DATA Act SOP
AG-3144-K-17-0191

USDA DATA Act File D2 Standard Operating Procedure

January 2021
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### Previous Change History
Maintain document history as revisions are made and the final version is agreed upon.

<table>
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<th>Date</th>
<th>Author</th>
<th>Comment</th>
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<td>5/21/2018</td>
<td>Deloitte</td>
<td>Initial draft version</td>
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<td>2</td>
<td>11/5/2020</td>
<td>USDA FMS BI Team</td>
<td>Updated Process Schedule 3.1.1</td>
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<tr>
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<td>11/6/2020</td>
<td>USDA FMS BI Team</td>
<td>Updated Error Handling and Certification Language 3.1.5</td>
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<td>USDA FMS BI Team</td>
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<tr>
<td>5</td>
<td>1/26/2021</td>
<td>TARD Team</td>
<td>Resolved Track Changes issue and prepared for 508 publication</td>
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1. Introduction

Per the Inspectors General Guide to Compliance Under the DATA Act report, all Federal Agencies should document an understanding of their systems, processes, and internal controls that have been put into place to adhere to the Digital Accountability and Transparency Act of 2014 (DATA Act). This document, the DATA Act File D2 Standard Operating Procedure (SOP), is meant to provide that understanding for the U.S. Department of Agriculture’s (USDA) File D2 Award and Awardee Attributes for Financial Assistance Detail report (File D2). The File D2 SOP will provide USDA agencies with an overview of the File D2 reporting requirements and process. This document will act as a guide and manual to USDA agencies for how File D2 is compiled and processed utilizing Office of Management and Budget (OMB), the Department of the Treasury (Treasury), and USDA guidance for the DATA Act.

This is a living document and serves as a reference to USDA agencies for the latest reporting requirements to ensure DATA Act compliance for the File D2 report. Any new USDA and/or Federal requirements will be added to this document as they are released. This document includes links to legislative guidance within each section and an appendix, Appendix A: Legislation, Guidance, and Tools, where referenced links and additional helpful documents can be found.

2. File D2 Reporting Requirements

The DATA Act File D2 is generated twice each month and requires reporting of financial assistance award and awardee data. This file replaces the FFATA report, incorporating or adjusting old data requirements and adding some additional fields regarding place of performance and agency codes. To see a complete breakdown of the how File D2 differs from the FFATA report, see the DATA Act Element Fields Values and Requirements file in Appendix A: Legislation, Guidance, and Tools. The File D2 is generated using the agencies’ data recorded in the ezFedGrants system and transmitted to the USDA DATA Act Repository (SAP HANA) (Repository). Agencies not using ezFedGrants submit their data as a flat file twice monthly to the Repository via the FMMI Dropbox using File Transfer Protocol (FTP). The Treasury Account Symbol (TAS) components and the Federal Award Identification Numbers (FAIN) listed in File D2 should exist in File C Award Financial Detail. If the two files do not match, agencies should work to reconcile the data. The file is submitted to Treasury’s Financial Assistance Broker Submission (FABS) system twice monthly using the DATA Act Information Model Schema (DAIMS) Interface Definition Document (IDD) schema.

2.1 Data Elements

In order to create data standardization across all Federal agencies, the DATA Act required Treasury and OMB to develop uniform data element definitions and schemas for data to be extracted and submitted from Federal agency systems to the Treasury Broker. The File D2 standardized data elements and definitions have been outlined in the table below:

<table>
<thead>
<tr>
<th>Element Order</th>
<th>Data Element Label</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>FAIN</td>
<td>The Federal Award Identification Number (FAIN) is the unique ID within the Federal agency for each (non-aggregate) financial assistance award.</td>
</tr>
</tbody>
</table>

