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

USDA DATA Act File A Standard Operating Procedure

November 6, 2020

Table of Contents

Table of Figures

Table of Tables

Previous Change History

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

Version	Date	Author	Comment
1	3/19/2018	Deloitte	Initial draft version
2	11/06/2020	FMS	Updated overall document by FMS BI team on 11/06/2020
3	01/07/2022	TARD	Corrected broken links. Added links to documents that are now on DATA Act Resource page

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

The DATA Act File A, Appropriations Account Detail report is generated monthly according to the Governmentwide Treasury Account Symbol Adjusted Trial Balance System (GTAS) timelines for agency review and submitted to Treasury quarterly. It is created based on the SF-133 data and is extracted directly from GTAS into the USDA DATA Act Repository (SAP HANA) (Repository) via the File Transfer Protocol (FTP) Financial Management Modernization Initiative (FMMI) Dropbox and the BW Server (SAP Business Intelligence (BI)). This same process takes place for all USDA agencies (FMMI users and non-FMMI users) and Federal Shared Service Provider (FSSP) clients. 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 each quarter. This file's Treasury Account Symbol (TAS) components should balance with the SF-133. The TAS components in File A should exist in File B and vice versa.

2.1 Data Elements

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

Table 1: File A, Appropriations Account 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.
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.

Element Order	Data Element Label	Definition
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	Budget Authority Unobligated Balance Brought Forward FYB	The definition for this element appears in Appendix F of OMB Circular A-11
09	Adjustments To Unobligated Balance Brought Forward CPE	The definition for this element appears in Appendix F of OMB Circular A-11
10	Budget Authority Appropriated Amount CPE	The definition for this element appears in Section 20 of OMB Circular A-11
11	Borrowing Authority Amount Total CPE	The definition for this element in Section 20 of OMB Circular A-11
12	Contract Authority Amount Total CPE	The definition for this element appears in Section 20 of OMB Circular A-11
13	Spending Authority From Offsetting Collections Amount Total CPE	The definition for this element appears in in Section 20 of OMB Circular A-11
14	Other Budgetary Resources Amount CPE	The definition for this element appears in Section 20 of OMB Circular A-11
15	Budget Authority Available Amount Total CPE	The total amount of all obligation budget authority including unobligated balances carried forward, adjustments to unobligated balances carried forward, appropriated amounts, and other budgetary resources, as of the reported date.
16	Gross Outlay Amount By TAS CPE	The definition for this element appears in Section 20 of OMB Circular A-11
17	Obligations Incurred Total By TAS CPE	The definition for this element appears in Appendix F of OMB Circular A-11
18	Deobligations Recoveries Refunds By TAS CPE	The amount of downward adjustments to obligations and outlays resulting from deobligations, recoveries, or refunds collected, summarized at the TAS level. The adjustments are to the obligations and outlays which were made in a prior year.
19	Unobligated Balance CPE	The definition for this element appears in Section 20 of OMB Circular A-11
20	Status Of Budgetary Resources Total CPE	This element addresses the status of budgetary resources and includes the total of obligated and unobligated balances, at the reported date. The value should equal the Budget Authority Available Amount Total for the TAS at Current Period End.

For a detailed list of the File A data elements, see the DAIMS RSS file link 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 A data extracted from GTAS. Please refer to the USDA DATA Act Repository Validation Codes which are available on the USDA DATA Act Resources Webpage to see a complete list of the Treasury validation rules for the File A that is processed through the repository.

3. File A Reporting Process

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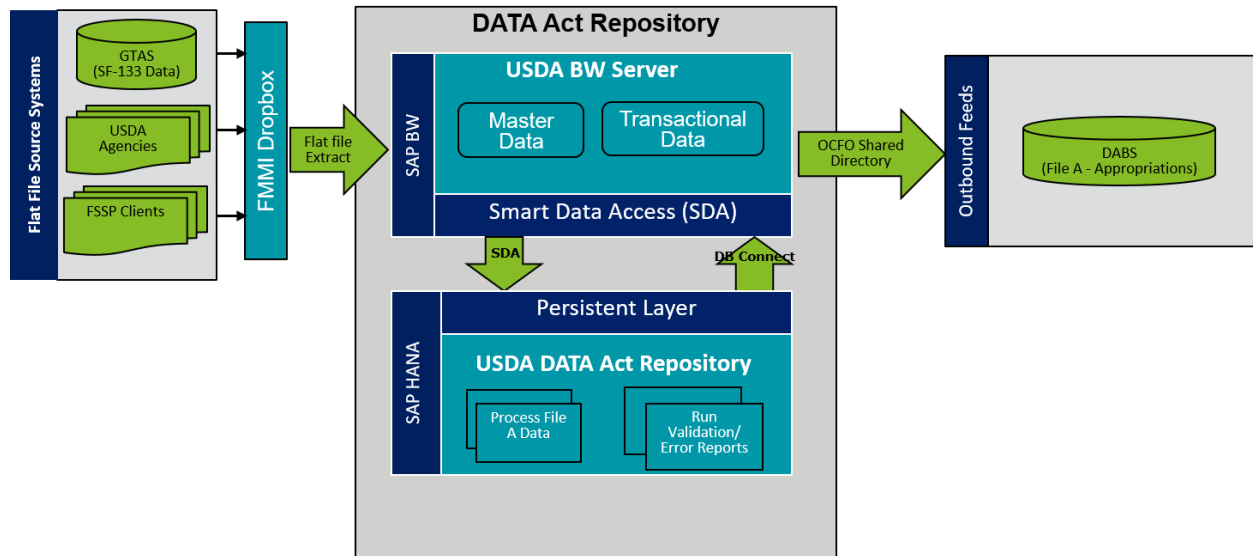

