ---    ----   --------   -     -----  -     -------------
       501    0005   COMPLETE   Q     606    Y       -2,167,432
       ***
       ***
       ***
       ***
       ***
       ***
       ***
       ***
PF1 FIND      PF3 APPROVALS     PF5 TRAN BRF     PF7 PREV      PF11 REPORT
 PF2 SELECT    PF4 APRV ALL      PF6 FUND SUM     PF8 NEXT      PF12 RETURN
```

How to add a cross reference

To add a request to the cross-reference list, follow these steps:

1. Enter the agency code of the related request.
2. Enter the request number of the related request.
3. Press (ENTER).
4. If the update is successful, the selected request will appear on the top line.

FISCAL 06   DEPARTMENT OF PLANNING AND BUDGET   DPBM046

```
                          FORM 27 REQUEST
                          CROSS-REFERENCE


            REQ              ADJ   PGM/
       AGY  NO     STATUS    TYP   PROJ   BRF    ADJ AMOUNT


       ---  ----   --------  -     -----  -    -------------
       501  0005   COMPLETE  Q     606    Y      -2,167,432
       501  0006   COMPLETE  P     606    Y       2,167,432
       ***
       ***
       ***
       ***
       ***
       ***
       ***
  PF1 FIND      PF3 APPROVALS     PF5 TRAN BRF     PF7 PREV      PF11 REPORT
  PF2 SELECT    PF4 APRV ALL      PF6 FUND SUM     PF8 NEXT      PF12 RETURN
```

How to change or delete cross reference

Once a cross reference entry has been added, you can change the agency code or request number by positioning your cursor on the field you want to change, entering the new value and pressing (ENTER). The message "UPDATE SUCCESSFUL" will be displayed if the cross-reference is valid.

To delete a cross-reference entry, position the cursor on the first character of the agency (on the entry you wish to delete). Enter "D" and press (ENTER). The message "UPDATE SUCCESSFUL - PRESS PF1 TO REFRESH SCREEN" is displayed. Press PF1. The entry has been deleted from the cross-reference list. Deleting a request from the cross-reference list does not delete the request from the system.

Below is a summary of the functions of each PF key on the cross-reference screen:

Pf Keys _____   *What they do* _____

PF1   FIND - This function will perform a search on the cross reference entries. Enter
             the search values for agency or for agency and request number. After you
             press PF1, the cross-reference entries will be displayed starting with the record
             equal to the search criteria.

PF2   SELECT - This function will display the related Form 27/27A request. Place
             the cursor on the desired request.

PF3   APPROVALS - This function will display the review/approval log and
             comment area related to the specific request. The user enters his or her logon id
             to REVIEW, APPROVE, VOID, or DENY (DPB only) a request.

PF5   TRAN BRF - This function will display a free-form text-entry screen that allows
                the user to document the need and effect of the adjustment request.

PF6   FUND SUM - This function will display the request summarized to the fund
                level with allotted and unallotted amounts.

PF7   PREV - This function will display the previous screen of cross-reference entries
                for the request.

PF8   NEXT - This function will display the next screen of cross-reference entries for
                the request.

PF11   REPORT - This function will display the report selection screen.

PF12   RETURN - This function will return the user to the previous screen.

Summarizing By Fund

This function will summarize all fund detail information for an individual adjustment request and display amounts at the fund detail level. The summary will also show whether fund totals are "allotted" or "unallotted."

This function is available from any screen in FATS, except the main menu, by pressing PF6. *For example, shown below is a detail listing for a Form 27 request:*

```
 FISCAL 99               DEPARTMENT OF PLANNING AND BUDGET              DPBM043
  AGENCY 501                      FORM 27 REQUEST
  DEPT OF TRANSPORTATION

  STATUS    REQ NO   ADJ TYPE     DESCRIPTION      PGM   PROJ   BOND IND  27A   BRF
  AGY PEND   0001       Q       NGF XFER FR        603   00000


                       FUND    SUBPGM     SUBOBJ        ADJ AMOUNT

                       ----    ------     ------     --------------
                               PROGRAM BALANCE       1204,302,033
                       0401      02        2323        -93,237,560
                       0472      02        2323         -4,495,859
                       ****
                       ****
                                                    --------------
                           TOTAL ADJUSTMENT           -97,733,419
                             NEW BALANCE             1106,568,614

  PF1 FIND       PF3 APPROVALS     PF5 TRAN BRF      PF7 PREV      PF11 REPORT
  PF2 VALIDATE   PF4 CROSS REF     PF6 FUND SUM      PF8 NEXT      PF12 RETURN
```

To obtain a fund summary

User: Press PF6 from a FATS detail list to cause the Fund Summary screen to be displayed:

```
FISCAL 06             DEPARTMENT OF PLANNING AND BUDGET            DPBM044
 AGENCY 501                       FORM 27 REQUEST
 DEPT OF TRANSPORTATION           FUND SUMMARY                       CONF


  STATUS   REQ NO   ADJ TYPE    DESCRIPTION     PGM  PROJ  BOND IND  27A   BRF
 COMPLETE  0005        Q      NGF XFER FR       606  00000                  Y



           FUND       ADJ AMOUNT      ALLOTMENT      UNALLOTTED
           ----     --------------  --------------  --------------
           PGM BAL    61,971,600      61,971,600               0
           0476       -2,167,432      -2,167,432               0
           ----     --------------  --------------  --------------
           TOT ADJ    -2,167,432      -2,167,432               0
           NEW BAL    59,804,168      59,804,168               0


