BUREAU OF THE
Fiscal Service
U.S. DEPARTMENT OF THE TREASURY

AWARD SUBMISSION PORTAL USER GUIDE

September 2015

Version History

Version	Publication Date	Description of Change
1.0	December 2014	Initial Issuance
2.0	July 2015	Clarified statements; added validation checklist; incorporated guidance formerly in OMB M09 – 19; added relaxation in Validation checks; added Errors and Warnings messages.
2.1	August 2015	Delete reference to user of DSVT; add new validation checks.
2.2	August 2015	Clarification of “Delete” Records and resubmission of “deleted” records.
2.3	September 2015	Add Agency Code requirement for Deletions Records

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1. INTRODUCTION

The Federal Funding Accountability and Transparency Act (FFATA) requires federal agencies to submit monthly assistance data to USASpending.gov. In February 2014, the Office of Management and Budget gave the Department of the Treasury's Bureau of Fiscal Services (FS) the responsibility of rebuilding and managing USAspending.gov. In order to fulfill that mission, FS also had to rebuild the platform that provided a method for federal agencies to continue to upload assistance data to USAspending.gov

1.1 What is the Award Submission Portal (ASP)

1.1.1 The ASP is the platform used by federal agencies to upload assistance files, corrections to records, and to report that an agency has no submissions for a specific month.

1.2 Who are the Users of the ASP

1.2.1 *Agency Users* – Personnel with the responsibility for uploading monthly files through the ASP to USASpending.gov.

1.2.2 *Agency Administrators*—Agency personnel responsible for approving new Agency Users and uploading monthly files as a back up to Agency Users.

1.2.3 *ASP Administrator* – Treasury personnel responsible for unlocking Agency User accounts, editing Agency User names and telephone numbers, approving Agency User's registration and allowing access to the ASP, verifying Agency Administrators, and providing assistance to Agency Users

1.2.4 *System Administrator* – Treasury personnel responsible for the operation and maintenance of the ASP.

1.3 How to access the ASP

1.3.1 Access the Production ASP at: https://submissions.usaspending.gov/

1.3.2 Access the ASP test site at https://submissions-usas-uat.workplace.gov

1.4 Minimum Technical Requirements – Internet Explorer 8 or higher, Chrome, or Firefox.

2. REGISTRATION AND LOG IN

2.1 New Users

2.1.1 Register on the Log In page. Click on *Register here* to go to the Registration page, where you will fill in the required information and create a password.

2.1.2 If you do not have a .gov or .mil email address, you must fill out the *Contact Us* form indicating your email address, agency, and Agency Administrator so the System Administrator can verify and approve your registration.

2.1.2.1 If you recognize the Agency Administrator, click the button next to the name and continue with your registration

2.1.2.2 If you do not recognize the Agency Administrator name, or if there is no name to select, fill in the Agency Administrator Name, Email, and Telephone Number. The Agency Administrator will be validated by the ASP Administrator.

2.1.3 You must acknowledge the System Warning Banner and accept the System Rules of Behavior.

2.1.4 **Password Convention**

2.1.4.1 Passwords must be a minimum of 8 characters, use upper and lowercase characters, contain at least one number and special character, and cannot be one of the last 10 passwords previously used. You will only be able to change your password once in a 24 hour period.

2.1.5 When you have submitted the registration form, you will receive a registration notification email. Additionally, the ASP will email a new-user-request-notification message to the Agency Administrator and the ASP Administrator who will approve or reject the registration request.

2.1.6 When the Agency Administrator approves the registration request, you will receive a notification email giving you access to the ASP.

2.2 Agency Administrators

2.2.1 When you are approved, the ASP Administrator will add you to the Agency Administrator list. You will then receive email notifications when new Agency Users register and will be able to approve those new users by logging in to the ASP.

3. MY ACCOUNT

On the My Account page, you will be able to:

3.1 Change your first and last name

3.2 Change your phone number

3.3 Change your password

3.3.1 You will only be able to change your password once in a 24 hour period and you may not use one of your last 10 passwords.

4. REPORTING ACTIONS

4.1 General Operational Instructions

4.1.1 **When to Report**

4.1.1.1 To facilitate the timeliness of the data available on USAspending.gov, agencies shall make every effort to submit any available data by the 5th of each month and ensure that prior month data be complete no later than the 20th of the month. If these deadlines fall on a weekend or holiday, information should be submitted no later than the next business day.

4.1.2 **Validation Requirements**

4.1.2.1 See Validation Checklist posted at the Resources tab.

4.1.3 DUN & BRADSTREET

4.1.3.1 All DUNS number data transmitted to the Award Submission Portal must be sent to D&B for validation prior to submission of the records. The exception is those agencies collecting the DUNS number on awards validated via SAM or separately with D&B.

4.1.3.2 Confidence Code – D&B provides a numeric measure of the match accuracy of agency business information to a DUNS Number. OMB determined that for the purposes of reporting, a Confidence Code of 7 is the acceptable threshold for accuracy. The Confidence Code field is an optional field in the reporting template.