Figure 1: USDA DATA Act File A Systems Process Map

3.1 File A Data Process

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

3.1.1 GTAS Extractions

On the 20th of each month, a bulk file is extracted from GTAS containing the SF-133 report data, for all USDA Agencies (FMMI and non-FMMI agencies) and FSSP clients. The Office of the Chief Financial Officer (OCFO) External Services Branch (ESB) team is responsible for pulling the USDA bulk files. The ESB team member who extracts those bulk files must have access to all of USDA's TAS'. The Pegasys Financial Services, Technical Services Division team is responsible for pulling the FSSP clients files. It is important to note that when a new agency is added to the DATA Act Repository, two files must be added

at the same time. One for the last period of the previous fiscal year and one for the current reporting period of the current fiscal year data. Moving forward the past fiscal year data will live in the repository and will automatically be used in future reports.
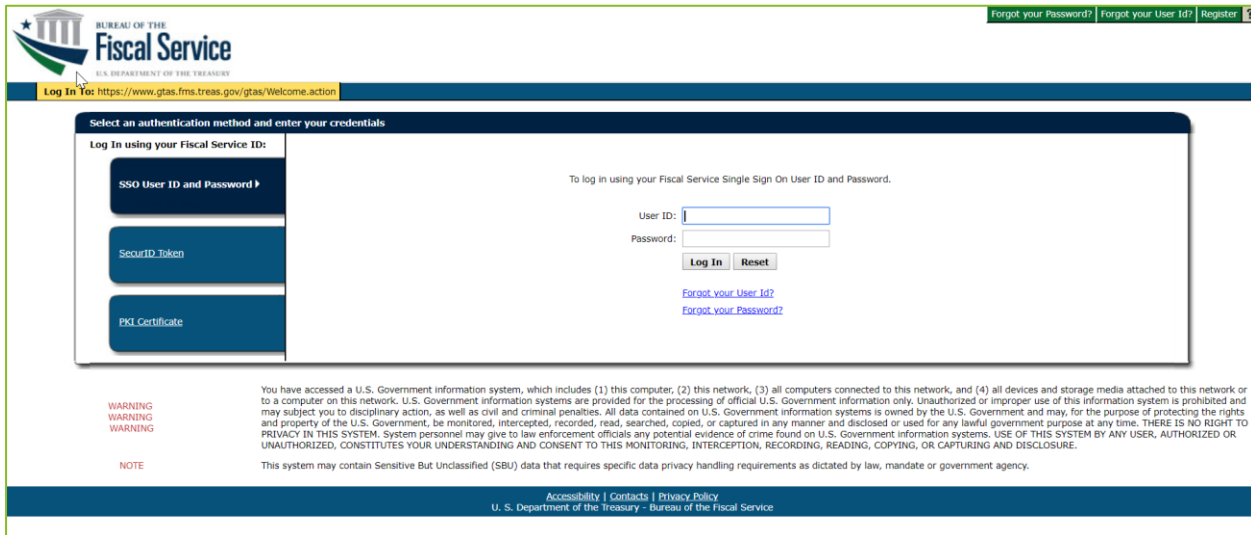
1. Go to the GTAS homepage and login:

Figure 2: GTAS Homepage

2. Access SF-133 data and extract into a bulk flat file. One bulk flat file will be extracted for USDA, while a separate file will need to be pulled for each FSSP client.

3.1.2 OCFO FMMI Dropbox

Once the SF-133 data has been extracted from GTAS for both USDA agencies and FSSP clients, the bulk file should be submitted to the FMMI Dropbox via FTP. Instructions for the FMMI Dropbox file preparation have been included below:

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

   a. Configure your drop box to push the files to the Financial Management Service (FMS) server.

   b. Contact Larry Bounds at larry.bounds@nfc.usda.gov or the FMMI Interface (Process Integration) Team at fmmiinterfaceteam@nfc.usda.gov for assistance with setting up your drop box connection to push file to FMS.

2. Ensure correct naming convention SF133_<999>_<YYYYPP>.txt is used when submitting your flat files on FMMI Dropbox, e.g. SF133_012_201709.txt where '012' is an agency ID and 201709 is the FY and period for which file is generated.

