

# DAIMS v1.4 Release Notes

September 27, 2019

The DATA Act Information Model Schema (DAIMS) Version 1.4 addresses audit findings, clarifies aggregate record reporting, aligns with the Federal Hierarchy, and aligns with changes in integrated data sources. Some of the highlighted changes are: required ActionType code in Financial Assistance Broker Submission (FABS) for aggregate records to address agency audit findings associated with blank data values, added information to clarify that the FABS validation rules for city-wide place of performance no longer allow blanks in the PPOZIP+4 field in non-aggregate records, and changed the language in the Practices and Procedures and Validation Rules documents regarding the split of the FundingOfficeCode into the Procurement Funding Office and Assistance Funding Office based on GSA Federal Hierarchy source file changes.

Broker production implementation dates for Version 1.4 are April 2020 for FABS and May 2020 for DABS. We also would like to note one item related to the derivations in the Broker. Treasury will be responsible for executing derivations in a transparent and consistent manner based on agency certified submissions and data from GSA-managed systems for File D1.

We have finalized the following enhancements, which are reflected in the Reporting Submission Specifications (RSS), Interface Definition Document (IDD), Practices and Procedures, Validation Rules, and DAIMS Architecture documents. For additional detail, see the documents themselves and their associated change logs; they can be found on the Fiscal Service Data Transparency DAIMS page.<sup>1</sup>

## **Changes Impacting Multiple DAIMS Documents**

1. Require ActionType code in Financial Assistance Broker Submission (FABS) for aggregate records to address agency audit findings associated with blank data values. A blank value will trigger a fatal error. This change requires updates to domain values in the Reporting Submission Specification (RSS), addition of new validation rules, and updates to existing rules. Agencies will need to make changes to support the new aggregate code (ActionType=E) and ensure that every record submitted to FABS uses a valid code.
2. Change the language in the Practices and Procedures (P&P) and Validation Rules regarding the metadata attribute changes for Funding Office whereby Federal Hierarchy now has separate flags for the Procurement Funding Office and Assistance Funding Office. This change is due to the General Services Administration (GSA) making this change to the Federal Hierarchy source file. This will require a Broker code change but will only impact agencies that are not in line with the new attributes of the FundingOfficeCode.
3. Revise the FABS overview text in the Reporting Submission Specification and Practices (RSS) and Procedures to identify fewer elements that need to be included in order to delete a record. This change was made to match the functionality of Award Submission Portal (ASP) and legacy USAspending. Agencies may, if desired, reduce the number of submitted elements in their submissions to match the reduced list of required fields.
4. Add clarification to P&P and Validation Rules that Program Activity Name (Code) of Unknown/Other (0000) and object class 000 should not be used in File C. This clarification was made due to questions from auditors. This language clarification does not involve a change to the Broker and will only impact agencies that currently use Unknown/Other (0000) in File C.

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<sup>1</sup> <https://fiscal.treasury.gov/data-transparency/DAIMS-v1.4.html>

5. Update Validation Rules and File C Instructions in RSS for GeneralLedgerPostDate to include date format requirements for this optional element when it is provided. This change may have an impact on agencies that are not submitting dates in the specified format.
6. Clarify language in the RSS that File B should only include current year balances where the Prior Year Adjustment (PYA) Attribute is 'X'. This will only impact agencies that do not currently follow this policy. This will not require any Broker changes. This has always been the original intent to be aligned with the SF-133 which is current year only.
7. Add list of exceptions to RSS, P&P, and Validation Rules for the GENC country code list for U.S. territories or freely associated states. This documentation change should have no impact on agencies.
8. Update URLs in RSS and P&P with new reference links for city/county codes (USGS) for FABS. This document change should have no impact on agencies.
9. Update all DAIMS documents to explain that Broker, Financial Assistance Broker Submission, and USAspending data are not case sensitive. This change is being made to address a DATA Act audit finding. This documentation change should have no impact on agencies.

#### **Changes Impacting DAIMS Validation Rules**

1. Add information to clarify that the Financial Assistance Broker Submission (FABS) validation rules for city-wide place of performance no longer allow blanks in the PPOZIP+4 field in domestic non-aggregate records; instead require PPOZIP+4 to contain "city-wide" in the field. This change will trigger a fatal error and is to address audit findings associated with blank data values. Agencies may need to modify their systems to populate "city-wide" for the PPOZIP+4 in case of a city-wide place of performance.
2. Correct validation rule B20 to include Program Activity Name as originally intended. This change adds name to the validation rule. This change should have a minimal impact on agencies.
3. Modify DATA Act Broker Submission (DABS) validation rule A33 to enforce OMB M-17-04 policy requirement for Awarding Agencies to submit appropriations, program activity, object class, and award financial information for allocation transfer accounts. This will require agencies to change the way they submit information, if not already following published guidance. A33 will remain as a warning.
4. Include implicit Reporting Submission Specification (RSS) technical validation rules (such as data element field length, presence of non-duplicated header rows, CSV or TXT file type, and valid characters for each element) as explicit rules in the Validation Rules document. The existing max length violation is changing from warning to error, which is the original intent. This is in response to an audit finding for the Broker. This should have no impact on agencies that already comply with the current RSS.
5. Create a new "Overview" tab in the Validation Rules to make the document more consistent with other DAIMS documentation. This tab will explain the purpose of the validation rules, as well as, address audit findings associated with the validation rules (i.e. case sensitivity and order of operations). This documentation change should have no impact on agencies.
6. Add new column to the Validation Rules list to explain the order that the validation rules are applied (File Level, Cross-File, Element Level) to submissions in the Broker. This is to address an audit finding for the DAIMS. This documentation change should have no impact on agencies.