ezFedGrants is the USDA Department grants management system. One agency calls this system Grantor. Both are based on the SAP Customer Relationship Management (CRM) module.
<table>
<thead>
<tr>
<th>Element Order</th>
<th>Data Element Label</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>02</td>
<td>Award Modification Amendment Number</td>
<td>The identifier of an action being reported that indicates the specific subsequent change to the initial award.</td>
</tr>
<tr>
<td>03</td>
<td>URI</td>
<td>Unique Record Identifier. An agency defined identifier that (when provided) is unique for every reported action.</td>
</tr>
<tr>
<td>04</td>
<td>SAI Number</td>
<td>A number assigned by state (as opposed to federal) review agencies to the award during the grant application process.</td>
</tr>
<tr>
<td>05</td>
<td>Total Funding Amount</td>
<td>The sum of the Federal Action Obligation and the Non-Federal Funding Amount.</td>
</tr>
<tr>
<td>06</td>
<td>Federal Action Obligation</td>
<td>Amount of Federal government’s obligation, de-obligation, or liability for an award transaction.</td>
</tr>
<tr>
<td>07</td>
<td>Non Federal Funding Amount</td>
<td>The amount of the award funded by non-Federal source(s), in dollars. Program Income (as defined in 2 CFR § 200.80) is not included until such time that Program Income is generated and credited to the agreement.</td>
</tr>
<tr>
<td>08</td>
<td>Face Value Of Direct Loan Or Loan Guarantee</td>
<td>The face value of the direct loan or loan guarantee.</td>
</tr>
<tr>
<td>09</td>
<td>Original Loan Subsidy Cost</td>
<td>The estimated long-term cost to the Government of a direct loan or loan guarantee, or modification thereof, calculated on a net present value basis, excluding administrative costs.</td>
</tr>
<tr>
<td>10</td>
<td>Action Date</td>
<td>The date the action being reported was issued / signed by the Government or a binding agreement was reached.</td>
</tr>
<tr>
<td>11</td>
<td>Period Of Performance Start Date</td>
<td>The date on which, for the award referred to by the action being reported, awardee effort begins or the award is otherwise effective.</td>
</tr>
<tr>
<td>12</td>
<td>Period Of Performance Current End Date</td>
<td>The current date on which, for the award referred to by the action being reported, awardee effort completes or the award is otherwise ended. Administrative actions related to this award may continue to occur after this date. This date does not apply to procurement indefinite delivery vehicles under which definitive orders may be awarded.</td>
</tr>
<tr>
<td>13</td>
<td>Awarding Agency Name</td>
<td>The name associated with a department or establishment of the Government as used in the Treasury Account Fund Symbol (TAFS).</td>
</tr>
<tr>
<td>14</td>
<td>Awarding Sub Tier Agency Code</td>
<td>Identifier of the level 2 organization that awarded, executed or is otherwise responsible for the transaction.</td>
</tr>
<tr>
<td>15</td>
<td>Awarding Sub Tier Agency Name</td>
<td>Name of the level 2 organization that awarded, executed or is otherwise responsible for the transaction.</td>
</tr>
<tr>
<td>16</td>
<td>Awarding Office Code</td>
<td>Identifier of the level n organization that awarded, executed or is otherwise responsible for the transaction.</td>
</tr>
<tr>
<td>Element Order</td>
<td>Data Element Label</td>
<td>Definition</td>
</tr>
<tr>
<td>---------------</td>
<td>----------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>17</td>
<td>Awarding Office Name</td>
<td>Name of the level n organization that awarded, executed or is otherwise responsible for the transaction.</td>
</tr>
<tr>
<td>18</td>
<td>Funding Agency Name</td>
<td>Name of the department or establishment of the Government that provided the preponderance of the funds for an award and/or individual transactions related to an award.</td>
</tr>
<tr>
<td>19</td>
<td>Funding Sub Tier Agency Code</td>
<td>Identifier of the level 2 organization that provided the preponderance of the funds obligated by this transaction.</td>
</tr>
<tr>
<td>20</td>
<td>Funding Sub Tier Agency Name</td>
<td>Name of the level 2 organization that provided the preponderance of the funds obligated by this transaction.</td>
</tr>
<tr>
<td>21</td>
<td>Funding Office Code</td>
<td>Identifier of the level n organization that provided the preponderance of the funds obligated by this transaction.</td>
</tr>
<tr>
<td>22</td>
<td>Funding Office Name</td>
<td>Name of the level n organization that provided the preponderance of the funds obligated by this transaction.</td>
</tr>
<tr>
<td>23</td>
<td>Awardee Or Recipient Unique Identifier</td>
<td>The unique identification number for an awardee or recipient. Currently the identifier is the 9-digit number assigned by Dun and Bradstreet (D&amp;B) referred to as the DUNS® number.</td>
</tr>
<tr>
<td>24</td>
<td>Awardee Or Recipient Legal Entity Name</td>
<td>The name of the awardee or recipient that relates to the unique identifier. For U.S. based companies, this name is what the business ordinarily files in formation documents with individual states (when required).</td>
</tr>
<tr>
<td>25</td>
<td>Ultimate Parent Unique Identifier</td>
<td>The unique identification number for the ultimate parent of an awardee or recipient. Currently the identifier is the 9-digit number maintained by Dun &amp; Bradstreet as the global parent DUNS® number.</td>
</tr>
<tr>
<td>26</td>
<td>Ultimate Parent Legal Entity Name</td>
<td>The name of the ultimate parent of the awardee or recipient. Currently the name is from the global parent DUNS® number.</td>
</tr>
<tr>
<td>27</td>
<td>Legal Entity Country Code</td>
<td>Code for the country in which the awardee or recipient is located, using the International Standard for country codes (ISO) 3166-1 Alpha-3 GENC Profile, minus the codes listed for those territories and possessions of the United States already identified as “states.”</td>
</tr>
<tr>
<td>28</td>
<td>Legal Entity Country Name</td>
<td>The name corresponding to the country code.</td>
</tr>
<tr>
<td>29</td>
<td>Legal Entity Address Line 1</td>
<td>First line of the awardee or recipient’s legal business address where the office represented by the Unique Entity Identifier (as registered in the System for Award Management) is located.</td>
</tr>
<tr>
<td>30</td>
<td>Legal Entity Address Line 2</td>
<td>Second line of awardee or recipient’s legal business address.</td>
</tr>
<tr>
<td>31</td>
<td>Legal Entity City Code</td>
<td>Five position city code from the validation authoritative list</td>
</tr>
<tr>
<td>32</td>
<td>Legal Entity City Name</td>