       PF3 APPROVALS      PF5 TRAN BRF       PF7 FIRST    PF11 REPORT
       PF4 CROSS REF                         PF8 NEXT     PF12 RETURN
```

TIP: Program or project balance

The first line displays the current program or project balance. This program/project balance reflects the current program/project balance on DPB's Execution Master File. This balance does not reflect any requests on FATS that show a status of anything other than "COMPLETE," since these requests have not yet been updated to the Execution Master File. The lines following the program/project balance display the individual fund detail totals of the request.

Below is a summary of the functions of each PF key on the fund summary screen:

Pf Keys	What they do
PF3	APPROVALS - This function will display the review/approval log and comment area related to the specific request. The user enters his or her logon id to REVIEW, APPROVE, VOID, or DENY (DPB only) a request.
PF4	CROSS REF - This function will display the cross reference screen allowing the user to identify all related Form 27/27A requests which are part of a transfer adjustment.

PF5   TRAN BRF - This function will display a free-form text-entry screen that allows the user to document the need and effect of the adjustment request.

PF7   FIRST - This function will display the first screen of fund group summary records for the request.

PF8   NEXT - This function will display the next screen of fund group summary records for the request.

PF11   REPORT - This function will display the report selection screen.

PF12   RETURN - This function will return the user to the previous screen.

Notes

Chapter 4: FATS Online Approvals
Approvals

F ATS provides an automated review and approval process for the individual agencies and for DPB. This process is accomplished by changing the status code on requests. When a request is created, the status code is AGY PEND. FATS allows for one agency review signoff and one approval signoff. The status code of the request remains AGY PEND during the agency review period.

If, during the entry process or the agency review and approval process, a decision is made to withdraw the request from the system, an authorized agency user can change the status code to VOID. The request still can be viewed and reported on but is not active.

Once the agency approves the request, the status code changes to DPB PEND. FATS allows for one DPB review signoff and one approval signoff.

TIP: To make a change when the status is 'DPB PEND'

Until an authorized DPB user places his or her logon id on the review line, the agency can still change the request. To make a change at this time, the agency would first remove its logon id from the agency approval line. However, after a DPB review signoff has been entered, the agency can no longer change the request. In order for the agency to change the request at this time, DPB must remove its review signoff.

During DPB's review process, the status code of the request remains DPB PEND. DPB PEND* indicates DPB has requested corrections or additional information from the originating agency. Once DPB approves the request, the status code changes to APPROVED. If DPB denies the request, the status code changes to DENIED.

All requests with the status code of APPROVED are extracted in the nightly batch update. If these approved requests successfully pass additional batch editing, they are processed to update DPB's Execution Master File and transactions are created for transmittal to the Department of Account's CARS System. The status code of the updated requests on FATS changes to COMPLETE.

From any screen within FATS, except the main menu, you can press PF3 to access the approvals screen, *as shown on the following page.*

```
 EXTRA! A - Session1                                                    _ □ X
File  Edit  Transfer  Options  Connection  Macro  Window  Help
  ▭    ▭▭    ▭▭    ▭▭    ▭ F▾ F▴   ▭▭▭    ?
FISCAL 98              DEPARTMENT OF PLANNING AND BUDGET              DPBM045
AGENCY 122                      FORM 27 REQUEST
DEPT OF PLANNG & BUDGET             APPROVALS

 STATUS    REQ NO    ADJ TYPE     DESCRIPTION     PGM    PROJ    ACT   27A    BRF
AGY PEND    0001        N         GF XFER TO      715    00000    A

PREP: DPBMOT   TWIGGS,M O      07/02/97   LAST: DPBMOT   TWIGGS,M O      07/02/97

-----------AGENCY APPROVAL---------- | ------------DPB APPROVAL------------
REVU:                                | REVU:
APRV:  _                             | APRV:
VOID:                                | VOID:
                                     | DENY:
                                     |
REMK:                                | REMK:
                                     |
                                     |
                                     |
                                     |
                            PF5 TRAN BRF                       PF11 REPORT
               PF4 CROSS REF  PF6 FUND SUM                     PF12 RETURN

▭B▮                      Aa    A Session1    R 12 C 8        9:04   7/02/97
```

Access to any of the functions described on the following pages is determined by the type of data access and signoff authority granted to a user through the FATS security system as specified on the FATS Access Request Form.

Reviewing

For both the agency and DPB, the system allows one review signoff field for a request. This is an optional entry in the system. The status of the request does not change as a result of a review signoff; however, once DPB enters a logon in the review signoff, the agency can no longer change the request. The approval process in your agency will determine if a review signoff entry is required. Users with review or approval signoff authority can enter their logon id in the review field.

To indicate review signoff:

1. Position your cursor on the review signoff field (item A of screen diagram).

2. Enter your logon id.

3. Press (ENTER).

4. Your name and current date appear on the line.

To remove review signoff:

1. Position your cursor on the review signoff field (item A of screen diagram).
2. Use the space bar or delete key to remove the logon id.
3. Press (ENTER).
4. Your name and review date are removed from the screen.

Approving

For both the agency and DPB, the system allows one approval signoff. The agency must approve the request in order to change the status to DPB PEND (which signals DPB to start its review and approval process), and DPB must approve the request before the batch system will extract the request for update to the DPB Execution Master File and transmittal to CARS. Only users with approval signoff authority can approve a request.

To indicate approval signoff:

1. Position your cursor on the approval signoff field (item B of screen diagram).
2. Enter your logon id.
3. Press (ENTER).
4. Your name and current date appear on the line.

To remove approval signoff:

1. Position your cursor on the approval signoff field (item B of screen diagram).
2. Use the space bar or delete key to remove the logon id.
3. Press (ENTER).
4. Your name and approval date are removed from the screen. The status of the request returns to the previous status.

Voiding

If a request is created in error or later withdrawn by the originating agency, you may void the request. This changes the status of the request to "VOID," and no further processing occurs. FATS does not allow for the physical deletion of requests. Only users with update access to the data can void a request.

To void a request:

1. Position your cursor on the void field (item C of screen diagram).
2. Enter your logon id.
3. Press (ENTER).
4. Your name and current date appear on the line.

To activate a voided request:

1. Position your cursor on the void field (item C of screen diagram).

2. Use the space bar or delete key to remove the logon id.

3. Press (ENTER).

4. Your name and void date are removed from the screen. The status of the request returns to the previous status.

Denying

This action is used only by DPB for those requests that are not approved. The status of the request changes to "DENIED," and no further processing occurs. Only DPB users with approval authority can deny a request.

To deny a request:

1. Position your cursor on the deny field (item D of screen diagram).

2. Enter your logon id.

3. Press (ENTER).

4. Your name and current date appear on the line.

To activate a denied request:

1. Position your cursor on the deny field (item D of screen diagram).

2. Use the space bar or delete key to remove the logon id.

3. Press (ENTER).

4. Your name and deny date are removed from the screen. The status of the request returns to "DPB PEND."

Remarks

This area may be used for explanations as needed. The remarks area allows for five lines (160 characters) of text. Only users with update access to the data can enter remarks. Remarks can only be entered before the request is approved, denied, or voided.

To add remarks:

1. Position your cursor on the remark field (item E of screen diagram).

2. Enter your remarks.

3. Press (ENTER).

4. Message displays "Update Successful."

To remove remarks:

1. Position your cursor on the remark field (item E of screen diagram).

2. Use the space bar or delete key to remove your remarks.

3. Press (ENTER).

4. Message displays "Update Successful." Remarks are removed from the screen.

Below is a summary of the functions represented by each PF key on the approval screen:

Pf Keys	*What they do*
PF4	CROSS REF - This function will display the cross reference screen allowing the user to identify all related Form 27/27A requests which are part of a transfer adjustment.
PF5	TRAN BRF - This function will display a free-form text-entry screen that allows the user to document the need and effect of the adjustment request.
PF6	FUND SUM - This function will display the request summarized to the fund detail level with allotted and unallotted amounts.
PF11	REPORT - This function will display the report selection screen.
PF12	RETURN - This function will return the user to the previous screen.

Notes

Chapter 5: FATS online reports

Form 27/27A Request Reports

T he functions on the Form 27/27A request report screen allow the user to print Form 27/27A request data in formatted reports, including detail listings, agency summaries and adjustment type summaries.

You can access this report function from any screen within FATS by pressing PF11.