#### **Changes Impacting DAIMS Practices and Procedures (P&P)**

1. Add language to the P&P to clarify the use of Unknown/Other (0000) program activity and object class (000). These should only be used when there are no obligations or outlays on the TAS in File B. This documentation change is to address agency auditors' questions and will only impact agencies that currently use Unknown/Other (0000) program activity and object class (000) for other purposes. This will have no impact to Validation Rules or Broker code.
2. Add clarification to the P&P concerning the differences between transaction and balance information in File C. Agencies may have to change how they report USSGL balances in File C if they are not following current guidance. This will have no impact on Validation Rules or Broker code.

3. Add clarification to the P&P noting that the optional element GeneralLedgerPostDate should only be populated with values for transactions that involve a change in TransactionObligatedAmount. This change is to ensure that agencies understand when GeneralLedgerPostDate should be used and prevent the size of agencies File Cs increasing. Agencies may have to change how they use the GeneralLedgerPostDate in File C if they are not following current guidance. This will have no impact on Validation Rules or Broker code.
4. Add clarification to the P&P for the Primary Place of Performance location elements that are derived when RecordType = 3 for FABS. Personally-identifiable information (PII) must be redacted from these records. This change aligns documentation with the current broker functionality and should have no impact on agencies.
5. Add clarification to the P&P concerning FABS submission windows to align with FFATA and OMB directives, which require awards to be reported within 30 days of the award and twice monthly. This documentation change should have no impact on agencies.
6. Add clarification in the P&P that per FFATA, the location of the entity receiving the financial assistance award and the primary location of the performance under the award must be a physical address. This updates the documentation noting that APO and FPO addresses have never been accepted by the broker. This documentation change should have no impact on agencies.
7. Add a section to the P&P to clarify the difference between awards versus transactions. This section also gives a detailed description of the component elements that comprise the unique transaction and award keys and an example value for each element. This documentation change should have no impact on agencies.
8. Update the P&P documented cadence that the Broker uses to receive updates of the Federal Hierarchy data from SAM. This change documentation should have no impact on agencies.

#### **Changes Impacting DAIMS Reporting Submission Specification (RSS)**

1. Update RSS reference links for object class (OMB A-11). This documentation change should have no impact on agencies.
2. Update the definition for URI in files C and FABS of the RSS to state that the URI is unique to each agency, but not globally unique. This change will not impact agencies.
3. Removed Implementation Comments column from File C and FABS

#### **Changes Impacting DAIMS Interface Definition Document (IDD)**

1. Rename “Contingency, Humanitarian, or Peacekeeping Operation” to “Emergency Acquisition” and rename “Contingency, Humanitarian, or Peacekeeping Operation Description Tag” to “Emergency Acquisition Description Tag” to align with FPDS ATOM feed changes for File D1. This documentation change should have no impact on agencies.
2. Update IDD definition and example for AssistanceTransactionUniqueKey with the new order and CFDA number to be in alignment with changes made in DAIMS v1.3. This documentation change should have no impact on agencies.
3. Add new element “PrimeAwardUniqueKey” as requested by data repurposers to files D1 and D2 in IDD, and update the definition in File F. This element will be automatically generated by the Broker.<sup>2</sup> This key is used to uniquely identify each award. This change should have no impact on agencies.
4. Update TotalFundingAmount and FederalActionObligation element number for file D2 in IDD. This documentation change should have no impact on agencies.
5. Corrected errant change in definition referencing FPDS/NG for LastModifiedDate in file D2. This change should have no impact on agencies.

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<sup>2</sup> Treasury will be responsible for executing derivations in a transparent and consistent manner based on agency certified submissions and data from GSA-managed systems for file D1.

6. Clarify the SubAwardNumber definition for file F in IDD. This documentation change should have no impact on agencies.
7. Update Business Line and FSRS Export Web Service Element Name for file F elements in IDD to align with FSRS. This documentation change should have no impact on agencies.

**Changes Impacting DAIMS Consumption-Focused Metadata (CFM)**

1. Change Excel document tab name from “Receipt by Source/Receipt by TAS” to “TAS and Related Info” in the CFM and remove elements that are no longer needed. This documentation change will have no impact on agencies, as the data is extracted from another Treasury authoritative system.
2. Update definitions for ReportingAgencyCode and ReportingAgencyName in the CFM. This documentation change will have no impact on agencies, as these are metadata assigned in the Broker.
3. Added System Source column to Sub Meta, Budget, SF133 tabs, and updated system source values for TAS Ref Info

**Changes Impacting DAIMS Architecture Document**

1. Updated DAIMS release cadence based on agency feedback.