<td>Name of the city in which the awardee or recipient’s legal business address is located.</td>
</tr>
<tr>
<td>Element Order</td>
<td>Data Element Label</td>
<td>Definition</td>
</tr>
<tr>
<td>---------------</td>
<td>-------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>33</td>
<td>Legal Entity State Code</td>
<td>United States Postal Service (USPS) two-letter abbreviation for the state or territory in which the awardee or recipient’s legal business address is located. Identify States, the District of Columbia, territories (i.e., American Samoa, Guam, Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands) and associated states (i.e., Republic of the Marshall Islands, the Federated States of Micronesia, and Palau) by their USPS two-letter abbreviation for the purposes of reporting.</td>
</tr>
<tr>
<td>34</td>
<td>Legal Entity State Name</td>
<td>State where the awardee or recipient is located.</td>
</tr>
<tr>
<td>35</td>
<td>Legal Entity ZIP 5</td>
<td>USPS five digit zoning code associated with the awardee or recipient’s legal business address. This field must be blank for non-US addresses.</td>
</tr>
<tr>
<td>36</td>
<td>Legal Entity ZIP Last 4</td>
<td>USPS four digit extension code associated with the awardee or recipient’s legal business address. This must be blank for non-US addresses.</td>
</tr>
<tr>
<td>37</td>
<td>Legal Entity County Code</td>
<td>Three-position numeric code for county from InterNational Committee for Information Technology Standards (ANSI INCITS) county codes.</td>
</tr>
<tr>
<td>38</td>
<td>Legal Entity County Name</td>
<td>Name of the county in which the awardee or recipient’s legal business address is located.</td>
</tr>
<tr>
<td>39</td>
<td>Legal Entity Congressional District</td>
<td>The congressional district in which the awardee or recipient is located. This is not a required data element for non-U.S. addresses.</td>
</tr>
<tr>
<td>40</td>
<td>Legal Entity Foreign City Name</td>
<td>For foreign recipients only: name of the city in which the awardee or recipient’s legal business address is located.</td>
</tr>
<tr>
<td>41</td>
<td>Legal Entity Foreign Province Name</td>
<td>For foreign recipients only: name of the state or province in which the awardee or recipient’s legal business address is located.</td>
</tr>
<tr>
<td>42</td>
<td>Legal Entity Foreign Postal Code</td>
<td>For foreign recipients only: foreign postal code in which the awardee or recipient's legal business address is located.</td>
</tr>
<tr>
<td>43</td>
<td>Primary Place Of Performance Code</td>
<td>A numeric code indicating where the predominant performance of the award will be accomplished.</td>
</tr>
<tr>
<td>44</td>
<td>Primary Place Of Performance City Name</td>
<td>The name of the city where the predominant performance of the award will be accomplished.</td>
</tr>
<tr>
<td>45</td>
<td>Primary Place Of Performance County Code</td>
<td>Three-position numeric code for county from InterNational Committee for Information Technology Standards (ANSI INCITS) county codes.</td>
</tr>
<tr>
<td>46</td>
<td>Primary Place Of Performance County Name</td>
<td>The name of the county where the predominant performance of the award will be accomplished.</td>
</tr>
<tr>
<td>Element Order</td>
<td>Data Element Label</td>
<td>Definition</td>
</tr>
<tr>
<td>---------------</td>
<td>---------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>47</td>
<td>Primary Place Of Performance State Name</td>
<td>The name of the state or territory where the predominant performance of the award will be accomplished.</td>
</tr>
<tr>
<td>48</td>
<td>Primary Place Of Performance ZIP+4</td>
<td>United States ZIP code (five digits) concatenated with the additional +4 digits, identifying where the predominant performance of the award will be accomplished.</td>
</tr>
<tr>
<td>49</td>
<td>Primary Place Of Performance Congressional District</td>
<td>U.S. Congressional district where the predominant performance of the award will be accomplished.</td>
</tr>
<tr>
<td>50</td>
<td>Primary Place Of Performance Country Code</td>
<td>Country code where the predominant performance of the award will be accomplished.</td>
</tr>
<tr>
<td>51</td>
<td>Primary Place Of Performance Country Name</td>
<td>Name of the country represented by the country code where the predominant performance of the award will be accomplished.</td>
</tr>
<tr>
<td>52</td>
<td>Primary Place Of Performance Foreign Location Description</td>
<td>For foreign places of performance: identify where the predominant performance of the award will be accomplished, describing it as specifically as possible.</td>
</tr>
<tr>
<td>53</td>
<td>CFDA Number</td>
<td>The number assigned to a Federal area of work in the Catalog of Federal Domestic Assistance (CFDA).</td>
</tr>
<tr>
<td>54</td>
<td>CFDA Title</td>
<td>The title of the area of work under which the Federal award was funded in the Catalog of Federal Domestic Assistance (CFDA).</td>
</tr>
<tr>
<td>55</td>
<td>Assistance Type</td>
<td>The type of assistance provided by the award.</td>
</tr>
<tr>
<td>56</td>
<td>Assistance Type Description Tag</td>
<td>Description tag (by way of the DATA Act Broker) that explains the meaning of the code provided in the Assistance Type Field</td>
</tr>
<tr>
<td>57</td>
<td>Award Description</td>
<td>A brief description of the purpose of the award.</td>
</tr>
<tr>
<td>58</td>
<td>Business Funds Indicator</td>
<td>The Business Funds Indicator sometimes abbreviated BFI. Code indicating the award's applicability to the Recovery Act.</td>
</tr>
<tr>
<td>59</td>
<td>Business Funds Indicator Description Tag</td>
<td>Description tag (by way of the DATA Act Broker) that explains the meaning of the code provided in the Business Funds Indicator Field</td>
</tr>
<tr>
<td>60</td>
<td>Business Types</td>
<td>A collection of indicators of different types of recipients based on socio-economic status and organization / business areas.</td>
</tr>
<tr>
<td>61</td>
<td>Business Types Description Tag</td>
<td>Description tag (by way of the DATA Act Broker) that explains the meaning of the code provided in the Business Type Field</td>
</tr>
<tr>
<td>62</td>
<td>Correction Delete Indicator</td>
<td>A code to indicate how the record should be processed: correction to an existing record; deletion of a record; new record.</td>
</tr>
<tr>
<td>63</td>
<td>Correction Delete Indicator Description Tag</td>
<td>Description tag (by way of the DATA Act Broker) that explains the meaning of the code provided in the Correction Late Delete Indicator Field</td>
</tr>
</tbody>
</table>
Table 2: File D2 Master Data

