

PROCEDURES FOR PROCESSING FEDERAL AID GRANT TRANSACTIONS AND ADJUSTMENTS THROUGH THE FAIMS - FFS INTERFACE

I. Overview

The implementation of the new interface between the Federal Aid Information Management System (FAIMS) and the Federal Financial System (FFS) has created the opportunity to eliminate differences between the two systems. However, to ensure the integrity of the data in both systems, standard procedures need to be in place and followed for accomplishing the interface daily, and for identifying and resolving any differences between the two systems on a timely basis. This exhibit sets out procedures and responsibilities for:

- processing grant obligation/de-obligation transactions
- processing grant payment/credit transactions
- resolving discrepancies between the two systems.

These procedures do not eliminate the need for a reconciliation process for discrepancies not attributable to the interface. That reconciliation still needs to be performed on a monthly basis following the guidance provided in 520 FW 2 (Management Information Systems).

II. Procedures

A. Federal Aid Grant Obligation/De-obligation Process

1. The U.S. Fish and Wildlife Service (Service) representatives approve the grant agreement.
2. The Service fiscal specialist¹ enters one or more obligations/de-obligations into the Regional FAIMS server.
3. The Service fiscal specialist uploads the obligations (authorizations) and/or de-obligations to the Health and Human Services (HHS) Payment Management System (PMS) and presses the Federal Financial System (FFS) send button to consolidate the Regional submission with other Regional submissions on the FAIMS MD2 master site. The transactions will be forwarded to MD2 by 7:00 p.m. MT for upload to FFS by 8:00 p.m. MT.
 - a. The Service fiscal specialist will press the FFS send button whether or not there are any transactions to forward.
 - b. If no applicable transactions exist when you press the FFS send button, the FAIMS Team will receive a “No Transaction” message. If the FAIMS Team receives no

¹ Fiscal specialists are located in the Service’s Regional and national Federal Aid offices.

data or message, the Team will attempt to verbally contact the applicable office(s) to determine the status.

- c. If a network error prevents the creation of the batch on the FAIMS MD2 server, the Service fiscal specialist will make a dial-up connection to the Denver Modem pool and press the FFS send button again.
4. FAIMS will create one consolidated obligation/de-obligation file and submit it via FTP to the Service Finance Center (FC) Systems Branch by 8:00 p.m. MT. The FAIMS Team will transmit the data that have been reported each business day. If data from one or more offices is missing, it will be included in the file transmitted to FFS the next business day.
 5. The Service FC Systems Branch will load the obligation file into FFS.
 - a. If the file does not properly load/process in FFS,² the Service FC Systems Branch will alert the FAIMS Team the next morning to resubmit the file. The process will then repeat with step 4 above.
 - b. If the file is properly uploaded/processed, the process will continue to step 6 below.
 6. FFS accepts or rejects the transactions and displays them on the 'SUSF' table.
 - a. The Service FC Systems Branch will forward the accepted/rejected transaction report to the National Business Center (NBC), the Service Division of Finance (DF), Branch of National Finance Activities, the Service FC, and the Service Regional/National Federal Aid Offices.
 - b. FFS will send accepted/rejected transaction files via FTP to the FAIMS MD2 server.
 7. FAIMS will load the accepted/rejected files into tables for fiscal specialist review.
 8. FAIMS will create "Alert" messages for the fiscal specialists notifying them if any rejected transactions exist.
 9. For rejected transactions, continue to Section C - Discrepancy Resolution Process.
 10. The process repeats daily.

² The cause could be the result of an incorrect batch count or total, or an operating system error. Additionally, the payment file will not be loaded until the obligation/de-obligation file is successfully loaded.