There are 2 options available to submit your flat files on FMMI Dropbox: FileZilla or WinSCP. The detailed instructions for each option are listed below:

3.1.2.1 FileZilla Submission Instructions

This section includes submission instructions using FileZilla.

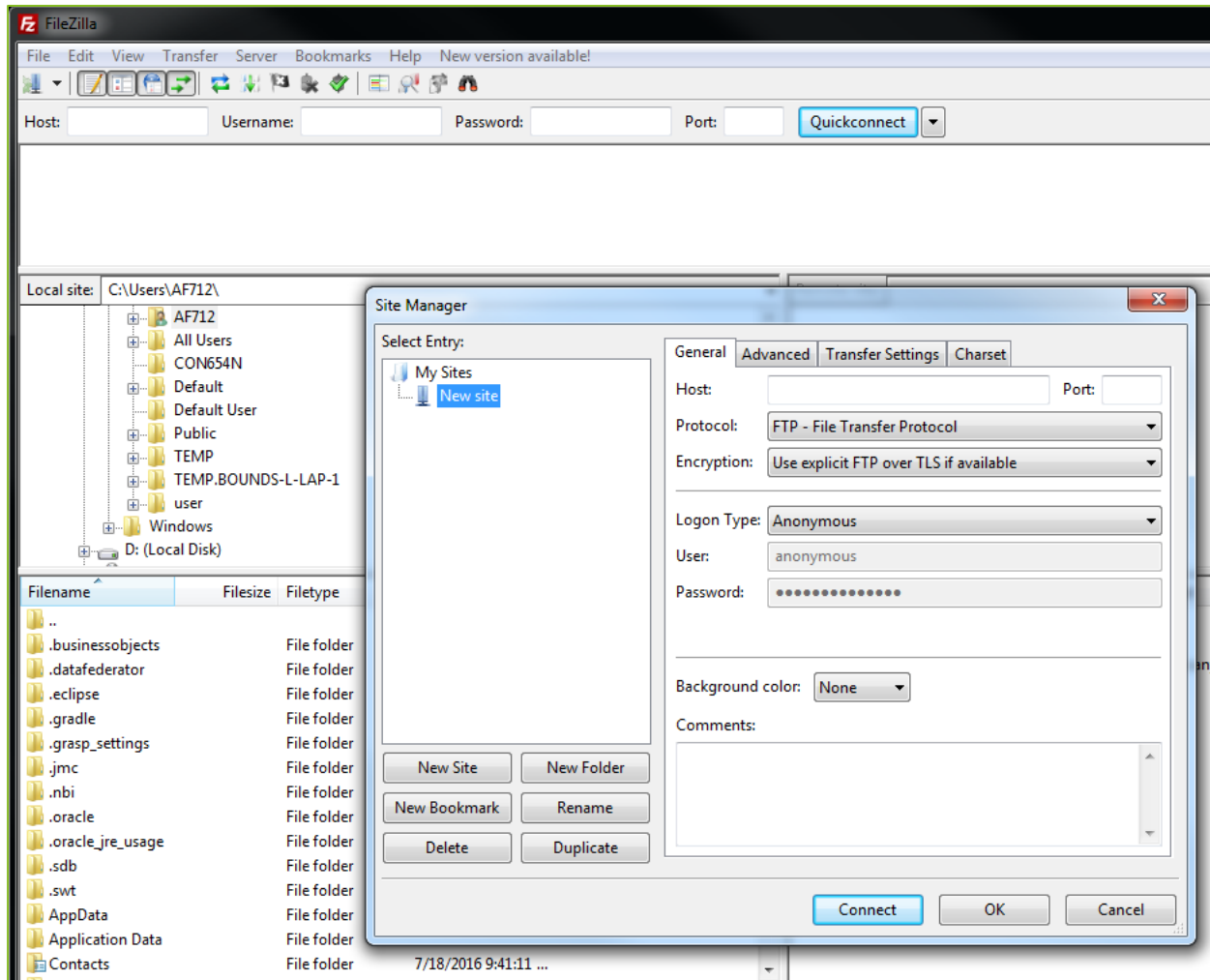1. Open FileZilla, click on File, Site Manager, and New Site.