<table>
<thead>
<tr>
<th>Element Order</th>
<th>InfoObject Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>ZDA_CDEX</td>
<td>State Congressional District Exceptions</td>
</tr>
<tr>
<td>02</td>
<td>ZDA_AGYID</td>
<td>Agency Identifier</td>
</tr>
<tr>
<td>03</td>
<td>ZDA_ARBTC</td>
<td>Business Types</td>
</tr>
<tr>
<td>04</td>
<td>ZDA_ACTTC</td>
<td>Action Type</td>
</tr>
<tr>
<td>05</td>
<td>ZDA_AFATC</td>
<td>Assistance Type</td>
</tr>
</tbody>
</table>
### 3. File D2 Reporting Process

The following diagram is a high-level overview of the USDA DATA Act File D2 process. It describes the flow of information for ezFedGrants and non-ezFedGrants users (such as FSSP clients) through the consolidation of data in the Repository and the data submission to Treasury’s FABS portal.

3.1 File D2 Data Process

The following steps are meant to take a user through the File D2 Process, as referenced in the above figure. Each step will include a description and directions to demonstrate the activities taking place throughout the File D2 process.
3.1.1 File D2 Process Schedule Key Dates

The File D2 is processed internally at USDA and submitted to FABS twice a month. The following dates provide a high-level schedule for the overall process: Note: The 5th and 20th of each month are required processing dates per U.S. Treasury.

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st of the month</td>
<td>CRM Extract is run. D2 Internal Process runs at 7:30am</td>
</tr>
<tr>
<td>2nd of the month</td>
<td>D2 Master Table Refresh (City Code, County Code, Country Code)</td>
</tr>
<tr>
<td>3rd of the month</td>
<td>D2 Internal Process runs at 7:30am</td>
</tr>
<tr>
<td>5th of the month</td>
<td>D2 Internal Process runs at 7:30am. Files are submitted to the FABS portal.</td>
</tr>
<tr>
<td>6th of the month</td>
<td>D2 Internal Process runs at 7:30am to process late D2 Inbound files.</td>
</tr>
<tr>
<td>16th of the month</td>
<td>CRM Extract is run. D2 Internal Process runs at 7:30am</td>
</tr>
<tr>
<td>18th of the month</td>
<td>D2 Internal Process runs at 7:30am</td>
</tr>
<tr>
<td>20th of the month</td>
<td>D2 Internal Process runs at 7:30am</td>
</tr>
<tr>
<td>20th of the month</td>
<td>Files are submitted to the FABS portal, 21st of the month – D2 Internal Process runs at 7:30am to process late D2 Inbound files.</td>
</tr>
</tbody>
</table>

3.1.2 ezFedGrants Data Transfer

The File D2 is comprised of Grants and Loans data which is sourced from agency legacy systems and the ezFedGrants (SAP CRM) system. The D2 data is processed on the 2nd and 17th of every month. The steps to load ezFedGrants data into a custom table in SAP CRM is listed below. These steps are executed manually by the FMS Operations and Maintenance (O&M) team prior to the schedule execution of the D2 job flow.

