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

USDA DATA Act File B Standard Operating Procedure

May 3, 2024

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Previous Change History

Maintain document history as revisions are made and the final version is agreed upon.

Version	Date	Author	Comment
1	4/09/2018	Deloitte	Initial draft version
2	4/23/2018	Deloitte	Updated overall document based on TARD comments received on 4/18/2018
3	4/30/2018	Deloitte	Updated overall document based on FMS BI team comments received on 4/24/18
4	11/06/2020	FMS	Updated overall document by FMS BI team on 11/06/2020
5	04/25/2024	TARD	Updated file B Frequency to monthly and substitute DAIMS with GSDM

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 B Standard Operating Procedure (SOP), is meant to provide that understanding for the U.S. Department of Agriculture's (USDA) File B, Object Class and Program Activity Detail report. The File B SOP will provide USDA agencies with an overview of the File B reporting requirements and process. This document will act as a guide and manual to USDA agencies for how File B 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 B 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 B Reporting Requirements

The DATA Act File B Object Class and Program Activity Detail report can be generated and processed monthly or quarterly for agency review and is submitted to Treasury quarterly after GTAS Reporting is complete. File B requires reporting of obligations and outlays by program activity and object class. The Treasury Account Symbol (TAS) components listed in File B should exist in File A and vice versa. The File B data is generated from the agencies' Financial Management Modernization Initiative (FMMI) system data monthly and transmitted to the USDA DATA Act Repository (SAP HANA) (Repository). USDA agencies and Federal Shared Service Provider (FSSP) clients that do not use FMMI for financial transactions submit their data quarterly as a flat file to the Repository via the FMMI Dropbox using File Transfer Protocol (FTP). The data is then submitted to the DATA Act Broker Submission (DABS) system using Treasury's DATA Act Information Model Schema (DAIMS) Reporting Submission Specification (RSS) schema every month.

The parent and child relationship that occurs when USDA procures services on behalf of another Agency, resulting in non USDA TAS's is currently not reported in the File B. Requirements for a new table or process flag related to the agency identifier, also known as Treasury Index (TI), are currently being developed.

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 among various Treasury and Federal agency systems. The developed File B data elements and definitions have been outlined in the table below:

Table 1: File B, Object Class and Program Activity Detail Report Data Elements

Element Order	Data Element Label	Definition
01	Allocation Transfer Agency Identifier	The allocation agency identifies the department or agency that is receiving funds through an allocation (non-expenditure) transfer.
02	Agency Identifier	The agency code identifies the department or agency that is responsible for the account.

Element Order	Data Element Label	Definition
03	Beginning Period Of Availability	In annual and multi-year funds, the beginning period of availability identifies the first year of availability under law that an appropriation account may incur new obligations.
04	Ending Period Of Availability	In annual and multi-year funds, the end period of availability identifies the last year of funds availability under law that an appropriation account may incur new obligations.
05	Availability Type Code	In appropriations accounts, the availability type code identifies an unlimited period to incur new obligations; this is denoted by the letter "X".
06	Main Account Code	The main account code identifies the account in statute.
07	Sub Account Code	This is a component of the TAS. Identifies a Treasury-defined subdivision of the main account. This field cannot be blank. Subaccount 000 indicates the Parent account.
08	Program Activity Code	The definition for this element appears in Section 200 of OMB Circular A-11, summarized as: Code of a specific activity or project as listed in the program and financing schedules of the annual budget of the United States Government.
09	Program Activity Name	The definition for this element appears in Section 200 of OMB Circular A-11, summarized as: Name of a specific activity or project as listed in the program and financing schedules of the annual budget of the United States Government.
10	Object Class	The definition for this element appears in Section 83 of OMB Circular A-11, summarized as: Categories in a classification system that presents obligations by the items or services purchased by the Federal Government.
11	By Direct Reimbursable Funding Source	Holds an attribute flag which specifies that the funding source of the associated data value is either a Direct or Reimbursable Funding Source.
12	Disaster Emergency Fund Code	Distinguishes whether the budgetary resources, obligations incurred, unobligated and obligated balances, and outlays are classified as disaster, emergency, wildfire suppression or none of the three.
13	Obligations Incurred By Program Object Class - CPE	The definition for this element appears in Appendix F of OMB Circular A-11, summarized as: For unexpired accounts: Amount of obligations incurred from the beginning of the current fiscal year to the end of the reporting period, net of refunds received that pertain to obligations incurred in the current year. Include upward adjustments of prior obligations. For expired accounts: Amount of upward adjustments of obligations previously incurred. Upward

Element Order	Data Element Label	Definition
		adjustments are limited by the amount available for adjustments. No new obligations may be incurred against expired or canceled accounts.
14	Obligations Undelivered Orders Unpaid Total - CPE	The definition for this element appears in Section 20 of OMB Circular A-11, summarized as: A legally binding agreement that will result in outlays, immediately or in the future.
15	Obligations Undelivered Orders Unpaid Total - FYB	The definition for this element appears in Section 20 of OMB Circular A-11, summarized as: A legally binding agreement that will result in outlays, immediately or in the future.
16	USSGL480100 Undelivered Orders Obligations Unpaid - CPE	The amount of goods and/or services ordered, which have not been actually or constructively received and for which amounts have not been prepaid or advanced. This includes amounts specified in other contracts or agreements such as grants, program subsidies, undisbursed loans and claims, and similar events for which an advance or prepayment has not occurred. This account does not close at yearend. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
17	USSGL480100 Undelivered Orders Obligations Unpaid - FYB	The amount of goods and/or services ordered, which have not been actually or constructively received and for which amounts have not been prepaid or advanced. This includes amounts specified in other contracts or agreements such as grants, program subsidies, undisbursed loans and claims, and similar events for which an advance or prepayment has not occurred. This account does not close at yearend. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
18	USSGL483100 Undelivered Orders Obligations Transferred Unpaid - CPE	The amount of goods and/or services ordered and obligated in one Treasury Appropriation Fund Symbol (TAFS) and transferred to or from another TAFS, which have not been actually or constructively received and not prepaid or advanced at the time of transfer. This includes amounts specified in other contracts or agreements such as grants, program subsidies, undisbursed loans and claims, and similar events for which an advance or prepayment has not occurred. Although the normal balance for this account is credit, it is acceptable for this account to have a debit balance. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
19	USSGL488100 Upward Adjustments Of Prior Year Undelivered Orders Obligations Unpaid - CPE	The amount of upward adjustments during the current fiscal year to obligations that were originally recorded in a prior fiscal year in USSGL account 480100,"Undelivered Orders - Obligations, Unpaid." (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
20	Obligations Delivered Orders Unpaid Total - CPE	The definition for this element appears in Section 20 of OMB Circular A-11, summarized as a legally binding agreement that will result in outlays, immediately or in the future.

Element Order	Data Element Label	Definition
21	Obligations Delivered Orders Unpaid Total - FYB	The definition for this element appears in Section 20 of OMB Circular A-11, summarized as a legally binding agreement that will result in outlays, immediately or in the future.
22	USSGL490100_Delivered Orders Obligations Unpaid - CPE	The amount accrued or due for: (1) services performed by employees, contractors, vendors, carriers, grantees, lessors, and other government funds; (2) goods and tangible property received; and (3) programs for which no current service performance is required such as annuities, insurance claims, benefit payments, loans, etc. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.) This account does not close at year-end. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
23	USSGL490100_Delivered Orders Obligations Unpaid - FYB	The amount accrued or due for: (1) services performed by employees, contractors, vendors, carriers, grantees, lessors, and other government funds; (2) goods and tangible property received; and (3) programs for which no current service performance is required such as annuities, insurance claims, benefit payments, loans, etc. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.) This account does not close at year-end. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
24	USSGL493100_Delivered Orders Obligations Transferred Unpaid - CPE	The amount in USSGL account 490100, "Delivered Orders - Obligations, Unpaid," transferred during the fiscal year to or from another Treasury Appropriation Fund Symbol. This includes amounts accrued or due for: (1) services performed by employees, contractors, vendors, carriers, grantees, lessors, and other government funds; (2) goods and tangible property received; and (3) programs for which no current service performance is required such as annuities, insurance claims, benefit payments, loans, etc. Although the normal balance for this account is credit, it is acceptable in certain instances for this account to have a debit balance. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
25	USSGL498100_Upward Adjustments Of Prior Year Delivered Orders Obligations Unpaid - CPE	The amount of upward adjustments during the fiscal year to USSGL account 490100, "Delivered Orders - Obligations, Unpaid," or USSGL account 490200, "Delivered Orders - Obligations, Paid," that were originally recorded in a prior fiscal year. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
26	Gross Outlay Amount By Program Object Class_- CPE	The definition for this element appears in Section 20 of OMB Circular A-11, summarized as: Payments made to liquidate an obligation (other than the repayment of debt principal or other disbursements that are "means of financing" transactions). Outlays generally are equal to cash disbursements but also are recorded for cash-equivalent transactions, such as the issuance of debentures to pay insurance claims, and in a few cases are recorded on an accrual basis such as interest on public issues of the public debt. Outlays are the measure of Government spending.
27	Gross Outlay Amount By Program Object Class -_FYB	The definition for this element appears in Section 20 of OMB Circular A-11, summarized as:

Element Order	Data Element Label	Definition
		Payments made to liquidate an obligation (other than the repayment of debt principal or other disbursements that are "means of financing" transactions). Outlays generally are equal to cash disbursements but also are recorded for cash-equivalent transactions, such as the issuance of debentures to pay insurance claims, and in a few cases are recorded on an accrual basis such as interest on public issues of the public debt. Outlays are the measure of Government spending.
28	Gross Outlays Undelivered Orders Prepaid Total - CPE	The definition for this element appears in Section 20 of OMB Circular A-11, summarized as:. Payments made to liquidate an obligation (other than the repayment of debt principal or other disbursements that are "means of financing" transactions). Outlays generally are equal to cash disbursements but also are recorded for cash-equivalent transactions, such as the issuance of debentures to pay insurance claims, and in a few cases are recorded on an accrual basis such as interest on public issues of the public debt. Outlays are the measure of Government spending.
29	Gross Outlays Undelivered Orders Prepaid Total - FYB	The definition for this element appears in Section 20 of OMB Circular A-11, summarized as: Payments made to liquidate an obligation (other than the repayment of debt principal or other disbursements that are "means of financing" transactions). Outlays generally are equal to cash disbursements but also are recorded for cash-equivalent transactions, such as the issuance of debentures to pay insurance claims, and in a few cases are recorded on an accrual basis such as interest on public issues of the public debt. Outlays are the measure of Government spending.
30	USSGL480200 Undelivered Orders Obligations Prepaid Advanced - CPE	The amount of goods and/or services ordered, which have not been actually or constructively received but have been prepaid or advanced. This includes amounts specified in other contracts or agreements such as grants, program subsidies, undisbursed loans and claims, and similar events for which an advance or prepayment has occurred. This account does not close at yearend. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
31	USSGL480200 Undelivered Orders Obligations Prepaid Advanced - FYB	The amount of goods and/or services ordered, which have not been actually or constructively received but have been prepaid or advanced. This includes amounts specified in other contracts or agreements such as grants, program subsidies, undisbursed loans and claims, and similar events for which an advance or prepayment has occurred. This account does not close at yearend. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
32	USSGL483200 Undelivered Orders Obligations Transferred Prepaid Advanced - CPE	The amount of goods and/or services ordered and obligated in one Treasury Appropriation Fund Symbol (TAFS) and transferred to or from another TAFS, which have not been actually or constructively received but have been prepaid or advanced at the time of transfer. This includes amounts specified in other contracts or agreements such as grants, program subsidies, undisbursed loans and claims, and similar events for which an advance or prepayment has not

Element Order	Data Element Label	Definition
		occurred. Although the normal balance for this account is credit, it is acceptable for this account to have a debit balance. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
33	USSGL488200 Upward Adjustments Of Prior Year Undelivered Orders Obligations Prepaid Advanced - CPE	The amount of upward adjustments during the current fiscal year to obligations that were originally recorded in a prior fiscal year in USSGL account 480200,"Undelivered Orders - Obligations, Prepaid/Advanced." (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
34	Gross Outlays Delivered Orders Paid Total - CPE	The definition for this element appears in Section 20 of OMB Circular A-11, summarized as: Payments made to liquidate an obligation (other than the repayment of debt principal or other disbursements that are "means of financing" transactions). Outlays generally are equal to cash disbursements but also are recorded for cash-equivalent transactions, such as the issuance of debentures to pay insurance claims, and in a few cases are recorded on an accrual basis such as interest on public issues of the public debt. Outlays are the measure of Government spending.
35	Gross Outlays Delivered Orders Paid Total - FYB	The definition for this element appears in Section 20 of OMB Circular A-11, summarized as: Payments made to liquidate an obligation (other than the repayment of debt principal or other disbursements that are "means of financing" transactions). Outlays generally are equal to cash disbursements but also are recorded for cash-equivalent transactions, such as the issuance of debentures to pay insurance claims, and in a few cases are recorded on an accrual basis such as interest on public issues of the public debt. Outlays are the measure of Government spending.
36	USSGL490200 Delivered Orders Obligations Paid - CPE	The amount paid/outlayed for: (1) services performed by employees, contractors, vendors, carriers, grantees, lessors, and other government funds; (2) goods and tangible property received; and (3) programs for which no current service performance is required such as annuities, insurance claims, benefit payments, loans, etc. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
37	USSGL490800 Authority Outlayed Not Yet Disbursed - CPE	The amount of authority outlayed but not yet disbursed. Use only in specific circumstances, such as for interest on certain Bureau of the Fiscal Service securities. This account does not close at yearend. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
38	USSGL490800 Authority Outlayed Not Yet Disbursed - FYB	The amount of authority outlayed but not yet disbursed. Use only in specific circumstances, such as for interest on certain Bureau of the Fiscal Service securities. This account does not close at yearend. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
39	USSGL498200 Upward Adjustments Of Prior Year Delivered Orders Obligations Paid - CPE	The amount of upward adjustments that were originally recorded in a prior fiscal year paid/outlayed during the fiscal year to USSGL account 490100, "Delivered Orders - Obligations, Unpaid," or USSGL account 490200, "Delivered Orders -

Element Order	Data Element Label	Definition
		Obligations, Paid." (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
40	Deobligations Recoveries Refunds Of Prior Year By Program Object Class - CPE	The amount of downward adjustments to obligations and outlays incurred resulting from deobligations, recoveries, or refunds collected, at the TAS / Program Activity / Object Class level. The adjustments are to the obligations and outlays which were made in a prior year.
41	USSGL487100 Downward Adjustments Of Prior Year Unpaid Undelivered Orders Obligations Recoveries - CPE	The amount of recoveries during the current fiscal year resulting from downward adjustments to obligations originally recorded in a prior fiscal year in USSGL account 480100, "Undelivered Orders - Obligations, Unpaid." (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
42	USSGL497100 Downward Adjustments Of Prior Year Unpaid Delivered Orders Obligations Recoveries - CPE	The amount of recoveries that were originally recorded in a prior fiscal year during the fiscal year resulting from downward adjustments to USSGL account 490100, "Delivered Orders - Obligations, Unpaid." (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
43	USSGL487200 Downward Adjustments Of Prior Year Prepaid Advanced Undelivered Orders Obligations Refunds Collected - CPE	The amount of cash refunds during the current fiscal year resulting from downward adjustments to obligations that were originally recorded in a prior fiscal year in USSGL account 480200, "Undelivered Orders - Obligations, Prepaid/Advanced." (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)
44	USSGL497200 Downward Adjustments Of Prior Year Paid Delivered Orders Obligations Refunds Collected - CPE	The amount of cash refunds during the fiscal year resulting from downward adjustments to USSGL account 490200, "Delivered Orders - Obligations, Paid," that were originally recorded in a prior fiscal year. (Per USSGL TFM Part 2, Section II, Accounts and Definitions.)