Figure 3: 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)
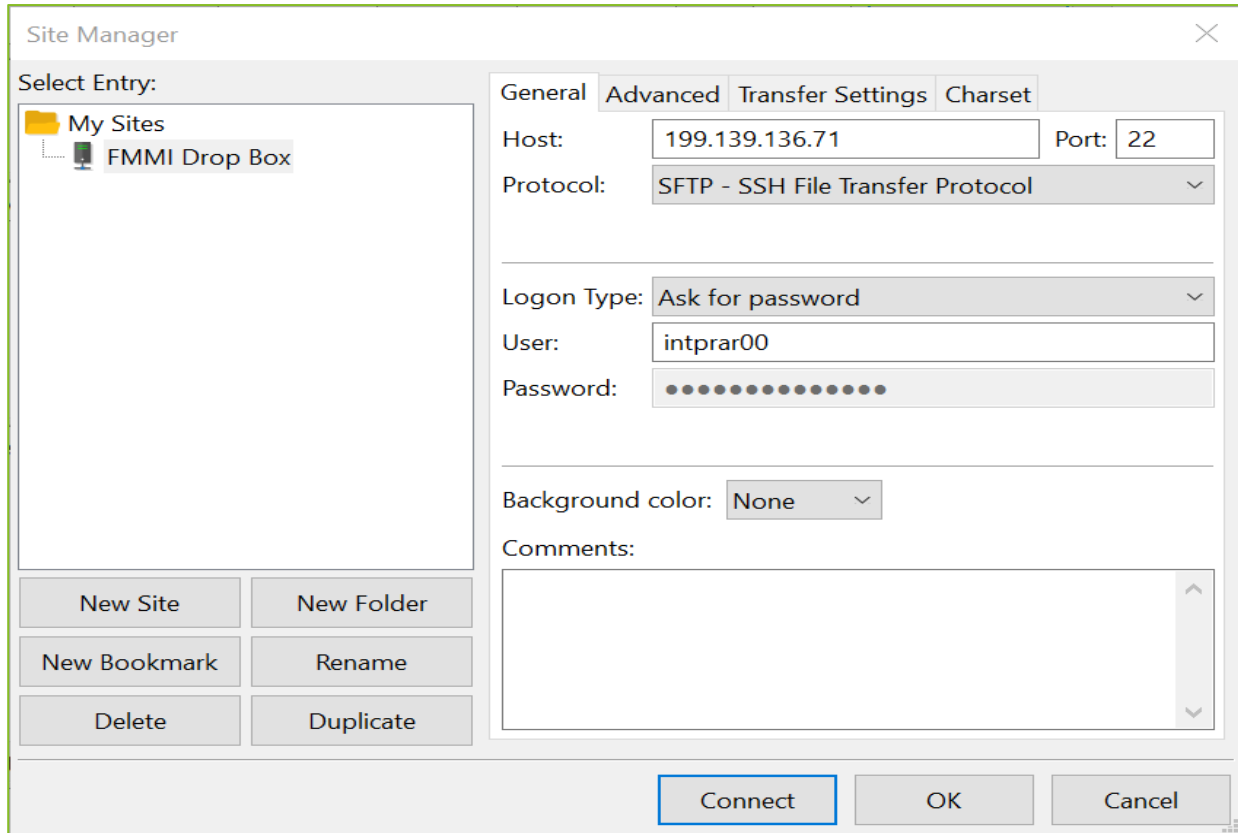
Figure 4: FileZilla Site Manager

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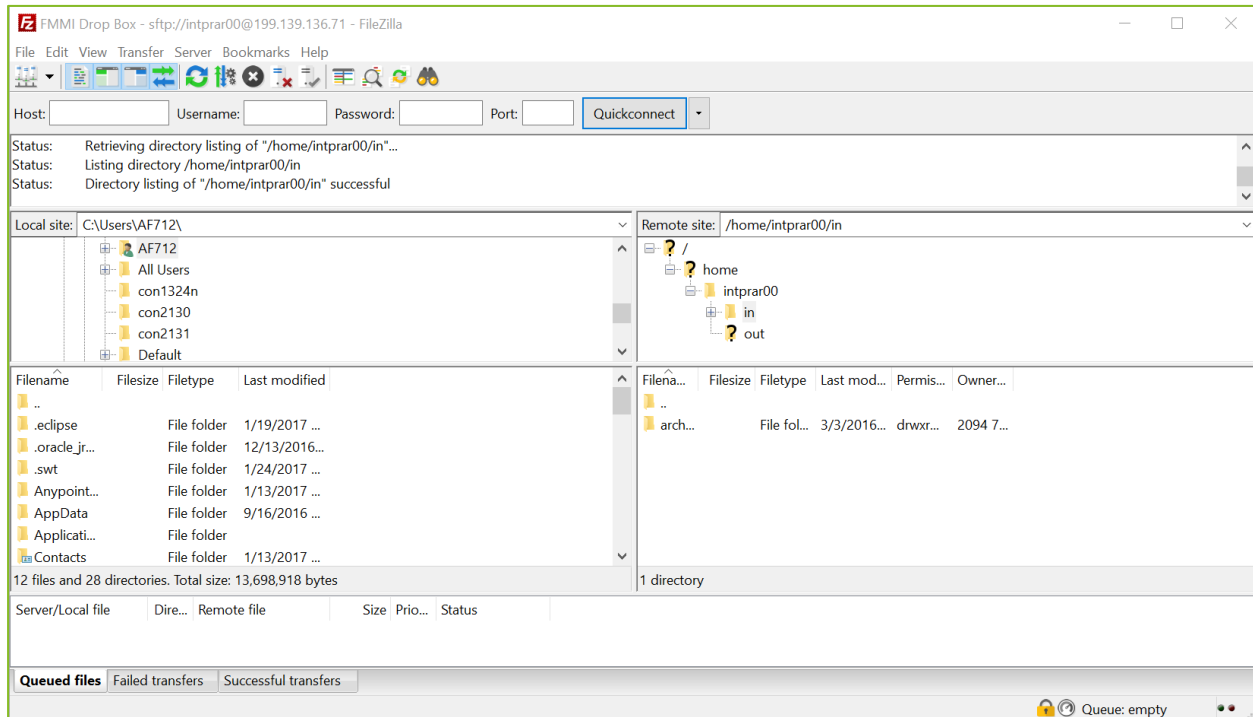

Figure 5: FileZilla FMMI Dropbox

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.