1. Execute in PC1 - CRM Production System.
   a. TCODE: SE38 Program: ZUSDA_DATA_ACT_EXTRACT
   b. Run this program multiple times for each agency listed in the drop down box

2. Figure 2: ezFedGrants Data Transfer – Run Program for Each Agency

3. Select the following setting and click on execute. Date will be automatically populated so do not change.
To transfer the data into the Repository, please refer to Section 3.1.4 USDA DATA Act Repository, Step 2.

3.1.3 OCFO FMMI Dropbox for Non-FMMI Users

USDA agencies and Federal Shared Service Provider (FSSP) clients that do not use ezFedGrants, submit File D2 data to the FMMI Dropbox via FTP using the USDA_Agency_Inbound_File_Layer_v10, which can be located in Appendix A: Legislation, Guidance, and Tools. These non-ezFedGrants users submit data for processing twice every month on the 2nd and 17th. Instructions for the FMMI Dropbox file preparation are described below:

1. Define your DATA Act Point of Contact (POC) and make sure the POC has access to the Data Act shared mailbox established for your agency. This will ensure your agency is able to receive error handling report information timely.

2. Configure your Dropbox to push the files to the FMS server. There are 2 options available to submit your flat files to the FMMI Dropbox, FileZilla or WinSCP. Detailed instructions for each option can be found in Appendix B: FMMI Dropbox FileZilla Submission Instructions or Appendix C: FMMI Dropbox WinSCP Submission Instructions.

3. Contact the FMMI Interface (Process Integration) Team at fmmiinterfaceteam@nfc.usda.gov (current POC, Larry Bounds at larry.bounds@nfc.usda.gov) for assistance with setting up your Dropbox connection to push files to FMS.

4. Ensure correct naming convention, D2_<Agency>_DYYYYMMDD_THHMMSS.csv, is used when submitting your flat files on FMMI Dropbox, e.g. D2_CF00_D20160923_T103021.csv.

3.1.4 USDA DATA Act Repository

As soon as non-ezFedGrants user flat files are downloaded to the FMMI Dropbox, the system automatically pulls the data from the Dropbox to the BW Server and generates an email notification to the agency’s shared mailbox. The FMS BI team initiates the next process, moving the data from the BW Server to the Repository. The data for ezFedGrants users are automatically pulled directly into the Repository to be processed with the non-ezFedGrants user data.

1. Ideally Process chain is scheduled to run on 3rd and 18th of every month with the following process chain - ZDA_D2_MAIN_EVENT.
   a. Also as an option, Process chains can also be run on-demand basis. A separate process chain has been created - ZDA_D2_MAIN_ON_DEMAND
2. Next check process chain log: RSA1 -> Process Chain -> Data Act D2 Main (ZDA_D2_MAIN) double click and click on the scroll bar.
Figure 6: Check Process Chain Log
3. If you don't see the process chain running it is possible that is not running in the background, you can check this by right click -> Displaying Scheduled Job(s).

![Figure 7: If Process Chain is Not Running, Check the Background](image)

4. Once the Main Process Chain starts you should see it running.
   a. This chain will loop as it processes each file so the System Command job will return a Success code if there are files to be processed or it will return a failure code if there are no more files to process

5. For each file it will execute the file process mini chain: ZDA_D2_AGENCYFILE

6. When there are no more files to process it will execute the CRM chain once: ZDA_D2_CRM_OPENHUB
7. The CRM chain will also write error free data to the FABS DSO waiting to be send out.

At the completion of the Repository process, an initial File D2 is produced.

### 3.1.5 Error Handling and Certification

The D2 Error and Certification reports are available on the FMMI portal for agencies to download and review. This was implemented in 2020 to provide agencies with immediate access to D2 Error and Certification reports following internal processing.
3.1.5.1 Error Handling Process

The File D2 error report publication is run for each business area-agency and follows the Repository publication functionality.

1. In the Repository, navigate to the publication in FMMI/HANA/DATA ACT.

![Figure 10: Error Handling Process - Navigate to DATA Act]
2. Right-click on the DATA ACT FILE D2 ERROR REPORT PUBLICATION and select Schedule.

Figure 11: Error Handling Process - Right-click on DATA Act File D2 Error Report Publication

3. Click Prompts and then click the Modify button.

Figure 12: Error Handling Process - Click Modify
4. Select the Business Area and click the move right arrow to move it to the Selected pane.

![Figure 13: Error Handling Process - Select the Business Area](image)

5. Click the Apply button.

![Figure 14: Error Handling Process - Click Apply](image)
6. The prompts are set.

7. Click Dynamic Recipients.

8. De-select the Business Area that is selected by using the arrow button to move it out of the Selected pane.
9. Select the Business Area and click the move right arrow to place it into the Selected pane.

