



National Finance Center CAPPS Notification

UPDATE - REVISED FORM for Secure File Transfer Protocol Requirements Mandated by USDA

November 27, 2019

Reference Number: NFC-1574700370

Dear Customer:

This notification is being sent to customers to provide a new, user-friendly version of Form AD-3113, Secure File Transfer Protocol (SFTP) File Transmission Request. The form was revised as follows:

- Blocks were added to record Points of Contact for managing the Interconnection Security Agreement, security keys, and network configurations for the Agency.
- Information was added to clarify the entry of FOCUS file transmission information. However, Agencies are advised that the automation of FOCUS downloads is not mandated for SFTP transmissions.
- A second page was added to provide additional space to enter file information. Please note that information entered into the file blocks will be automatically sized to fit the spacing of each cell.

It should also be noted that, if a previous version of the form was submitted, it will be accepted and processed. The revised form can be found on the [National Finance Center's \(NFC\) Homepage](#) in the section entitled SFTP Process.

In accordance with the SFTP requirements mandated by the United States Department of Agriculture, all file transmissions currently conducted via File Transfer Protocol (FTP), and any new file transmissions, must utilize the SFTP method.

Agencies must submit their SFTP requirements to NFC via Software Change Request (SCR), [Form AD-3003](#). In addition, the SFTP File Transmission Request, [Form AD-](#)

[3113](#), must be completed as well to provide all file-related information. Please use the NFC assigned project number in all subsequent correspondence and electronic communications related to the project. Once NFC receives both completed forms from the Agency, NFC will schedule a meeting to review forms with the Agency technical team. If an outside contractor or servicing Agency manages the actual FTP process, they must attend as well.

The following process must be followed:

1. Agency submits both completed SCR and SFTP File Transmission Request Forms to NFC.GESDREQUEST@usda.gov.
2. NFC requests Interim Interagency Agreement (IIA) to fund requirements, if applicable.
Note: No Interagency Agreement (IA) is needed unless files are being added; file formats are being modified to add, modify or delete data elements; or files are being deleted.
3. Agency returns signed IIA.
4. NFC conducts meetings with Agency to further define and clarify requirements.
5. NFC completes Functional Requirements Document (FRD) and submits to Agency.
6. Agency returns signed FRD.
7. Agency reviews, updates and returns Interconnection Security Agreement (ISA) to NFC.
Note: No updates to the ISA are required unless more than 3 years have passed since it was last updated, or the project requires changes in network architecture (e.g., IP Address).
8. NFC prepares cost estimate.
9. NFC submits final IA package, including the signed FRD and cost estimate, to the Agency.
10. Agency returns signed IA package.
11. NFC builds workflow process, account profile, firewall rules, security/encryption keys and establishes server connectivity.
12. Agency loads security/encryption keys and establishes server connectivity.
13. NFC schedules project for implementation.
14. NFC implements file changes.

15. NFC and Agency test server connections.

16. NFC closes project 2 weeks after successful implementation.

Authorized Agency representatives with questions concerning this notification should contact the NFC Contact Center at either 1-855-632-4468 or via ServiceNow Customer Service Portal.