3.1.2.2 WinSCP Submission Instructions

This section includes submission instructions using WinSCP.
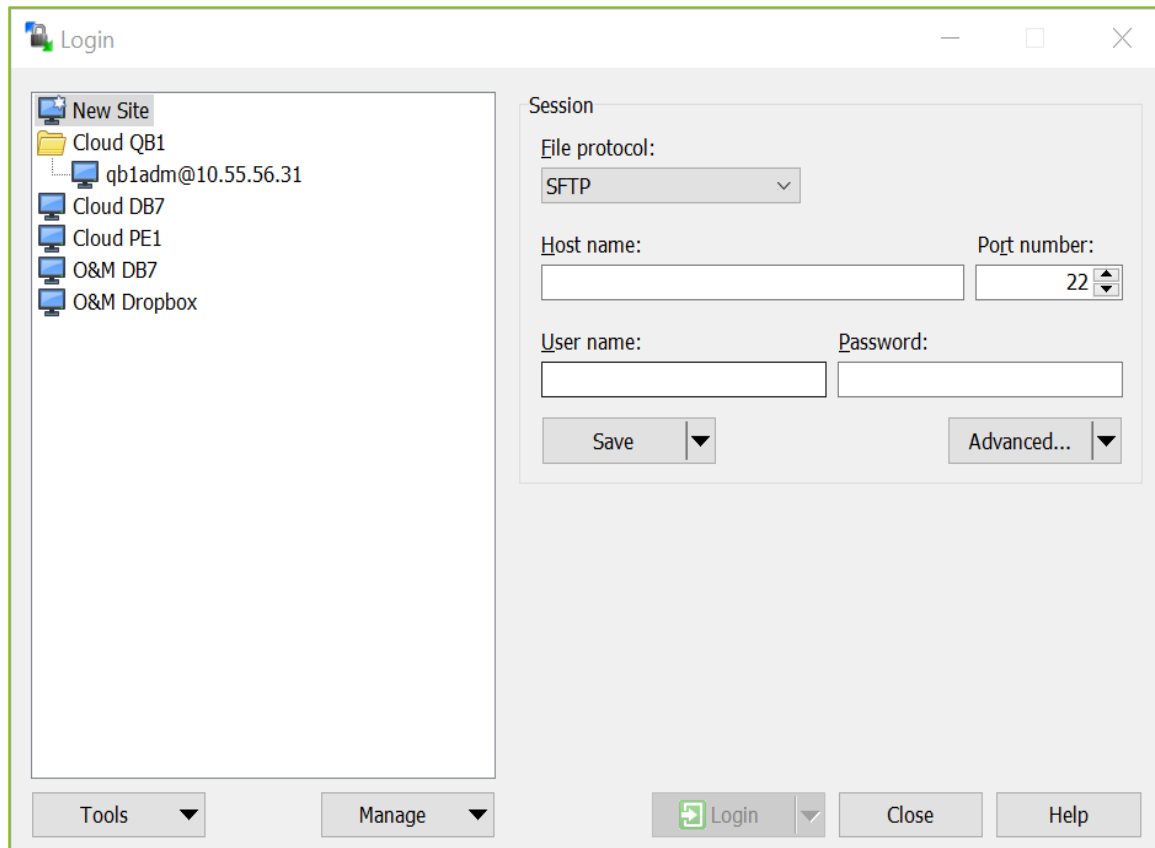
1. Open WinSCP, click on "New Site" on the left-hand side.