```
              DEPARTMENT OF PLANNING AND BUDGET              DPBM048
                        FORM 27 REQUEST
                          REPORT

RPT LEVEL:   DETAIL _    SUMMARY  _    RPT TYPE:   OPERATNG _   CAPITAL   _
             INCLUDE ALL XREFS    _                DOLLARS _   POSITION _


STATUS:      ALL    _   AGY PEND _   DPB PEND _   APPROVED _   COMPLETE  _
             VOIDED _   DENIED   _


SEQUENCE:    REQ NO _   ADJ TYP _   PGM/PROJ _   BATCH NO _   PREP DATE _


SELECTIONS:  AGY ___ ___ ___    RESP AGY ___ ___ ___    SEC __ __ __


  REQNO ____ ____ ____         ADJ TYP _ _ _          PGM ___ ___ ___
  SUBPGM _____ _____ _____      PROJ _____ _____ _____   FUND ____ ____ ____
  BATCH NO ___ ___ ___         START PREP DATE _____   END PREP DATE _____
  FISCAL YR 06 __ __  DPB ANALYST _____   SECONDARY _ SECTION __ __ __
PRODTEST:  PROD
REMOTE ID:  N23R114         ROOM: ____    FORMS: STD          PRTCLASS: _
(DETAIL - PORTRAIT; SUMMARY - LANDSCAPE)


          PF1 SUBMIT   PF2 CLEAR   PF11 OPER PLAN   PF12 RETURN
```

How to submit a report

To submit a report, complete the screen to indicate the request selection criteria. You must enter a selection for Report Level, Report Type, Status, and Sequence. The fields that follow the heading "Selections" are optional and need only be filled in to further define the data on which you wish to report. Any requests that are to be extracted for the report must meet all of the selection criteria you enter. If you access the report function from the request entry screen, transaction brief screen, fund summary screen, or the approval screen, certain defaults will

appear on the report screen, indicating the individual request that you were accessing. You may change any of the defaults before submitting the report. You may also press PF2 that will erase all of the defaults from the screen. (See "Making sections on the report screen" below for details on the selections on the report screen.)

Once you enter your selection criteria, press PF1 to submit the report. A message will be displayed identifying the job name of the submitted report.

TIP: Want to get an Operating Plan report?

From the report screen, you can request an Operating Plan report. For details, see the *Operating Plan Report* section of this manual.

Report Screen PF keys

Below is a summary of the functions represented by each PF key on the report screen

PF key	What it does
PF1	SUBMIT - Submits the batch report request based on values entered on report screen.
PF2	CLEAR - Erases the default values for all fields on the report screen.
PF11	OPER PLAN - This function will display the operating plan report selection screen. Refer to page II - 47 for a description.
PF12	RETURN - This function will return the user to the previous screen.

Making selections on report screen

Choices on the report screen include report level, report type, status, sequence, selections, and program. A discussion of each of these selection fields follows:

RPT LEVEL

Enter an "X" beside Detail or Summary, but not both.

Level	What it means
DETAIL	Produces a report (similar to the hard-copy Form 27/27A), itemizing all FATS information associated with the request. The Detail Report lists the general information, appropriation/allotment/FTE adjustments, approvals, cross reference information, fund summary, and transaction brief text for each request. A minimum of two report pages is generated for each request. See the example of a *Detail Report* on page 43.
SUMMARY	Produces a report summarizing the Form 27/27A request information. For each Form 27/27A request, one print line is generated showing status code, request

number, adjustment type, adjustment type description, program/project, bond indicator, Form 27A indicator, transaction brief indicator, request preparation date, completion date, CARS batch number, agency approval signoff, DPB approval signoff and the total adjustment amount. Report totals are provided for adjustment amount, allotted amount, and unallotted amount. See the example of a *Summary Report* on page 45.

INCLUDE
ALL XREFS
Enter an "X" in this field if you want to include all other requests that are cross -referenced to the request(s) you are selecting. This option is only valid for the Summary Report.

RPT TYPE

You must make a selection on each of the two lines following RPT TYPE. Enter an "X" beside Operating, Capital, or both. Enter an "X" beside Dollars, Positions, or both.

Type _____ *What it means* _____

OPERATING Reports on the operating Form 27/27A requests.

CAPITAL - Reports on the capital Form 27 requests.

DOLLARS - Reports on Form 27 requests which adjust the dollar appropriation and allotment of funds.

POSITIONS - Reports on Form 27A requests that adjust the agency's position level.

STATUS

Enter an "X" beside the processing status on which you wish to report. You may select one or more of the status types. This selection corresponds to the status that is assigned to the Form 27/27A request on FATS. The status identifies the current state of processing.

Status ____ *What it means* _____

ALL Includes all of the processing status codes.

AGY PEND Requests that are currently in progress at the agency.

DPB PEND Requests that have been approved by the agency and are awaiting review and approval by DPB.

APPROVED Requests that have been approved by DPB and are awaiting extraction for update to the DPB Execution Master File and transmittal to CARS.

COMPLETE Requests that have been updated to the DPB Execution Master File and corresponding transactions have been transmitted to CARS. Requests will display the CARS batch number and date.

VOIDED Requests that were created in error and withdrawn by the originating agency.

DENIED Requests that have been denied by DPB.

SEQUENCE

Enter an "X" beside the sequence field on which to sort the requests (within agency) on the report. *Below is a description of each sequence field:*

REQ NO   Will print the requests in numerical sequence by the request number.

ADJ TYPE   Will print the requests in alphabetical order by the adjustment type.

PGM/PROJ   Will print the requests in numerical sequence by program code (for operating) or project code (for capital).

BATCH NO   Will print the requests in numerical sequence by the CARS batch number for those requests with status of "COMPLETE."

PREP DATE   Will print the requests in ascending date sequence by the request preparation date.

SELECTIONS

Use this section to choose specific data for the fields indicated. All fields within this section are optional and only those you wish to select upon need to be completed.

Field	**What to enter**
AGY	You may enter up to three selected agencies on which to report (provided you have access to multiple agency data).
RESP AGY	You may enter up to three selected responsible agencies on which to report (provided you have access to multiple responsible agency data).
SEC	You may enter up to three selected secretarial areas on which to report (provided you have access to multiple secretarial area data).
	For those DPB users who have access to statewide data, if you leave agency, responsible agency, and secretarial area selections blank, a statewide report will be generated.
REQ NO	You may enter up to three selected request numbers on which to report.
	To report on a range of request numbers, enter the lower limit of the request number range in box 1, enter "****" in box 2, and enter the upper limit of the request number range in box 3.
ADJ TYP	You may enter up to three selected adjustment types on which to report.
	To report on a range of adjustment types, enter the lower limit of the adjustment type range in box 1, enter "*" in box 2, and enter the upper limit of the adjustment type range in box 3.
PGM	You may enter up to three selected program codes on which to report. To report on a range of programs, enter the lower limit of the program range in box 1, enter "***" in box 2, and enter the upper limit of the program range in box 3.
SUBPGM	You may enter up to three selected subprogram codes on which to report. This function can only be used when selecting a detail report.

To report on a range of subprograms, enter the lower limit of the subprogram range in box 1, enter "*****" in box 2, and enter the upper limit of the subprogram range in box 3.

PROJ   You may enter up to three selected project codes on which to report.

To report on a range of projects, enter the lower limit of the project range in box 1, enter ***** in box 2, and enter the upper limit of the of the project range in box 3.

FUND   You may enter up to three fund/fund detail codes on which to report. This function can only be used when selecting a "summary report."

To report on a range of fund/fund details, enter the lower limit of the fund code range in box 1, enter "****" in box 2, and enter the upper limit of the fund code range in box 3.

BATCH NO   You may enter up to three specific CARS batch numbers on which to report.

To report on a range of CARS batch numbers, enter the lower limit of the batch number range in box 1, enter "**" in box 2, and enter the upper limit of the batch number range in box 3.

START PREP DATE   You may enter a specific start preparation date on which to report. The format for this field is MMDDYY. The preparation date is the date a request was created on FATS. Entering a date in this field will produce a report of those requests created on the date you enter through the current date. If a date is entered in both the START and END PREP DATE, this range of dates is used for selecting the requests on which to report.

END PREP DATE   You may enter a specific end preparation date on which to report. The format for this field is MMDDYY. The preparation date is the date the request was created on FATS. Entering a date in this field will produce a report of those requests created prior to and including this date. If a date is entered in both the START and END PREP DATE, this range of dates is used for selecting the requests on which to report.

FISCAL YR   You may enter up to three selected fiscal years on which to report. To select a specific fiscal year, enter the last 2 digits of the fiscal year, e.g., for 2010, enter "10."

To report on a range of fiscal years, enter the lower limit of the fiscal year range in box 1, enter "*" in box 2, and enter the upper limit of the fiscal year range in box 3.

DPB ANALYST   You may enter a valid logon id of any DPB analyst if you wish to report on requests processed by a certain analyst.

SECTION   You may enter up to three selected 2-character abbreviations for sections within DPB on which to report.

REMOTE ID   This field identifies the destination of the printed output.

If you have a remote printer at your agency set up to receive printed output from DIT and have supplied this to DPB, your remote id will be displayed. If you do

	not have a remote printer, "LOCAL" will be displayed. LOCAL output will print at DIT and will be mailed to you.
ROOM	This field serves as a 4-character designation field. You may enter your room number, phone number, or other identifier that may help in routing reports within your agency. This field will print on the report banner page along with such things as job name, job number, remote printer number, time, and date.
FORMS	This field identifies a special forms code to be used for printing the report. Defaults to STD. If you have a remote printer at your agency and use special forms for printing, enter the 3-digit code for appropriate forms.
PRT CLASS	This field identifies a 1-character code for printed output class. Defaults to A. If you have a remote printer and use multiple print classes, contact your agency IT section for assistance.

Operating Plan report

The functions on the Operating Plan Report screen allow the user to print an Operating Plan Report which reflects either the original agency operating plan (the agency appropriation as enacted in the Appropriation Act) or the current operating plan (the current status of appropriation, allotment, and unallotment following Form 27/27A action).

You can access the Operating Plan Report screen by pressing PF11 from the Form 27/27A Request Report screen, displayed below.

