

DATA Act Financial Assistance Reporting

Module 5

~ DATA Act Resources ~

DATA Act Resources

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FMMI HANA Management Reports

Treasury's Data Transparency Site

USAspending.gov



Resource Sites Overview

The **Digital Accountability and Transparency Act** (DATA Act, 2014) built upon FFATA (Federal Funding Accountability and Transparency Act, 2006) federal spending reports. DATA Act was implemented, and reporting began, in January 2017. A history of the legislation is found on Treasury's **About the Data Transparency Program**. Data is displayed at <u>USAspending.gov</u>, demonstrating government spending.

Over the years, revisions and additions to policy and reporting requirements have challenged Federal agencies to achieve full compliance. The plethora of OMB memoranda and ever-changing requirement documents provide the details needed to assure highest data quality is presented to the public.

USDA OCFO's <u>DATA Act Resources for Web</u> site provides links to official OCFO, OMB, and Treasury policy and guidance as well as FAQs, reporting schedules, and a variety of instructions. OCFO provides several processing reports within the <u>HANA General Ledger Management Reports</u> area on FMMI. For D2 reporters, one of the most valuable documents on the site is the <u>File D2 Error and Value Workbook</u>.

The **Department of Treasury** (Treasury) is responsible for reporting requirements, processing/validation of submitted data files, and publication of data to USAspending.gov for public view.

- Broker Reporting Portal Treasury site for agency data submission.
- <u>Data Transparency Site</u> is the official location for official reporting documents including requirement guidance and technical architecture information.
- <u>USAspending.gov</u>, maintained by Treasury, displays federal award and financial information, agency and recipient profiles, data analysis and charts depicting the extent of federal spending, and insights into how the federal government benefits society.



USDA DATA Act Resources for Web

USDA DATA Act Resources for Web

The Resources Page includes USDA Departmental policies, memos and guidance as well as links to Federal policy documents, including OMB Memos and Treasury reporting instructions.





The page is divided into three sections:

USDA Resources (see more on Slide 5)

In addition to departmental policies, this section offers reporting schedules and instructions, points of contact, FAQs and helpful "How to" documents

Federal Resources (see details on Slide 6)

External sites (see image on the right)

This section provides links to web sites associated with financial assistance and reporting data.





USDA DATA Act Resources for Web

The <u>USDA Resources</u> section provides access to USDA OCFO Policies, Reporting Schedules, POC listings, Reporting Instructions, and FAQs.

USDA DATA Act Policies

- 1. USDA DATA Act Guidance (Updated September 2022)
- 2. USDA Data Quality Plan (Updated September 2022)
 - > USDA Data Quality Plan (May 2021, superseded by September 2022 version)
- 3. Agency DATA Act Data Quality Framework (March 2022)
- 4. USDA DATA Act Governance and POC Charter (May 2019)
- 5. CFO Memo to CFOs DATA Act Implementation (November 20, 2014)
- 6. CFO Memo Implementing M-15-12 (June 9, 2015)
- 7. CFO Memo Agency Responsibility for Reporting Data Stored Outside of FMMI (June 24, 2016)
- 8. CFO Bulletin 23-01 Completing DATA Act Award ID on FMMI (October 24, 2023)
- 9. CFO Memo DATA Act Quarterly Assurance Process (July 17, 2017)
- USDA Secretary Memo Implementing M-20-21 (May 2020)
 Note: Please also refer to Appendix B in M-20-21 here
- 11. Sample USDA File D2 Certification Form (updated footnote links 2020)
- 12. Procurement Advisory 105C Use of Automated Procurement Systems (June 2017)
- 13. USDA Acquisition Data Reporting Policy References (June 2022)
- 14. CFO Memo Controller Alert Subaward Reporting (January 2021)
- 15. USDA Subaward Reporting Requirements (April 2023)

USDA DATA Act Reporting Schedules

- 1. USDA DATA Act File D2 Reporting Schedule
- 2. FY23 USDA DATA Act Monthly Reporting Schedule (October 2022)