Figure 6: 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)
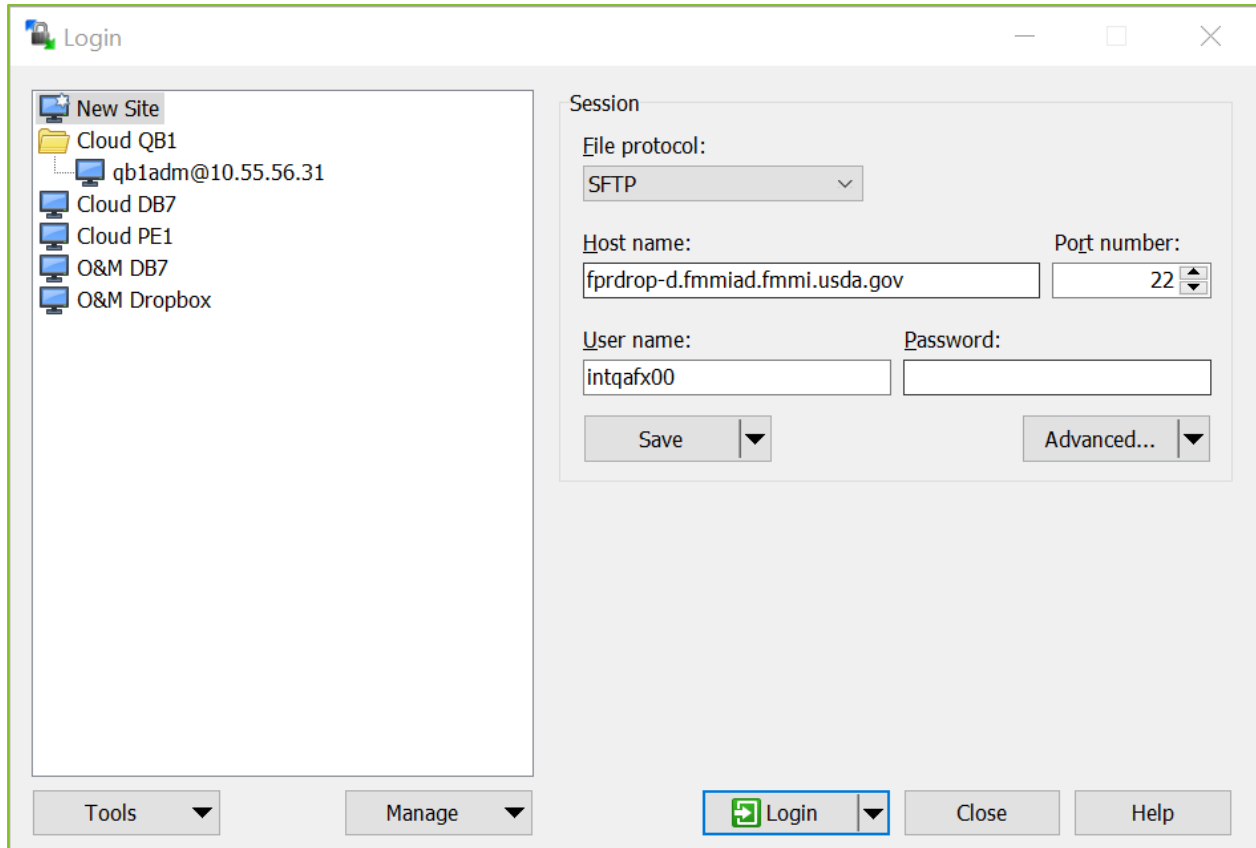
Figure 7: WinSCP Home Page Example

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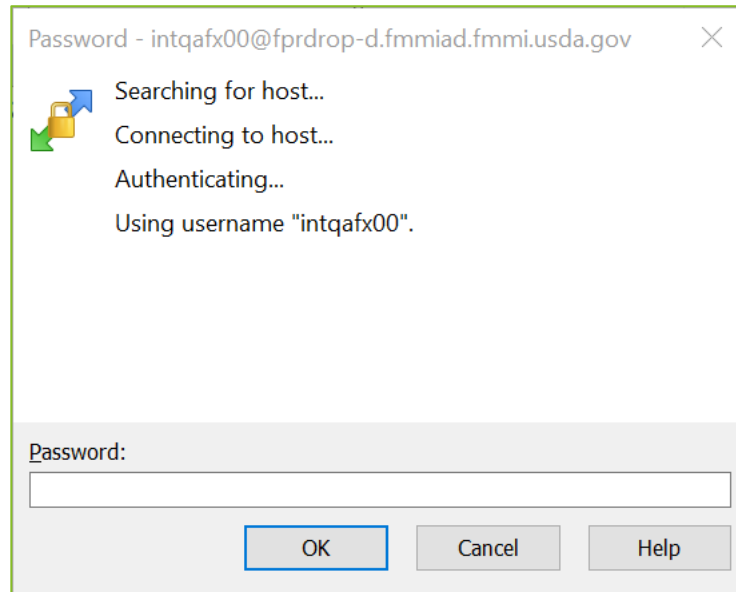