B. Federal Aid Grant Payment/Credit Process

1. An authorized State representative makes a payment request or enters a credit in the Health and Human Service's (HHS) Payment Management System (PMS) using Smartlink.
2. The fiscal specialist downloads HHS PMS payment and/or credit transactions daily to the Regional FAIMS server.
3. The fiscal specialist runs HHS "Confirmed Payment Report" after each download and verifies that all payments have downloaded properly.
4. The fiscal specialist manually enters any payments/credits that were dropped from the downloaded HHS file after each download and notifies the FAIMS Team and HHS that a payment(s) was missing from the file.
5. The fiscal specialist presses the FFS send button to consolidate the Region's transactions with other Regional submissions on the FAIMS MD2 master site. This must occur by 7:00 p.m. MT for upload to FFS by 8:00 p.m. MT.
 - a. The Service fiscal specialist will press the FFS send button whether or not there are any grant agreement payment/credit transactions to forward.
 - b. If no applicable transactions exist when the FFS send button is pushed, the FAIMS Team will receive a "No Transaction" message. If no data or message is received, the FAIMS Team will attempt to verbally contact the applicable office(s) to determine the status.
 - c. If a network error prevents the creation of the payment/credit batch on the FAIMS MD2 server, the Service fiscal specialist will make a dial-up connection to the Denver Modem pool and press the FFS send button again.
6. FAIMS will create one consolidated grant agreement payment/credit file and submit it via FTP to the Service Finance Center (FC) Systems Branch by 8:00 p.m. MT. The FAIMS Team will transmit those Regional and national office files that have been reported. If a submission is missing, it will be included in a combined file the next business day.
7. The Service FC Systems Branch will load the payment/credit file into FFS.
 - a. If the file does not properly load/process in FFS,³ the Service FC Systems Branch will alert the FAIMS Team the next morning to resubmit the file. The process will then repeat with step 6 above.

³ The cause could be the result of an incorrect batch count or total, or an operating system error. Additionally, the payment (LC) file will not be loaded until the [de-] obligation file is successfully loaded.

- b. If the file is properly uploaded/processed, the process will continue to step 8 below.
8. FFS accepts or rejects transactions and displays them on the ‘SUSF’ table.
 - a. The Service FC Systems Branch will forward the accepted/rejected transaction report to the National Business Center (NBC), the Service Division of Finance (DF), Branch of National Finance Activities, the Service FC, and the Service Regional/National Federal Aid Offices.
 - b. FFS will send the accepted/rejected transaction files via FTP to the MD2 FAIMS server.
 9. FAIMS will load the accepted/rejected files into tables for fiscal specialist review.
 10. FAIMS will create “Alert” messages for the fiscal specialists notifying them if any rejected transactions exist.
 11. For rejected transactions, continue to Section C - Discrepancy Resolution Process.
 12. The process repeats daily.

C. Discrepancy Resolution Process

1. FAIMS loads the accepted/rejected files from FFS into tables for the Service fiscal specialist and National Business Center specialist to review.
2. The Service fiscal specialist will receive notification of rejected grant obligation/de-obligation transactions and rejected grant payment/credit transactions.
3. The Service fiscal specialist and the National Business Center specialist will review each rejected transaction, research it in FFS, note the nature of the problem, and coordinate action(s) required for resolution.
 - a. If an FFS adjustment is required, the fiscal specialist (after coordination with the National Business Center specialist) will enter a “FA Recommendation” note for the transaction in the FAIMS “Rejected FFS Transaction” screen, and forward a request for an adjustment to be made in FFS, along with supporting documentation, to NBC. When the adjustment to FFS has been completed, the Service fiscal specialist will press the resolved button for the transaction on the FAIMS “Rejected FFS Transaction” screen. Go to step 4.
 - b. If FFS and FAIMS adjustments are required, the fiscal specialist will make the correction in FAIMS and enter both “FA Recommendation” and “FA Action” notes, then forward a request for an adjustment to be made in FFS, along with supporting documentation, to NBC via e-mail. When the adjustments to FFS and FAIMS have both been completed,

- the Service fiscal specialist will press the resolved button for the transaction on the FAIMS “Rejected FFS Transaction” screen. Go to step 4.
- c. If a FAIMS adjustment is required, the Service fiscal specialist will make the correction in FAIMS, enter a “FA Action” note, then press the resolved button for the transaction in the FAIMS “Rejected FFS Transaction” screen. Go to step 4.
 4. If an FFS adjustment is required, NBC will make the appropriate correction in the ‘SUSF’ FFS table⁴, as communicated by the Service fiscal specialist’s comments in the “FA Recommendation” note in FAIMS, and will enter an “FFS Action” note for the transaction in the FAIMS “Rejected FFS Transaction” screen to document the action taken. NBC will also send an E-mail notification to the Regional Service fiscal specialist indicating that the change has been made.
 5. FAIMS provides access to a status report⁵ on outstanding rejected transactions and action taken. The Washington Office Division of Federal Aid will provide a hard copy of this report to NBC, Service DF, Service FC, and the appropriate Assistant Directors.

⁴ ‘SUSF’ FFS table will post rejected transactions until they are resolved and accepted transactions until they are periodically purged.

⁵ Monthly status report will include cumulative status of all outstanding rejected GO/LC transactions.