



# **USAspending.gov Sub-Award Reporting Data Quality Plan**

*November 16, 2010*

## Revision Sheet

<b>Version No.</b>	<b>Date</b>	<b>Revision Description</b>
Draft Version 13	28 Oct 2010	Incorporated OMB OFPP & OFFM edits.
Draft Version 14	28 Oct 2010	Added link to FSD, updated TOC and page numbers
Draft Version 15	04 Nov 2010	Incorporated Agency Feedback
Draft Version 16	10 Nov 2010	Incorporated additional Agency Feedback
Draft Version 17	15 Nov 2010	Final Review Team Edits
Version 1.0	16 Nov 2010	Release

## Table of Contents

<b>1. Introduction.....</b>	<b>1</b>
Background .....	1
Purpose and Scope.....	1
<b>2. Reporting Processes and Timing.....</b>	<b>2</b>
2.1. Prime Contract Awards .....	3
2.2. Sub-contract Awards .....	4
2.3. Prime Grant Awards .....	5
2.4. Sub-grant Awards.....	6
2.5. Grant Sub-awards under the Recovery Act.....	7
<b>3. Systems Data Quality Approach .....</b>	<b>8</b>
3.1. Contracts .....	8
3.2. Sub-Contracts .....	9
3.3. Grants.....	10
3.4. Sub-grants.....	11
<b>4. Known Data Quality Issues.....</b>	<b>12</b>
<b>5. Process for Correcting Data Quality Errors .....</b>	<b>16</b>
5.1. Errors reported through USAspending.gov .....	17
5.2. Errors reported through FSRs.....	17
5.3. Errors reported through the Federal Service Desk.....	19
<b>6. Next Steps .....</b>	<b>19</b>
<b>Appendix A: USAspending.gov Validation Checks and Rules .....</b>	<b>A-1</b>
<b><u>Tables</u></b>	
<b>Table 1: Known Data Quality Issues .....</b>	<b>13</b>
<b>Table 2: Error Resolution Process .....</b>	<b>17</b>

## 1. Introduction

### Background

One of the key requirements of the Federal Funding Accountability and Transparency Act (“FFATA” or the “Transparency Act”) was the creation of a single, searchable website that provides the public with greater access to information on Federal spending. USAspending.gov is that website responsible for displaying data for prime award information that includes contracts, grants, loans, awards, cooperative agreements, and other forms of Federal financial assistance reported by agencies. The Government is committed to making good on the original vision and promise of the Transparency Act. The memorandum issued by OMB on April 6, 2010, Open Government Directive – Federal spending Transparency, established an October 1, 2010 deadline for Federal agencies to initiate sub-award reporting pursuant to P.L.109-282 of the Transparency Act. In addition, there is a goal to move towards 100% of awards data being reported on time, complete, and accurate (free of error) by the end of the fourth quarter FY 2011, with interim milestones.<sup>1</sup> While significant progress has been made in displaying Federal spending on USAspending.gov as accurately possible, there is still room for improvement.

### Purpose and Scope

The General Services Administration (GSA) is committed to providing high quality spending data to the public. Lessons learned from the American Recovery and Reinvestment Act of 2009 (the “Recovery Act” or “ARRA”) demonstrate there is a considerable demand to know where and how taxpayer money is being spent from the public, media, academia, and other Federal agencies and to improve the quality of the data displayed on USAspending.gov. The purpose of this document is to explain how data quality has been incorporated in the sub-award reporting requirements and business rules to interface with USAspending.gov. The current scope of sub-award reporting is for grants/cooperative agreements pursuant to the OMB guidance issued on August 27, 2010<sup>2</sup> and for contracts pursuant to the Federal Acquisition Regulation (FAR) Subpart 4.14—Reporting Executive Compensation and First-Tier Subcontract Awards. This document addresses data quality issues related to prime and sub-award reporting related to grants/cooperative agreements and contracts by describing the processes for reporting and fixing data quality issues identified by agencies, recipients of Federal funds, and the public.

**Federal Agencies** are the main foundation in maintaining accurate, complete, and on-time reporting for Federal contracts and assistance data. Delays in receiving or reporting information can impact data quality as it relates to the systems that collect and display Government financial data. Agencies should make every effort to work closely with their prime contractors or prime grant recipients (collectively “prime awardees”) to keep them

---

<sup>1</sup> [Open Government Directive – Framework for the Quality of Federal Spending Information](#). OMB memorandum issued February 8, 2010.

<sup>2</sup> [Open Government Directive – Federal Spending Transparency and Sub-award and Compensation Data Reporting](#). OMB memorandum issued August 27, 2010.

aware of all the reporting requirements associated with the awards they have been given. Therefore, it is strongly encouraged that agencies share this document with any stakeholders in the Federal funding reporting process especially those associated with sub-awards.

Those interested in receiving new information on changes and updates to USAspending.gov as soon as it becomes available can now subscribe by visiting <http://www.USAspending.gov> and adding your email address under the 'What's New' section.

Questions/comments about this document should be sent to: [subaward.dataquality@GSA.gov](mailto:subaward.dataquality@GSA.gov)

## **2. Reporting Processes and Timing**

Currently, prime award recipients of Federal funds (prime awardees) may be subject to reporting requirements under the Transparency Act, the Recovery Act, or both.<sup>3</sup> The Federal agency reporting requirements are different for the reporting of prime contracts and grants, as listed below:

### **1. Federal prime contract requirements for reporting**

Reporting requirements for Federal agencies about Federal contracts issued, including those awarded under the Recovery Act, are outlined in the Federal Acquisition Regulation as well as supplemental policy documents. Information related to Federal contracts and contractors is maintained in a variety of systems. References and additional information may be found through [www.acquisition.gov](http://www.acquisition.gov).

### **2. Federal prime grants requirements for reporting**

Pursuant to the Transparency Act, Federal agencies are directed to report Federal grant, insurance, loans and other financial assistance data to USAspending.gov. Specifically, agencies submit data elements in the Federal Assistance Award Database System Plus (FAADS+) format, which includes data in the existing FAADS format, plus additional data elements required by the Transparency Act and the Recovery Act, respectively. See OMB M-09-19, § 7. This information must be provided within 30 days of the award. See OMB M-08-04. The information provided in the FAADS+ file is used to populate prime awardee information in USAspending.gov, pursuant to the Transparency Act.

For compliance with Section 1512 of the Recovery Act<sup>4</sup>, FederalReporting.gov requires quarterly reporting of Recovery Act-funded sub-award information by either the prime awardee, or, if delegated, the sub-awardee. See FederalReporting.gov User Guide, available at:

<https://www.federalreporting.gov/federalreporting/downloads.do#docs>.

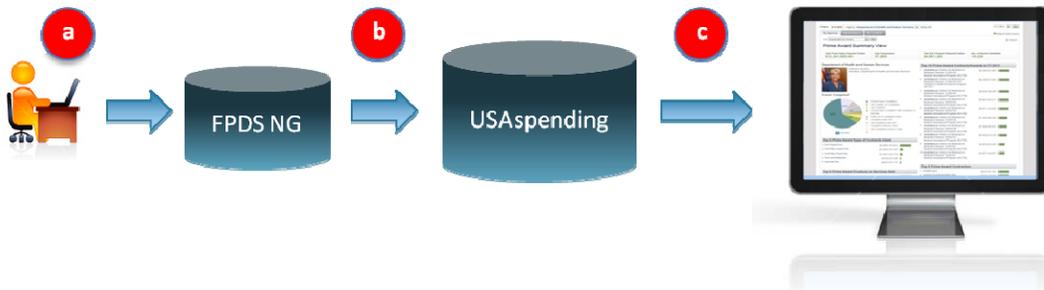
---

<sup>3</sup> Open Government Directive – Federal Spending Transparency and Sub-award Compensation Data Reporting. OMB Memorandum issued August 27, 2010.