```
                   DEPARTMENT OF PLANNING AND BUDGET              DPBM049
                            OPERATING PLAN
                               REPORT



 RPT TYPE:   OPERATING _   CAPITAL _   DOLLARS _   POSITION _


             CURRENT    _   ORIGINAL _




 SELECTIONS: AGY ___ ___ ___   RESP AGY ___ ___ ___   SEC __ __ __


             FISCAL YR 06    PGM/PROJ _____ _____ _____




 PRODTEST:   PROD
 REMOTE ID:  N23R114         ROOM: ____   FORMS: STD        PRTCLASS: _
```

```
(USE LANDSCAPE FORMAT)


              PF1 SUBMIT   PF2 CLEAR   PF12 RETURN
```

To submit a report, complete the above screen to indicate the Operating Plan criteria. You must enter a selection for Report Type. The fields that follow the heading "Selections" are optional and need only be filled in to further define the data on which you wish to report.

Once you enter your selection criteria, press PF1 to submit the report. A message will be displayed identifying the job name of the submitted report.

Making selections on the Operating Plan Report screen

A discussion of the screen selection fields follows:

RPT TYPE

You must make a selection on each of the two lines following RPT TYPE.

Enter an "X" beside Operating, Capital, or both.:

Selection __	What it does _____
Operating	Reports on the operating appropriation, allotment, and unallotment.
Capital	Reports on the capital appropriation, allotment and unallotment.

Also Enter an "X" beside Dollars, Positions, or both.

Selection __	What it does _____
Dollars	Reports on dollar appropriation, allotment and unallotment of funds.
Positions	Reports on the agency's position level.

Enter an "X" beside CURRENT or ORIGINAL, but not both.

Selection __	What it does _____
Current	Produces a report that reflects the current status of appropriation, allotment, and unallotment.
Original	Produces a report that reflects the original agency appropriation as enacted by the Appropriation Act.

SELECTIONS

Use this section to choose specific data for the fields indicated. All fields within this section are optional and only those you wish to select need to be completed. *A description of each of the selection fields follows:*

Selection	What it does
AGY	You may enter up to three selected agencies on which to report (provided you have access to multiple agency data). Defaults to your agency if you only have access to your agency.
RESP AGY	You may enter up to three selected responsible agencies on which to report (provided you have access to multiple responsible agency data).
SEC	You may enter up to three selected secretarial areas on which to report (provided you have access to multiple secretarial area data). For those DPB users who have access to statewide data, if you leave agency, responsible agency, and secretarial area selections blank, a statewide report will be generated.
FISCAL YEAR	You may enter a selected fiscal year on which to report. To select a specific year, enter the last 2 digits of the fiscal year, e.g., for 2010, enter "10." Defaults to the current fiscal year.
PGM/PROJECT	You may enter up to three selected program or project codes on which to report.
REMOTE ID	This field identifies the destination of the printed output. If you have a remote printer at your agency set up to receive printed output from DIT and have supplied this to DPB, your remote id will be displayed. If you do not have a remote printer, "LOCAL" will be displayed. LOCAL output will print at VITA and will be mailed to you.
ROOM	This field serves as a 4-character designation field. You may enter your room number, phone number, or other identifier that may help in routing reports within your agency. This field will print on the report banner page along with such things as job name, job number, remote printer number, time, and date.
FORMS	This field identifies a special forms code to be used for printing the report. Defaults to STD. If you have a remote printer at your agency and use special forms for printing, enter the 3-digit code for appropriate forms.
PRT CLASS	This field identifies a 1-character code for printed output class. Defaults to A. If you have a remote printer and use multiple print classes, contact your agency IT section for assistance.

Operating Plan Report Screen PF Keys

Below is a summary of the functions of each PF key on the operating plan report screen:

PF key	What it does
PF1	SUBMIT - Submits the batch report request based on values entered on report screen.
PF2	CLEAR - Erases the default values for all fields on the report screen.
PF12	RETURN - This function will return the user to the previous screen.

Chapter 6: Form 27 hard copy submissions

Agencies may submit Form 27/27A requests to the Department of Planning and Budget (DPB) by hard copy. This method of submission is used by agencies that have been restricted access to the system during year-end close. Hard copies are requested if the agency needs to generate a FATS adjustment to clear errors residing on DOA's error list or if the agency has not obtained online access.

You may access the form on DPB's web site at www.state.va.us/dpb by clicking on the following buttons: Forms and Instructions, Information Systems, Form 27/27A.

In addition to the hard copy Form 27/27A, agencies must submit, if required, a hard copy transaction brief. Instructions for completing a hard copy Form 27/27A and transaction brief are provided on the following pages.

For transfer adjustments (N-W), agencies must supply under Section D of the hard copy Form 27/27A the cross reference information.

Upon receipt of the hard copy requests, DPB will edit the requests for valid fiscal year, agency code, adjustment type, program/project, fund/fund detail, subprogram, and subobject, and balance any transfer adjustments. If errors are found, the agency's DPB budget analyst will contact the agency fiscal office to resolve the discrepancies.

Validated data will be loaded to FATS and will reflect the status, "DPB PEND." Following review and approval by DPB, the data will be extracted and updated to PROBUD and transmitted to CARS. Agencies will be mailed an Appropriation/Allotment Status Report reflecting the adjustments by request number and CARS batch number.

DPB Form 27/27a Guidelines

- Agencies must complete a separate DPB Form 27/27A for each type of adjustment.

- For transfer adjustments, each transfer request must have a separate request number.

- For position adjustments, agencies must submit DPB Form 27/27A when the position level increases or decreases because of legislative or executive actions or when positions are transferred between programs.

- Agencies should refer to their most recent Operating Plan Report to find the current balance for program/project.

All requested adjustments must be shown on the form as follows:

- Enter the incremental amount of change for each fund, subprogram, and subobject. Do not enter replacement amounts.

- Always show positions with two decimal places, i.e. 1.00 for one position.

