



Department of Transportation
Office of the Senior Procurement Executive

No. FAPL- 2015-01
Date 3/19/2015

FINANCIAL ASSISTANCE POLICY LETTER

This Financial Assistance Policy Letter is issued under the authority of the Senior Procurement Executive of the Department of Transportation

Subject: Departmental Policies and Procedures for External Reporting of Federal Funding Accountability and Transparency Act (FFATA) - Financial Assistance (Grants, Cooperative Agreements, Loan, and Other Transactions) Award Data.

References:

- Public Law 109-282 Federal Funding Accountability and Transparency Act of 2006
- The Office of Management and Budget (OMB) M-08-04 OMB Guidance on Data Submission under the Federal Funding Accountability and Transparency Act (Transparency Act) 11/09/2007
- OMB M-08-12 Guidance on Future Data Submissions under the Federal Funding Accountability and Transparency Act (Transparency Act) 03/06/08

When is this Financial Assistance Policy Letter (FAPL) Effective?

This Financial Assistance Policy Letter is effective immediately and rescinds FAPL-2008-1.

When Does This FAPL Expire?

This FAPL remains in effect until superseded or cancelled.

Who is the Point of Contact?

Contact Ellen Shields, Associate Director, Office of the Senior Procurement Executive, Financial Assistance Policy and Oversight Division, at 202-366-4268 or by email at: ellen.shields@dot.gov.

What is the Purpose of this FAPL?

The purpose of this FAPL is to transition all Operating Administrations (OAs) from utilizing the Department's internal Grants Information System (GIS) to direct reporting of financial assistance award data (Grants, Cooperative Agreements, Loans, and Other Transactions) to USASpending.gov.

This streamlined reporting approach is designed to increase the accuracy and timeliness of financial assistance reporting and improve alignment between USASpending.gov and Delphi. By the end of Fiscal Year 2015, each OA will directly report their financial assistance data to USASpending.gov and the Department's Grants Information System will be decommissioned and no longer available for use.

What is the Background?

Over the past few years, the U.S. Department of Transportation has made significant improvements in reporting financial assistance award data as prescribed by the Federal Funding Accountability and Transparency Act. Included in these improvements is the effort to streamline Departmental reporting to USASpending.gov to improve the accuracy and timeliness of reported award data.

What is the Guidance?

Attached to this memorandum are procedures to assist with the implementation of this policy (see Appendix). Please ensure that all OA personnel involved with the management of financial assistance programs and reporting of those programs are made aware of the changes contained in this policy document and the attached procedures.



Willie H. Smith
Senior Procurement Executive

Attachments

Appendix

Departmental Procedures for External Reporting of Financial Assistance Transactions to USAspending.gov

The following communication is designed to provide details on new reporting procedures including Roles and Responsibilities; Reporting Procedure; Reporting Options; and File Naming Conventions

1.0 Roles and Responsibilities

1.1 Operating Administration (OA) Roles and Responsibilities – Each OA and/or designated program office is responsible for reporting financial assistance (grants, cooperative agreements, loans, and other types of financial assistance) award data directly to USAspending.gov on a monthly basis. USAspending.gov data submissions must occur by the 5th of each month. Monthly submissions include financial assistance awards for the previous month. For example, for the month of September, data submissions must include all financial assistance award obligations that occurred in the previous month, which would be August. The OA is responsible for ensuring that all reported financial assistance award data is accurate, current, and complete. The OA is responsible for ensuring that all award data reported to USAspending.gov is reconciled on a quarterly basis with financial data reported to Delphi, the Department's financial system. The OA is responsible for providing oversight to ensure its reporting users adhere to Departmental procedures. The OA Reporting Lead(s) will immediately notify Office of the Senior Procurement Executive (OSPE) (Laverne.Taylor@dot.gov) of any proposed change to the approved list of OA users currently authorized to report directly to USAspending.gov.

1.2 OST Oversight Roles and Responsibilities – The Office of the Secretary (OST), in cooperation with the Financial Assistance Integrated Project Team (FA-IPT) consisting of representatives from the OCFO, OCIO, and OSPE will provide on-going support for the OAs as they transition to direct reporting. The FA-IPT maintains the overall transition project plan and has scheduled the OAs for phased transition during FY 2015. The FA-IPT, in conjunction with the OA Reporting Lead(s), will authorize OA reporting users to upload data directly to USAspending.gov after successful completion of training and test activities. The OSPE will continue to provide oversight to ensure that all financial assistance data is submitted to USAspending.gov within the established Federal timeframes.

2.0 Reporting Procedure – Utilizing USAspending.gov Reporting Template.

Data uploads to USAspending.gov are accomplished with a specifically formatted text file using the USAspending.gov Award Submission Portal (ASP) located at <https://submissions.usaspending.gov>. ASP Reporting Users must be trained, authorized by the OSPE, and registered to upload into the ASP. The upload file name must be consistent with Departmental guidelines. Treasury's ASP User Guide is located at <https://submissions.usaspending.gov/content/documents/UserGuide.pdf>.

2.1 Reporting Options for ASP: Operating Administrations have two different options for - reporting their financial assistance award data:

Option 1 – USAspending.gov Reporting Template and Instructions - OA Approved

Reporting User will manually enter all financial assistance award data into the Departmental USAspending.gov Reporting Template and upload to USAspending.gov via the Award Submission Portal (ASP).

Option 2 – System Generated Text File - The OA’s grant management system (including any future releases), will generate a text file capturing all the necessary financial assistance award data in accordance with USAspending.gov upload requirements for data elements. The OA Reporting User will upload that data to USAspending.gov.

Approved OA File Upload Naming Convention:

FAA	FHWA
DOTFAAAIP_ASSISTANCE_2014.06.16.txt	DOTFHWA FMIS_ASSISTANCE_2014.06.16.txt
DOTFAAAVIATIONRESEARCH_ASSISTANCE_2014.06.16.txt	DOTFHWAHCFA###_ASSISTANCE_2014.06.16.txt
DOTFAACENTEREXCELLENCE_ASSISTANCE_2014.06.16.txt	DOTFHWA TIFIA_ASSISTANCE_2014.06.16.txt
DOTFAASTIM_ASSISTANCE_2014.06.16.txt	
FMCSA	FRA
DOTFMCSA_ASSISTANCE_2014.06.16.txt	DOTFRA_ASSISTANCE_2014.06.16.txt
	DOTFRALOANS_ASSISTANCE_2014.06.16.txt
FTA	MARAD
DOTFTA_ASSISTANCE_2014.06.16.txt	DOTMARAD_ASSISTANCE_2014.06.16.txt
NHTSA	OST
DOTNHTSAGTS_ASSISTANCE_2014.06.16.txt	DOTOSTSCASDP_ASSISTANCE_2014.06.16.txt
DOTNHTSA_ASSISTANCE_2014.06.16.txt	DOTOSTEAS_ASSISTANCE_2014.06.16.txt
	DOTOSTOSDBU_ASSISTANCE_2014.06.16.txt
	DOTOSTR_ASSISTANCE_2014.06.16.txt
PHMSA	
DOTPHMSAPHH703_ASSISTANCE_2014.06.16.txt	
DOTPHMSAPHH700_ASSISTANCE_2014.06.16.txt	
DOTPHMSAPHH721_ASSISTANCE_2014.06.16.txt	
DOTPHMSAPHH710_ASSISTANCE_2014.06.16.txt	
DOTPHMSAPHH720_ASSISTANCE_2014.06.16.txt	
DOTPHMSAPHH723_ASSISTANCE_2014.06.16.txt	
DOTPHMSAPHH724_ASSISTANCE_2014.06.16.txt	