<sup>4</sup> Compliance with Section 1512 of the Recovery Act includes the sub-award reporting requirements under the Transparency Act. Recovery Act § 1512 (c)(4) (“Detailed information on any sub-contracts or sub-grants awarded by the recipient to include the data elements required to comply with the Federal Funding and Transparency Act of 2006 (Public Law 109-282)”).

Transparency focuses on the importance of providing detailed spending information as soon as it is available. There is a significant burden associated with being transparent and the Federal Government is making every effort to reduce and limit that burden. One way to reduce that burden is to openly collaborate with all stakeholders about new elements, solutions, procedures, technologies and processes that emerge from the iterative process of fully implementing the Transparency Act. Sub-award information is displayed to the public on USAspending.gov using several systems and specific processes that produce unique business rules. Active participation from the recipient community to enforce their own data quality is going to be essential in making sure that the public sees accurate, complete, and timely data. Agencies need to open lines of communication with their stakeholders to reinforce the tremendous accountability where information is incorrect or absent. The remainder of this section is dedicated to showing each of the processes where information gets entered into USAspending.gov, and what the requirements are for both agencies and recipients.

## 2.1. Prime Contract Awards



- a) Federal agencies have up to three (3) days to enter a contract action into the Federal Procurement Data System – Next Generation (FPDS-NG)<sup>5</sup>.
- b) USAspending.gov uses an FPDS Atom Feed, to pull data every two (2) hours from FPDS-NG.

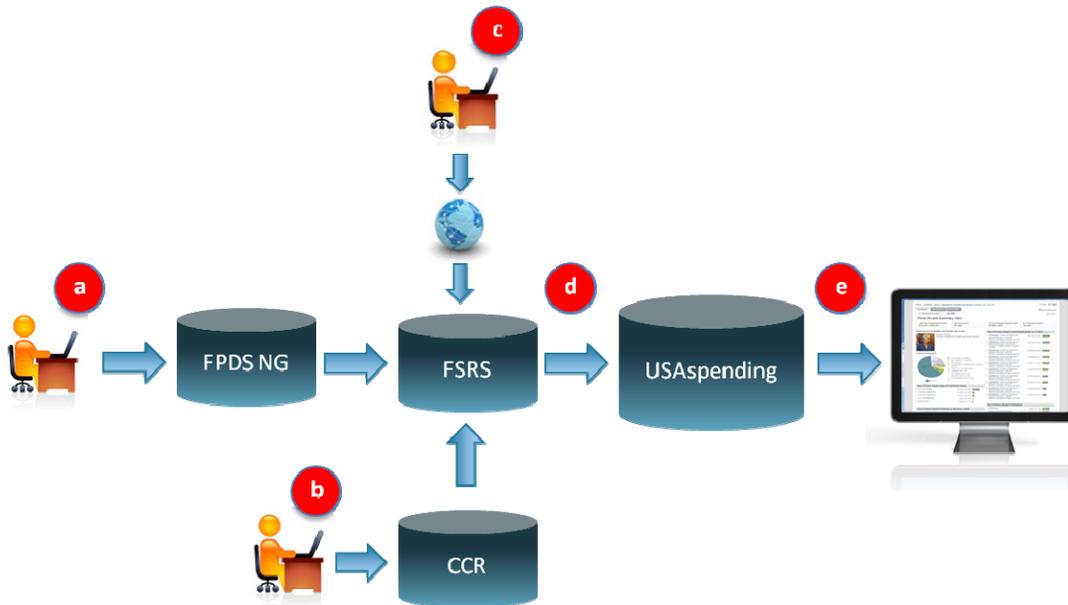
In total, prime contract award data may take up to five (5) days from time of award before being available for display on USAspending.gov

*Note: Availability of DOD data is delayed by 90 days for operational security reasons.*

---

<sup>5</sup> Agencies have up to 30 days to report to FPDS if the action is accomplished using an urgent and compelling justification

## 2.2. Sub-contract Awards

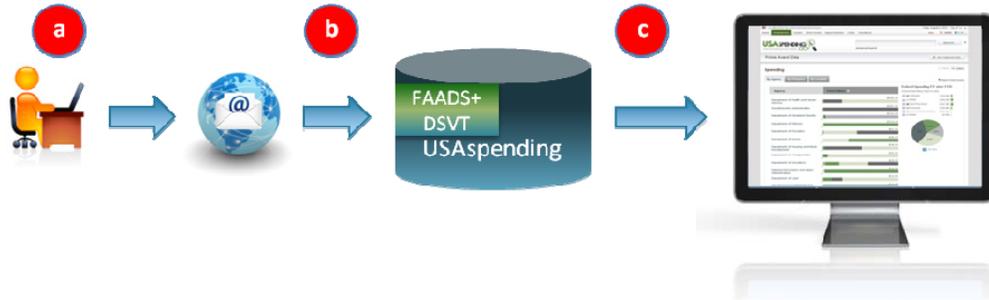


- a) Agencies have up to three (3) days to enter a contract award or modification into the FPDS-NG.
- b) Any recipient that receives a sub-contract that meets the FFATA requirements for sub-award reporting must have a DUNS number from Dun & Bradstreet. It is strongly encouraged, but not required, that sub-contractors be registered in the Central Contractor Registration (CCR) database. This will facilitate the prime awardee's ability to quickly enter sub-award information into the FFATA Sub-award Reporting System (FSRS). New registrations (including getting the DUNS number) can take up to three (3) to five (5) days to process and two (2) days to update in CCR.
- c) All prime awardees must report into FSRS any qualifying sub-awards by the end of the month following the month the sub-award or obligation was made. For example, if a sub-award is made on October 10, 2010 the prime awardee has until November 30, 2010 to report the sub-award into FSRS.
- d) The prime awardee is responsible for entering the following information (required data elements) when creating a new FFATA sub-award report in FSRS. The system will pre-populate Funding Agency, Treasury Account Symbol (TAS), North American Industry Classification System code (NAICS), and all available prime contract award information from FPDS-NG, with CCR as a secondary source for the entity information:
  - Name of entity receiving award
  - Amount of award
  - Sub-contract/Sub-contract Number
  - Funding agency
  - North American Industry Classification System code (NAICS)
  - Treasury Account Symbol (TAS)
  - Award title descriptive of the purpose of the funding action

- Location of the entity (including congressional district)
  - Place of performance (including congressional district)
  - Non-Generic Unique identifier (e.g., DUNS) of the entity and its parent
  - Total compensation and names of top five executives
- e) USAspending.gov utilizes a web service to call for an FSRS XML Export File every night. USAspending.gov takes twenty four (24) hours to process the FSRS Sub-award data for display to the public on the website.
- f) The total amount of time from contract action to display of sub-contract information on USAspending.gov could be up to sixty four (64) days based on the time requirements for reporting the prime award, sub-awards, and display.