For a detailed list of the File B data elements, see the GSDM_RSS version 1.0 file located in Appendix A: Legislation, Guidance, and Tools.

2.2 Reference Data for Validation or Derivation

Based on federal DATA Act validation rules, the Repository runs its own validation on the File B data extracted from files submitted to the FMMI Dropbox or USDA FMMI. Please refer to USDA OCFO Error Codes for DATA Act Files A, B, & C in Appendix A: Legislation, Guidance, and Tools, to see a complete list of the Office of the Chief Financial Officer (OCFO) USDA validation rules for File B that are processed through the Repository. The Repository also performs derivations of certain information (e.g. Program Activity, BOC, etc.) required for DATA Act reporting that may not be available from agency source financial systems.

2.2.1 Program Activity

Program activity is not captured in financial transactions posted in the source FMMI system. As a result, program activity codes are derived based on the combination of funds management account assignments, such as, functional area, fund, funds center, funded program, etc. used in the financial postings. Program activity codes and mapping tables are maintained in FMMI tables. If there are any changes or updates to program activity codes by OMB or Agencies and if there are any new funds

management account assignments created in FMMI then program activity codes and derivation rules need to be setup in the following tables in FMMI system tables:

- ZPA_MASTER - Master List of Program Activity Codes
- ZPA001 - Program Activity mapping for Business Area (BA), TAS, and Fund
- ZPA002 - Program Activity Mapping for BA, TAS, Fund, and Functional Area (FA)
- ZPA003 - Program Activity Mapping for BA, TAS, and Funds Center
- ZPA004 - Program Act Mapping for BA, TAS, and Funded Program
- ZPA005 - Program Act Mapping for BA, TAS, Fund and Commitment Item
- ZPA006 - Program Activity mapping for BA, and TAS
- ZPA_PF_HIERARCHY - Hierarchy for Process Flag by BA

In instances where the Program Activity does not match the Budget Program or Financing Schedule, agencies should use the Non-Standard Program Activities listed in Appendix B: Non-Standard Program Activities.

For further detail on the program activity, please refer to the DATA Act – Program Activity Functional Design document in Appendix A: Legislation, Guidance, and Tools.

2.2.2 Budget Object Class

For DATA Act, 3 digit Budget Object Class (BOC) codes are required for reporting purposes. The 3 digit BOC codes are derived based on commitment item codes used in the FMMI system. A valid list of the 3 digit BOC codes, and mapping between commitment items in FMMI to the 3 digit DATA Act BOC codes are maintained in the following tables in the FMMI system:

- ZDA_3DIGITBOC - BOC Validation Table
- ZDA_BOC_XWALK - Commitment Item to BOC Crosswalk

2.2.3 ARS Splitter process

The USDA Agricultural Research Services (ARS) agency posts their financial transactions in the FMMI system using a high level functional area AGDEFAULT. As a result, program activity could not be derived for DATA Act reporting purposes. There is a custom program ZDATAACT_FAREA_SPLIT developed for ARS which splits obligations and expenditures related financial posting at specific functional areas and stores the results in table ZDATAACT_SPLIT. Program ZDATAACT_FAREA_DELETE is developed in FMMI to delete records from the results table in case of a need to re-process a period or in order to reduce database space. The Financial Management Services (FMS) Production Support team is responsible for executing this process before the DATA Act files are generated at each period close. For more information on the ARS splitter process, please refer to the DATA Act Functional Area Splitting User Guide and the DATA Act Functional Area Splitting Extension Technical Design documents in Appendix A: Legislation, Guidance, and Tools.

2.2.4 Disaster Emergency Fund Code (DEFC)

In accordance with the Office of Management and Budget (OMB) memo, M-20-21, dated April 10, 2020, agencies must incorporate reporting of performance on the Coronavirus Disease 2019 (COVID-19) relief funding into their established mission performance plans and reports. Each agency must report monthly to OMB and others on any obligation or expenditure of "large covered funds including loans and loan guarantees, awards, pursuant to section 1501 l(b) of the Coronavirus Aid, Relief, and Economic Security (CARES) Act.

USASpending.gov provides detailed spending data for nearly all accounts across the

Federal Government. With the inclusion of the Disaster Emergency Fund Code (DEFC) attribute in agency DATA Act reporting, information on covered funds will be available by obligation and expenditure at the award level so that the American public will have insight into how COVID-19 relief funds were spent. Agencies are required to report financial and award data to USASpending.gov via the DATA Act broker. These submissions include summary financial data ("File A"), obligation and outlay data by program activity and budget object class ("File B"), and summary award-level obligation data ("File C"). Effective for the June 2020 reporting period, all agencies are required to add the DEFC attribute to Files B and C.

DEFC codes is not captured in financial transactions posted in the source FMMI system. As a result, DEFC codes are derived based on the combination of funds management account assignments, such as functional area, fund, funds center, funded program, etc. used in the financial postings. DEFC codes and mapping tables are maintained in FMMI tables. When there may be new funds management account assignments created in FMMI the DEFC codes and derivation rules need to be setup in the following tables in FMMI system tables:

Attributes	Crosswalk Table
Business Area, Treasury Symbol, Fund	ZDA_DEFC_FUND
Treasury Symbol, Fund	ZDA_DEFC_FUND
Business Area, Treasury Symbol	ZDA_DEFC_FUND2
Business Area, Fund	ZDA_DEFC_FUND3
Business Area, Treasury Symbol, Functional Area	ZDA_DEFC_FUND4
Business Area, Treasury Symbol, Budget Period	ZDA_DEFC_FUND5
Business Area, Treasury Symbol, Fund, Budget Period	ZDA_DEFC_FUND6
Business Area, Fund, Budget Period, Functional Area	ZDA_DEFC_FUND7
Business Area, Fund, Budget Period, Position 3-4 of Functional Area	ZDA_DEFC_FUND7
Business Area, Treasury Symbol, Fund, Budget Period, Functional Area	ZDA_DEFC_FUND8

3. File B Reporting Process

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

File
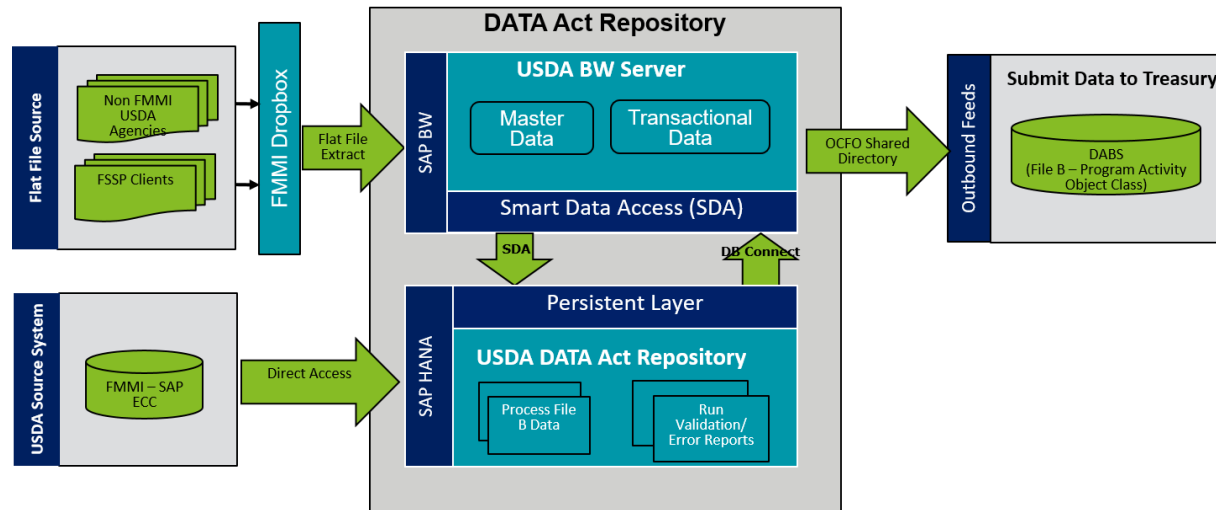
Figure 1: USDA DATA Act File B Systems Process Map

3.1 File B Data Process

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

3.1.1 FMMI Data Transfer

The File B data is automatically transferred from FMMI to the Repository for USDA agencies that use FMMI on a monthly basis. This data is transferred to the Repository automatically, where it will be processed with the non-FMMI user data that has been brought into the Repository from FMMI Dropboxes via the BW Server.

3.1.2 OCFO FMMI Dropbox For Non-FMMI Users

USDA agencies and FSSP clients that do not use FMMI submit File B data to the FMMI Dropbox via FTP as part of the File A-C agency inbound file. These non-FMMI users are required to submit data for processing monthly, in accordance with OMB M 20-21. 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 that your agency is able to receive error handling report information timely.

   a. Configure your Dropbox to push the files to the FMS server.

   b. 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 file to FMS.

2. Ensure correct naming convention, AC_<Agency>_D<YYYYMMDD>_T<HHMMSS>.csv is used when submitting your flat files on FMMI Dropbox, e.g. AC_FA00_D20160923_T103021.csv.

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 C: FMMI Dropbox FileZilla Submission Instructions or Appendix D: FMMI Dropbox WinSCP Submission Instructions.

3.1.3 USDA DATA Act Repository

As soon as non-FMMI 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 that is sent to the agencies. The FMS BI team initiates the next process, moving the data from the BW Server to the Repository. The FMMI user data is automatically pulled directly into the Repository to be processed with the non-FMMI user data. A manual validation is then performed to ensure that the data is for the correct time frame.
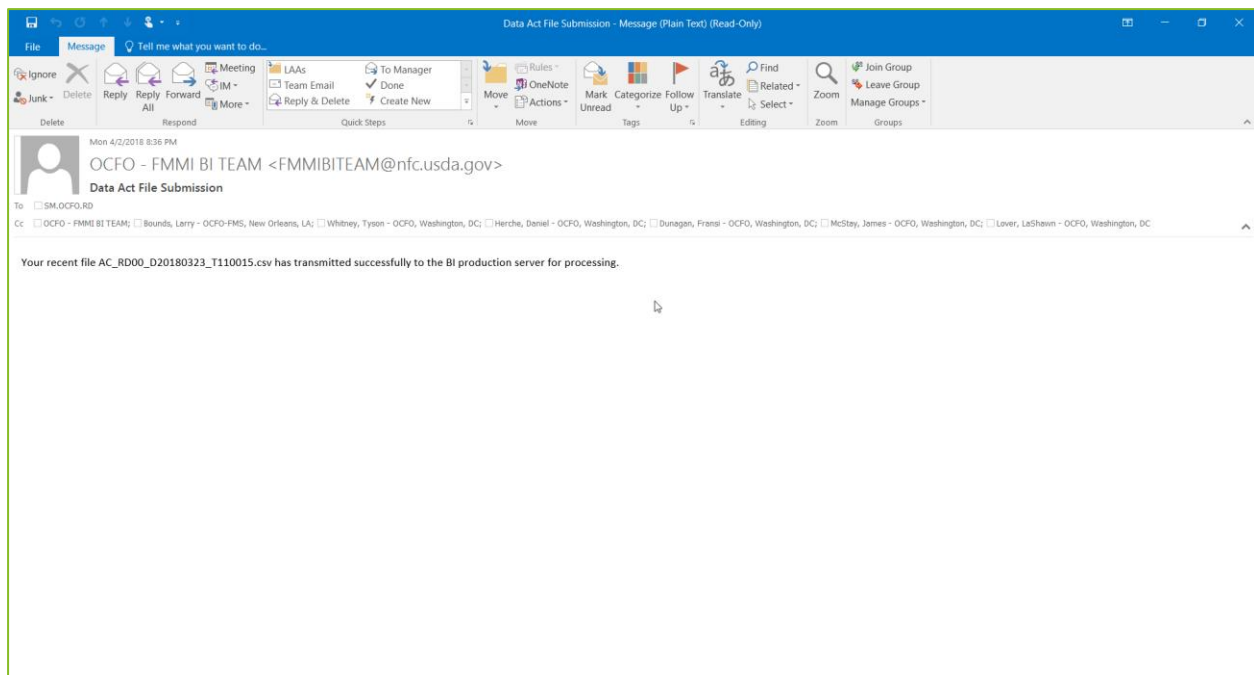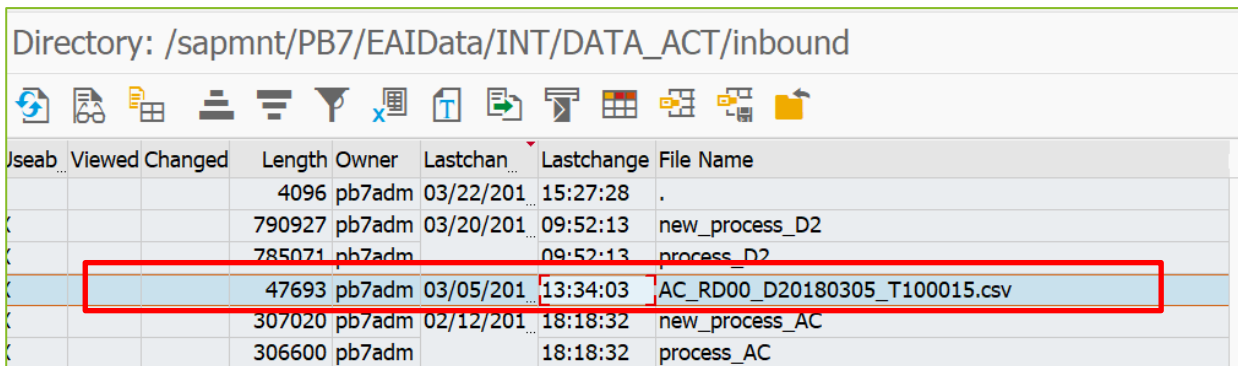
Figure 2: BW Server Confirmation Email

1. Confirm the inbound file is in the directory.
    a. In SAP GUI of PB7 system - Go to T-Code AL11 (Display SAP Directories).

b. Check in the directory below for A_C Inbound File(s) (File begins with AC_ Example: AC_AP02_20170420_T140049.csv).