- Precede negative amounts with a minus "-" sign. Do not use parentheses.

Use continuation sheets if one Form 27/27A will not accommodate all entries for a requested adjustment. Indicate the total number of pages contained in the request at the top right corner of each continuation sheet.

How to complete a hard copy Form 27

A Section a: General Information

Item	What to enter
AGENCY CODE	Enter the agency code and agency title (abbreviated if necessary).
PROGRAM CODE	Enter the three-digit program code and program title (abbreviated if necessary). If Education and General program, use program 100. If capital, enter "998."
REVENUE SOURCE CODE	Enter a five-digit revenue source code if you are creating a "G" adjustment.
PROJECT CODE	Leave blank if an operating expense program is designated. If capital, enter the five-digit project code and project title.
REQUEST NUMBER	The first digit of the request number, indicated by a "5", identifies the request as a hard copy submission. Enter a three-digit number to identify each adjustment request for a program/project. Assign the number "001" to the first adjustment request submitted by the agency for the fiscal year. If there is a need for a continuation sheet, show the same request number on each page. Number subsequent requests consecutively. Use a single series of numbers for all requests for the fiscal year, including operating, capital, and positions. It is the agency's responsibility to keep track of its request numbers throughout the year. Start over at "001" on the next July 1.
TRANSACTION BRIEF	If a transaction brief is required for the request, check YES; otherwise, check NO. Under certain circumstances, a transaction brief need not be prepared. These circumstances include: submission of legislative adjustments to operating plan (adjustment types A, C, or I) and submission of adjustments to operating plan only (adjustment type M).
FISCAL YEAR	Enter the last two digits of the fiscal year.
POSITION ADJUSTMENT	If position adjustment, check YES; otherwise, check NO.

Item_____	What to enter _____
ADJUSTMENT TYPE	Indicate the adjustment type. Valid values are A, B, C, D, E, F, G, H, I, J, K, L, M, N, O, P, Q, R, S, T, U, V, and W. Valid values for position adjustments are C, D, F, G, M, N, O, P, Q, R, S, T, U, V, and W. For definitions of adjustment types refer to "Operating Plan Adjustment Types," in Chapter I.
BOND INDICATOR	If capital project is being financed by bonded debt, check YES; otherwise, check NO.

Section B: Appropriation/Allotment/Position Adjustments

NOTE: All amounts must be entered in whole dollars, rounded down. Do not enter cents.

Item_____	What to enter _____
Current balance	Enter the program or capital project appropriation from the most recent Operating Plan Report. This amount is the total of all funds for the program or project. Show position amounts with two decimal places, i.e. 100 for one position. The amount must be a positive amount (both dollars and positions).
Total adjustment	Enter the total adjustment for the request including the continuation forms. Show position amounts with two decimal places, i.e. 100 for one position. Precede negative amounts with a minus "-" sign. Do not use parentheses.
New balance	Enter the new balance by adding the current balance and the total adjustment. Show position amounts with two decimal places, i.e. 100 for one position. The amount must be a positive amount.
Fund	Enter the four-digit fund or service area.
Subprogram	Enter the two-digit code of each subprogram that will be adjusted. Enter two zeros if the adjustment is for a capital project.
	If you entered Program 100 (Higher Education - Educational and General) in Section A, the subprogram field must reflect one of the E & G programs 101-107 and the valid subprogram.
Subobject	Enter the four-digit subobject code.
Adjustment amount	Enter the incremental amount. Do not use replacement amounts. Precede negative amounts with a minus "-" sign. Do not use parentheses. Show position amounts with two decimal places, i.e. 100 for one position.
Total adjustments for this page	Enter the total amount for adjustments. Precede negative amounts with a minus "-" sign. Do not use parentheses.

Section C: Approvals

Item	What to enter
Agency approvals/remarks	Enter the name of the person who prepared and reviewed the request for the agency and the signature of the agency official authorized to approve appropriation, allotment, and position adjustment requests.
	Enter a justifying explanation or reason for the adjustment request. If adjustment types B, E, F, G, H, J, L, N, O, P, Q, R, S, T, U, V, and W are used, a transaction brief must be prepared.
DPB approvals	This space reserved for DPB USE ONLY.

Section D: Cross-references

Agency/ Request number	For any transfer adjustments (adjustment types N, O, P, Q, R, S, T, U, V, and W), enter the agency code and the Form 27/27A request number to which the adjustment relates.

Transaction Brief

A transaction brief is the instrument used by agencies to document the need for and effect of appropriation adjustments and allotments of appropriations. In general, a transaction brief describes the circumstances that necessitate the request. The brief is signed by agency personnel who are authorized to approve Form 27/27A requests.

Under certain circumstances, a transaction brief need not be prepared. These circumstances include:

▪ submission of legislative adjustments to operating plan (adjustment types A, C, D or I).

Transaction brief format

Item	What to enter
REQUEST	Describe the transaction being requested, e.g. carry-forwards, transfers, redistribution between funds, etc.
DISCUSSION	In general, describe the circumstances that necessitate the request. Include a brief discussion of the assumptions used to calculate the request, if applicable. Answer the questions provided in "Guidelines for Managing State Appropriations," in Chapter I, which apply specifically to the requested transaction.
REFERENCES	Cite and provide copies of supporting documentation, if applicable.

AUTHORIZATION   Provide a signature line for the individual authorized to approve Forms 27/27A.

Notes

Chapter 7: DPB contacts and assistance

f you need further assistance when working with FATS, you may contact the following individuals at DPB:

For questions of a policy nature:

Contact your agency's DPB budget analyst.

For questions of a procedural nature:

Van Nessa Davis-Thornton   (804) 786 - 2541

For system access/system problems:

JowJou Hamilton (DPB agency security officer)   (804) 786-1816

Notes

Chapter 8: Special notes for DPB staff only

Confidential requests

Under certain circumstances, it may be necessary for DPB to designate a request "confidential." This function is available to DPB staff only and will prevent agencies from viewing the request during any normal browse function. A request can be marked confidential at any time, regardless of its origination (agency or DPB).

To make a request confidential