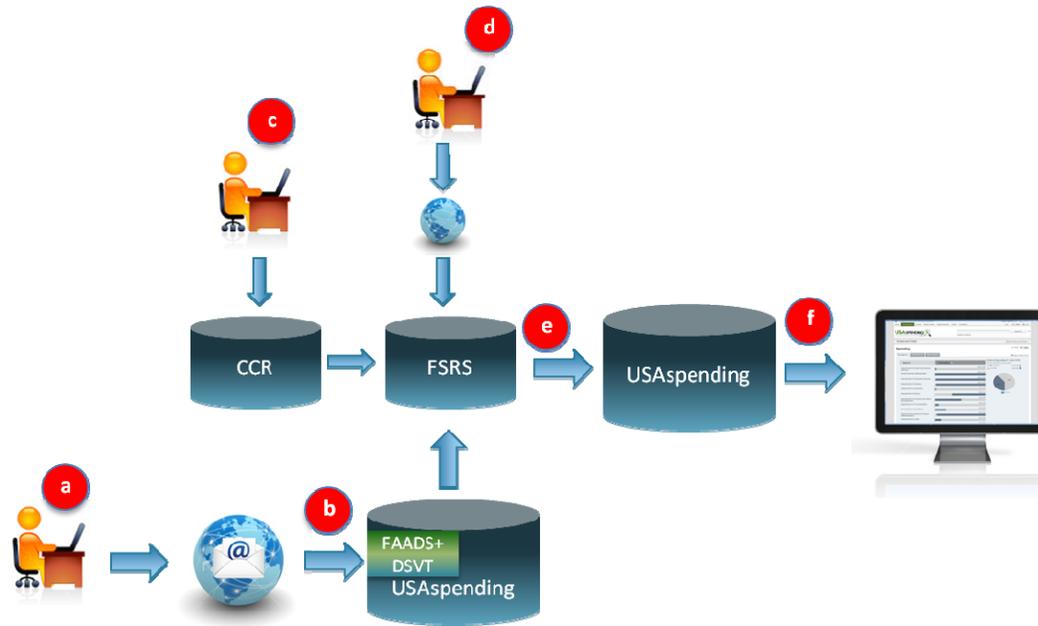
*Note: Availability of DOD data is delayed by 90 days for operational security reasons.*

### 2.3. Prime Grant Awards



- a) Agencies must submit, via the Data Submission and Validation Tool (DSVT) web tool, full or partial assistance award data in the Federal Assistance Award Database Plus (FAADS+) format to USAspending.gov by the 5<sup>th</sup> of each month. All award transactions must be reported within 30 days of the award. Completed data from the prior month must be submitted by the 20<sup>th</sup> of each month.
- b) Assistance award data are consumed into USAspending.gov from the DSVT.
- c) USAspending.gov makes the data available for public display within twenty four (24) hours. In total, prime grant award data may take up to forty five (45) days from time of award before being available for display on USAspending.gov.

## 2.4. Sub-grant Awards



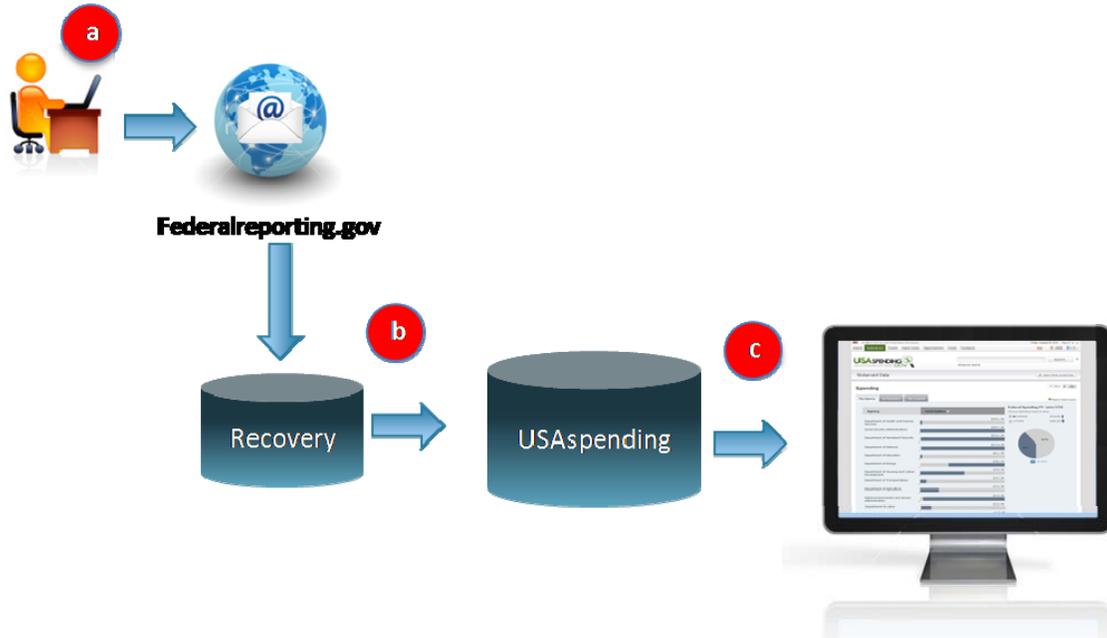
- a) Agency designated official must submit via the Data Submission and Validation Tool (DSVT) web tool full or partial assistance data in the Federal Assistance Award Database Plus (FAADS+) format to USAspending.gov by the 5<sup>th</sup> of each month. All award transactions must be reported within 30 days of the award. Completed data from the prior month must be submitted by the 20<sup>th</sup> of each month.
- b) Assistance data are consumed into USAspending.gov from the DSVT.
- c) Any recipient that receives a sub-contract that meets the FFATA requirements for sub-award reporting must have a DUNS number from Dun & Bradstreet. It is strongly encouraged, but not required, that sub-contractors be registered in the Central Contractor Registration (CCR) database. This will facilitate the prime awardee's ability to quickly enter sub-award information into the FFATA Sub-award Reporting System (FSRS). New registrations (including getting the DUNS number) can take up to three (3) to five (5) days to process and two (2) days to update in CCR.
- d) Without submission of prime award information through FAADS+, prime awardees of eligible grants will not be able to report any associated first-tier sub-awards into FSRs.
- e) Prime awardees of eligible prime grants must report qualifying first-tier sub-awards by the end of the month following the month any sub-award or obligation was made. For example, if a sub-award is made on October 10, 2010 the prime awardee has until November 30, 2010 to report the award into FSRs. Prime awardees of grants funded by the Recovery Act are not required to report first-tier sub-award (sub-grant) information into FSRs.
- f) The prime awardee is responsible for entering the required data elements in FSRs (it will pre-populate all available prime grant award information from FAADS+ information on USAspending.gov):

- Name of entity receiving award
- DBA Name
- Non-Generic Unique identifier (e.g., DUNS) of the entity and its parent and DUNS +4
- Amount of award
- Funding agency
- Sub-award Number
- CFDA Number
- Place of performance (including congressional district)
- Total compensation and names of top five executives, if required
- Award title descriptive of the purpose of the funding action
- Location of the entity (including congressional district)

g) USAspending.gov utilizes a web service to call for an FRS XML Export File every night. USAspending.gov takes twenty four (24) hours to process the FRS Sub-grant Award data for display to the public on the website. In total, the amount of time from grant award to display of sub-grant information on USAspending.gov could be one hundred and five (105) days.

*Note: This process describes a maximum amount of time for sub-grant information to be made available in the system if a sub-grant was awarded prior to the prime information being reported.*

## 2.5. Grant Sub-awards under the Recovery Act



a) Pursuant to Section 1512 of the Recovery Act, recipients of Recovery Act funds must report through federalreporting.gov to agencies by the 10<sup>th</sup> day after the end of each calendar quarter and agencies must make those reports publicly available no later than the 30<sup>th</sup> day after the end of that quarter. Specific reporting

instructions are found at

<https://www.federalreporting.gov/federalreporting/downloads.do>

- b) Prime awardees must enter the required information into FederalReporting.gov in accordance with the OMB memorandum M-09-21<sup>6</sup>.
- c) USAspending.gov will receive the grant sub-award information from Recovery.gov to leverage the existing information that is already reported as part of the Recovery Act requirements. USAspending.gov takes twenty four (24) hours to process the Recovery.gov sub-award data for display to the public on the website. In total, the amount of time from Recovery Act-funded contract award to display of information on USAspending.gov could be up to one hundred and twenty (120) days.