USDA DATA Act Reporting Instructions

- 1. USDA DATA Act OCFO Reporting Process Guide for Web (Updated September 2022)
- 2. A-C Inbound File Layout (May 2020)
- 3. File D2 Reporting and Quality Procedures (Updated September 2022)
- 4. File D2 Error and Value Workbook v2.2.1 (Updated September 2022)
- 5. File D2 USDA Office Codes (September 2022 downloads as Excel file)
- 6. File D2 How to Handle Errors (June 2022)
- 7. File D2 Reporting Primary Place of Performance Data (February 2022)
- 8. Files A B C Validation Codes v7 (November 2020)
- 9. FileZilla FTP DropBox Submission Instruction
- 10. WinSCP FTP DropBox Submission Instruction
- 11. Agency Shared Mailbox Setup & Tips (July 2021)
- 12. File D2 -Reporting to Protect PII
- > File D2 Reporting Record Type 1 Aggregated Awards (July 2021)
- > File D2 Reporting Record Type 3 Pil Redacted Awards (July 2021)
- 13. File D2 Reporting a Change in Award Funding (January 2020)
- 14. File D2 Deleting Records from USAspending (January 2020)
- 15. Accessing Certification and Error Reports in FMMI HANA (June 2022)
- 16. Safely Open .CSV to Excel (January 2021)
- 17. File D2 Tracking Checklist (May 2021)
- 18. Importance of Timely D2 Reporting (January 2022)
- 19. How to Find Special Characters in D2 files (January 2022)
- 20. How to Look up multiple FAINs on USAspending.gov (January 2022)
- 21. How to Request a New Office Code (January 2022)
- 22. DUNS to UEI Crosswalk (April 2022)
- 23. Go to Authoritative Sources (including direct links to city/county dafasets)

USDA DATA Act Job Aids and Frequently Asked Questions (FAQs)

- 1. USDA DATA Act FAQs (Updated September 2022)
- 2. USDA DATA Act Dashboard User Guide
- 3. Job Aid Entering Award ID on Manually-entered FMMI Documents per CFO Bulletin 17-02
- 4. ServiceNow User Guide



USDA DATA Act Resources for Web

The <u>Federal Resources</u> section provides access to OMB Memoranda and Controller Alerts and Treasury's reporting guidance, FAQs, and a links to Authoritative Sources for certain data.

OMB DATA Act Guidance and Policies

- 1. OMB Memo 15-12 Increasing Transparency of Federal Spending by Making Federal Spending Data Accessible Searchable and Reliable (May
- 2. Controller Alert: DATA Act Implementation and Offices for Financial Assistance Awar
- 3. OMB Memo 17-04 Additional Guidance for DATA Act Implementation: Further Requirement
- MPM 2016-03 OMB Management Procedures Memorandum Additional Guidance for DA Reporting Federal Spending Information (May 3, 2016)
- Federal Spending Transparency General Resources on MAX.gov This page contains in progress reporting and links to policy, legislative, committee, and implementation document
- 6. OMB Federal Spending Transparency Data Standards DATA Act Standard Data Elemen
- 7. Controller Alert: Acknowledging Inconsistent Records for a Subset of Public Financia
- 8. Federal DATA Act Digest (Dated pre-FY19) (URL Log in via MAX)
- 9. OMB Memo 20-21 Implementation Guidance for Supplemental Funding Provided in Respo
- 10. OMB Controller Alert: Financial Assistance Award Description Data Quality (August 2
- 11. OMB Memo 22-02 New Financial Assistance Transparency Reporting Requirements (
- 12. OMB Controller Alert: FSRS with example (December 2020)

DATA Act Federal Reporting Requirements

- 1. Federal GTAS and DATA Act Reporting Schedules (FY23 version. Downloads as Excel file)
- 2. DAIMS Online Data Dictionary
- 3. Current DATA Act Information Model Schema (DAIMS)

The following documents are available:

- > DAIMS Practices and Procedures
- DAIMS Reporting Submission Specification (RSS)
- > DAIMS Validation Rules
- > DAIMS Interface Definition Document (IDD)
- > DAIMS Information Flow Diagram (Data flow from agency to USAspending.gov)

Authoritative Sources and Frequently Asked Questions (FAQs)

- 1. USAspending FAQ
- 2. Authoritative Sources per MPM-2016-03 Section B (URL page 6)
- 3. City Codes See "Census Codes" field
- 4. County Codes See "County Numeric" field
- 5. Country Codes Report data as "IISA" for IIS, territories and freely associated state



File D2 Error & Value Workbook

Agencies that report File D2 data should take advantage of the <u>Error and Value Workbook (E&V)</u> found on the Resources page. It contains essential D2 file information sorted on a variety of tabs and is a significant help when creating an accurate file. The E&V is updated at least annually, typically when Treasury releases a fresh set of requirements or changes to reporting processes. TARD notifies agencies when a new version is released and uploaded to the Resources web page.