4.2 How to Submit a File

4.2.1 To upload New Files, click on the *Submit a File* button or choose *Submit a File* from the *Reporting Actions* dropdown menu.

4.2.2 On the Submit File page, your Agency is pre-populated. Select the month(s) for which the Submission is due. You may select multiple months by holding down the control key and clicking on the month/year combinations. The Submission Due dates update the Agency File Submission Report.

4.2.2.1 Submission Due date examples

4.2.2.1.1 Example #1 – For files with an Obligation/Action date range of August 1 through August 31, the submission is due before September 20; therefore, select September from the dropdown menu.

4.2.2.1.2 Example #2 – For files with a date range of January 1 through August 31, choose February, March, April, May, June, July, August, and September from the dropdown menu.

4.2.3 Enter any comments you may have.

4.2.4 Browse for the file you wish to upload.

4.2.5 All New Files must be named as follows:
[Agency Acronym]_[Assistance]_[Submission Date: YYYY.MM.DD].txt

4.2.6 Click *Upload*. You will receive the following confirmation message on screen: "Your file has been successfully uploaded and is processing. Please check the File Status column on your Review My Submissions page. "

4.2.7 To return to Review My Submissions, click *Home*.

4.2.8 Reload the Review My Submissions page to see the change in the File Status column from Processing to Partially Accepted, Accepted, or Rejected. Processing may take anywhere from 10 to 30 minutes depending on the size of the file and the number of files in the queue.

4.3 How to Submit Correction Files

4.3.1 Correction Files must pass the validation 100%. If one record fails validation, the entire file will be rejected.

4.3.2 To upload corrections to previously submitted records, click on the *Submit a Correction File* button, or choose *Submit a Correction File* from the *Reporting*

Actions dropdown menu. On the Submit a Correction File page, choose the correct Agency and Submission Month. You may select multiple months by holding down the control key.

4.3.3 Enter any comments about the file you may have.

4.3.4 Browse for the file you wish to upload. The Corrections File should contain only records that are being corrected (omit any previously accepted records) and can contain as few or as many records as you choose.

4.3.5 All Corrections files must be named as follows:
[Original Data File Name]_Corrections_[Sequence Number].txt

4.3.6 The combination of FAIN and Mod or the URI fields must be accurately included to identify corrections or deletions for previously accepted transactions.

4.3.7 Correction/Late Indicators are as follows:

4.3.7.1 Blank – Current Entry

4.3.7.2 *D – Delete* a previously submitted record that contained errors. The combination of the FAIN and Mode or the URI will identify corrections or deletions for previously accepted transactions.

4.3.7.3 *C – Replace* a previously submitted record that contained errors. Record should contain replacement (not delta) values for all data fields that contain errors. *The combination of the FAIN and Mode or the URI will identify corrections or deletions for previously accepted transactions.*

4.3.7.4 *L* – Agencies can continue to use this code, however, it will not be reflected on USAspending.gov.

4.3.8 Type of Action Records

4.3.8.1 Amendments to an award should be reported as a separate record with a blank Correction/Late Indicator. The record should instead use the *Type of Action* field to identify the type of change to the award:

4.3.8.2 *A* – New Record

4.3.8.3 *B* – Continuation (funding in a succeeding budget period that stemmed from a prior agreement to fund amount of current action).

4.3.8.4 C – Revision (any change in the federal government's financial obligation or contingent liability in existing assistance transaction amount of the change in funding; or any change in the Recipient Name, Address, Project Period, or Scope).

4.3.8.5 *D* – Funding adjustment to completed project.

4.3.8.6 *Fiscal Year* and *Quarter* should be blank except in the case where the agency wants to apply an adjustment to the year of the award rather than the year in which the adjustment was done.

4.3.9 Click *Upload*. You will receive the following confirmation message on screen: "Your file has been successfully uploaded and is processing. Please check the File Status column on your Review My Submissions page."

4.3.10 To return to Review My Submissions, click *Home*.

4.4 How to "Delete" Records

4.4.1 Records are never "deleted" from the USAspending database, however, deleted record data is not displayed nor is the data included in any calculations.

4.4.2 To resubmit data from a "deleted" record, you must submit the data as a correction record.

4.4.2.1 The Agency Code/FAIN/MOD/URI are the only that will be validated. If any of those fields can not be validated the "Deletions" record will be rejected.

4.4.2.2 Leave the Type of Action field blank

4.4.2.3 Enter "C" in the Correction/Late Indicator field

4.4.2.4 Submit the record as you would a normal correction.

4.5 Report No Submissions

4.5.1 If you have no files to submit for the month, click on the *No Submissions to Report* button or choose *No Submissions to Report* from the *Reporting Actions* dropdown menu. On the No Submissions to Report page, choose the appropriate Agency and Submission Month. You may select multiple months by holding down the control key.