### 3. Systems Data Quality Approach

The purpose of this section is to explain how data quality checks are performed for contract and grants, and to explain the business rules implemented in the systems responsible for providing information to USAspending.gov. Several features have been built into USAspending.gov to facilitate data quality when entering and retrieving information. An important lesson learned from Recovery Act reporting is the need to minimize manual entry and to reuse existing data by pre-populating forms to the maximum extent. CCR, FPDS-NG, and FAADS+ are the primary sources of data, but they are not always correct. CCR is the primary registrant database for the U.S. Federal government. CCR collects, validates, stores, and disseminates data in support of agency acquisition missions, including federal agency contract and assistance awards.<sup>7</sup>

Though not required, it is highly recommended that any entity receiving Federal funds as a sub-recipient be registered with CCR. FPDS is the single source for U.S. government-wide procurement data.<sup>8</sup> FAADS+ is the format used by 31 departments and agencies of the Executive branch of the Federal Government to submit assistance award actions directly to USAspending.gov.<sup>9</sup>

#### 3.1. Contracts

Data collection from FPDS-NG into USAspending.gov meets the FFATA requirements for contracts and provides data about contracts subject to both the Recovery Act and the Transparency Act. Drop-down boxes and Boolean searches have been incorporated into the system in a concerted effort to minimize the number of manual entry errors. When possible, data collection elements will use open standards for consistent and agreed upon classification of terms. For contracts, the following standards are used:

- Data Universal Numbering System (DUNS)- validated through CCR
- North American Industry Classification System Code (NAICS)

---

<sup>6</sup> [http://www.whitehouse.gov/sites/default/files/omb/assets/memoranda\\_fy2009/m09-21.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/memoranda_fy2009/m09-21.pdf)

<sup>7</sup> CCR business rules can be found at <https://www.bpn.gov/ccr/CCRExtracts.aspx>

<sup>8</sup> FPDS business rules can be found in the data dictionary at [https://www.fpds.gov/downloads/FPDSNG\\_DataDictionary\\_V14\\_OT.pdf](https://www.fpds.gov/downloads/FPDSNG_DataDictionary_V14_OT.pdf)

<sup>9</sup> FAADS plus file specifications can be found in OMB memorandum [M-09-19](#)

- International Organization for Standardization (ISO) Codes
- Treasury Account Symbol (TAS)

Emphasis has been made to improve data quality by removing batch interfaces and the need to re-key data into agency systems. In efforts to facilitate data quality, FPDS-NG includes procurement contract transactions reported directly through the Contract Writing Systems (CWS) of approximately 65 federal government departments, bureaus, agencies and commissions utilizing a web service Application Program Interface (API) that allows for pre-population of some or all of the required data. Agencies that have not linked their CWS, or do not have one, can enter data directly into FPDS-NG at a much higher risk for manual data entry error.

As explained earlier in the reporting processes section, FSRS will pre-populate all required data that is available from FPDS-NG and CCR. These system-to-system interfaces allow the updating of contract and contractor information on a near real-time basis when a contract is entered or modified. Using FPDS-NG as the primary data source for prime contract award information, followed by CCR as a secondary source for additional prime awardee data elements, removes opportunities for manual reporting errors. The prime awardee must contact their contracting officer if they identify pre-populated data elements that are incorrect.

***The prime awardee must contact their Contracting Officer about any errors they identify from pre-populated contract award data. Federal Agencies are required to reconcile this data with the prime awardee.***

### 3.2. Sub-Contracts

FSRS was designed with data quality in mind. FSRS uses information from existing Federal databases to pre-populate the award information and help prime awardees (both prime contractors and prime grant recipients are known as prime awardees in FSRS) locate the correct contract award. As explained earlier in the reporting processes section, FSRS has system-to-system interfaces established in order to pre-populate as much data as is available regarding the prime award from FPDS-NG and uses CCR (followed by D&B) as secondary/tertiary data sources for prime awardee information. The prime awardee cannot edit in FSRS any data elements that are required in CCR and/or D&B. They must fix any errors in the source database. The goal is to prevent presenting mis-matched information to the public via USAspending.gov by only allowing/requiring the prime awardee to enter information not elsewhere available.

***The prime awardee must contact their Contracting Officer about any errors they identify from pre-populated contract award data. Federal Agencies are required to reconcile this data with the prime awardee.***

Other system-to-system interfaces were established in FSRS to reduce manual entry of data. Dun & Bradstreet is used as a secondary or tertiary source for Parent DUNS number information for both the prime awardee and sub-awardee. D&B is also used to ensure the DUNS number entered when the prime adds a sub-contractor to their FFATA Sub-award Report is a valid DUNS number. The system will not allow the prime awardee to submit their sub-award report without a valid sub-contractor DUNS number. FSRS also pulls the sub-contractor entity information from CCR, and if the subcontractor is not in CCR, then it pulls the information from D&B.

The prime awardee is only asked to enter that information the government does not already possess: the sub-award information (to include executive compensation for the sub-awardee, as applicable) and executive compensation information for the prime awardee, if applicable and not already in CCR. Prime awardees will have access to an FSRS Contracts Data Dictionary within the system.

### 3.3. Grants

Data are collected from several sources to enter grant information into USAspending.gov. All prime awardees of Federal grants are required to register in CCR to store awardee information including financial account information for payment purposes and provide a link to DUN & Bradstreet (D&B) for DUNS information. Agencies report grant information in the FAADS+ format directly to USAspending.gov. The FAADS+ information sent to USAspending.gov undergoes checks for both a valid DUNS number and a valid CFDA number. Prior to the implementation of the grants sub-award reporting functionality for grants in FSRS, the USAspending.gov DUNS and CFDA validation checks only consisted of a check for proper format. Per OMB M-09-19, agencies are required to ensure all DUNS number data transmitted to USAspending.gov is sent to D&B for validation prior to submission, except for those agencies collecting the DUNS number on awards that have been validated via CCR or separately with D&B. Agencies should ensure that appropriate internal management controls are firmly in place to perform this validation. To further address data quality concerns, some agencies are providing awardees with access to their data to validate the information before submission.

The Data Submission and Validation Tool (DSVT) streamlines the submission process of FAADS+ data files over the internet, provides real-time feedback to Federal agencies on file validation results<sup>10</sup>, and offers additional functionality to the OMB and Federal agencies on tracking historical data submissions.

Upon validation, a submitted FAADS+ file will initially have one of four processing statuses:

- **Reviewed: No Issues** – The data file passed the edit checks for all transactions and no further action is required from the agency. However, a warning may appear if the file contains records for individual recipients and the agency will be presented with the option to continue or cancel the file upload.
- **Reviewed: Acceptance Threshold Met** – The data file passed the edit checks for 90% or more transactions. In this scenario, the agency will need to review the error summary and error details files attached to the feedback e-mail, correct any

---

<sup>10</sup> See 'Appendix A. USAspending.gov Validation Checks and Rules' for more information.

error(s) identified and submit a corrected file containing only the transactions that failed in the original file. A correction file must pass the edits checks for 100% of the transactions.