Figure 17: Error Handling Process - Select the Process Area

10. Click the Schedule button.

Figure 18: Error Handling Process - Click Schedule
11. An error handling email notification will be sent to the agencies using the DATA Act POC list, containing a workbook in the excel file format with two tabs:

   a. Tab 1 contains the D2_Error_Records Report. This is a listing of all error records and associated error codes. The agencies will use this report to identify errors.

   b. Tab 2 contains the D2_Correction_Resubmission Report. This is the file used to resubmit corrected records to FMS Drop Box.

An example of the DATA Act File D2 Error Reporting File can be found in Appendix A: Legislation, Guidance, and Tools. This report contains all records for which an error has been identified and an associated error code notation for each. The agencies will use this report to review errors.

Figure 19: DATA Act File D2 Error Report Notification
3.1.5.2 Certification Process

The File D2 certification report publication for USDA agencies is also run for each business area/agency and follows the Repository publication functionality.

1. In the Repository, navigate to the publication in FMMI/HANA/DATA ACT.

![Figure 20: Certification Process - Navigate to DATA Act](image)
2. Right-click on the DATA ACT FILE D2 CERTIFICATION REPORT PUBLICATION and select Schedule.

![Figure 21: Certification Process - Right-click on DATA Act File D2 Certification Report Publication](image)

3. Click Prompts and then click the Modify button.

![Figure 22: Error Handling Process - Click Modify](image)
4. Select the Submission Date/Business Area you are running the report for and click the move right arrow to move it to the Selected pane.

Figure 23: Certification Process - Select the Submission Date/Business Area

5. Click the Apply button.

Figure 24: Certification Process - Click Apply
6. The prompts are set.

7. Click Dynamic Recipients.

8. De-select the Business Area that is selected by using the arrow button to move it out of the Selected pane.
9. Select the Business Area and click the move right arrow to place it into the Selected pane.

![Figure 27: Certification Process - Select the Process Area](image)

10. Click the Schedule button.

![Figure 28: Certification Process - Click Schedule](image)

11. A certification email notification will be sent to the agencies using the DATA Act POC list, containing a workbook in the excel file format with one tab, the DATA Act D2 Certification Report. An example of the File D2 Certification Report can be found in Appendix A: Legislation, Guidance, and Tools.
Greetings,

USDA/FMS has received and successfully processed your D2 Award/Awardee Attribute Financial Assistance File for reporting period 2018-05-04-13-54-38.

The records contained in the attached file have passed the DATA Act Repository’s internal validation edits and serves as confirmation of successful processing. We are now proceeding to submit your file to USA Spending’s Award Submission Portal.

As a reminder, the certification report is also available on FMMI [https://portal.fmmi.usda.gov], in the “General Ledger” area, open “HAVA General Ledger Management Reports” section and select the “DATA ACT D2 CERTIFICATION REPORT”.

Sincerely,
DATA Act Repository O&M Team

Figure 29: DATA Act File D2 Certification Report Notification

In addition to the error and certification report publication, all agencies can run their own report in FMMI at any time. Running these reports on a regular basis will allow agencies the ability to review and correct errors on an ongoing basis resulting in fewer errors during the twice monthly submission to FABS.
3.1.6 FABS Submission

Once the Main D2 Process Chain has run in the Repository, all records without an error in File D2 are ready for submission to FABS.

1. Execute process chain FABS out : ZDA_FILE_D2_START
   a. This will generate potentially two files in the DATA_ACT/TRES/outbound directory
      i. File 1: USDA_ASSISTANCE_YYYY.MM.DD.csv
      ii. File 2: USDA_ASSISTANCE_YYYY.MM.DD_CORRECTIONS_<Sequence Number like 001>.csv
   b. These 2 types of files created by the system are intermediate files, these files can’t be used for submission. Contains FABS data for multiple agencies. These files will be used as an input files for split program ZDATA_ACT_TREASUERY_SPLIT_FILES.
   c. Program ZDATA_ACT_TREASUERY_SPLIT_FILES is part of the process chain, so there is no need to do anything manual.
   d. Program ZDATA_ACT_TREASUERY_SPLIT_FILES will be executed at the end of the process chain and creates separate files per agency in the DATA_ACT/TRES/outbound/holding directory.

2. After successful process chain execution, DATA_ACT/TRES/outbound/holding folder will contain separate files per agency.
   a. Program automatically creates the files with the format USDA<Agency>_ for example:
      i. USDACF00_ASSISTANCE_YYYY.MM.DD.csv
      ii. USDACF00_ASSISTANCE_YYYY.MM.DD_CORRECTIONS_001.csv
   b. Program automatically moves original files from DATA_ACT/TRES/outbound to -> DATA_ACT/TRES/archive, folder for record keeping, once the process chain is complete
   c. When you are ready to submit the file to FABS, move the file from DATA_ACT/TRES/outbound/holding to DATA_ACT/TRES/outbound/submitted directory
3. Pre-Validation program ZDATA_ACT_FILE_VALIDATION can also be used manually to check the validity of inbound D2 files before running the process chain, using transaction SE38.