```
FISCAL 07              DEPARTMENT OF PLANNING AND BUDGET            DPBM043
 AGENCY 501                     FORM 27 REQUEST
 DEPT OF TRANSPORTATION                                            CONF  Y
                 ADJ                              BOND     REV
  STATUS   REQ NO  TYPE   DESCRIPTION     PGM  PROJ  IND   27A SOURCE  BRF
 DPB PEND   6500    O    GF XFER FR        603  00000                    Y


                 FUND    SUBPGM    SUBOBJ     ADJ AMOUNT


                 ----    ------    ------    --------------
                        PROGRAM BALANCE      1803,704,498


                                            --------------
                      TOTAL ADJUSTMENT                 0
                          NEW BALANCE       1803,704,498


  PF1 FIND       PF3 APPROVALS     PF5 TRAN BRF      PF7 PREV     PF11 REPORT
  PF2 VALIDATE   PF4 CROSS REF     PF6 FUND SUM      PF8 NEXT     PF12 RETURN
```

From the Form 27/27A Request Screen, position your cursor on the "CONF" field, located in the upper right corner of the screen. Enter a "Y" in this field, and press (ENTER). The message "Update Successful" is displayed in the lower left corner of the screen.
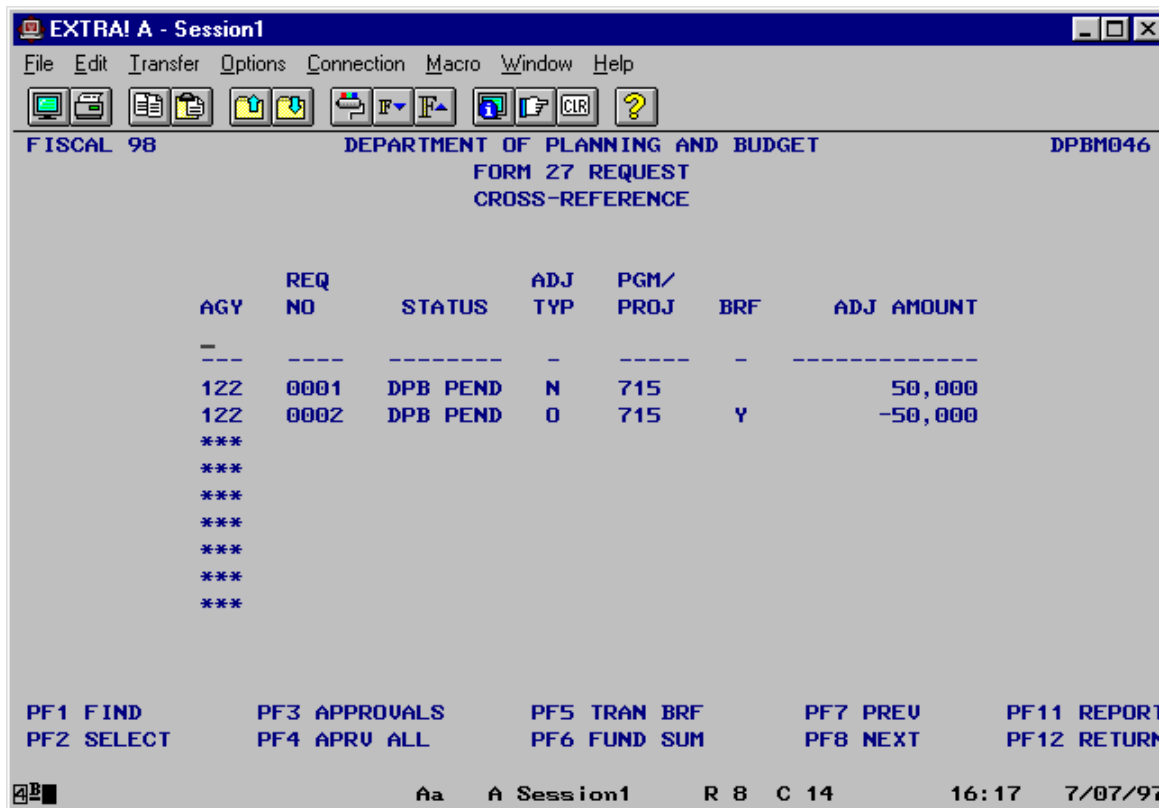
Once a request has been marked confidential, the agency no longer has access to display or update the request.

  If you need to remove the confidential flag from a request, position the cursor on the "CONF" field, erase the "Y", and press (ENTER). Again, the message "Update Successful" is displayed in the lower left corner of the screen.

Review/approve all function

  When you access the cross reference screen from any request which is part of a transfer "to" and "from" adjustment, you can review/approve all requests which have been cross-referenced as part of the transfer. This function is available to DPB users only.

  From the cross-reference screen (shown below), press PF4 to review/approve all requests. (Depending on the signoff authority you have, PF4 will indicate "REVU ALL" or "APRV ALL.")

