



USDA DATA Act File D2 Reporting and Quality Procedures

June 2020



DATA Act D2 Agency Inbound Files Table of Contents

Contents

I. DATA Act D2 Agency Inbound File Preparation	3
A. DATA Act D2 File Submission Timeline	3
B. File Preparation	4
C. File Submission Checklist.....	5
II. DATA Act D2 Agency Drop Box Submission Process	6
A. Agency Drop Box.....	6
B. Drop Box Action Details	6
III. DATA Act D2 Tracking and Quality Review	7
A. Internal Data Quality Assurance Actions	7
B. Agency Tracking Process	7
C. Required Corrective Actions.....	8
IV. DATA Act Certification and Assurance Process	9
A. File D2 Certification Process	9
B. DATA Act Quarterly Assurance Process.....	9



I. DATA Act D2 Agency Inbound File Preparation

Agencies must submit File D2 data as a flat file for financial assistance awards not recorded within the FMMI ezFedGrants system. A flat file for awards recorded within ezFedGrants is prepared by OCFO on behalf of ezFedGrants clients. Each agency is responsible for ensuring complete and accurate reporting of all financial assistance awards. The data must be submitted as a .csv file via a FTP portal to a dedicated Drop Box at the OCFO DATA Act Repository (Repository). Below are the required reporting dates, file preparation requirements, and instructions for submitting files to the Repository. Records which do not pass OCFO or Treasury validation process will be returned to agencies for correction and resubmission (see Section III.C.). Additional guidelines and instructions are provided on the [USDA DATA Act Resources](#) web page. Helpful documents include, “*File D2 – How to Handle Errors*” and “*File D2 Error and Value Workbook*”.

A. DATA Act D2 File Submission Timeline

The D2 File reporting window occurs twice each month. Submitted data are reviewed and validated before submission to Treasury for publication at USAspending.gov. The files may be submitted at any time but will not be processed outside of the following official reporting windows. The File D2 reporting schedule is available on the [USDA DATA Act Resources](#) web page. Agencies may contact the TARD team to request special windows for emergency situations.

TWICE MONTHLY REPORTING CADENCE	AGENCY REPORTING WINDOW	USDA SUBMISSION TO USASPENDING
Records for the 16 th through month end	2 nd (NLT 6 am CT on 3 rd)	No later than COB on the 5 th
Records for the 1 st through 15 th	17 th (NLT 6 am CT on 18 th)	No later than COB on the 20 th

1. Agency File D2 Internal Submission Timeline

Files must be submitted to the agency’s FMS Drop Box no later than 6 am Central Time on the 3rd and 18th of each month. The first reporting period covers awards established or modified from the 16th to end of the previous month. The second reporting period covers awards established or modified from the 1st through the 15th of the month. OCFO will process the files and notify agencies of records which do



not pass validation. In some cases, corrected records submitted by COB on the 4th and the 19th might be processed before the USDA submission to USAspending. Otherwise, corrections will be processed along with future file submissions during the subsequent reporting window.

2. USDA File D2 USAspending Submission Timeline

Records that pass USDA validation are submitted by OCFO as a departmental report to USAspending via the Financial Assistance Broker Submission (FABS) portal at Treasury on the 5th and the 20th of the month. OCFO will notify agencies if errors are identified at Treasury. Records that fail Treasury's validation must be revised and resubmitted for the next reporting window. Instructions for handling FABS errors are provided on the [USDA DATA Act Resources](#) web page, "*File D2 – How to Handle Errors*".

B. File Preparation

Agencies must adhere to the following instructions in preparing to submit D2 files. Details on requirements for data fields and formatting guidelines are provided in the File D2 Error and Values Workbook available on the [USDA DATA Act Resources](#) web page.

1. Define your DATA Act Reporting Functional POCs responsible for submitting data files. Please make sure the Functional POCs have access to the Data Act Shared Mailbox established for your agency. This will ensure that your agency will receive OCFO communications and processed file reports timely.
2. Configure your Drop Box to push the files to the Repository server as described in Section II. Contact the OCFO TARD team for assistance with setting up your Drop Box connection.
3. Once your file is ready for submission to the Repository, please review the File Submission Checklist in Section C below to ensure everything is accurate.
4. [Files must be placed in the proper Drop Box folder](#) (the 'in' folder) on the Repository server as described in Section II.