![Pre-Validation Program](image)

**Figure 30: Pre-Validation Program**

a. During the manual validation, remove (uncheck),
   i. Move error file to error folder option
   ii. Send email options

![Pre-Validation Program - Remove (Uncheck)](image)

**Figure 31: Pre-Validation Program - Remove (Uncheck)**

b. Execute the program

c. Validation results will be displayed
   i. Displays error messages with details if any
   ii. If no error, success message will be displayed

4. Pre-Validation program ZDATA_ACT_FILE_VALIDATION, processes the files from DATA_ACT/inbound Folder.

a. Pre-Validation program processes multiple files
b. After processing multiple files,
i. If the files pass the pre-validation, files will be left in the DATA_ACT/inbound for further processing

ii. If the files fail the pre-validation, bad files will be moved to DATA_ACT/bad_D2 folder along with error log

iii. If the email option is selected, the program sends email to the respective agency POC and to the team along with error log, agency needs to fix the issue identified in the error log and resend the failed file again for re processing

iv. Further follow-up from the team may be required to re process the failed files

v. If the Agency Code is not part of the inbound file, process chain fails. Inbound file must have agency code part of the file name

5. Format the file as, D2<Agency>_, for example:

   a. D2_FA00_D20170526_T104500_AWD.CSV

Figure 32: Format File D2
6. The FMS BI team pulls the File D2 report from the OCFO Shared Directory and drops the file into the FABS site manually.
   
a. Sign on to the [DATA Act Broker site](#).

![Figure 33: DATA Act Broker Home Page](#)

b. Click Enter under the Financial Assistance Broker Submission.

![Figure 34: Select the Financial Assistance Broker Submission](#)
c. On the FABS home page, click on “Upload and Validate a New Submission”

![Figure 35: Select Upload and Validate a New Submission](image)

Figure 35: Select Upload and Validate a New Submission

d. Select Agency: “Department of Agriculture” from the drop down list and then drag the file from your local drive. The file will begin uploading. Pick the successful files first then the correction files and click upload File.

![Figure 36: Select Agency](image)

Figure 36: Select Agency
e. File could be successful or uploaded with critical errors. Click publish to publish the file even if it has critical errors.

![Figure 37: Click Publish](image)

f. If File D2 has critical errors, download the critical error report and name it Data_File, run the macro located at the same folder as the downloaded Data_File. Download the error report for FABS and name it Error_Report. Both downloaded files and the macro should be in the same folder.

![Figure 38: File D2 Active Submissions](image)
g. The macro will produce two files, the error report and the warning report. The FMS BI team will send the agencies the error report generated from the macro to correct the errors and resubmit. Blue fields are error message and yellow fields are original entries. Send the error report to the agency.

Figure 39: File D2 Error Report Macro

Figure 40: File D2 Warning Report Macro

h. Submission and spreadsheet status:
   i. Go back to Step C on the FABS Home page and Click on Submission Dashboard to get the submission ID
   ii. Add record the file name, Submission ID, date of submission and number of line loaded.
   iii. To find out the submission request ID, click on submission dashboard. The number of lines will be at the top right. The number of lines will be less the number of records as the first line is the headers.
   iv. If there's any critical error they will be in red color.
   v. Add the number of lines, critical errors to the submission sheet. Green color with check mark and line numbers are successful submission.
   vi. The submission sheet will include the status of the files posted on FABS portal semi-monthly.
vii. The email notification will contain a Workbook in an excel file format with two tabs:

1. Tab 1 contains the D2_Error_Records Report. This is a listing of all error records and associated error codes. The agencies will use this report to identify errors.

2. Tab 2 contains the D2_Correction_Resubmission Report. This is the file used to resubmit corrected records to FMS Dropbox.

Figure 41: Submission Spreadsheet Status
3.1.7 Assurance

An Assurance Statement is distributed by OCFO TARD to the agencies via an email, asking each agency to sign and provide reasonable assurance that their agency’s internal controls support the reliability and validity of the agency account-level data reported per the DATA Act files. A copy of the USDA DATA Act Quarterly Assurance Statement can be found in Appendix A: Legislation, Guidance, and Tools. Additionally, agencies submit a separate certification form each time they submit the File D2 (twice a month). A copy of the DATA Act D2 File Certification Form can be found in Appendix A: Legislation, Guidance, and Tools.

![Figure 42: Assurance Request Email Example](image)

3.1.8 Certification

At the end of each quarter, File D2 data is combined with financial system data and submitted to Treasury as a Quarterly report. An email is sent from the FMS BI team to OCFO leadership, including the DATA Act Status report, Submission Appropriations Warning report, Submission Program Activity Warning report, and the Submission Award Financial Warning Report. The email alerts leadership that the team has completed its final refresh of the Repository, have submitted USDA’s Quarterly DATA Act report to Treasury, and are asking for confirmation that certification be granted.
## Appendix A: Legislation, Guidance, and Tools