/sapmnt/PB7/EAIData/INT/DATA_ACT/inbound

Directory: /sapmnt/PB7/EAIData/INT/DATA_ACT/inbound

Useab	Viewed	Changed	Length	Owner	Lastchan	Lastchange	File Name
			4096	pb7adm	03/22/201	15:27:28	.
			790927	pb7adm	03/20/201	09:52:13	new_process_D2
			785071	pb7adm		09:52:13	process_D2
			47693	pb7adm	03/05/201	13:34:03	AC_RD00_D20180305_T100015.csv
			307020	pb7adm	02/12/201	18:18:32	new_process_AC
			306600	pb7adm		18:18:32	process_AC

Figure 3: Confirm Files A-C Inbound Files are in the Directory

2. Raise the event to start the process chain.

   a. In SAP GUI of PB7 system - Go to T-Code SE38 (Process Chain Maintenance).

   b. Run the following program ZDA_RAISE_EVENT with the V_EVENT = ZDA_AC_FILE_PROCESS

ABAP Editor: Initial Screen

Program ZDA_RAISE_EVENT

Subobjects
◉ Source code
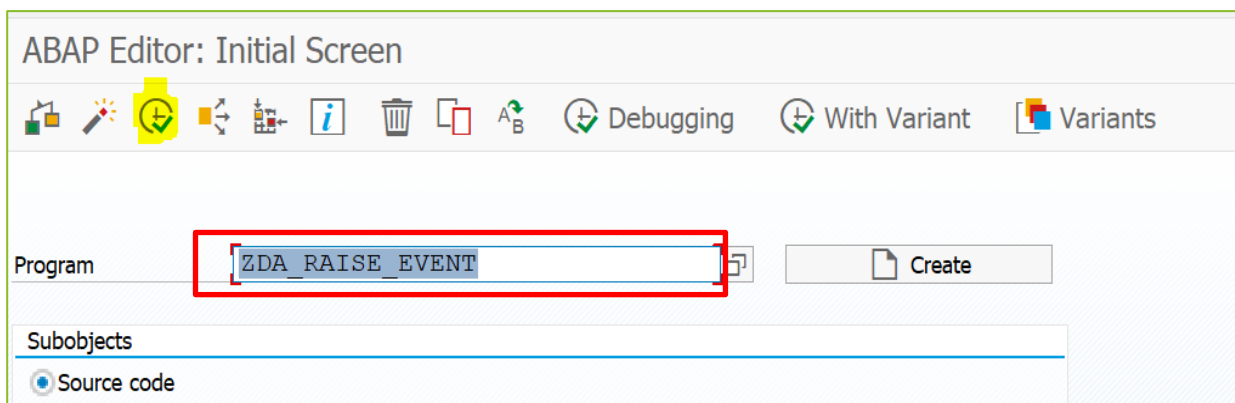
Figure 4: Start the Process Chain

3. Go to the process chain log to ensure it has run.

   a. In SAP GUI of PB7 system - Go to T-Code RSPC (Process Chain Maintenance).

   b. Under Process Chains expand "Data Act" subfolder and find process chain "Data Act A thru C Main Process". Double-Click it.

c. Click the golden scroll to check the logs of the run. (Note: This chain will loop for each file until it runs out. When it runs out of AC files, the process chain will produce an error. In the logs, you will see a set of green for successful runs, and you will know if it has completed is if it errors out due to having no more AC files)
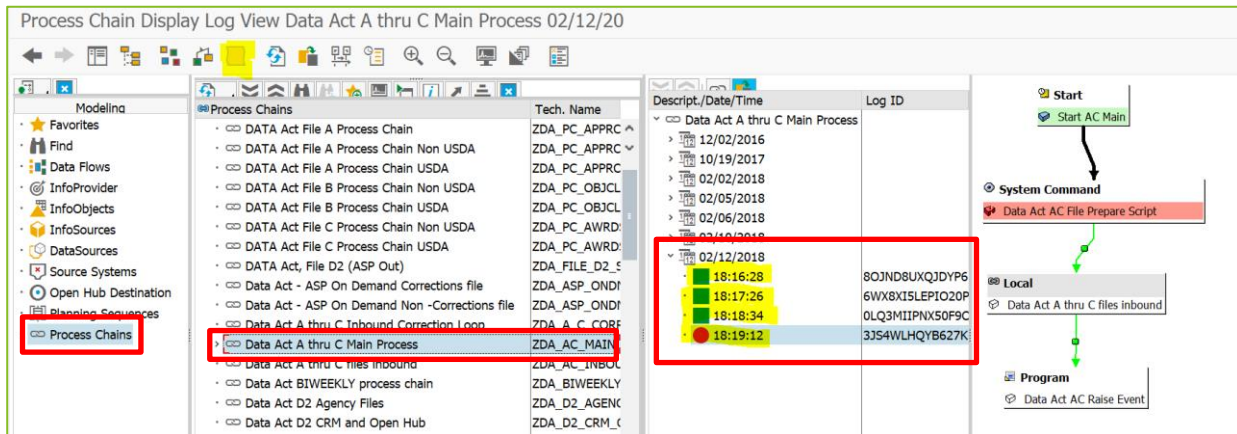
Figure 5: Process Chain - Confirm Files Have Run

4. Process File B (Object Class and Program Activity). Keeping in mind that the Files B and C must be run at the same time.

    a. In SAP HANA Studio, under System PE1, execute the following statement for the correct fiscal period:

    Call "USDA"."DA_MASTER_LOAD_TABLES_A_B_C" (('YYYYPPP', 'N', 'N', 'A', ?);

Table 2: Statement Schema Mapping

Statement Schema Mapping		
YYYYPPP	in i_FISCALPERIOD nvarchar(7)	Indicates fiscal year and period that is being refreshed
N	in i_REFRESH_WT_FLAG nvarchar(1)	Indicates refresh only work table data (no reload of outbound tables)
N	in i_REFRESH_OBT_FLAG nvarchar(1)	Indicates refresh only outbound table data (no reload of work tables)
A	in i_USDA_FSSP_FLAG nvarchar(1)	Indicates loading of only USDA (U) or FSSP (F) Agencies only. If 'A' all agencies are loaded.
?	out ex_message nvarchar(200)	

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

3.1.4 Error Handling and Certification

For the FSSP Agencies, an error report is run and analyzed by the BI and the Transparency and Accountability Reporting Division (TARD) teams on a monthly basis to allow agencies the ability to review and correct errors on an ongoing basis resulting in fewer errors during the monthly submission to DABS. If applicable, an email notification regarding error handling is and the error report is then sent from the FMS BI team to the FSSP Agencies, FMS Help Desk, and DATA Act Team. Additionally, a certification report is run before File B is submitted to DABS and an email notification regarding the certified data and the report is sent from the FMS BI team to the FSSP Agencies, FMS Help Desk, and DATA Act Team.

The above process is slightly different for the USDA Agencies as the USDA Agencies and the BI and the Transparency and Accountability Reporting Division (TARD) teams access the Error and Certification Reports on the FMMI Portal rather than having monthly reports run and emailed.

3.1.4.1 USDA Error Handling and Certification Report Availability

The File B Error and Certification reports are accessed by the USDA agencies on the FMMI Portal on the General Ledger/HANA General Ledger Management Reports tab. These reports may be run by the agencies at any time to monitor their File B data quality. 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 monthly submission to DABS.

3.1.4.2 FSSP Clients Error Handling and Certification Process

The File B error report publication for FSSP clients 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.
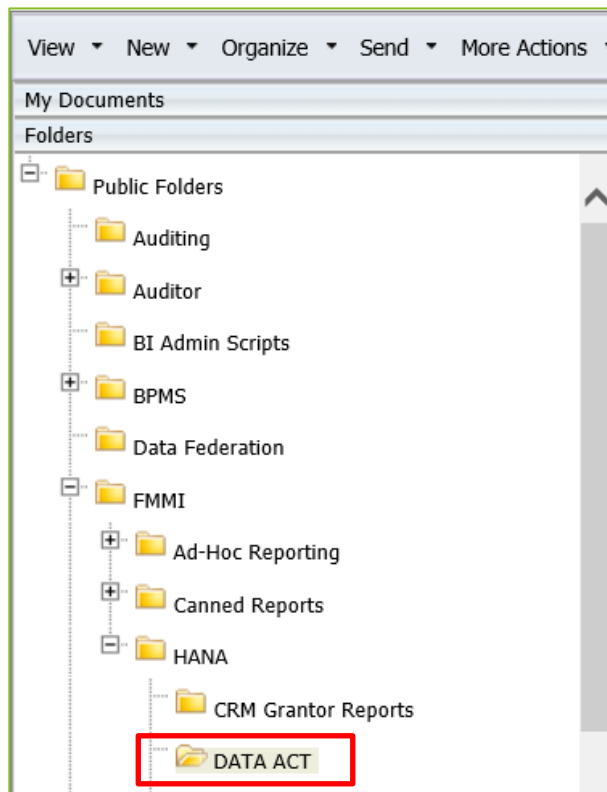
Figure 6: FSSP Clients Error Handling Process - Navigate to DATA Act

2. Right-click the DATA ACT FILE B ERROR REPORT PUBLICATION – NON-USDA and select Schedule.
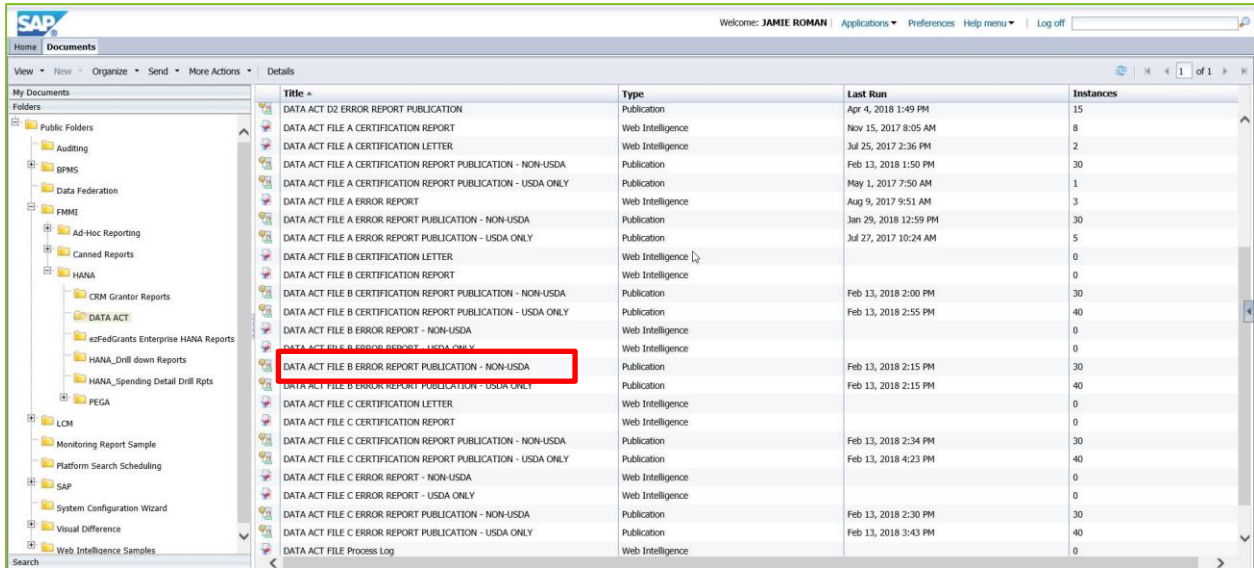
Figure 7: FSSP Clients Error Handling Process - Right-click on DATA Act File B Error Report Publication

3. Click Prompts and then click the Modify button.
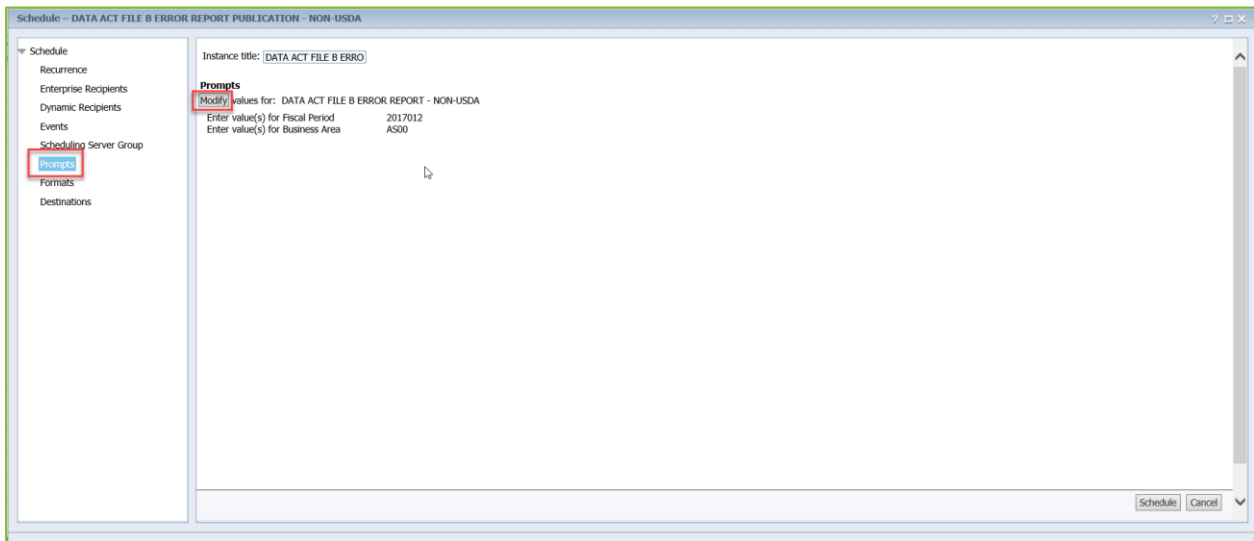
Figure 8: FSSP Clients Error Handling Process - Click Prompts and Modify

4. Refresh the Fiscal Period List of Values, if necessary.
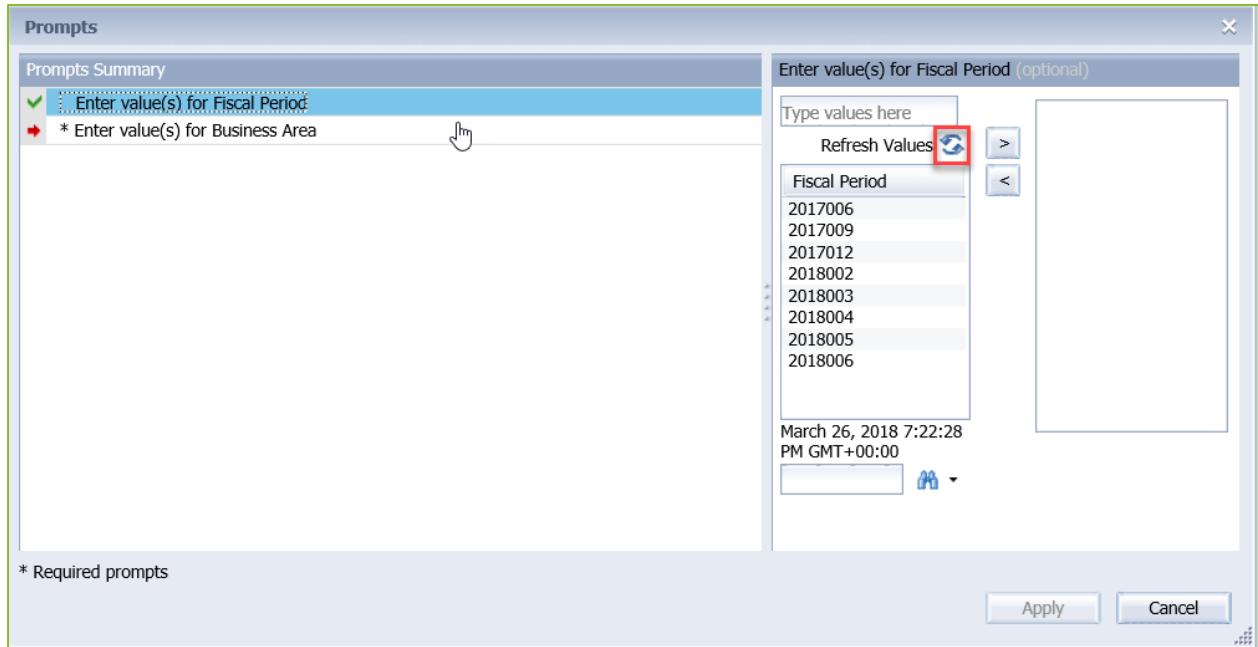
Figure 9: FSSP Clients Error Handling Process - Refresh the Fiscal Period List of Value