Figure 8: WinSCP Login

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.
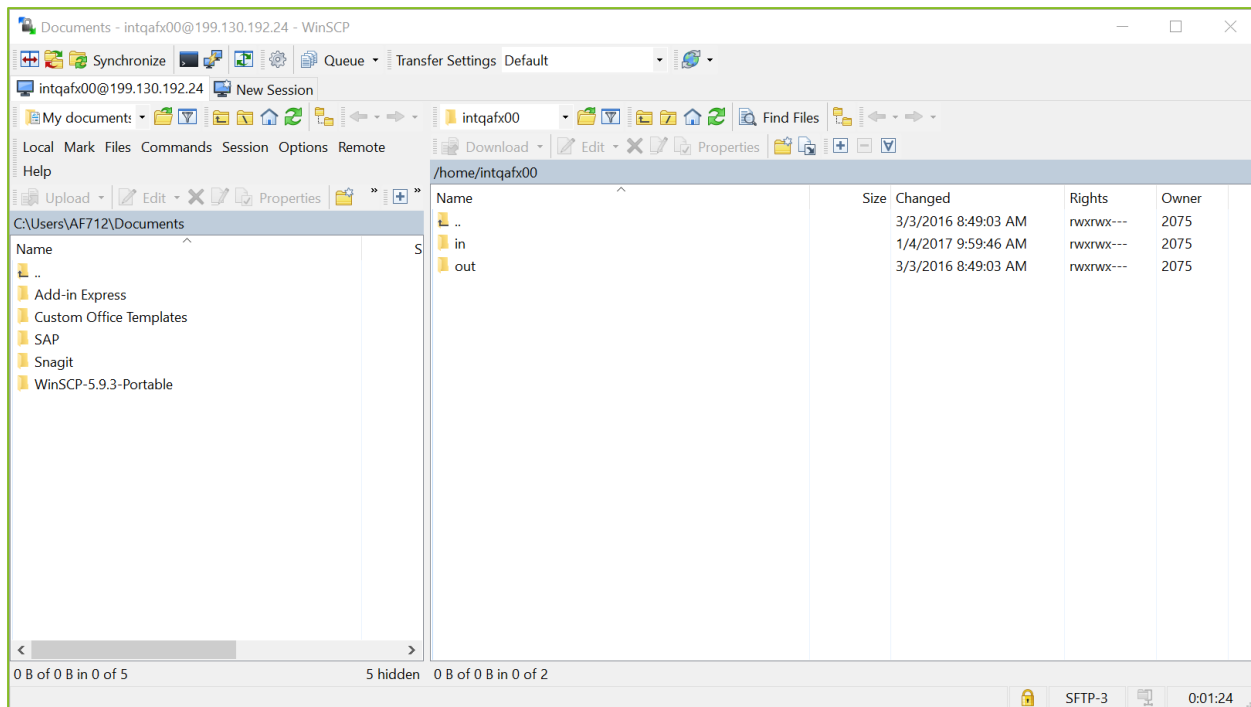

Figure 9: WinSCP FMMI Dropbox

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.

3.1.3 USDA DATA Act Repository

As soon as the SF-133 flat file is downloaded on 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 OCFO BI team. The BI team initiates the next process, moving the data from the BW Server to the DATA Act repository. A validation then runs to ensure that the data is for the correct time frame.

1. Confirm SF-133 report file(s) 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 SF-133 Report File(s) (File begins with SF133_ Example: SF133_FY2018_Period_03.txt).

        i. /sapmnt/PB7/EAIData/INT/DATA_ACT/OTHR/inbound

2. Process the SF-133 file(s) into the HANA DA_SF133_TARGET TABLE.

    Run the following sequence of steps in order of each SF-133 file to be processed i.e. process one file in BI and then in HANA before processing the next file.

    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 SF133 Load".
    c. Schedule (execute) the process chain "Data Act SF133 Load" and confirm it successfully completed.

d. Identify the SF-133 file just processed by right clicking on the second step in the chain titled "System Command – Rename and archive data file" and selecting "Displaying Messages…". Within the message displayed look for the file processed. For example "File SF133_FY2018_Period_03.txt exists".

e. In SAP HANA Studio, under System PE1, execute the following statement:

Call "USDA"."DA_SF133_DATA_V3" (?);

f. Confirm the SF-133 file was loaded into the HANA DA_SF133_TARGET table by executing the following statement and check for the matching fiscal period. For example, in the results set you should see a line for TAS_AID: 012 and TAS_FISCYRPR: 2018003.

Select distinct (TAS_AID), TAS_FISCYRPR from "USDA"."DA_SF133_TARGET"

Order by tas_aid, TAS_FISCYRPR;

Run the sequence of steps in order again if more SF-133 files are to be processed.

3. Confirm Files A, B, and C inbound file(s) 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

4. Process File A (Appropriations)[1]

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)	

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[1] Files B and C must run the Process Chain Management procedure prior to Step 4.

3.1.4 Error Handling

An error report is run and analyzed by the BI team before submission to DABS. Most errors occur due to user access issues or missing prior year end balances. An email notification regarding error handling and the error report is then sent from the BI team, to the Agencies, FMS Help Desk, and DATA Act Team. The error report in this email notification for File A is for informational purposes only, no action is needed by the agencies.

The error handling email notification will contain a workbook in the excel file format with one tab as follows:

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

The FMS Help Desk will create a Service Request ticket in the Service Now System and assign the ticket to the Agency Shared Mailbox. Transparency and Accountability Reporting Division (TARD) will track this ticket in the USDA DATA Act ServiceNow Tracker.

3.1.5 DABS Submission

If no errors have been found during the validation in the DATA Act repository, the File A is ready to be submitted to DABS[2].

1. The OCFO BI team pulls the File A report from the BW Server and drops it into the OCFO Shared Directory.
2. The OCFO BI team pulls the File A report from the OCFO Shared Directory and drops the file in the DABS site.
   a. The user will go through several screens guiding the data through a process, running validations and looking for errors to complete the submission process.
   b. Once the user lands on the last page of the submission process, the user will be asked to select a USDA Certifier[3] to certify the file submission.