- **Reviewed: Issues Detected** – The data file failed the edit checks for more than 10% of the transactions, which resulted in the rejection of the entire file. In this scenario, the agency will need to review the error summary and error details files attached to the feedback e-mail, correct any error(s) identified and submit a corrected file containing all transactions from the original file.
- **Backout Request Submitted** – The request to delete/replace all transactions from the selected data file(s) has been received and no further action is required from the agency.

Passing these checks is absolutely essential for the data to be further processed/loaded and reported on the USAspending.gov website. For FAADS+ submissions, the entire file will be rejected if more than 10% of the records fail the validation checks listed below, otherwise individual records will be rejected for correction and resubmission. The FAADS+ data will be uploaded into USAspending.gov if there are no errors, or when all of the errors have been corrected in the submission.

### 3.4. Sub-grants

FSRS uses information from existing Federal databases to pre-populate the award information and help prime awardees locate the correct grant award. The new validation rules in USAspending.gov – the DUNS number validation and the CFDA number validation – help improve the data quality of what is pre-populated in FSRS. As explained earlier in the reporting processes section, FSRS has system-to-system interfaces established in order to pre-populate as much data as is available regarding the prime award and prime awardee from the Agencies FAADS+ file submissions to USAspending.gov and from CCR. The goal is to increase the data quality of the FAADS+ data through validation checks and by capturing prime awardee feedback.

***The prime awardee must contact the Agency Representative identified in its award, and also may use the FAADS+ flagging mechanism in FSRS, about any errors they identify from pre-populated award data. Federal Agencies are required to reconcile this data with the prime awardee.***

CCR is the authoritative source for prime awardee entity required data elements and executive compensation information as described in Section 2.4. Prime grant awardees must be registered in CCR beginning October 1, 2010. USAspending.gov implemented a DUNS validation check in FAADS+ on October 1, 2010 to confirm the DUNS number submitted for the prime awardee is a valid DUNS registered in CCR. FSRS pre-populates prime award data by using the DUNS number from FAADS+ to pull the CCR prime awardee entity and executive compensation information (if available).

FSRS pre-populates the remainder of the prime award information with the agency-provided FAADS+ data. At the agencies' requests, FSRS developed a 'flag' in the grants workflow: the initial operating capability launched on October 29, 2010. When creating a

FFATA sub-award report for its grant, a prime awardee will be able to flag any FAADS+ data element pre-populated on the prime award that it believes is incorrect. They will be required to provide a brief explanation of why they believe the data element is incorrect. When a prime awardee flags a FAADS+ data element, the flag and associated explanation become part of that FFATA sub-award report. The flag remains internal to FSRs: it is not transmitted to USAspending for display. The flag merely allows a Federal agency user to quickly identify which data elements are of concern to the awardee to streamline the investigation process.

Initially, Federal agency representatives will need to log-in to FSRs.gov where they can review FFATA sub-award reports filed against grants awarded by their agency (at their hierarchy level and below). They will be able to review each report. If there are 'flagged' data elements in that report, they will see an additional tab containing the data element and the explanation. This facilitates a structured dialogue with the prime awardee following the agency's own investigative process. Agencies are advised to review all flagged data elements and investigate any concerns raised by prime awardees. If revisions are deemed necessary by the agency, the agency may make any changes in its next FAADS+ data submission. These revisions will be reflected in the next USAspending.gov refreshed set of data and available in FSRs for future sub-award reports against that Federal award identifier number.

Other system-to-system interfaces were established in FSRs to reduce manual entry of data. CFDA is the authoritative source for domestic assistance program numbers and descriptions. Using the validated CFDA number provided via USAspending.gov by the Agency FAADS+ file, FSRs pulls the actual program title from the CFDA database. In addition, Dun & Bradstreet is used as a secondary or tertiary source for Parent DUNS number information for both the prime awardee and sub-awardee.

The prime awardee is only asked to enter that information the government does not already possess: the sub-award information (to include executive compensation for the sub-awardee as applicable) and executive compensation information for the prime awardee if applicable and not already in CCR. Prime awardees will have access to an FSRs Grants Data Dictionary within the system.

#### **4. Known Data Quality Issues**

GSA is dedicated to improving the data quality – as measured by timeliness, completeness, and accuracy -- of information presented to the public on Federal awards and sub-awards. Merging data from multiple sources with differing reporting and display timelines is a challenge to that data quality objective, a challenge that can result in display errors on USAspending.gov. Part of GSA's improvement process consists of identifying known data quality issues between the input and output systems, then developing a resolution that fixes the data quality issue as close to the source of the data as possible.

Briefly defined below, the known data quality issues are categorized as issues with timeliness (occurring within required timeframes), completeness (containing a complete set of required data), and accuracy (containing a factually correct set of required data and displaying that data consistently between systems). The data quality issues are presented from the USAspending.gov (i.e. display) perspective.

Table 1: Known Data Quality Issues

No.	Data Quality Concern	Sub-Award Resolution Process
1	<p><b>(Accuracy) Use of Generic DUNS numbers directly impacts accuracy in information display.</b></p> <p><u>Background:</u> Federal agencies can use a limited set of generic DUNS numbers to report contract awards made in extenuating circumstances pursuant to FAR 4.605(b)(2). The award data are reported via FPDS-NG and displayed on USAspending.gov to the public with the prime awardee information deliberately masked.</p> <p>Because the prime awardee’s identity is not displayed beyond a general description such as “Miscellaneous Foreign Contractors,” it is not possible for sub-award reporting to be associated with that prime contract award.</p>	<p>GSA will work with OMB to provide a technical solution to support the policy decision and/or policy refinement regarding use of generic DUNS numbers.</p>
2	<p><b>(Accuracy) Prime grant awardee entity information displayed on USAspending.gov might not match the awardee’s record in CCR.</b></p> <p><u>Background.</u> USAspending.gov will identify prime grant awardees by their DUNS number after October 1, 2010. This is a change: before October 1, 2010 prime grant awardees were identified by a combination of name and state as the DUNS number was not a required data element.</p> <p>USAspending.gov implemented a validation check against the agency FAADS+ file submissions on October 1, 2010 to confirm prime grant recipients awarded new grants on or after October 1, 2010 have a valid DUNS number as registered in CCR. Awards with DUNS numbers that do not pass the validation check will be rejected.</p> <p>However, USAspending.gov is not validating entity information (i.e. name, DBA name, address, etc) associated with the DUNS number. Therefore, the entity information provided in the</p>	<p>GSA is working with the agencies to link the Agency FAADS+ submission process more closely with CCR to ensure what a prime awardee sees on USAspending.gov for their prime award matches what is in CCR. With the new validation check in place to ensure the DUNS number provided on the award notice is an active record in CCR, agencies must use correct DUNS numbers when reporting grant awards in their FAADS+ file submissions to USAspending.gov.</p> <p>The next step is to avoid errors in the FAADS+ file submission by either a) integrating a simple on-line check against CCR in the agency grants award notice process <a href="https://www.bpn.gov/CCRSearch/Search.aspx">https://www.bpn.gov/CCRSearch/Search.aspx</a> b) working with the agencies to get and use the CCR extract and/or c) working with interested agencies to customize the CCR Application Programming Interface for their needs by pulling entity information directly from CCR. OMB will be forming a FAADS+ working group to determine the best way to address this data quality issue.</p>