5. Select the Fiscal Period you are running the report for and click the move right arrow to move it to the Selected pane.
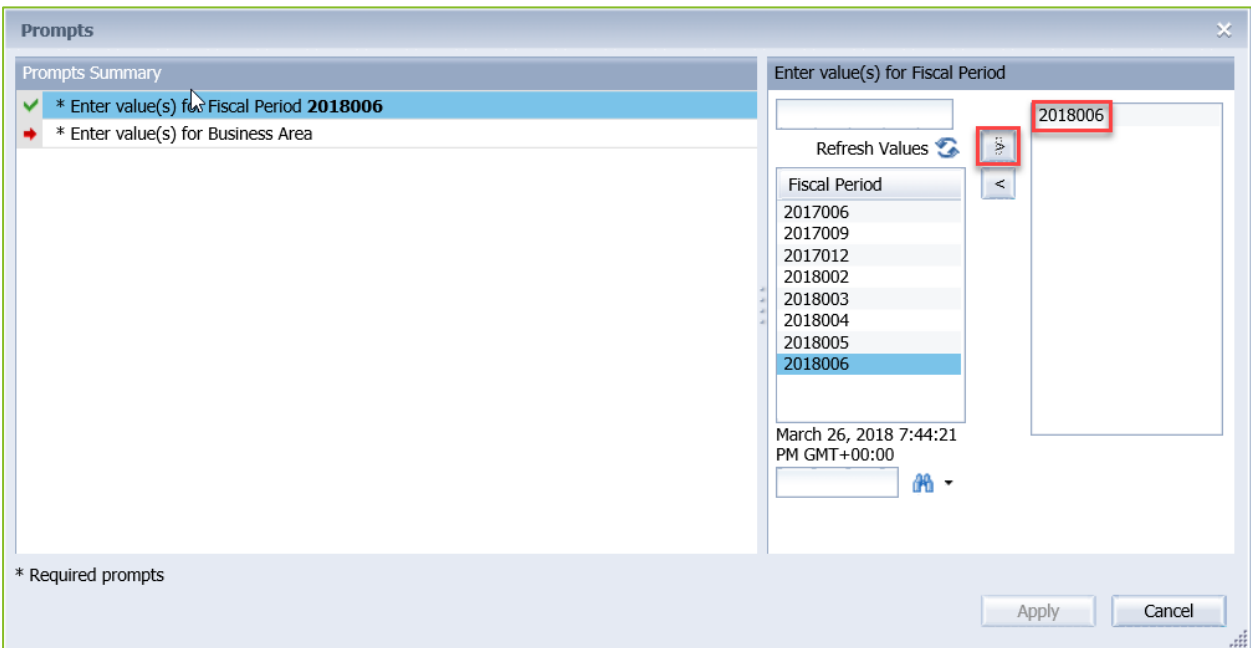
Figure 10: FSSP Clients Error Handling Process - Select Fiscal Period

6. Select the Business Area you are running the report for and click the move right arrow to move it to the Selected pane.
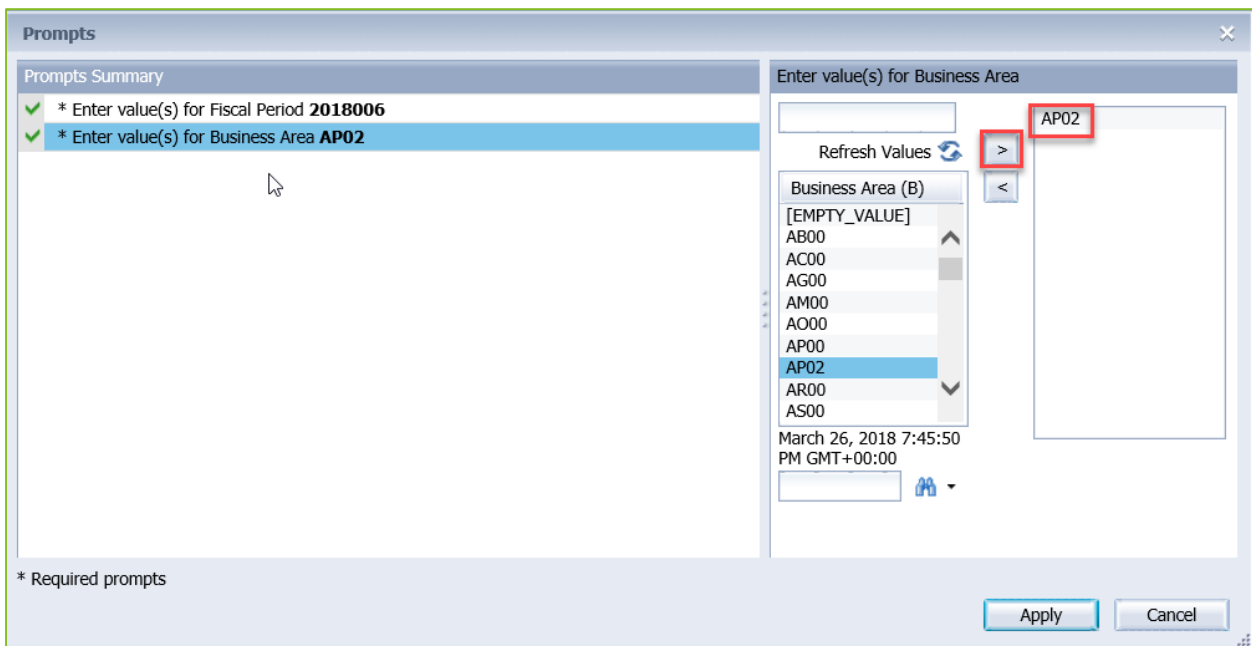
Figure 11: FSSP Clients Error Handling Process - Select Business Area

7. Click the Apply button.
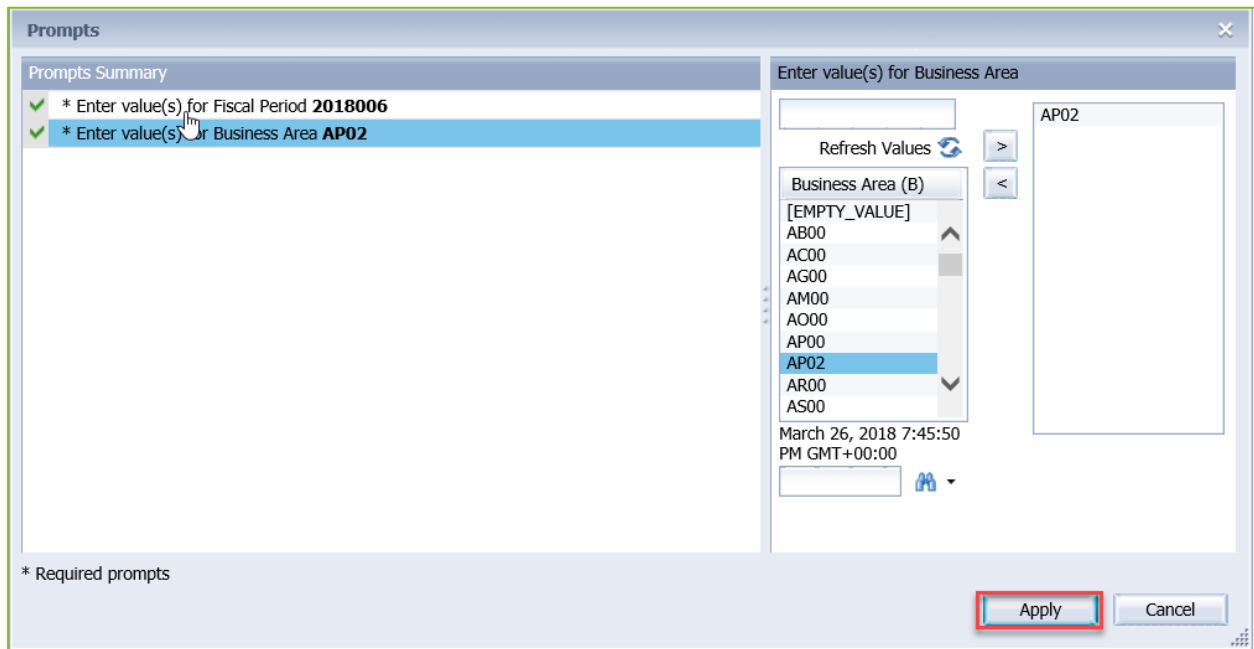
Figure 12: FSSP Clients Error Handling Process - Click Apply

8. The prompts are now set.
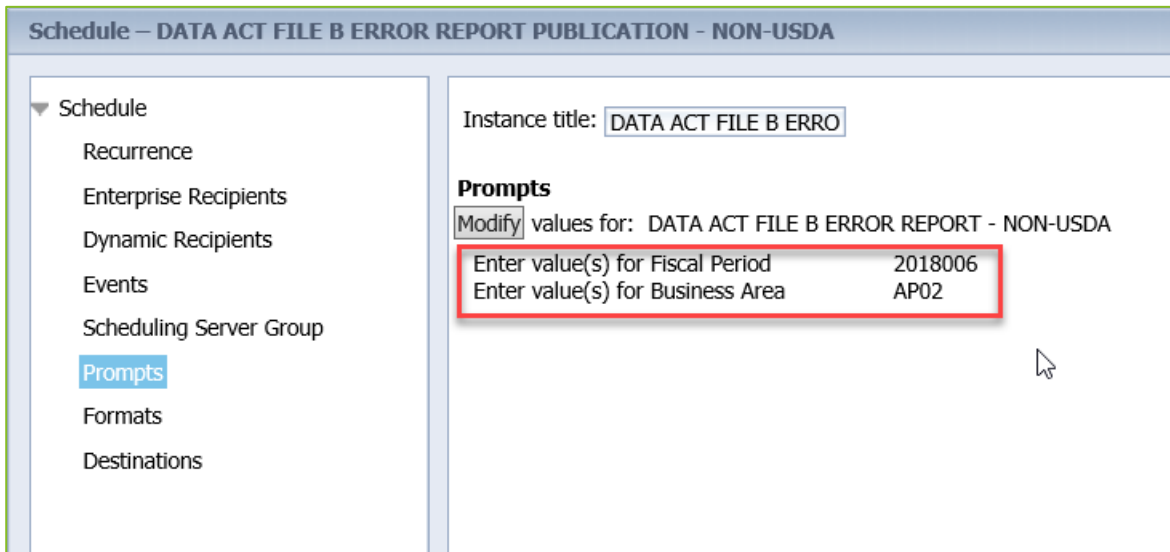
Figure 13: FSSP Clients Error Handling Process - Prompts Set

9. Click Dynamic Recipients.

10. De-select the Business Area that is selected by using the arrow button to move it out of the Selected pane.
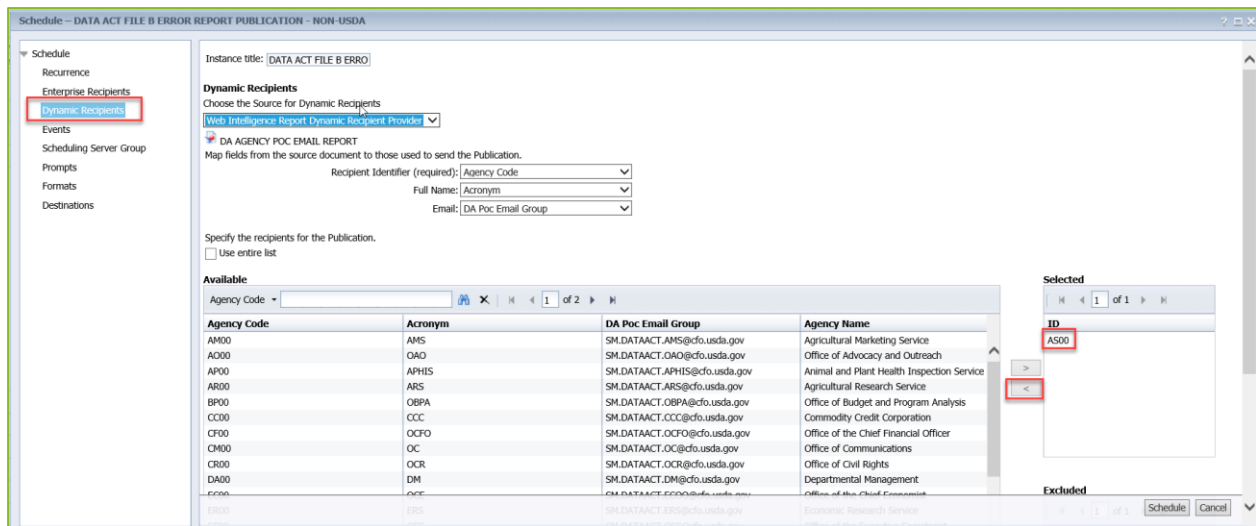
Figure 14: FSSP Clients Error Handling Process - Click Dynamic Recipients

11. Select the Business Area you are running the report for and click the move right arrow to place it into the Selected pane.
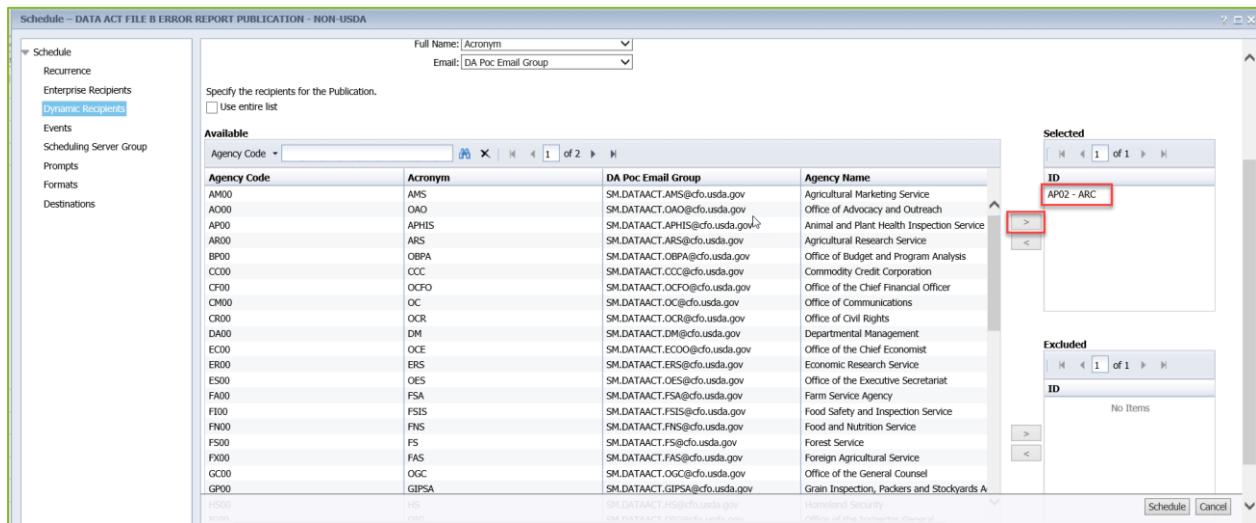
Figure 15: FSSP Clients Error Handling Process - Select the Business Area

12. Click the Schedule button.
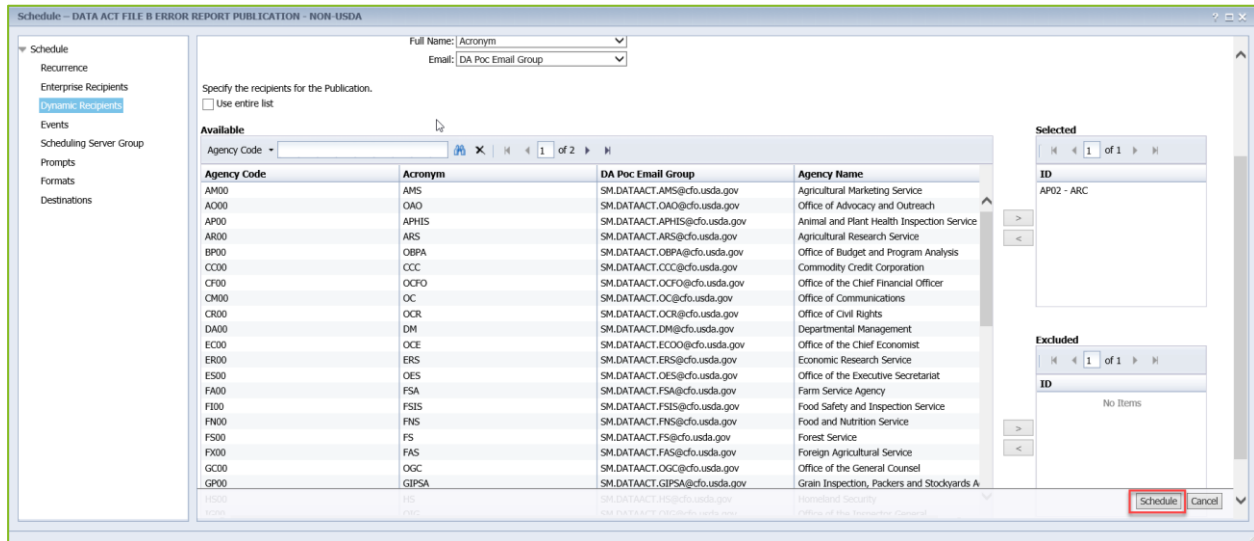
Figure 16: FSSP Clients Error Handling Process - Click Schedule