Change Log D2 reporting	D2 Template v2.1	D2 Field Specs GSDM v1.0	Rqmts per RecordType	PPOP Specs	Field Values	Office-Subtier	Authoritative Sources

Change Log	A record of the changes made to this document over time.		
D2 Reporting	An overview of the D2 reporting process		
D2 Template	The layout of a D2 file which can be used when preparing a file		
D2 Field Specs	A listing of data elements and how each should be reported		
Requirements per Record Type	Compares how data elements are reported for each record type		
PPOP Specs	A key to reporting Primary Place of Performance data elements		
Field Values	Values which are allowed for various data elements in D2		
Office – SubTier	Listing of USDA Agency SubTier and Office Codes		
Authoritative Sources	Online locations to find correct data for specific fields.		
DATA Act Acronyms	Listing of commonly used acronyms		



File D2 Error & Value Workbook ~ samples

BASIC OUTLINE OF AGENCY RESPONSIBILITEIS Aug, Nov) **D2** Reporting tab The agency should outline detailed information within the statement regarding any known issues affecting data quality. Agency records will not be submitted to USAspending gov without an SAO signed Assurance statement. D2 File Submissions Agency files are due to the agency DropBox twice each month on the 2nd & 17th. The files are processed at 5:30 am on the 3rd & 18th. **Field Specs tab** Required/ Optional Data Element Field Name Definitions 33 FABS: Required The number assigned to an Assistance Listing in the Catalog of Federal CFDA NUMBER 84.047 Domestic Assistance (CFDA) and SAM.gov. 34 FABS: Conditional per Validation Rule. A numeric code indicating where the predominant performance of the Required for RecordTypes 1 and 2. PrimaryPlaceOfPerformanceCode award will be accomplished **OOFORGN** RecordType 3 Must be blank Country code where the predominant performance of the award will be 35 FABS: Conditional per Validation Rule. accomplished. Required for RecordTypes 1 and 2. PrimaryPlaceOfPerformanceCountryCode Requirements per Record Type **RECORD TYPE 2** DATA ELEMENT FIELD RECORD TYPE 1 **RECORD TYPE 3** tab Use label format on previous tab when * See DAIMS RSS fc ▼ See DAIMS RSS for further See DAIMS RSS for further Awardee Or Recipient Legal Entity Name MUST BE: "Multiple Recipients" Required MUST BE: "Redacted due to PII" Awardee Or Recipient DUNS Blank. Field will be ignored by I Blank Blank **PPOP Specs tab** PRIMARY PLACE OF PERFORMANCE CODES AND REPORTING REQUIREMENTS See also Appendix B of the DAIMS Practices and Procedures document. Note: XX is USPS code for the state or territory, such as TX or PR. Type of Performance **PPOP Code** Corresponding PPOP Zip+4 data Corresponding PPOP Congressional District data FOREIGN Must be blank 00FORGN Must be blank MULTIPLE STATES 00**** Must be '90' (multiple congressional districts) Must be blank Must be blank '90' for multiple congressional districts '00' for US At Large States XX**** STATEWIDE '98' for DC and locales with non-voting delegates '99' for locales with no congressional delegate



File D2 Error & Value Workbook ~ samples

Field Values tab

Domain Name	Code	Description	
rilliary riace of renormance country code	Code	Description	
RECORD TYPES		·	
Record Type	1	Only for reporting multiple PII recipients <u>aggregated</u> at county or state level or for foreign countries	
Record Type 2		Most common record type for financial assistance awards	
Record Type	3	Award to Individual (as defined in 2 CFR Part 25) with PII redacted	
ACTION TYPES			
Action Type	Α	NEW Assistance Award	
Action Time	В	Continuation: Funding in succeeding budget period which stemmed from prior agreement to fund amount of	
Action Type		the current action.	
		Revision: Any change in Federal Government's financial obligation or contingent liability in existing	
Action Type	С	assistance transaction amount of the change in funding; or any change in Recipient Name, Recipient	
		Address, Project Period or Project Scope	
Action Type	D	Funding adjustment to a completed project	
ASSISTANCE TYPES			
Assistance Type	02	block grant (A)	
Assistance Type	03	formula grant (A)	