No.	Data Quality Concern	Sub-Award Resolution Process
	agency FAADS+ file submission might not match the entity information in CCR.	
3	<p><b>(Accuracy, Completeness) Potential mismatch in Congressional District displayed on USAspending for sub-award.</b></p> <p><u>Background.</u> FSRS pulls prime award data from USAspending (as reported by the awarding agency in their FAADS+ file submission) to help the prime awardee know they are reporting against the correct award. FSRS automatically calculates the Congressional District based on the Zip+4. If the system does not have a Zip+4 provided, i.e. the agency FAADS+ file had the five digit zip code and agency-entered Congressional District, FSRS allows the prime awardee to lookup and enter the correct Zip+4, thus populating the Congressional District in FSRS.</p> <p>OMB M-09-19 provided guidance to agencies for their FAADS+ file submission: the Zip+4 <i>is not required</i> if the agency provides the Congressional District. Therefore, if an agency provides a prime award Congressional District but not a Zip+4, there is a potential for the prime Congressional District in the sub-award report to not match what the agency reported for the prime award if the agency entered an incorrect value.</p>	<p>USAspending.gov displays the sub-award and executive compensation (if applicable) data from the FFATA Sub-award Reports provided by FSRS. USAspending.gov does not <i>redisplay</i> the prime award data.</p> <p>Over time, GSA recommends working to achieve the goals of M-09-19 for USAspending.gov to use the DUNS number to allow “D&amp;B to provide parent company information, standardized business information, and <b>add Zip+4 data that is used in congressional district reporting.</b>”</p> <p>OMB M-09-19 further states, “All DUNS number data transmitted to the FFATA website [USAspending.gov] must be sent to D&amp;B for validation prior to submission, except for those agencies collecting the DUNS number on awards that have been validated via CCR or separately with D&amp;B. Agencies should ensure that appropriate internal management controls are firmly in place to perform this validation.”</p> <p>Using the DUNS number to pull the Zip+4 from CCR/D&amp;B would ensure consistency and completeness. USAspending could then populate the Congressional District automatically.</p>

No.	Data Quality Concern	Sub-Award Resolution Process
4	<p><b>(Timeliness) If USAspending.gov implements an extended validation check against a given DUNS number's CCR record for entity information, increased FAADS+ data rejections could impact the timeliness of agency prime award submission.</b></p> <p><u>Background.</u> As noted in Issue 1, USAspending.gov implemented a validation check for prime grant awardee DUNS numbers in CCR. If the validation check were expanded to include additional CCR data elements, (i.e. entity name, DBA name, address, etc), the agency error rate could increase and result in more agency FAADS+ file rejections. This would impact the timeliness of agency submission of prime award data and could result in the prime award not being available for the prime awardee to report against in FSRS.</p>	<p>GSA will work with the agencies to avoid errors in the FAADS+ file submission by either a) integrating a simple on-line check against CCR in the agency grants award notice process <a href="https://www.bpn.gov/CCRSearch/Search.aspx">https://www.bpn.gov/CCRSearch/Search.aspx</a> b) working with the agencies to get and use the CCR extract and/or c) working with interested agencies to customize the CCR Application Programming Interface for their needs by pulling entity information directly from CCR. GSA will communicate any changes to the USAspending.gov validation rules well in advance. OMB will be forming a FAADS+ working group to determine the best way to address this data quality issue.</p>
5	<p><b>(Accuracy) FSRS manages prime awards by the combination of the Federal Award Identifier Number (FAIN) and the DUNS number of the prime awardee. This causes potential accuracy errors in matching if an award becomes associated with more than one DUNS number in USAspending.gov.</b></p> <p><u>Background.</u> When aggregating the total Federal funding amount, USAspending.gov may find multiple DUNS numbers associated with a single award ID (FAIN) due to modifications or corrections to the original award. This could cause potential accuracy errors in sub-award reporting and display.</p>	<p>USAspending.gov will pass the FAIN, the DUNS number and other data elements associated with the <u>most recent modification</u>, along with the aggregated award amount. FSRS will pre-populate this data as part of any FFATA sub-award report created by a user associated with that DUNS number reporting against that FAIN. FSRS will return an output to USAspending.gov containing the FAIN, the DUNS number and the <u>new data elements</u> entered as part of the sub-award and executive compensation reporting requirements. This allows USAspending.gov to associate the new sub-award data to the prime award by FAIN, and prime awardee by DUNS number. This association prevents any conflicts with the transactional history.</p>
6	<p><b>(Accuracy) A prime award may contain multiple CFDA numbers.</b></p> <p><u>Background.</u> If FSRS receives an award amount that is aggregated, but the award ID (FAIN) is associated with multiple CFDA numbers due to</p>	<p>USAspending.gov will pass the FAIN, the DUNS number and other data elements associated with the <u>most recent modification</u>, along with the aggregated award amount. If the most recent modification has only one CFDA number associated, there is no change. If the</p>

No.	Data Quality Concern	Sub-Award Resolution Process
	<p>modification to the original award, the potential for errors in consistent display increases.</p>	<p>most recent modification includes multiple CFDA numbers, USAspending.gov will include multiple CFDA numbers for that data element as a comma separated value (csv). FSRS will provide a CFDA field that is capable of processing and displaying comma separated CFDA numbers. FSRS will return an output to USAspending.gov containing the FAIN, the DUNS number and the <u>new data elements (including multiple CFDA numbers)</u> entered as part of the sub-award and executive compensation reporting requirements. This allows USAspending.gov to associate the new sub-award data to the prime award by FAIN, and prime awardee by DUNS number. This association prevents any conflicts with the transactional history.</p>
7	<p><b>(Accuracy) The FAADS+ file format does not provide a field for total award amount.</b></p> <p><u>Background:</u> The FAADS+ file format requires Federal agencies provide the total amount obligated for the award transaction. USAspending.gov can aggregate this amount to show the total amount obligated to date. USAspending.gov and FSRS use this as the aggregated award amount to determine eligibility for FFATA sub-award reporting. However, without the ability to compare the aggregated award amount to the total amount of award, accuracy issues will arise when information is displayed or compared across systems.</p>	<p>GSA will work with OMB to determine the appropriate technical solution to future guidance refinements and/or FAADS+ file format changes.</p>

## 5. Process for Correcting Data Quality Errors

There cannot be enough emphasis placed on the accuracy of information reported about Federal spending. USAspending.gov does not generate the source data. It collects and reports on the data received from other systems and data feeds. It is the responsibility of Federal agency professionals and recipients of Federal funds to make sure they are providing accurate, complete, and timely data to their funding agency as well as those agencies reporting to USAspending.gov. When an error has been identified on USAspending.gov it should be researched and corrected in the source system, and everywhere those data are used and reported. When the error has been fixed in a system that provides data to USAspending.gov, it will automatically be displayed correctly on the next refresh cycle from that system. Data that are entered manually into

USAspending.gov must be corrected in USAspending.gov and all other systems that use or supply that information. Following is a table describing the steps that occur once an error has been reported:

**Table 2: Error Resolution Process**

<p><b>Error Identified</b></p>	
<p><b>Ticket is Assigned</b></p>	<p>The USA Spending and FSRS Program Managers (PMs) handle errors that have been reported by a requestor via a USA Spending web form, or a trouble ticket submitted to the Federal Service Desk.</p>
<p><b>Agency Contacted</b></p>	<p>The USA Spending or FSRS PM will contact the Agency's data quality POC to establish a deadline for a response to the error. The PM will maintain and track the ticket until it is resolved.</p>
<p><b>Error Resolution</b></p>	<p>Once the PM has been notified by the Agency POC that the error has been resolved they will notify the requestor and close out the ticket.</p>

**5.1. Errors reported through USAspending.gov**

Currently, anyone can report data errors using the "Report Data Issues" link located on the upper right-hand portion of the data views throughout the USAspending.gov website. The message or question, along with the address of the report being viewed, is sent to a support analyst. If the request requires an agency to address a data quality issue, the USAspending.gov technical support analyst who receives the error notification from USAspending.gov forwards the feedback to the USAspending.gov PM. The PM contacts the designated agency Point-Of-Contact to establish a deadline for follow-up. The individual who notified the Government about the error will receive notification of the escalation to the Agency Point- Of-Contact for follow-up. The Agency will research the problem and report back to the PM within the agreed-to deadline period. The PM will then notify the requestor of the response and any actions associated with it.