13. An error handling email notification will be sent out containing a workbook in the excel file format with one tab, the File B_Error_Records Report. An example of the File B Error Records Report 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.
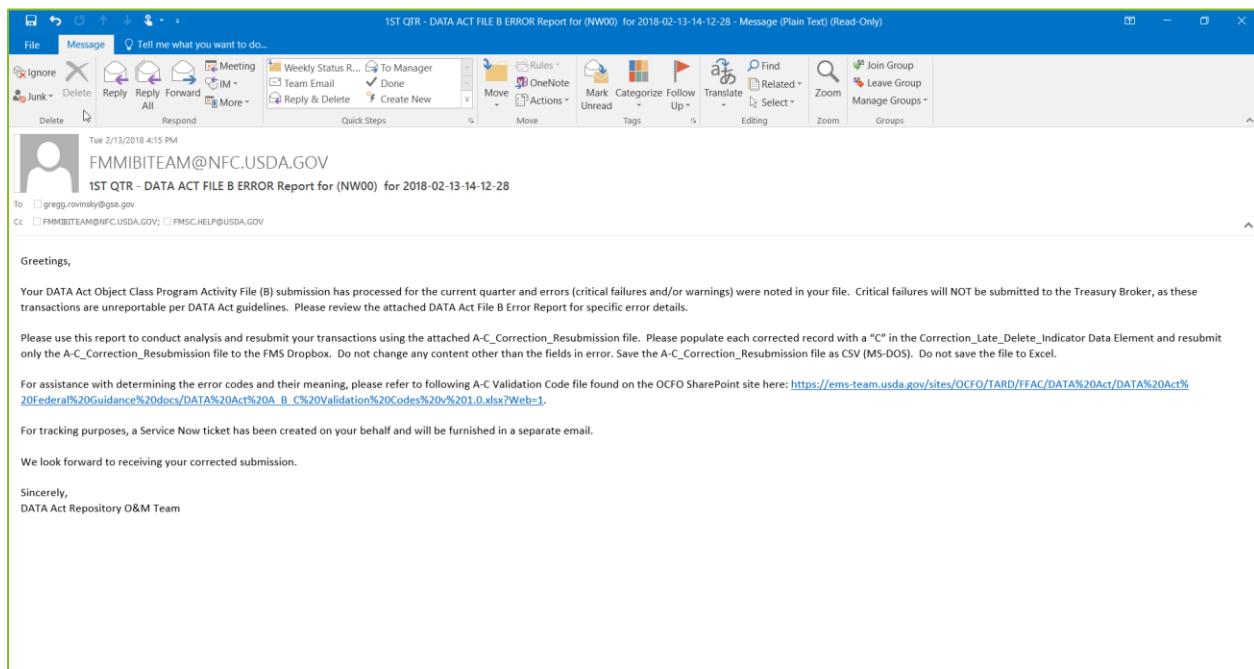
Figure 17: FSSP Clients DATA Act File B Error Report Notification

The File B certification report publication for FSSP clients is also run for each business area/agency and follows the Repository publication functionality. Please follow steps 1-12 in this section (3.1.4.2 FSSP Clients Error Handling and Certification Process) to run a certification report, only right-clicking on DATA ACT FILE B CERTIFICATION REPORT PUBLICATION – Non-USDA in Step 2, instead of DATA ACT

FILE B ERROR REPORT PUBLICATION – NON-USDA. Once you have completed steps 1-12, please move onto Step 14 below.

14. A certification email notification will be sent out containing a workbook in the excel file format with one tab, the File B Certification Report. An example of the File B Certification Report can be found in Appendix A: Legislation, Guidance, and Tools.
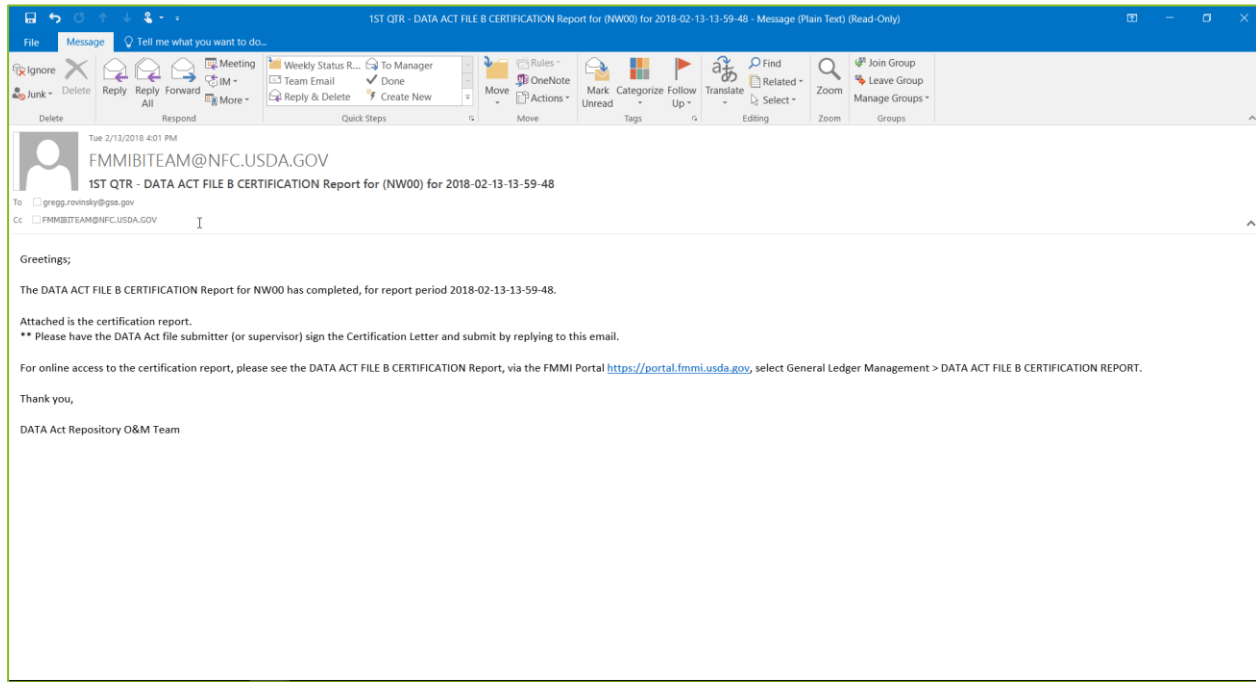
Figure 18: FSSP Client DATA Act File B Certification Report Notification

3.1.5 DABS Submission

Once the validation has been run in the Repository, all records without an error in File B are ready to be combined with File A and File C data for submission to DABS. DATA Act Files A, B, and C must be submitted to DABS as one package.

1. The FMS BI team runs a process chain to pull the error-free data from the BW Server, inserting Treasury required headers during this process, and dropping the file into the OCFO Shared Directory. There are separate process chains for USDA agencies and for FSSP clients.

Figure 19: Process Chain - Error-free Data

Figure 20: OCFO Shared Directory

2. The FMS BI team pulls the File B report from the OCFO Shared Directory and drops the file in to the DABS site manually.

   a. Sign on to the [DATA Act Broker site](#).
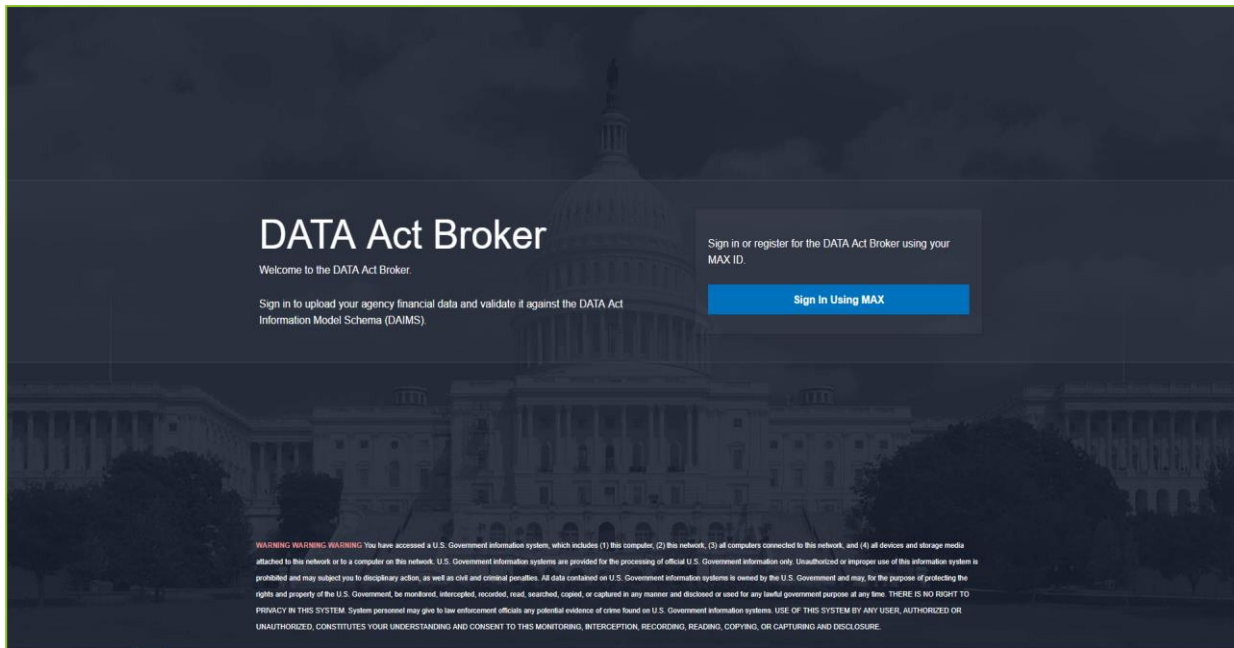
Figure 21: DATA Act Broker Home Page

   b. Click Enter under the Select the DATA Act Broker Submission.
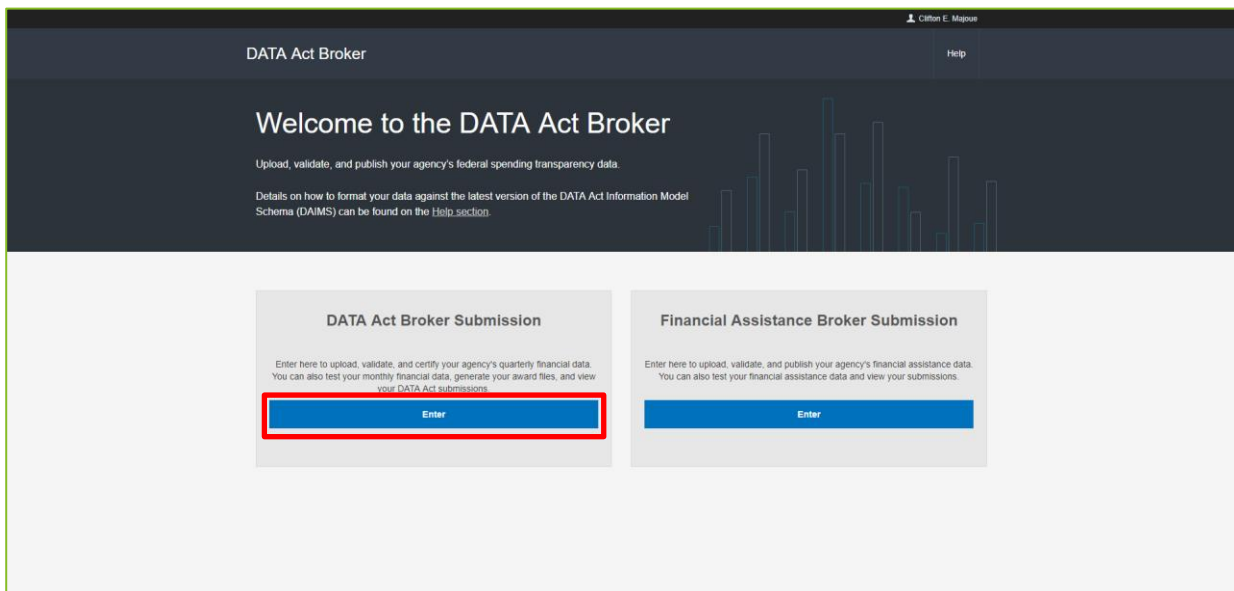
Figure 22: Select the DATA Act Broker Submission