3.1.6 Certification

Once the File A data has been entered into DABS, an email is sent from the OCFO 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, alerting 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 can be granted.

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[2] DATA Act Files A, B, and C must be submitted to DABS as one package.

[3] The USDA Certifier cannot be the same person that entered the File A into DABS.

From: Majoue, Clifton -OCFO-FMS, New Orleans, LA
Sent: Wednesday, February 14, 2018 1:30 PM
To: Moaney, Lynn - OCFO, Washington, DC <Lynn.Moaney@cfo.usda.gov>; Whitney, Tyson - OCFO, Washington, DC <Tyson.Whitney@cfo.usda.gov>; Clanton, Mike - OCFO, Washington, DC <Mike.Clanton@cfo.usda.gov>; McMichael, Stanley - OCFO, Washington, DC <Stanley.McMichael@cfo.usda.gov>; Staton, Christopher - FSA, Washington, DC <Christopher.j.Staton@wdc.usda.gov>; Leger, Matthew - OCFO-FMS, New Orleans, LA <Matthew.Leger@cfo.usda.gov>; Connolly, Linda - OCFO-FMS, New Orleans, LA <LINDA.CONNOLLY@cfo.usda.gov>
Cc: Robertson, Ella - OCFO-FMS, New Orleans, LA <ELLA.ROBERTSON@cfo.usda.gov>; Gros, Ron - OCFO-FMS, New Orleans, LA <RON.GROS@cfo.usda.gov>; Giorlando, Joseph - OCFO-FMS, New Orleans, LA <JOE.GIORLANDO@cfo.usda.gov>; Williams, Rachel - OCFO-FMS, New Orleans, LA <RACHEL.WILLIAMS@cfo.usda.gov>
Subject: Data Act 1st Quarter FINAL Processing Status 02-14-18

Good Morning,

The team has completed its final refresh of the repository; we submitted USDA's File A, B, C to the broker for pre-validation. Please note, the files have not been certified. I have attached both the DATA Act Status Report (USDA & FSSP) and Broker Warning Reports for your review. Additionally, all commission files have been provided to FSSP.

The files are awaiting certification at the Broker. **Please confirm if certification is granted.**

**As reflected in the attached "DATA Act Status" spreadsheet, there are critical failures in the repository. These errors were not passed on to Treasury.

Broker Files: Pre-validation successful.

File A: Appropriation	File Size: 71.17 KB	Lines in File: 577	
Warnings: **93**	Critical Errors: **0**		FMMI.USDA.DA.APPRO_20180214_080419.txt File validated with warnings
View & Download Warnings Report ∨			

File B: Program Activity & Object Class Data	File Size: 3.29 MB	Lines in File: 13607	
Warnings: **1882**	Critical Errors: **0**		FMMI.USDA.DA.PA_20180214_080444.txt File validated with warnings
View & Download Warnings Report ∨			

File C: Award Financial	File Size: 52.71 MB	Lines in File: 218274	
Warnings: **916**	Critical Errors: **0**		FMMI.USDA.DA.AF_20180214_080642.txt File validated with warnings
View & Download Warnings Report ∨			

Figure 10: Certification Request Email Example

3.1.7 Assurance

In addition to the certification provided by OCFO leadership, an Assurance Statement is distributed to all of the agencies via an email sent from OCFO TARD, 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. See *CFO Memo – DATA Act Quarterly Assurance Process* which is available on the USDA DATA Act Resources page: USDA DATA Act Quarterly Assurance Statement.

Figure 11: Assurance 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
SF 133, Report on Budget Execution and Budgetary Resources	Section 130 of OMB Circular A-11
OMB Circular A-11, Appendix F, Format of SF-132, SF-133, Schedule P and Statement of Budgetary Resources	Appendix F of OMB Circular A-11
OMB Circular A-11, Section 20, Terms and Concepts	Section 20 of Circular A-11
DATA Act Information Model Schema (DAIMS)	DAIMS: See DATA Act *Practices and Procedures* & *Reporting Submission Specifications*
USDA OCFO Error Codes for DATA Act Files A, B, & C	Files A B C Validation Codes
USDA DATA Act Quarterly Assurance Statement	CFO Memo - DATA Act Quarterly Assurance Process
DATA Act Contact List	OCFO DATA Act TARD Contacts

Appendix B: Acronym List

BI: Business Intelligence

DABS: DATA Act Broker Submission

DAIMS: DATA Act Information Model Schema

DATA Act: Digital Accountability and Transparency Act of 2014

ESB: External Services Branch

FABS: Financial Assistance Broker Submission

FMMI: Financial Management Modernization Initiative

FMS: Financial Management Services

FSSP: Federal Shared Service Provider

FTP: File Transfer Protocol

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

PIID: Procurement Instrument ID

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

Treasury: U.S. Department of the Treasury