**5.2. Errors reported through FSRS**

FSRS is a collection tool designed purely to enable sub-award reporting: the sub-award and executive compensation information gathered in FSRS is then displayed on

USAspending.gov for public view. Registered FSRS users, i.e. Federal agency representatives and prime awardees of Federal funds, are the only individuals with the ability to view the information within FSRS. Federal agencies are responsible for the quality of the data provided in their agency award notices used to pre-populate data elements in FSRS. Prime awardees (both prime contract and prime grant awardees) are responsible for the quality of the data they provide on the sub-award.

No data errors can be corrected within FSRS. For both contracts and grants, all errors from pre-populated data sources must be fixed in the source systems that provided the data to FSRS. The data definitions for both the contracts and grants workflow include the data model showing source, validation rules, etc. for each data element. While the ultimate goal is to correct the error at the data source, there is a process difference between contracts and grants for reporting errors noted in pre-populated data while using FSRS. This difference lies in the grants FAADS+ data element flag.

Prime contract awardees must work with their contracting officer if they note an error in any pre-populated data. If a prime contract awardee believes there is an error noted with respect to their entity information (e.g. business name, physical address, contact information), the prime awardee must (1) correct their data in CCR, and (2) contact the contracting officer to make the correction or issue the modification in FPDS before the data will update in FSRS. After it is corrected in CCR, the data will be available in FPDS the next time an award is made to that prime awardee, or pre-populated for the awardee in FSRS when they next create a sub-award report. All other errors noted by a prime awardee in their prime award information must be coordinated with the contracting officer to be fixed in FPDS. There are no corrective actions the prime contract awardee can take within FSRS.

Prime grant awardees must also work with their Agency Representative identified on their award notice to resolve errors in award information. However, if there is an error identified in the pre-populated information supplied to FSRS from a FAADS+ data submission in USAspending.gov, then the awardee has the ability to flag the field(s) where the data is incorrect for Agency investigation. This is done by changing the default radio button next to the data element in the on-line report form asking, "Is this information correct?" from YES to NO. When the awardee flags the information as incorrect, they must provide an explanation of the error. Once the information has been flagged, the prime recipient must also contact the Agency Representative identified in their award to notify him or her about the errors.

*Note: Flagging the data elements for grants sub-award reports does not change the source data in FAADS+. By flagging a data element, the awardee is requesting an investigation only. The investigation of the information and determination of its accuracy will be determined by the award agency in external processes to FSRS.*

When a prime grant awardee flags a FAADS+ pre-populated data element, that flag and the associated comment become part of that FFATA sub-award report against that Award number (FAIN) for that report month. The flag remains internal to FSRS. It is not part of the USAspending.gov sub-award data display. It allows a Federal agency user to quickly identify which data element(s) are of concern to the awardee and why, in order to streamline the investigation process. Initially, Federal agency representatives will need to log-in to FSRS.gov where they can review FFATA sub-award reports filed against grants awarded by their agency (at their hierarchy level and below). They will be able to

review each report. If there are 'flagged' data elements in that report, they will see an additional tab containing the data element and the explanation of the perceived error. This facilitates a structured dialogue with the prime awardee following the agency's own investigative process.

Agencies must submit updated FAADS+ information for the prime award through the FAADS+ DSVT to USAspending.gov to correct valid errors that have been identified. The award report will be automatically updated with the correct information once the updated FAADS+ information is available in USAspending.gov. There is no action required in FSRS to remove the flag from the original sub-award report. If a new report is created after the flagged information is updated in FAADS+, FSRS will display the new, updated information as pulled from USAspending.gov. Following the initial operating capability beginning on October 29, 2010, GSA and OMB will work with the agencies to define the business requirements for agency management of flagged data elements, i.e. extracting the information from FSRS for internal agency investigation and follow-up.

### **5.3. Errors reported through the Federal Service Desk**

When the Federal Service Desk<sup>11</sup> is contacted by an individual to report a data error in FSRS, it is logged in the issue tracking tool. The Tier 1 Customer Service Representative (CSR) attempts first-call/contact resolution using the Answer Center and on-line knowledge base according to the escalation/business rules established for FSRS support. If the error is in a CCR-sourced data element, the FSD Tier 1 CSR will direct the prime awardee to address the error at the source by updating their CCR record. For contracts, if the error identified comes from the FPDS-NG pre-populated award data, the FSD Tier 1 CSR will direct the prime awardee to contact their contracting officer to make the correction in FPDS-NG or issue a modification to the contract for new data and report it to FPDS-NG. For grants, if the error is in a FAADS+ file-sourced data element, the FSD Tier 1 CSR will ensure the prime awardee knows how to flag the data element for investigation and encouraged to notify their grant awarding agency for follow-up. If an incident is escalated to Tier 2 (technical) or Tier 3 (program office), and the FSRS PM cannot address the issue, the FSRS PM contacts the Agency Point of Contact to analyze the concern and establish a deadline for follow-up. The entry in the issue tracking tool is closed out when the error has been fixed or properly addressed.

## **6. Next Steps**

This document is an initial examination of the processes and systems involved with the October 1, 2010 sub-award requirements for reporting onto USAspending.gov. As both the processes and guidance matures for these systems, so will the approach to data quality. Many of these issues will need to be re-visited in more detail as Transparency Act implementation matures. Data quality issues will be reviewed every quarter to determine any new issues which have since arisen and any existing issues that need additional to address to meet the requirement of approaching 100% of awards data being reported on time, complete, and accurate (free of error) by the end of the fourth quarter FY 2011.

---

<sup>11</sup> The Federal Service Desk can be found at <https://www.fsd.gov/app/answers/list>

## **Appendix A. USAspending.gov Validation Checks and Rules**

### **Assistance FAADS+ Data File Edit Checks by the USAspending.gov DSVT**

1. **Original File name** – The following file naming convention must be used:  
[Agency Acronym]\_[ASSISTANCE]\_[Submission Date YYYY.MM.DD].txt  
  
OR  
  
[Agency Acronym][Sequence Number]\_[ASSISTANCE]\_[Submission Date YYYY.MM.DD].txt
2. **Corrections File name** – The following file naming convention must be used:  
[Original File Name]\_CORRECTIONS\_[Sequence Number].txt
3. **Length of each record in the data file (transaction)** - Number of characters in each record must be 857 in conformance with the FAADS PLUS data file layout. Empty fields must be padded with blank spaces so that each record has a fixed width of 857 characters.
4. **CFDA Program Number** – This is a required field and must be in the format XX.XXX. It must be an active CFDA Program as available on [www.cfda.gov](http://www.cfda.gov) only for new prime grants submitted after October 1, 2010 with an Obligation / Action date on or after October 1, 2010
5. **Recipient Name** – This is a required field and must be non-blank. Field will contain “MULTIPLE RECIPIENTS” for aggregate records.
6. **Recipient City Code** – This is a required field and must contain a valid five character FIPS place code. This field must contain “FORGN” for foreign recipients. Field will be blank for aggregate records.
7. **Recipient County Code** – This is a required field and must contain a valid three character FIPS or ANSI INCITS county code. Field will be blank for foreign recipients.
8. **Recipient State Code** – This is a required field and must contain a valid two character FIPS or INCITS state code. This field must contain “00” for foreign recipients.
9. **Recipient Zip Code** –
  - a. The **five digit zip** is a required field and must contain a valid five numerical digit code. Field will be blank for aggregate records and foreign recipients.
  - b. **Zip+4** is required and must contain a valid four numerical digit code only when the recipient’s congressional district information is not provided. If zip+4 is blank, the data processing routine will infer it based on the latest congressional district and zip code mapping software. Field will be blank for aggregate records and foreign recipients.
10. **Recipient Congressional District** – This is required only when the recipient’s zip+4 is not provided. If congressional district is blank, the data processing routine will infer it based on the latest congressional district and zip code mapping software. This field will contain “00” for a congressional district at large, “98” for jurisdictions with a nonvoting delegate, “99” for jurisdictions with no representative, and “90” for multiple congressional districts. Field will be blank for foreign recipients.
11. **Type of Recipient** – This is a required field and must contain one of the following valid values: “00”, “01”, “02”, “04”, “05”, “06”, “11”, “12”, “20”, “21”, “22”, “23” or “25”. If a data file

contains one or more records for individual recipients (“21”), agencies will be given a warning and will have the option to continue with the file submission or cancel.