c. On the DABS home page, click on "Upload and Validate a New Submission"
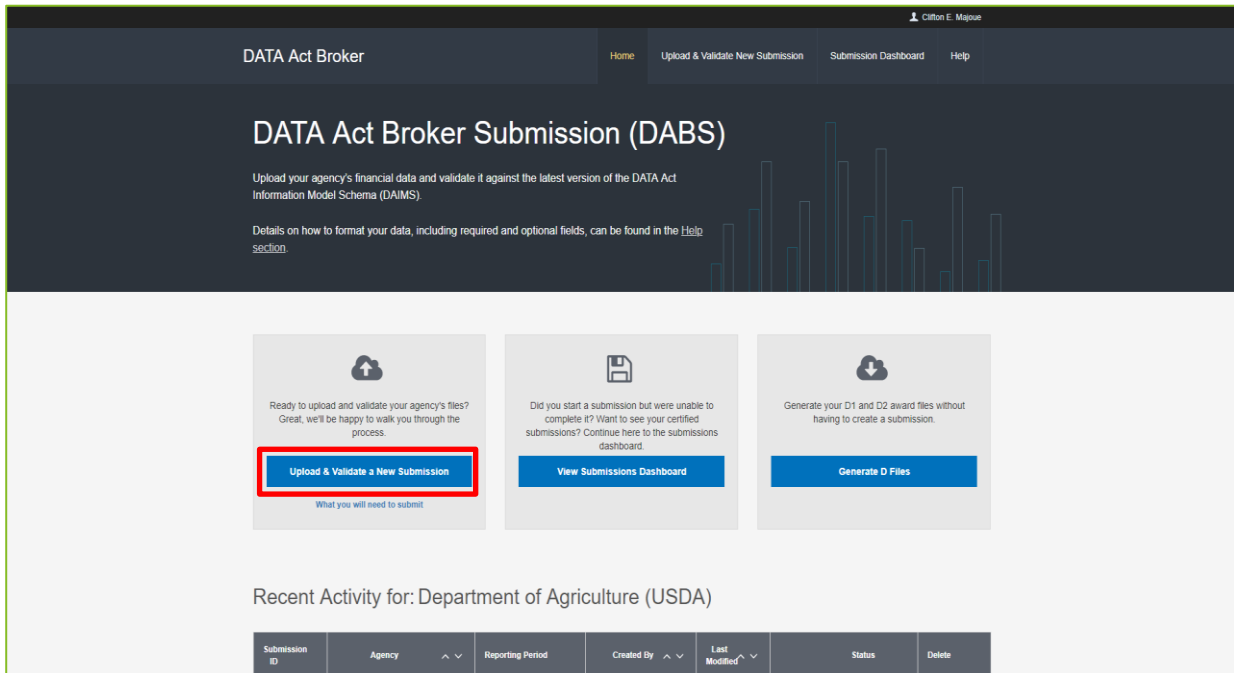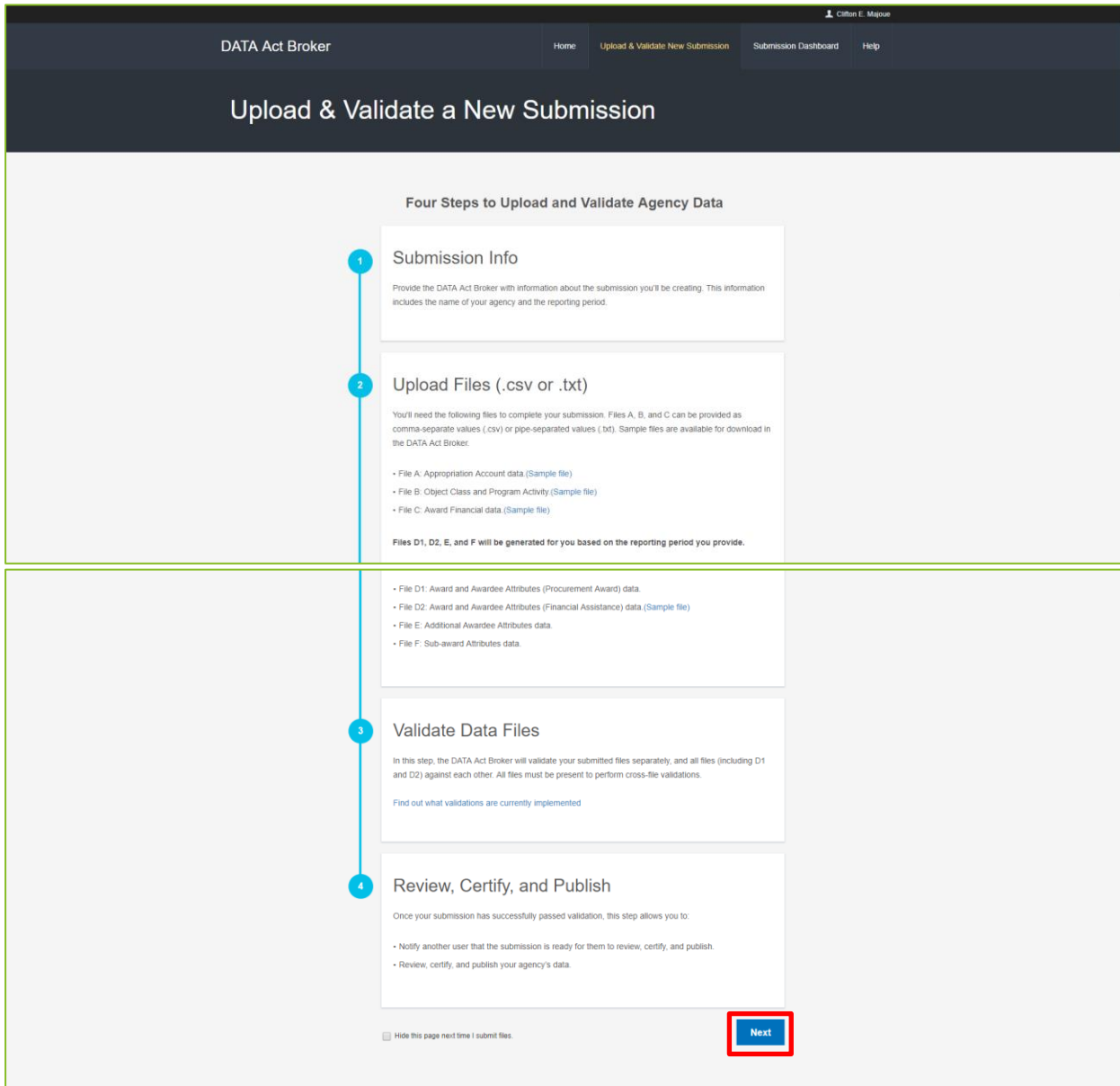
Figure 23: Select Upload and Validate a New Submission

d. The Upload & Validate a New Submission screen describes the four steps to Upload and Validate Agency Data. Click Next.

Figure 24: Four Steps to Upload & Validate

e. Provide the Submission Info by answering each question on the screen. Click Submit.
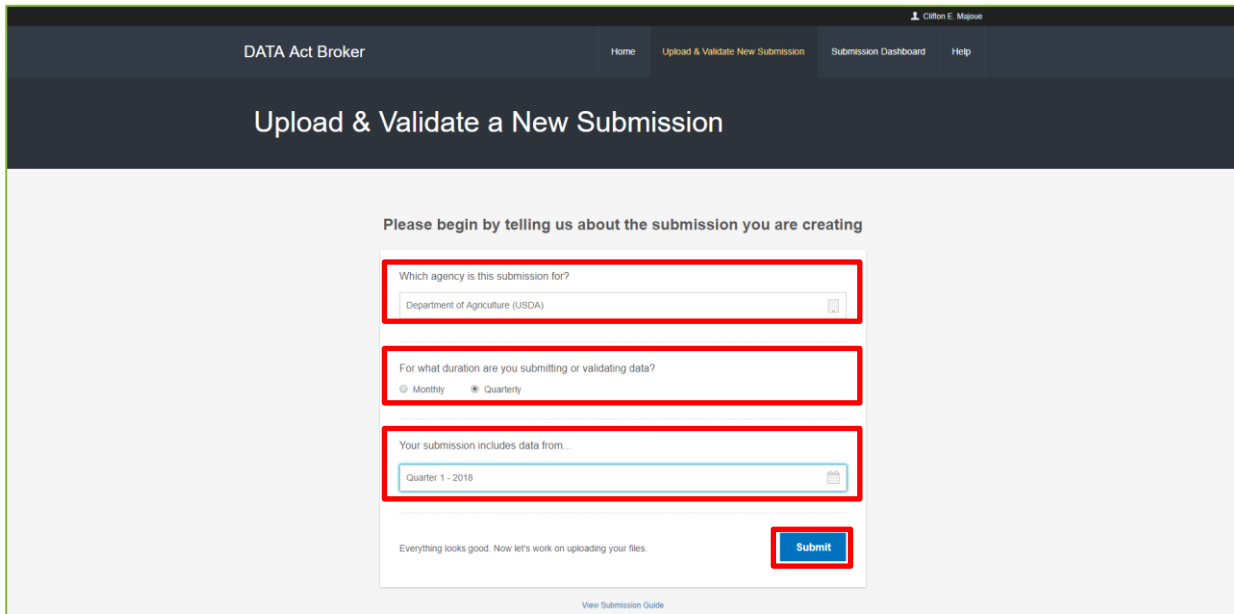
Figure 25: Upload & Validate - Submission Info Screen

f. Drag and drop File B from the Shared Directory. Once the Files A, B, and C have been dragged and dropped onto the screen, the Upload and Validate files button will appear, click that button.
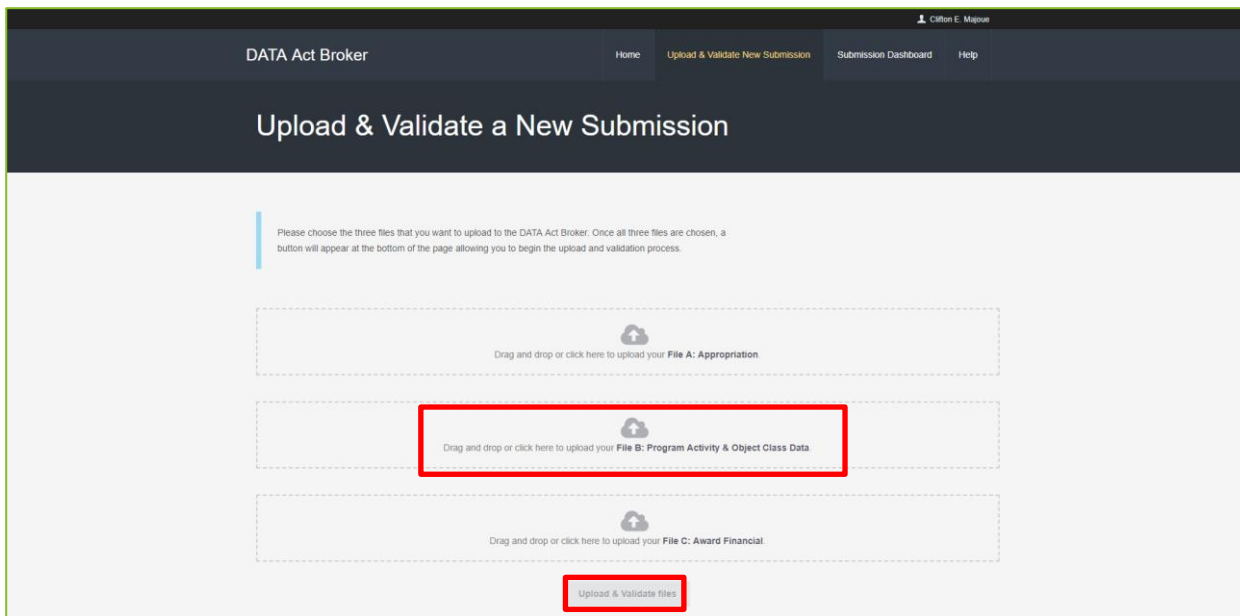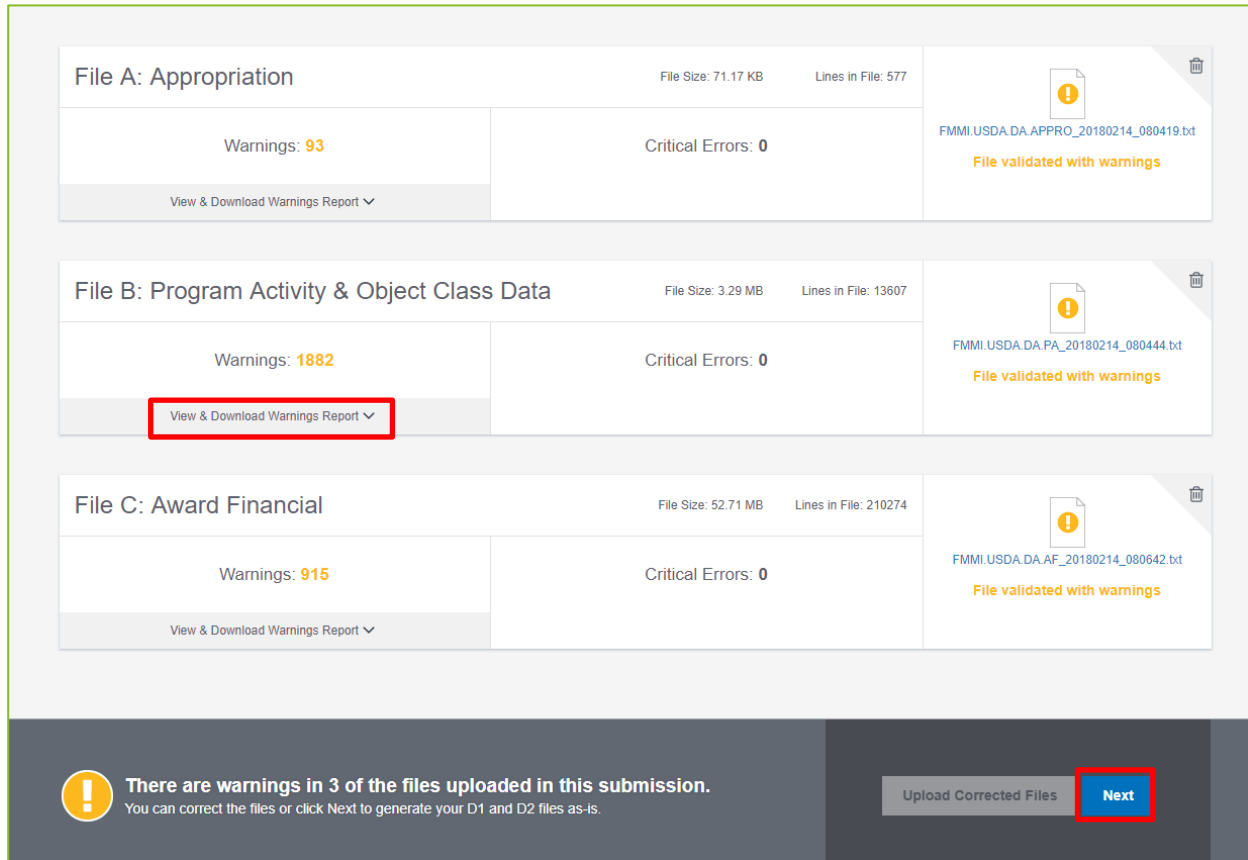
Figure 26: Upload Files to DABS

g. Once the files have been uploaded, the system will produce warnings and errors. If there are errors for File B, the report must be fixed and reloaded to DABS. To view the Warnings, click on the View & Download Warnings Report. Click Next. An example of the File B Warnings Report, can be found in Appendix A: Legislation, Guidance, and Tools. Click Next.

Figure 27: Warning and Errors

h. DABS will give you the option to Generate the Files D1 and D2. To view these files, click Generate Files. To move to the next step, click Next.

Select the durations for the generated D1 and D2 files. By default, this range is set to the submission date range you selected in step one.

| File D1: Procurement Awards (FPDS data) | 10/01/2017 | through | 12/31/2017 |

Download File D1: Procurement Awards (FPDS data)
Download File

| File D2: Financial Assistance | 10/01/2017 | through | 12/31/2017 |

Download File D2: Financial Assistance
Download File

Your files have been generated. Click Next to begin cross-file validations.

Generate Files   Next

Figure 28: Option to Generate the Files D1 and D2

i. A cross validation is performed between the Files A and B, Files C and D1, and the File C and D2. The yellow explanation point represents warnings found in the validation. If there is a red x, that means there are errors in the report. A Next button will be located at the bottom right of this screen, click the button to move forward to the next screen.

Figure 29: DABS Validation

j. Files E and F will appear on the next screen and are available for download. Click Next.

Figure 30: Files E and F Generated

k. Click on the drop down in the Add comments to files section and select File B. Add comments for File B in the comments box and click Save Changes. <u>Before</u> clicking on "Notify Another User that the Submission is Ready for Certification", the FMS BI team sends an email notification to OCFO leadership asking for confirmation that certification is granted. Please see Section 3.1.7 for more detail on the email notification. Once the confirmation of certification is received from OCFO leadership via a response to the email sent, the FMS BI team clicks the "Notify Another User that the Submission is Ready for Certification" button.