Office-SubTier tab

Agen 🕆	SubTie ▼	AAC ~	OFFICE NAME
AMS	12K2	122532	Trade Mitigation Program Eligible Recipient Agency Operation Funds
AMS	12K2	124965	Regional Food System Partnerships
AMS	12K2	127289	Dairy Business Innovation Initiatives
AMS	12K2	12342A	Market News

Authoritative Sources tab

AUTHORITATIVE SOURCES PER DAIMS PRACTICES AND PROCEDURES v2.1

SAM.GOV IS AUTHORITATIVE SOURCE FOR:

- Legal Entity (recipient) information, such as Name, Address, DUNS or UEI, and dates of registration.
- Agency SubTier Agency Codes and Agency Office Codes are part of the Federal Hierarchy data on SAM.gov.
 Source for SubTier Agency Codes: https://files.usaspending.gov/reference-data/agency-codes.csv (SUBTIER COD For Office Code questions: Contact Fransi.Dunagan@usda.gov with all Office Code questions.
- CFDA/Assistance Listing information can be downloaded from SAM.gov Data Services: https://sam.gov/data-services/



FMMI HANA Management Reports

Agencies must track the File D2 records from submission to USAspending.gov. One part of this tracking is to watch for which records were submitted vs those records which were rejected at USAspending.gov. There are two helpful HANA Management Reports in FMMI (https://portal.fms.usda.gov) for finding a list of records submitted and the errors identified at USAspending.

The **Data Act D2 Inbound and Outbound File Status Report** is used to locate a copy of the records that were submitted to USAspending.

Data Act - D2 Inbound and Outbound File Processing Status Report

This report will provide agencies with processing status of the inbound and outbound files Treasury

The **Data Act D2 Broker Error and Warning Report** advises agencies of records which were rejected at USAspending due to an Error. Records which have been marked with an "E" in column G, must be corrected and resubmitted in the next reporting window. Records with a "W" in column G have been published to USAspending.

Data Act - D2 Broker Error and Warning Report

This report will provide agencies with the details of the FABS errors and warnings that are Treasury. Agencies can then identify the records that have failed FABS validation.



Treasury's Data Transparency site

Treasury's <u>Data Transparency site</u> is the official location for all DATA Act guidance and reporting requirements. The site provides access to the Governmentwide Spending Data Model (GSDM formerly called DAIMS) consisting of documents such as *DATA Act Practices and Procedures (P&P)* and *Reporting Submission Specifications (RSS)* as well as the current reporting schedule and information on the architecture and access to the GitHub open-source coding behind the reporting, validation, and publication processes.

Official DATA Act guidance:

GSDM (Governmentwide Spending Data Model).

These documents advise federal agencies about what data to report, where to get the data, and how to format and submit.

- Practices and Procedures (P&P)
 General practices and procedures for preparing, validating, and submitting data to the Data Broker
- Reporting Submission Specification (RSS)

 Spreadsheet with data elements, metadata, and instructions needed to ensure data is reported in the appropriate file format.
- Validation Rules
 Spreadsheet that describes the rules applied to submitted data to ensure high data quality. Also used for cross-file validations.
- Interface Definition Document (IDD)

 Spreadsheet describing how Treasury gathers additional data from governmentwide systems. Agencies are not required to submit these data.







USAspending.gov ~ Overview

The DATA Act requires publication of federal award data to USAspending.gov for public view. The website provides profiles of agencies and recipients, specific award details, and data analysis with nice charts and graphs.

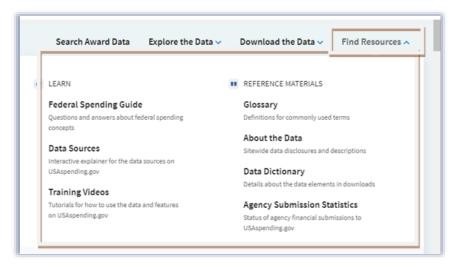
<u>Recipient and Agency Profiles:</u> Summaries of federal funding received by entities and distributed by agencies.

<u>Specific award information:</u> Display of specific award data, including the purpose and beneficiaries as well as recipient and funding details. *Example*: USDA's Rural Development granted \$100,000 to a rural community in Nebraska (Recipient) to update a water treatment plant (Purpose) to support small business and ensure residents' health (Beneficiaries).