C. File Submission Checklist

Agencies may use the following File D2 Submission Checklist before submitting files to reduce likelihood of formatting or validation errors. File preparation instructions are also available on the “*D2 Reporting*” and “*D2 File Layout*” tabs of the *File D2 Error and Values Workbook* located on the [USDA DATA Act Resources](#) web page.

1. Ensure that you have the correct field mapping for the D2 File Layout.
2. Ensure the length of your data entries does not exceed the maximum allowable length for each field.
3. For all amounts fields, ensure that you are not including any commas, dollar signs, or parenthesis, for example: (), \$.
4. Please create your report within Excel and then create the final .csv file.
If you are unable to use Excel, please pay attention to narrative text fields which may include commas (Award Description, Awardee Name/Address). Narratives that contain commas must be enclosed with quotation marks.
Example: "Federal funds provided for developing, verifying, and implementing automated financial invoicing of all grants activity."
5. All data fields noted as “Conditional per validation rule” should be populated as required, based on data being reported.
6. Ensure your file is in the proper .csv format and all required fields are populated. Fields that contain data with leading or trailing zeroes (DUNS, Zip codes, CFDA numbers) must be set in ‘text’ format before saving as .csv.
7. Ensure the file name begins with the correct naming convention as shown below. The file name may have additional words, such as ‘correction’, if desired.
D2_<Agency>_DYYYYMMDD_THHMMSS.csv
Examples:
D2_CF00_D20160923_T103021.csv or D2_CF00_D20160923_correction.csv



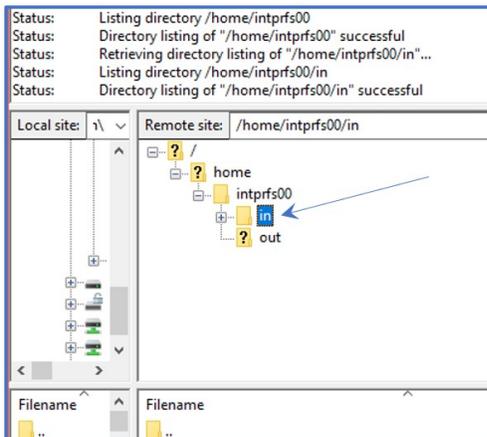
II. DATA Act D2 Agency Drop Box Submission Process

Agencies submit financial assistance award data as .csv documents via FTP to an agency-specific Drop Box on the Repository server. Each agency has an assigned username and password to access the server. The TARD team can provide this information to agencies upon request. Instructions specific to FTP software, FileZilla and WinSCP, are provided on the [USDA DATA Act Resources](#) web page. If your agency is using a different software solution, please contact the Process Integration (PI) Team at fmiiinterfaceteam@nfc.usda.gov for assistance.

A. Agency Drop Box

Configure your Drop Box to push the files to the Repository server as described below. Contact the Process Integration (PI) Team at fmiiinteam@usda.gov for assistance with setting up your Drop Box connection.

Important: Files must be placed in the proper Drop Box folder, the 'in' folder, on the Repository server.



B. Drop Box Action Details

1. The IP address for the Repository server is 199.139.136.71
2. The Drop Boxes are identified specifically for each agency:
intprxx00 (where xx is the agency FMMI code).
Example: intprCF00.



3. The file must be placed within the 'in' folder of the Drop Box noted as:
/home/intpr<agencycode>/in *Example: /home/intprCF00/in*
4. A "Data Act File Submission" email from fmmbiteam@usda.gov is sent to the agency Shared Mailbox to confirm receipt of files.

III. DATA Act D2 Tracking and Quality Review

Each agency is responsible for ensuring complete and accurate reporting of all financial assistance awards.

A. Internal Data Quality Assurance Actions

Agencies must ensure that:

- all awards established or modified during the reporting period are submitted for publication at USAspending.gov (see Section III.B.1.)
- all files have been processed by OCFO (see Section III.B.2-6.)
- errors noted by OCFO are corrected and resubmitted for the subsequent reporting window (see Section III.C.1.)
- errors noted by USAspending.gov are corrected and resubmitted for the subsequent reporting window (see Section III.C.2.)