Figure 31: Confirmation of data being successfully validated in DABS

l. Begin to type the name or email of the person who will act as the USDA certifier for the File B Submission. This person's email will pop up, once the system recognizes the name or email. The USDA Certifier cannot be the same person that entered File B into DABS. Click Send Notification and an automated message will be sent to the identified certifier, alerting them to go into DABS and certify the File B Submission.
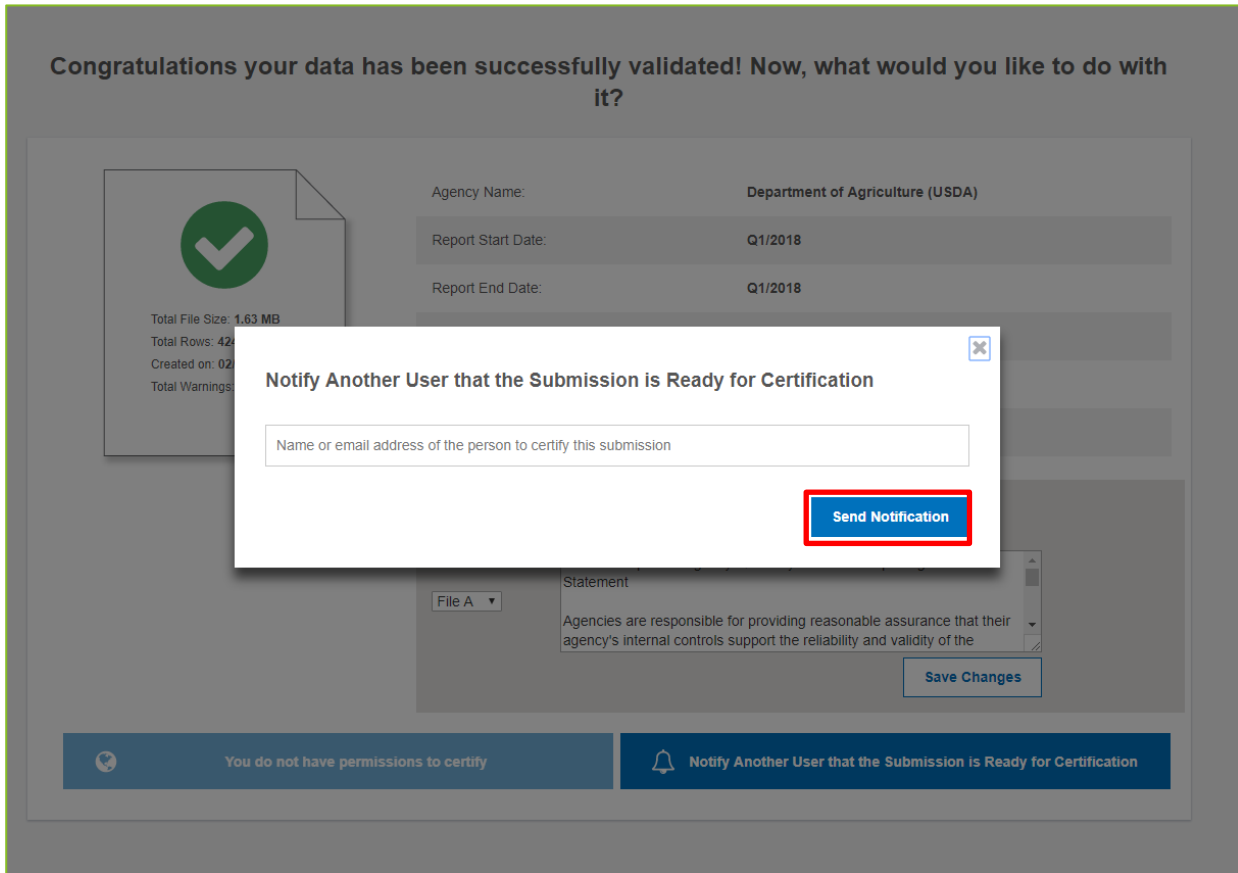
Figure 32: Select the File B Certifier

3.1.6 Assurance

In addition to the certification provided by OCFO leadership, 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.
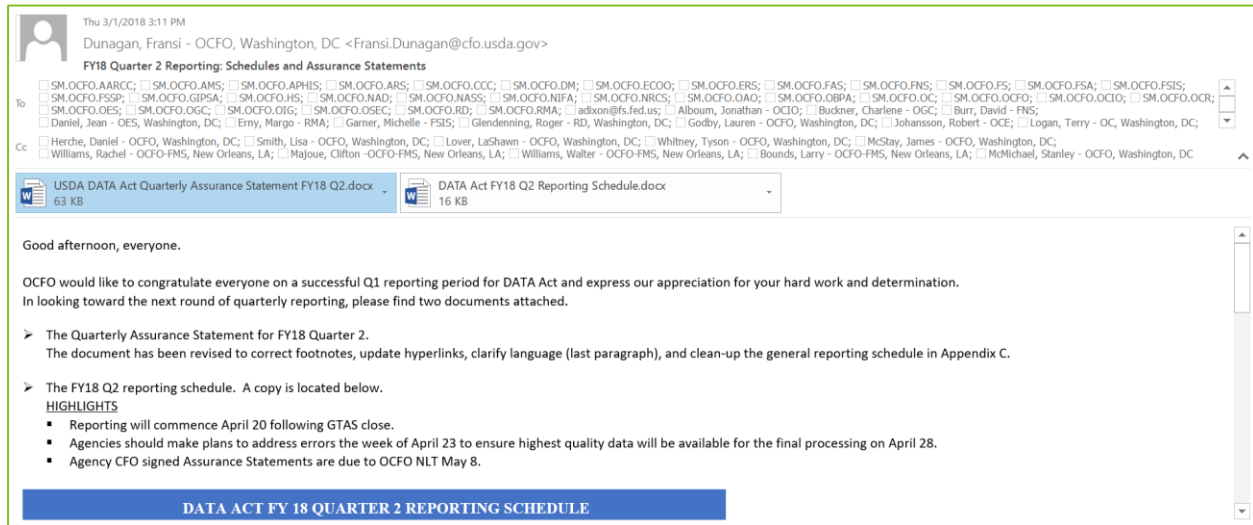
Figure 33: Assurance Request Email Example

3.1.7 Certification

Once the File B data has been entered into DABS, and the user has received confirmation of data being successfully validated in DABS (please see Section 3.1.5, step 2, subsection K), 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 File A, B, and C to DABS for pre-validation, and are asking for confirmation that certification be granted.

Figure 34: Certification Request Email Example

Appendix A: Legislation, Guidance, and Tools

Guidance	URL or File
Digital Accountability Digital Accountability and Transparency Act of 2014 (DATA Act)	https://www.gpo.gov/fdsys/pkg/PLAW-113publ101/pdf/PLAW-113publ101.pdf
Inspectors General Guide to Compliance Under the DATA Act	https://www.treasury.gov/about/organizational-structure/ig/Audit%20Reports%20and%20Testimonies/OIG-CA-17-012.pdf
OMB Circular A-11, Preparation, Submission, and Execution of the Budget	https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/assets/a11_current_year/a11_2017.pdf
DATA Act Broker Site	https://broker.usaspending.gov
The Reporting Submission Specification (RSS) Schema File	rss-v2.0.xlsx
USDA OCFO Error Codes for DATA Act Files A, B, & C	DATA_Act A_B_C Validation_Codes_v6_A
USDA DATA Act Quarterly Assurance Statement	USDA DATA Act Quarterly Assurance S
DATA Act Program Activity Functional Design Document	Data Act - Program Activity FD Final.docx
DATA Act Functional Area Splitting User Guide	DATA Act Functional Area Splitting User Gu
DATA Act Functional Area Splitting Extension Technical Design	DATA Act Funcional Area Splitting Extensic
Example File B Error Records Report	DATA_ACT_FILEB_ERROR_REPORT_2018-02-
Example File B Certification Report	Query 1_DATA_ACT_FILEB_CE
Example DABS File B Warnings Report	DABS File B Warning Report.csv

Appendix B: Non-Standard Program Activities

Instances can occur in the File B Object Class and Program Activity Detail report where the Program Activity does not match the Budget Program or Financing Schedule. When these instances occur, agencies should use the Non-Standard Program Activities listed below.

- Code: 9901, Set Aside

    o Extramural Budgets to include but not limited to Small Business Innovation Research as such funding does not align with the Budget Appendix Program and Finance Schedule and currently legislatively required by eleven Federal Agencies.

- Code: 9902, Program Support

    o Use of multiple Budget Appendix Program and Finance Schedule Program Activities as outlined by legislation to support and carry out the work necessary for the Agency / Department. Program Support includes but is not limited to Program Activity support, Administrative Support and Overhead cost when not specifically outlined in an independent Program Activity.

- Code: 9903, Supplemental Funding

    o Use in cases when Federal Funding is released outside the Budget cycle and a Budget Appendix Program and Finance Schedule Program Activity is not provided during a period of execution.

- Code: 9904, Below Threshold

    o Use in cases when Federal Funding is provided below the Budget threshold of $1 million within the Budget Appendix Program and Finance Schedule Program Activity.

- Code: 9905, Other Unmapped

    o Use in cases when Program Activity is outside the range of existing Standard or Non-Standard Program Activity Codes / Definitions.

- Code: 9906, Recovery Act

    o Use in cases related to The American Recovery and Reinvestment Act of 2009 (ARRA).

- Code: 9907, Child Nutrition

    o Use in cases of reimbursement for Child Nutrition program meals through the National School Lunch Program, School Breakfast Program, Child and Adult Care Food Program, Summer Food Service Program and Special Milk Program. The meals are reimbursed at paid, reduced price and free rates. The CN07 serves as a means to fully capture Federal Funds used for meal reimbursements across the various Child Nutrition programs.

- Code: 9908, Pending Mapping

    o Use in cases of activity mapping pending to a valid Budget Appendix Program Activity or an existing Non-Standard Program Activity for USDA.

- Code: 9909, FSDW (Financial Statement Data Warehouse)

    o Use in cases when activity is driven by Financial Statement adjustments and/or SF-133 adjustments. Mapping is not linked to a Budget Appendix Program Activity but internal to the USDA FSDW.

Appendix C: FMMI Dropbox FileZilla Submission Instructions

This section includes submission instructions using FileZilla.

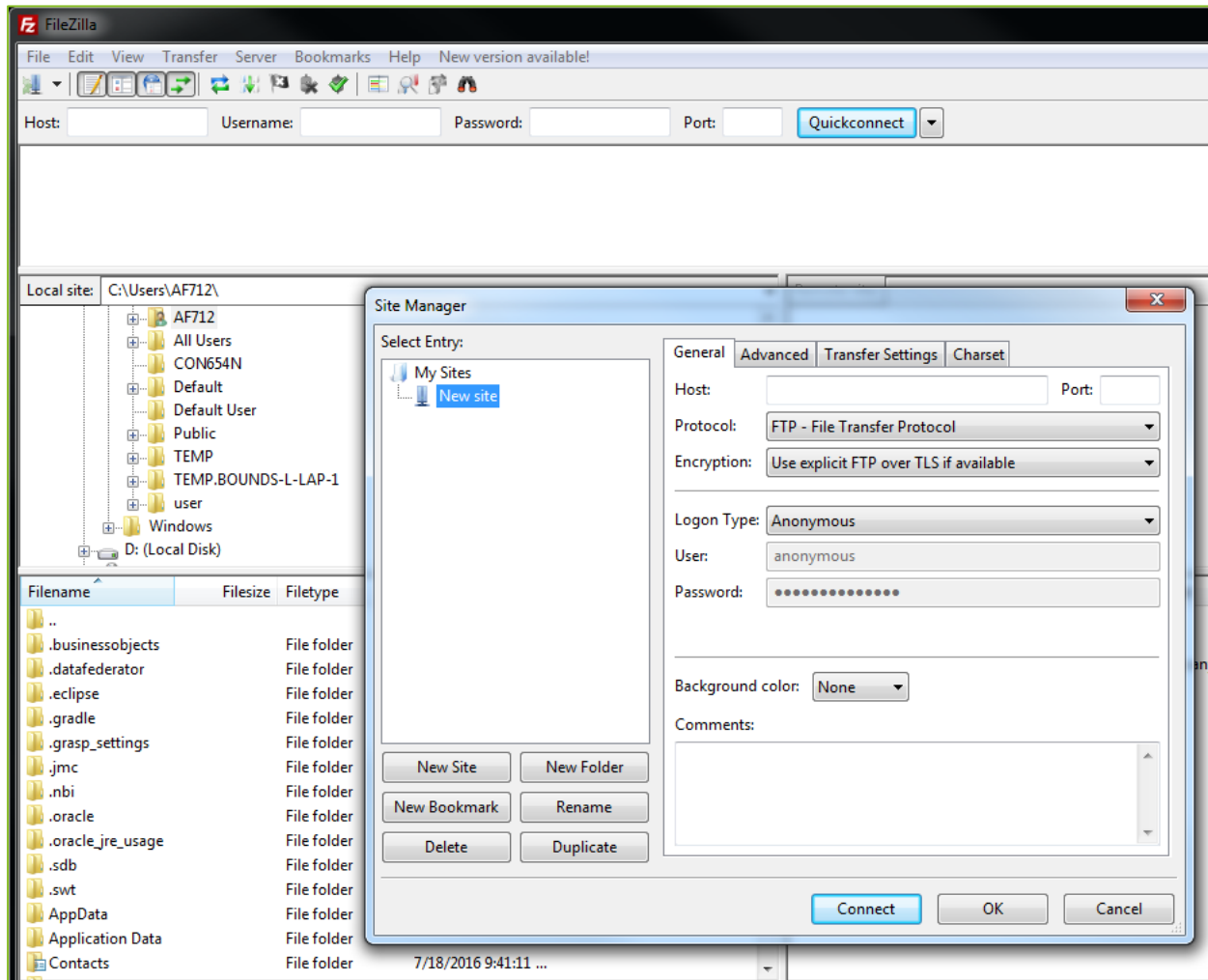1. Open FileZilla, click on File, Site Manager, and New Site.

Figure 35: FileZilla Home Screen

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)
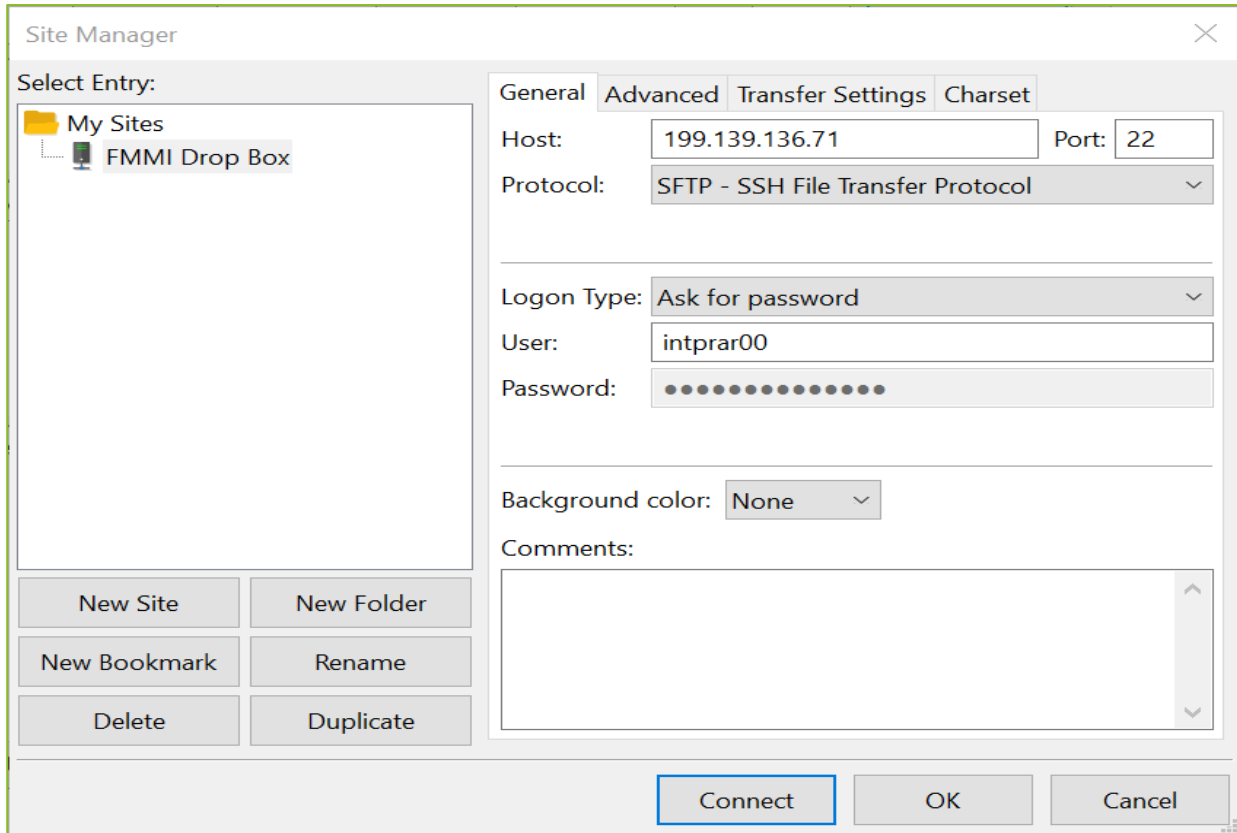
Figure 36: FileZilla Site Manager