12. **Type of Action** – This is a required field and must contain one of the following valid values: “A”, “B”, “C” or “D”. Field will be blank for aggregate records.
13. **Federal Agency/Organizational Unit Code** – This is a required field and must contain a valid four character numeric FIPS 95-2 code.
14. **Federal Award Identifier Number (FAIN) and Modification (Mod)** –
  - a. **FAIN** is a required field. Field will be blank for aggregate records.
  - b. The combination of **FAIN** and **Mod** must be unique if the Unique Record Identifier (URI) is not provided.
  - c. **Mod** will be blank for aggregate records.
15. **Federal Funding Amount** - This is a required field for non-loan records and must contain only numeric values. A negative dollar amount must be specified by placing a minus “-” sign in the **Federal funding Sign** field. The Sign field must be left blank for a positive dollar amount. The Amount field must contain either blanks or “0” for loan records.
16. **Obligation/Action Date** – This is a required field and must be in the YYYYMMDD format. (YYYY = Year in four digits e.g. “2008”, MM = Month in two digits eg. “10” for October, DD = Day of the month e.g. “12”)
  - a. An obligation/action date that belongs to a future fiscal year is NOT valid. However, records with future obligation/action dates but within the current fiscal year are valid.
  - b. This field will contain the last day of the reporting period for aggregate records.
17. **Type of Assistance Transaction** - This is a required field and must contain one of the following valid values: “02”, “03”, “04”, “05”, “06”, “07”, “08”, “09”, “10” or “11”.
18. **Record Type** - This is a required field and must contain one of the following valid values: “1” or “2”. This field will be used to distinguish aggregate records.
19. **Correction/Late Indicator** – This is not a required field. Field must either be blank or contain one of the following valid values: “D”, “C” or “L”.
20. **Fiscal Year and Quarter Correction** – This is not a required field. Field must either be blank or be in the following valid format: YYYYQ. (YYYY = Year in four digits e.g. “2008”, Q = Quarter in 1 digit eg. “1” for first quarter)
  - a. Year must be the current or previous fiscal year, a future fiscal year is NOT valid.
21. **Principal Place of Performance (PPOP) Code** – This is a required field and must contain a valid two character state code in the first two positions. This must be followed by one of the following: “\*\*\*\*\*” for a Statewide project, a valid three character county code preceded by “\*\*\*” for a Countywide project, or a valid five character place code to designate a particular city. This field must contain “00\*\*\*\*\*” for a multi-State project. Field must contain “00FORGN” for foreign PPOP.
22. **Principal Place of Performance (PPOP) Zip Code** –
  - a. The **five digit zip** is a required field and must contain a valid five numerical digit code. Field will be blank for aggregate records and foreign PPOP.
  - b. **Zip+4** is required and must contain a valid four numerical digit code only when the PPOP congressional district information is not provided. If zip+4 is blank, the data processing routine will infer it based on the latest congressional district and zip code mapping software. Field will be blank for aggregate records and foreign PPOP.
23. **Principal Place of Performance (PPOP) Congressional District** – This is required only when the PPOP zip+4 is not provided. If congressional district is blank, the data processing routine will infer it based on the latest congressional district and zip code mapping software. This field will contain “00” for a congressional district at large, “98” for jurisdictions with a

nonvoting delegate, “99” for jurisdictions with no representative, and “90” for multiple congressional districts. Field will be blank for foreign PPOP.

24. **Project Description** – This is a required field and must be non-blank. Field will be blank for aggregate records.
25. **DUNS Number** – This is a required field only for new prime grants submitted after October 1, 2010 with Obligation/Action Date on or after October 1, 2010. It must be available in the CCR system and must contain a valid nine digit numeric string. However, it is not a required field for Loans, Direct Payments, Insurance and Other Types of Spending and can be blank.
26. **Recipient Address Line 1** – This is a required field and must be non-blank. Field will be blank for aggregate records.
27. **Face Value of Direct Loan/Loan Guarantee** – This is a required field for loan records; positive, negative (-) and “0” dollars are all acceptable values. Field must contain either blanks or “0” for non-loan records.
28. **Original Subsidy Cost of the Direct Loan/Loan Guarantee** – This is a required field for loan records; positive, negative (-) and “0” dollars are all acceptable values. Field must contain either blanks or “0” for non-loan records.
29. **Business Fund Indicator** – This is required only when Program Source/TAS information is not provided. Valid values are “REC” (if the funds are provided by the Recovery Act) and “NON” (if record is funded by other sources).
30. **Recipient Country Code** – This is a required field when the Recipient State Code contains “00” and the Recipient City Code contain “FORGN” and must contain a valid three character ISO 3166-1 alpha-3 country code. Two character FIPS 10-4 country code will be accepted until September 30, 2010.
31. **Principal Place of Performance Country Code** – This is a required field when the PPOP Code contains “00FORGN” and must contain a valid three character ISO 3166-1 alpha-3 country code. Two character FIPS 10-4 country code will be accepted until September 30, 2010.
32. **Unique Record Identifier (URI)** – This is required only when the combination of FAIN and Mod is not unique. Field must contain a unique value except when the Correction/Late Indicator contains the code “D” or “C”. This field must be non-blank for aggregate records.

Upon validation, a submitted file will initially have one of four processing statuses:

**Reviewed: No Issues** – The data file passed the edit checks for all transactions and no further action is required from the agency. However, a warning may appear if the file contains records for individual recipients and the agency will be presented with the option to continue or cancel the file upload.

**Reviewed: Acceptance Threshold Met** – The data file passed the edit checks for 90% or more transactions. In this scenario, the agency will need to review the error summary and error details files attached to the feedback e-mail, correct any error(s) identified and submit a corrected file containing only the transactions that failed in the original file. A correction file must pass the edits checks for 100% of the transactions.

**Reviewed: Issues Detected** – The data file failed the edit checks for more than 10% of the transactions, which resulted in the rejection of the entire file. In this scenario, the agency will need to review the error summary and error details files attached to the feedback e-mail, correct any error(s) identified and submit a corrected file containing all transactions from the original file.

**Backout Request Submitted** – The request to delete/replace all transactions from the selected data file(s) has been received and no further action is required from the agency.

Passing these checks is absolutely essential for the data to be further processed/loaded and reported on the USAspending.gov website. For FAADS+ submissions, the entire file will be rejected if more than 10% of the records fail the validation checks listed below, otherwise individual records will be rejected for correction and resubmission. The FAADS+ data will be uploaded into USAspending.gov if there are no errors, or when all of the errors have been corrected in the submission.