```
EXTRA! A - Session1                                                    _ □ X
File  Edit  Transfer  Options  Connection  Macro  Window  Help

FISCAL 98               DEPARTMENT OF PLANNING AND BUDGET              DPBM046
                              FORM 27 REQUEST
                              CROSS-REFERENCE


             REQ                  ADJ    PGM/
        AGY  NO      STATUS       TYP    PROJ    BRF      ADJ AMOUNT

        ___  ____    _____     _      _____   _      _____
        122  0001    DPB PEND     N      715                  50,000
        122  0002    DPB PEND     O      715     Y           -50,000
        ***
        ***
        ***
        ***
        ***
        ***
        ***




    PF1 FIND         PF3 APPROVALS      PF5 TRAN BRF       PF7 PREV        PF11 REPORT
    PF2 SELECT       PF4 APRU ALL       PF6 FUND SUM       PF8 NEXT        PF12 RETURN

                           Aa    A Session1      R 8   C 14        16:17   7/07/97
```

  Editing is performed on the group of requests (total must net to zero, existence of transaction brief, correct fund codes based on adjustment type, etc.). If any of these conditions are not met, you will receive the following error message, "ONE OR MORE CROSS REFERENCE ERRORS, USE PF3 (APPROVALS) TO REVIEW ERRORS." If you receive this error message, none of the requests have been reviewed/approved. Press PF3 to access the approval screen of any one of the individual requests. From the approvals screen, you will receive a more specific error message when you attempt to review/approve the individual

request. Corrections will need to be made before the transfer requests can be reviewed or approved.

There also may be occasions when a portion of the requests are reviewed/approved, leaving some requests not reviewed/approved. If this occurs, you will receive the message, "ONE OR MORE REQUESTS NOT UPDATED, REVIEW THE STATUS LIST." By looking at the status column on the cross-reference screen, you will be able to identify those requests that were reviewed/approved and those that were not. This would occur if the transfer is made up of adjustment requests among multiple agencies, and the DPB user does not have review/approval authority for all agencies involved. Only those requests which he/she has authority to review/approve will be updated with the appropriate signoff.

Marking requests for agency corrective action

On the FATS approval screen, the analyst can send the agency a message to identify the need for corrections/additional information.

From the approval screen, the DPB analyst can enter a message in the remarks area (REMK field under DPB APPROVAL on screen). Press PF2 to indicate correction required by the agency. The status code changes from DPB PEND to DPB PEND*.

When the agency user sees a status of DPB PEND*, he/she will access the approvals screen to read the message entered by the analyst. The agency user should remove his/her logon id from the agency approval, make the requested corrections, and reapprove the request. The status code returns to DPB PEND and the analyst may continue the review and approval process.

Report screen

On the FATS report screen DPB staff can select a range for agency code and secretarial area. To report on a range of agencies, enter the lower limit of the agency code range in box 1, enter *** in box 2, and enter the upper limit of the agency code range in box 3. This option will be beneficial for DPB staff that has system agencies. For secretarial area, enter the lower limit of the secretarial code range in box 1, enter ** in box 2, and enter the upper limit of the secretarial code range in box 3.

Information System Services utility & maintenance functions

DPB Information System Services has additional capabilities within FATS to perform various file maintenance and utility functions. These are:

- Ability to override edits on certain adjustment types, which restrict the amounts to positive/negative entries. This feature allows Information System Services to reverse adjustments that already have been updated to the file.

- Ability to delete requests in lieu of voiding requests. This function will be primarily used by Information System Services. In order to delete, the logon id must have a "3" under the security system in the logon id file.

- Ability to enter requests into FATS beyond the fiscal year close date assigned to other DPB users. There is a fiscal year close date that restricts access to FATS, i.e., a closing date by which analysts must have approved all adjustments for the closing of a fiscal year. Information System Services may need to make final adjustments to the file beyond this date.

- Ability to process requests for specific adjustments that are restricted to DPB budget analysts and agencies. They are:

  D   Amended Legislative Appropriation

  G   Additional Revenue Appropriation, General Fund Only

  J   Transfer from Second Year to First Year

  K   Reversion (decrease) and Restoration (increase) of Capital Projects

Procedures for hard copy forms 27

The majority of Form 27 requests will be submitted through FATS. However, agencies will have the option to submit by hard copy Form 27, provided they meet certain requirements and have approval from DPB.

This type of submission is limited to those agencies that do not have the capability to access the online system. Hard copy Forms 27 will be routed to the appropriate budget analyst once received at DPB. The analyst will review and approve the request(s) and forward to Information System Services. Information System Services will key the request and the approval(s) into FATS, and forward the hard copy forms to central files.

Maintaining agency or DPB analyst cross reference

Authorized users at DPB have access to the security application for the purpose of maintaining a "DPB to AGENCY" cross-reference file. This file maintains the relationship between DPB analysts and the agencies for which they are responsible, thus defining the FATS data they may access.

To change the cross-reference file

To add, change, or delete entries in this file, logon to CICS as you would to access FATS, until the following screen is displayed:
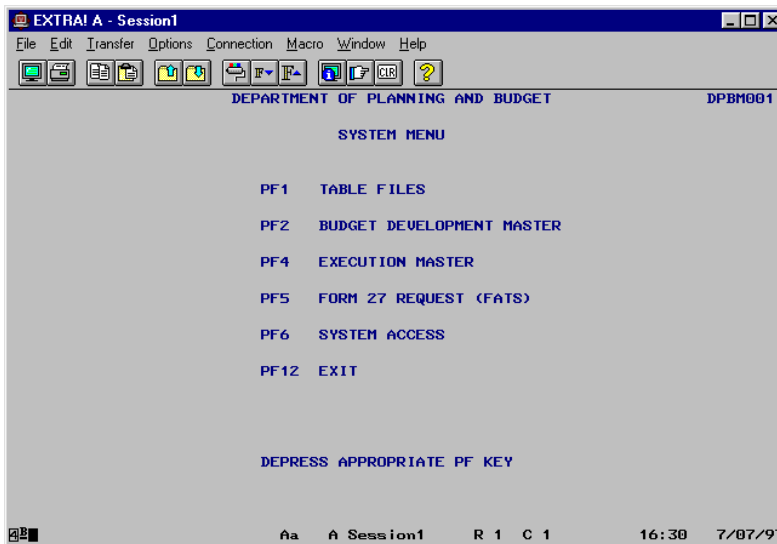
User: Press PF6.

System: The System Access Menu is displayed.

1. You may key in the logon id if you want to position to a particular user in the file, or leave blank to display the file alphabetically by logon id.
2. Press PF2.