3. After entering the information, click Connect and enter your password. Screenshot below should appear:
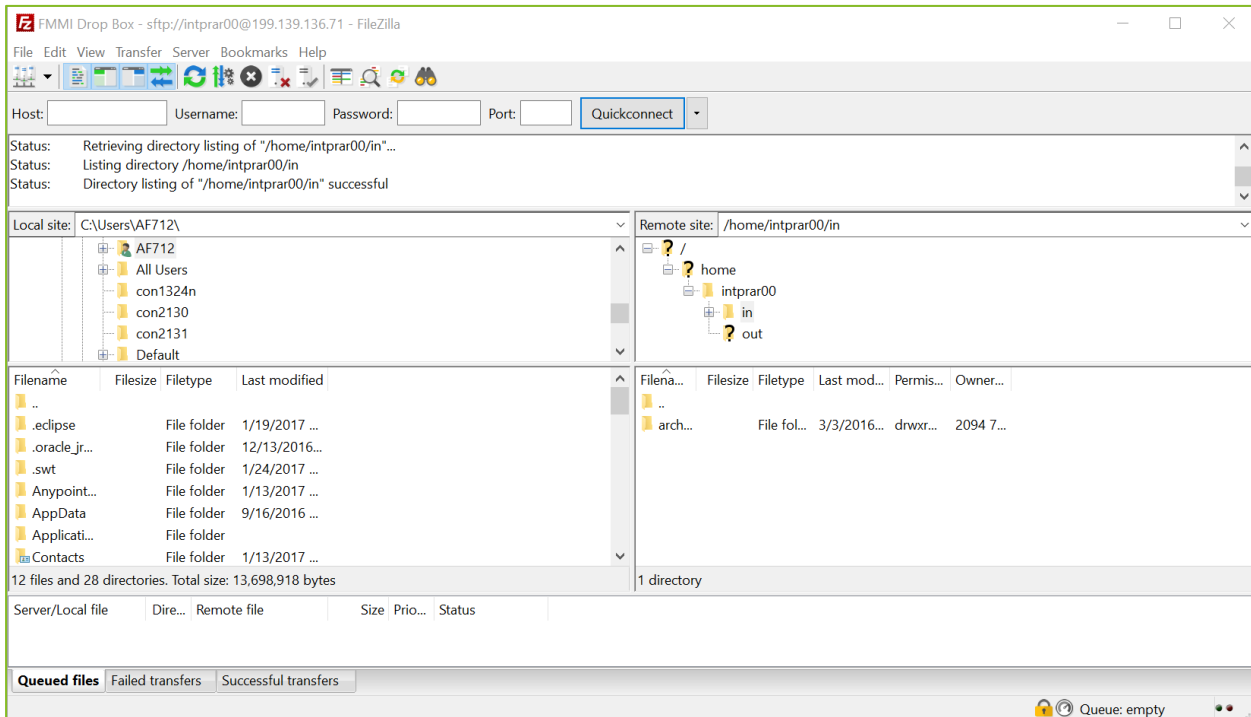

Figure 37: FileZilla FMMI Dropbox

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 D: FMMI Dropbox WinSCP Submission Instructions

This section includes submission instructions using WinSCP.

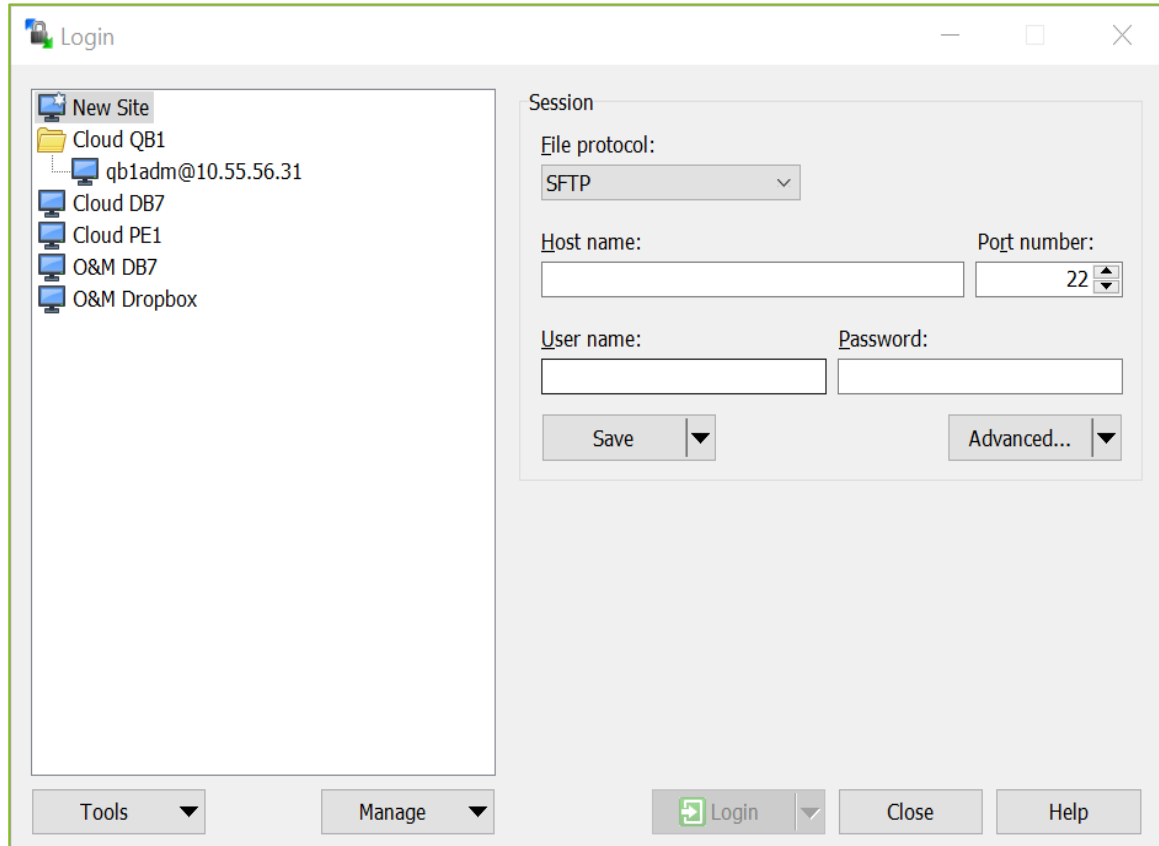1. Open WinSCP, click on "New Site" on the left-hand side.

Figure 38: 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)
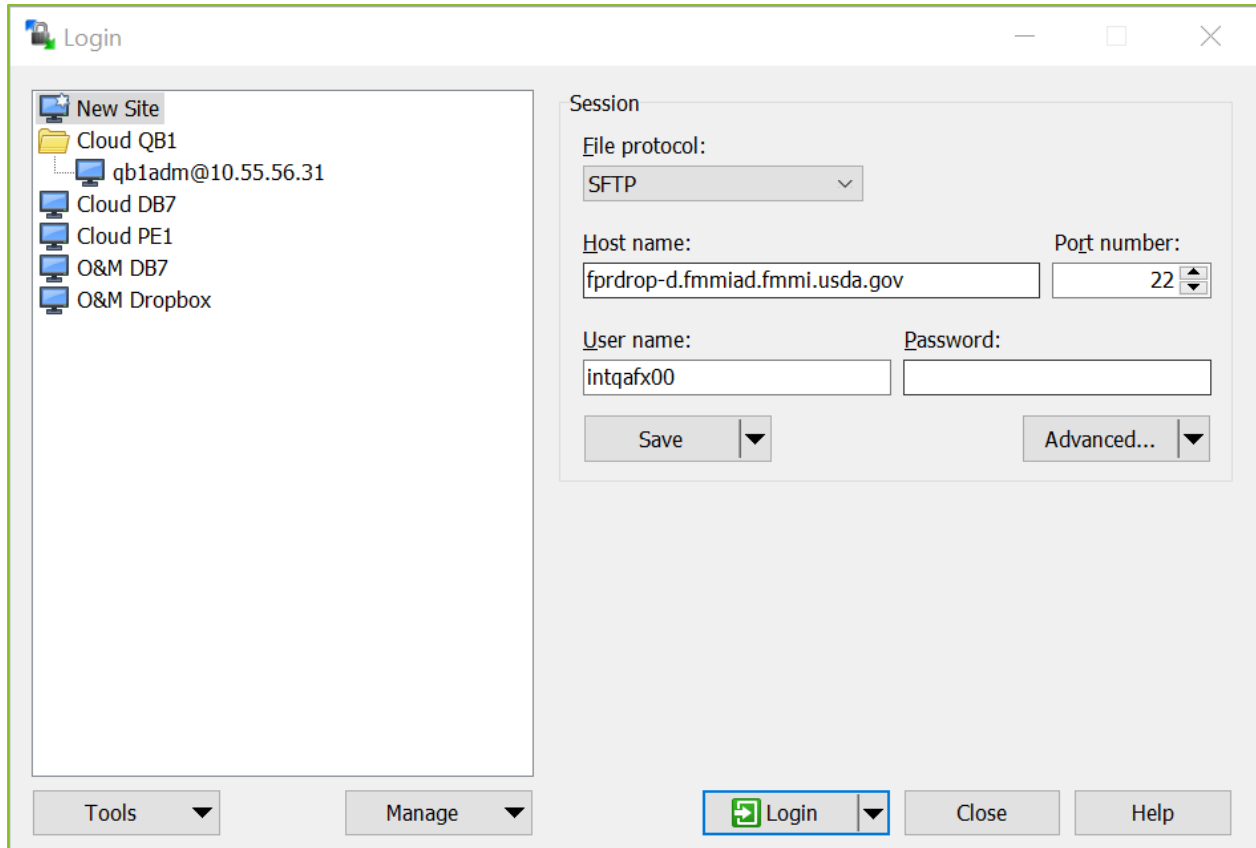
Figure 39: WinSCP Home Page Example

3. After you put in the information above, click "Login" and enter your password.
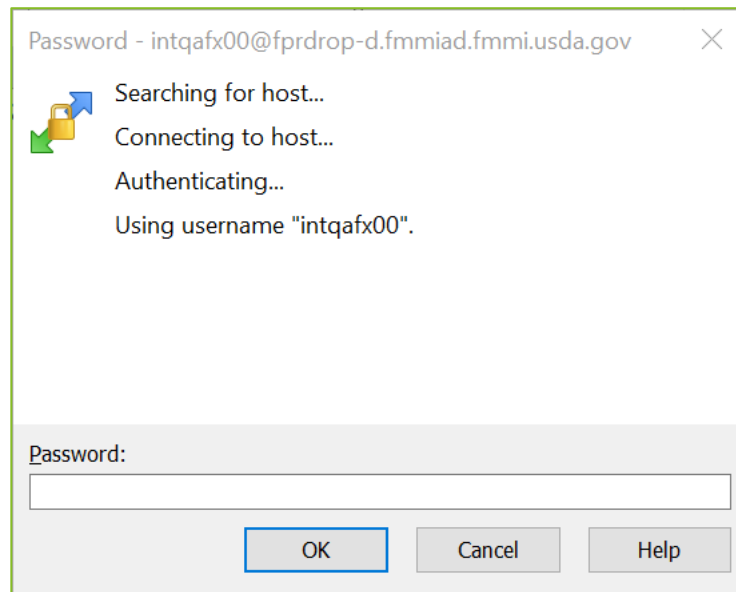

Figure 40: WinSCP Login

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.
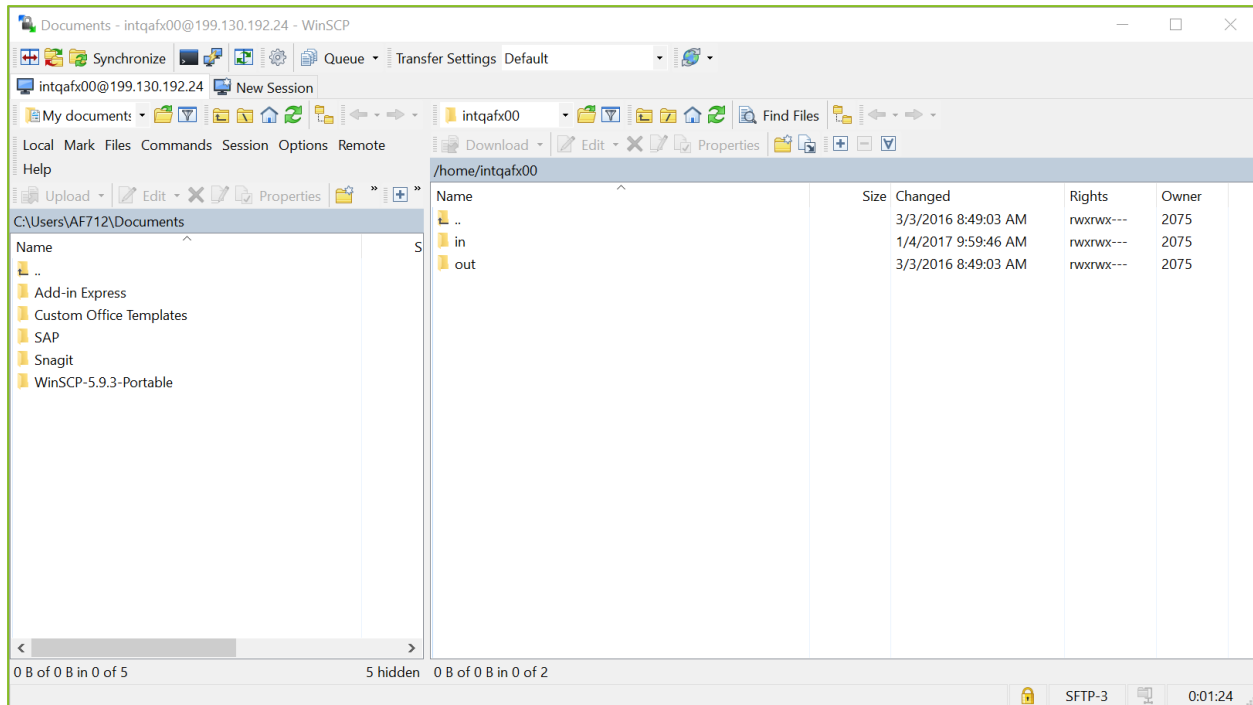

Figure 41: WinSCP FMMI Dropbox

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 E: Acronym List

ARS: Agricultural Research Services

BA: Business Area

BI: Business Intelligence

BOC: Budget Object Class

DABS: DATA Act Broker Submission

DAIMS: DATA Act Information Model Schema

DATA Act: Digital Accountability and Transparency Act of 2014

FA: Functional Area

FMMI: Financial Management Modernization Initiative

FMS: Financial Management Services

FSSP: Federal Shared Service Provider

FTP: File Transfer Protocol

GSDM: Governmentwide Spending Data Model

GTAS: Governmentwide Treasury Account Symbol Adjusted Trial Balance System

OCFO: Office of the Chief Financial Officer

OMB: Office of Management and Budget

POC: Point of Contact

Repository: USDA DATA Act Repository (SAP HANA)

RSS: Reporting Submission Specification

SOP: Standard Operating Procedure

USDA: U.S. Department of Agriculture

TARD: Transparency and Accountability Reporting Division

TAS: Treasury Account Symbol

TI: Treasury Index (also known as Agency Identifier)

Treasury: U.S. Department of the Treasury