<table>
<thead>
<tr>
<th>Guidance</th>
<th>URL or File</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inspectors General Guide to Compliance Under the DATA Act</td>
<td><a href="https://www.treasury.gov/about/organizational-structure/ig/Audit%20Reports%20and%20Testimonies/OIG-CA-17-012.pdf">https://www.treasury.gov/about/organizational-structure/ig/Audit%20Reports%20and%20Testimonies/OIG-CA-17-012.pdf</a></td>
</tr>
<tr>
<td>DATA Act Broker Site</td>
<td><a href="https://broker.usaspending.gov">https://broker.usaspending.gov</a></td>
</tr>
<tr>
<td>DATA Act Element Fields Values and Requirements File</td>
<td></td>
</tr>
<tr>
<td>DAIMS Practices and Procedures for DATA Act Broker Submissions</td>
<td></td>
</tr>
<tr>
<td>The Interface Definition Document (IDD) Schema File</td>
<td></td>
</tr>
<tr>
<td>DAIMS 1.2 Agency Inbound File Layout V10</td>
<td></td>
</tr>
<tr>
<td>USDA Error and Value Workbook V2.0</td>
<td></td>
</tr>
<tr>
<td>USDA Agency Inbound File Layout V10</td>
<td></td>
</tr>
<tr>
<td>USDA DATA Act Quarterly Assurance Statement</td>
<td></td>
</tr>
<tr>
<td>Example File D2 Error Records Report</td>
<td></td>
</tr>
<tr>
<td>Example File D2 Certification Report</td>
<td></td>
</tr>
</tbody>
</table>

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**Figure 43**: [DATA Act Element Fields, Values and Requirements File](#)

**Figure 44**: [DAIMS Practices and Procedures for DATA Act Broker Submissions](#)

**Figure 45**: [The Interface Definition Document (IDD) Schema File](#)

**Figure 46**: [DAIMS 1.2 Agency Inbound File Layout](#)

**Figure 47**: [USDA Error and Value Workbook V2.0](#)

**Figure 48**: [USDA Agency Inbound File Layout V10](#)

**Figure 49**: [USDA DATA Act Quarterly Assurance Statement](#)

**Figure 50**: [Example File D2 Error Records Report](#)

**Figure 51**: [Example File D2 Certification Report](#)
DATA Act D2 File Certification Form

DATA Act D2 File Certification Form V2.r

Figure 52
Appendix B: FMMI Dropbox FileZilla Submission Instructions

This section includes submission instructions using FileZilla.

1. Open FileZilla, click on File, Site Manager, and New Site.

2. On the next screen, please enter the following:
   a. Host: 199.139.136.71
   b. Port: 22
   c. Protocol: Click on the dropdown and select “SFTP – SSH File Transfer Protocol”
   d. Login Type: Click on the dropdown and select “Ask for password”
   e. Userid Name: (intpr****) ex: intprar00 (Please use your agencies Userid Name)
3. After entering the information, click Connect and enter your password. Screenshot below should appear:

Figure 54: FileZilla Site Manager

Figure 55: FileZilla FMMI Dropbox
4. First, click on your Userid Name (intpr****) folder, then click on the folder. Once this is done, place your agency file here (intpr<agencycode>/in). Please note, it is very important to place the file in the “in” directory. If the file is placed in the incorrect directory, the file will not be picked up.
Appendix C: FMMI Dropbox WinSCP Submission Instructions

This section includes submission instructions using WinSCP.

1. Open WinSCP, click on “New Site” on the left-hand side.

   ![WinSCP Home Page](image)

   Figure 56: WinSCP Home Page

2. On the next screen, please enter the following:
   a. File Protocol: click on the dropdown and select SFTP.
   b. Host name: fprdrop-d.fmmiad.fmmi.usda.gov
   c. Port number: 22
   d. User name: Your id intqa**** (Ex. intqafx00)
3. After you put in the information above, click “Login” and enter your password.

4. The screen below will appear once you click “OK”. Click on the “in” folder. Once this is done, place your file into the /home/intqa<agencycode>/in (in the example below, the location is
labeled: /home/intqafx00). Please note, it is very important to place the file in the “in” directory. If the file is placed in the incorrect directory, the file will not be picked up.

Figure 59: WinSCP FMMI Dropbox

Note: If your agency is using a different software solution and is in need of assistance, please contact the FMMI Interface Team at fmmiinterfaceteam@nfc.usda.gov.
Appendix D: Acronym List

BI: Business Intelligence

DAIMS: DATA Act Information Model Schema

DATA Act: Digital Accountability and Transparency Act of 2014

FABS: Financial Assistance Broker Submission

FAIN: Federal Award Identification Number

FMMI: Financial Management Modernization Initiative

FMS: Financial Management Services

FSSP: Federal Shared Service Provider

FTP: File Transfer Protocol

IDD: Interface Definition Document

OCFO: Office of the Chief Financial Officer

OMB: Office of Management and Budget

POC: Point of Contact

Repository: USDA DATA Act Repository (SAP HANA)

SOP: Standard Operating Procedure

USDA: U.S. Department of Agriculture

TARD: Transparency and Accountability Reporting Division

TAS: Treasury Account Symbol

Treasury: U.S. Department of the Treasury