B. Agency Tracking Process

1. Establish an expected record count reflecting the number of awards established or modified within the agency grants management (or other) system during the reporting time period (See Section A.1.). This is especially important for agencies using ezFedGrants for grants management.
2. Review the final prepared file to ensure:
 - a. the number of records reflects the count ascertained in step 1 above. For ezFedGrants clients, please contact ezFedGrants@cfo.usda.gov if the count does not match the number expected.
 - b. all required fields are complete and accurate.
 - c. formatting and filename are proper.
3. For manually-prepared D2 files:

When files are uploaded to OCFO, ensure a confirmation email is received in the agency Shared Mailbox. Contact OCFO immediately if confirmation is not received within 15 minutes.



4. On the 3rd and 18th of each month, confirm that a Certification Report and/or an Error Report are received in the agency Shared Mailbox. Agencies can access these reports in FMMI HANA (See Section V). Please contact OCFO if no Report emails are received by COB on these dates.
5. For manually-submitted D2 files:
Compare the record counts within the Reports to the number of records submitted.
6. For ezFedGrants agencies:
Compare the record counts within the Reports to the number of records ascertained in step 1 above by filtering the Flex Source File Name field as "CRM EXTRACTION".
Note: Since Error Reports are cumulative, the Action Date field must also be filtered to reflect only those dates falling within the reporting time period (See Section A.1.)
7. Records in the Certification Report will be submitted to USAspending within 48 hours. Treasury performs additional validation checks before publishing to the website. If any records do not pass the Treasury validation check, a USAspending Error Report will be sent to the agency Shared Mailbox. (See Section C.2.below.)

C. Required Corrective Actions

Records that do not pass the OCFO or Treasury validation review must be resubmitted with corrected data in the next reporting window (See Section A). Detailed instructions are available in "*File D2 – How to Handle Errors*" and "*Accessing Certification and Error Reports in FMMI HANA*" located on the [USDA DATA Act Resources](#) web page.

1. OCFO Validation Review and Correction
 - a. Errors identified during the OCFO validation review are considered fatal. Records must pass validation before submission to USAspending.gov.
 - b. Agencies must review the OCFO Error Reports and ensure records are corrected within the agency grants management system (or ezFedGrants) before submitting a corrected file.
2. Treasury Validation Review and Correction
 - a. Treasury validations include both Errors and Warnings.
 - i. Errors result in rejection of the record.
 - ii. Warnings do not prevent publication to the website.
 - b. USAspending Error and Warning Reports are sent to agency Shared Mailbox as applicable.
 - i. Errors must be corrected within the agency grants management system (or ezFedGrants) before records are resubmitted (with corrections) in the next reporting window.



- ii. Warnings should be reviewed by agencies. Although the record has been published to USAspending, corrections should be made to ensure high quality data is presented to the public. Revisions must be made within agency grants management system before resubmission. ****When resubmitting these records, the CorrectDeleteIndicator field must be populated as "C".**

IV. DATA Act Certification and Assurance Process

OCFO requires agencies to provide affirmation of the reliability, validity, completeness and accuracy of data submitted under DATA Act guidelines. The File D2 Certification Letters and Quarterly Assurance Statements described below must be signed by the person(s) noted. Signatures can be hand-signed or digitally-signed but must be submitted in .pdf format.

A. File D2 Certification Process

Agencies must provide a signed Certification Letter along with a copy of all submitted D2 files to the OCFO shared mailbox: sm.ocfo.d2cert@usda.gov. Agencies should make note of compliance issues and establish actions to resolve the issues. This letter should be signed by the person responsible for file submission or a named designee. The Certification Letter is available on the [USDA DATA Act Resources](#) web page. It states that the submitted data complies with DATA Act requirements and Agency File Layout instructions.

B. DATA Act Quarterly Assurance Process

Each quarter an Assurance Statement must be signed by the agency's DATA Act Senior Accountable Official (Chief Financial Officer) and submitted to the OCFO TARD shared mailbox: sm.ocfo.tard@usda.gov. By signing this document, the agency provides reasonable assurance that its internal controls support the reliability and validity of all DATA Act data reported in Files A, B, C, D1, and D2. Any known issues impacting the agency's data completeness must be explained within the Assurance Statement. A sample of the Quarterly Assurance Statement is available on the [USDA DATA Act Resources](#) web page.