4.5.2 Enter any comments about the file you may have.

4.5.3 Click *Report*.

4.5.4 To return to Review My Submissions, click *Home*.

5. PARTIALLY ACCEPTED FILES

5.1 Files will be *Partially Accepted* if less than 10% of the records are rejected.

5.2 To resubmit those records that were rejected, create a new file with the rejected records, make the necessary corrections, and resubmit the records in a Corrections file (See 4.3)

6. REJECTED FILES

6.1 Files will be *Rejected* if 10% or more of the records fail the Validation Checklist.

6.2 You will receive an email notification with Error Summary and Error Details attachments indicating the errors and warnings for the files that did not pass the Validation Checklist. If the Error Summary and Error Details are too large to attach in an email, there will be links to the files in the email notification.

NOTE: Warnings do not result in a file's being rejected. See Error and Warning Messages on the Resources tab.

6.3 Remove the records with errors and submit in a Correction file (See 4.3) OR

6.4 Correct all the errors, change the name on the file, and resubmit the file in its entirety.

7. REVIEWING SUBMISSIONS

7.1 Review Agency User Submitted files

7.1.1 All the files you submit are displayed in the *Review My Submissions* box.

7.1.2 The *Date Received* will always show E.S.T. time.

7.1.3 Click on *View* in the Action column to see a Summary of the uploaded file. To download the file, click on the file name in the File Details column.

7.1.4 The File Status column indicates if the file is still processing, has been *Accepted*, Partially Accepted, or Rejected.

7.1.5 The Result Status column indicates the final status *for the upload as* Accepted, Partially Accepted, or Rejected. *For* Partially Accepted and Rejected files, this column also includes links to the *Error Summary* and *Error Details* files. NA indicates that there were no errors in the file and it is still processing.

7.1.6 To export a file to Excel, click on *Export to Excel* in the Review My Submissions box.

7.2 Review all Agency File Submissions Report

7.2.1 To see all files uploaded for your agency, click on *Agency Search Page*, where you can choose the Start and End dates for files, the Obligation/Action months, the Agency and the File Status.

7.2.2 Click *Search* to return the results.

7.2.3 Export results to Excel by clicking *Export to Excel* in the *Search* Results box.

7.3 Agency File Submission Status Report

7.3.1 This report shows the file submission history for all agencies by fiscal year and month.

7.3.2 Select *Agency* and click *GO* to see the history for a particular agency.

8 ERROR AND WARNING MESSAGES

8.1 The ASP has implemented the Validation Checks set out in OMB guidance. If a record fails 10% of the validation requirements, you will receive an email indicating the errors in the individual files. If a record contains an error message, the record must be corrected and resubmitted. If a record receives a warning, the record will be accepted, but should be corrected in future uploads. (See Resources for full list.)

8.2 Sample Error Messages

8.2.1 Required Field – [Field Name] is a required field and cannot be left blank.

8.2.2 Format Error – [Field Name] must be in the xx.xxx format.

8.2.3 Value Error – CFDA Program Number [81.067] must be Active as of the award Obligation/Action date.

8.2.4 Field Combination Error – [Field Name] Recipient Zip Code and Congressional District cannot both be blank. Enter either a valid Zip +4 or the valid Congressional District.

8.2.5 Unique Data Error – Unique Record Identifier (URI) _ [FY2013-2012ULWX0031-00-NON] has already been submitted. If this is a new transaction, resubmit using a different URI.

8.3 **Sample Warning Messages**

8.3.1 Warning: Recipient City Code entered is not a valid 5 character FIPS place code and should be corrected to avoid the display of inaccurate data on USASpending.gov

8.3.2 Warning: Recipient County Code entered is not a valid 3 character FIPS or ANSI INCITS county code and should be corrected to avoid display of inaccurate data on USASpending.gov.

9 CONTACT US

9.1 If you have questions regarding registration, changing your password, or files you have submitted, contact us at aspadmin@fiscal.treasury.gov**.**

10 RESOURCES

The following resources are located on the ASP under the Resources tab:

10.1 Validation Checklist

10.2 Data Dictionary

10.3 Error and Warning Messages

10.4 FAQs

10.5 Assistance File Format

10.6 Authoritative Sources

10.6.1 Agency Codes

10.6.2 FIPS City/State/County Cods

10.6.3 ISO Country Codes

10.6.4 Zip Codes

10.6.5 SAM/CCR

10.6.6 CFDA

11 SECURITY POLICIES

a. You will be required to acknowledge the System Warning Banner each time you log in.

b. You will be required to accept the System Rules of Behavior the first time you log in.

c. If you log in incorrectly three times, your account will be locked for a specified duration. To have your account unlocked, please submit the Feedback Form at *Contact Us.*

d. Sessions will time out after 20 minutes of inactivity and you will be required to log in again.

e. You are required to change your password every 120 days. To change your password:

   i. Log in.

   ii. Select *My Account* in the upper right-hand corner.

   iii. Enter the old password, new password, and confirm the new password.

The new password must meet the requirements outlined in Section 2.2.5.1.

iv. Click *Save*.

f. If you forget your password, click on *Help! I forgot my password* on the Log in page. A temporary password will be emailed to you. Once you have logged in using the temporary password you will be required to change the password in order to have access to the ASP.

g. If you do not log in to the ASP for 120 days, your account will be deactivated. To reactivate the account, submit the Feedback From at *Contact Us.*