If you enter a logon id on the previous menu (System Access Menu), the display of records will start with that logon id. If you do not enter a logon id, all records will be displayed in alphabetical order by logon id.

To find a specific record

You can key in a logon id in the blank area under this column and Press PF1. This displays the records starting with that logon id. Or, key in a 3-digit agency code in the blank area under that

column and press (ENTER). This displays the records in agency-code order starting with the entered agency code.

To add a new record

- Position your cursor on the logon id field (above the dashes).
- Key in the logon id. Logon id is DPBXXX, where XXX = person's 3 initials.
- Key in the agency code.
- Press (ENTER) to add the record.

The record has been added. Values for user name, section, and agency name will be automatically supplied by the system.

If you receive the error "Logon Id must be in Logon Id File," the user does not have access to the FATS System. You will need to contact DPB Application Services to request appropriate access.

To change an existing record

- Position your cursor on the field you wish to change (logon id or agency).
- Enter the new value.
- Press (ENTER) to update record.
- Press PF1 to refresh the screen.

The new values have been updated.

To delete an existing record

- Position your cursor on the Logon ID field for the record you want to delete.
- Key in the word "DELETE."
- Press (ENTER) to delete the record.
- Press PF1 to refresh the screen.

The record has been deleted.

System access reports

The functions on the system access report screen allow the user to print both logon id reports and agency/analyst cross reference reports. A logon id report will show CICS logon ids having access to one or more of the existing CICS subsystems (e.g., FATS, EXM, BDM, etc.). An agency/analyst cross-reference report will show the relationship between DPB analysts and the agencies for which they are responsible, thus defining the FATS data they may access.

You can access the system access report screen by pressing PF11 from the system access menu screen.

The system access report screen is displayed below:

To submit a report, complete the above screen to indicate the report criteria. You must enter a selection for Report Type and Sequence. The fields that follow the heading "Selections" are optional and need only be filled in to further define the data on which you wish to report.

Once you enter your selection criteria, press PF1 to submit the report. A message will be displayed identifying the job name of the submitted report.

Making selections on the report screen

A discussion of the screen selection fields follows:

RPT TYPE

Enter an "X" beside Logon Ids or Analyst/Agency XREF, but not both.

Selection	What to enter
LOGON IDS	Enter an "X" beside this field to produce a report showing CICS logon id access to one or more of the existing CICS subsystems.
ANALYST/ AGENCY	Enter an "X" beside this field to produce a report showing XREF the relationship between DPB budget analysts and the agencies for which they are responsible.

SUB SYSTEM

Enter an "X" beside one or more of the subsystems for which you wish to report logon ids having access. By leaving all selection fields blank for subsystem, a report of all logon ids which do not have access to any of the five subsystems will be produced.

SEQUENCE

Enter an "X" beside the sequence field on which to sort the data on the report. Below is a description of each sequence field:

Selection	What to enter
LOGON ID	Will print the records in alphabetical order by the logon id.
NAME	Will print the records in alphabetical order by the user's last name.
AGENCY	Will print the records in numerical order by the agency code.
SECT	Will print the records in alphabetical order by the 2-character abbreviation for the sections within DPB.

SELECTIONS

Use this section to choose specific data for the fields indicated. All fields within this section are optional and only those you wish to select need to be completed.

Selection	What to enter
AGY	You may enter up to three selected agencies on which to report.
RESP AGY	You may enter up to three selected responsible agencies on which to report.
SEC	You may enter up to three selected secretarial areas on which to report.
AGENCY PREFIX	You may enter up to three 3-character agency prefixes (VITA sets up all logons beginning with the VITA-assigned agency prefix) on which to report.

SECTION   You may enter up to three 2-character DPB section abbreviations on
                           which to report.

DPB ANALYST   You may enter the logon id of a specific DPB analyst to report on
                           agencies for which that analyst is responsible.

START ACCESS DATE   You may enter a specific start access date on which to report. The
                           format for this field is MMDDYY. Entering a date in this field will
                           produce a report of those logon ids that have accessed the selected
                           subsystem on the date you enter, through the current date.

REMOTE ID   This field identifies the destination of the printed output.

ROOM   This field serves as a 4-character designation field. You may enter
                           your room number, phone number, or other identifier that may help
                           in routing reports within your agency. This field will print on the
                           report banner page (first page) along with such things as job name,
                           job number, remote printer number, time, and date.

FORMS   This field identifies a special forms code to be used for printing the
                           report. Defaults to "STD." If you have a remote printer at your
                           agency, and use special forms for printing, enter the 3-digit code for
                           the appropriate forms.

PRT CLASS   This field identifies a 1-character code for printed output class.
                           Defaults to "A." If you have a remote printer and use multiple print
                           classes, contact your agency data processing section for assistance.

Below is a summary of the functions of each PF key on the report screen:

PF key	*What it does*
PF1	SUBMIT - Submits the batch report request based on values entered on the report screen.
PF2	CLEAR - Erases the default values for all fields on the report screen.
PF12	RETURN - This function will return the user to the previous screen.