<u>Data Analytics:</u> Visual renditions of data are presented within most pages on the site. Selecting "Explore the Data" from the top menu to view a variety of data analytics.

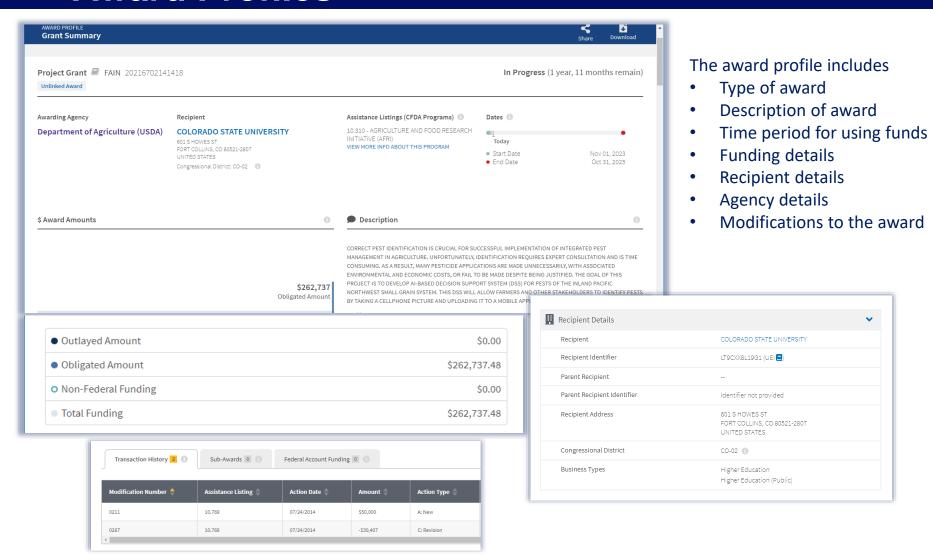
<u>Access to Resources:</u> Helpful information, such as Glossary, Data Dictionary, and Training Videos can be accessed using "Find Resources" option on the top right side of site menu.







USAspending.gov ~ Award Profiles



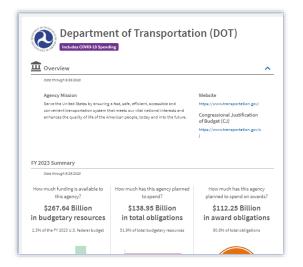


USAspending.govRecipient and Agency Profiles

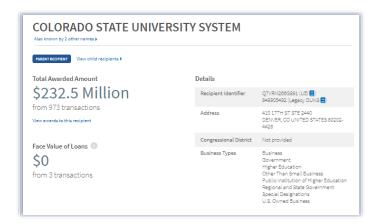
Within the "Profiles" list accessed from "Explore the Data" menu, one can view

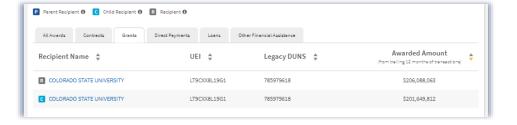
Award Spending for each Agency





Award funding received by specific recipients







USAspending.govData Analytics

Within the "Search Award Data", one can search using location parameters to see a map with hover points to view data related to that location. The search results provide several tabs for different views.

Within the Spending Explorer accessed from "Explore the Data" menu, one can review spending statistics by

Agency and Budget.



Show on Map

Total Spending

Less than \$12B

\$12B to \$23B \$23B to \$35B \$35B to \$47B

\$47B to \$58B

More than \$58B

O Per Capita Spending

CA-11

\$65,985,179,937

Total Obligations

Nicaragua

Panama



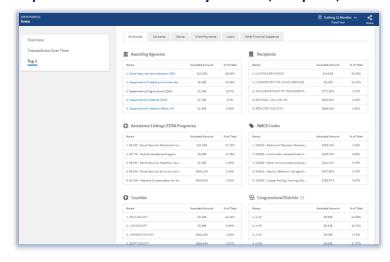
USAspending.govData Analytics

Explore The Data area offers visualizations of federal fund distribution, such as these data for Iowa.

Overview with data tables and mapping



Top 5 events broken down by location, recipient, and source



Transactions over Time



