Florida Department of Financial Services

Florida Accountability Contract Tracking System (FACTS)

Grant Award Agreement
Agency FTP Batch Transmission
User Guide

July 2014

Department of Financial Services
FACTS Grant Award Agency FTP Batch Transmission User Guide

Table of Contents

**Department of Financial Services
FACTS Grant Award Agency FTP Batch Transmission User Guide**

Introduction:

The **Agency Batch Transmission** process is used when the agency has a high volume of grant award records (hundreds or more) and is looking for a technical FACTS loading solution. The agency will generate a "Batch" file in this format and with the prescribed file name that an agency can transmit using sFTP to FACTS. This requires the agency to request a sFTP account through FACTS.Info@MyFloridaCFO.com.

Agency Assumptions:

Agencies should adhere to the following assumptions.

1. The Agency has identified their Agency's Point of Contact (POC) and Technical Point of Contact (TPOC)
2. The Agency has secure File Transfer Protocol (sFTP) software to retrieve and transmit data files (required for Agency Batch Transmission only). Contact agency technical staff technical staff if using earlier versions of Microsoft Operating System and software or if not familiar with sFTP software.
3. The Agency has requested a secure File Transfer Protocol (sFTP) account through FACTS.Info@MyFloridaCFO.com to retrieve and transmit data, if this option is selected for the agency.

References:

Agencies should utilize the following additional documents to support FACTS processes.

1. Department of Financial Services FACTS Code Validation Tables
2. Department of Financial Services FACTS User Manual

Agency Batch Transmission:

FACTS expects the batch data for Grant Award information in one flat file. The file should be a delimited file. The column delimiter should be "|" (one pipe) and the new line (carriage return) should be row delimiter.

- This file should contain the "Main" Grant Award record (One to One relationship – data not repeated for a grant award) and then all the children records (One to Many relationship – data may be repeated for a grant award) just after the "Main" record.
- The children records can be in any order but should be grouped together.
- When updating/adding any of these children records (Grantor, Letter of Credit, CFDA, CSFA, Cost Sharing, Associated Agreement information), provide the entire set for the Grant Award.
- Refer to the Grant Award Batch Import File Format tables below for field/column data requirements for each row.

  - o Row 1 - MAIN = Grant Award Record Type
  - o Row 2 - AMND = Grant Award Change/Amendment, if applicable
  - o Row 3 - GNTR = Grantor Info

- o Row 4 - LOCR = Letter of Credit & Sub Account Info, if applicable
- o Row 5 – CTSH = Additional Cost Sharing Information, if applicable
- o Row 6 - CSFA = CSFA Info, if applicable
- o Row 7 - CFDA = CFDA Info, if applicable
- o Row 8 – AGMT = Associated Agreement Information, if applicable

- Each time record type of "MAIN" is encountered, FACTS records one grant award record and its associated children records / row (AMND, GNTR, LOCR, CTSH, CSFA, CFDA and AGMT). There does not have to be all the different children records /rows for each "MAIN", however, all the fields for each children record used must be in the file even if it contains blanks.

Loading:

A. Configure the agencies local system to export data according to the format in the Grant Award Batch Import File Format Tables FACTS File Format for Agencies document. Remember to save the file with the proper format and naming convention, "Batch_OLO number_date code" (e.g. Batch_830000_2012_03_31).

B. Transmit the batch file with the Agency's sFTP client software, user name and password provided by FACTS.Info@MyFloridaCFO.com.

C. The sFTP client will provide a confirmation that the file was transmitted successfully or a notification that an error occurred. If an error was experienced in saving the Agency Batch data load, investigate and resubmit prior to 5 PM.

D. All Batch data load files will be processed between the hours of 5:00 PM and 6:45 PM. The information will be validated and loaded into the FACTS website database. If an error is encountered it will be written in an output log file and placed on the error screen of the web application.

E. Essential information is passed through as a second batch loading process to FLAIR. If errors are encountered the errors will be captured in the same output log file described in the earlier paragraph.

F. Valid data loaded under the batch process will be in FLAIR within 24 hours from the time the web system processes the batch file. Loading processes are scheduled to run on regular working days.

G. All errors encountered during the batch process will be posted by 5 AM the next business day.

Grant Award Batch Import File Format Tables

"Main" Grant Award Information Record

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Grant Award Record Type	Text	4	"MAIN"	Yes	Always pass this value for Main Grant Award Information

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Action	Text	4	"ADD" – When Adding a new Grant Award "UPD" – When Updating an existing Grant Award "NONE" - When Updating/Adding an existing Grant Award's children.	Yes	When "NONE", only FLAIR Agency Identifier (OLO) and Grant Award Identifier are required.
FLAIR Agency Identifier (OLO)	Text	6		Yes	
Grant Award Identifier (Grant Number)	Text	5		Yes	
Grant Award's Short Title	Text	10		Yes	
Grant Award's Long Title	Text	60		Yes	
Grant Reference Number	Text	5		No	
Grant Award's Description	Text	2000		Yes	
Original Grant Award Amount	Numeric	13.2		Yes	Can be zero, if grant funds not known at the date of award
Date of Award	Date (YYYY-MM-DD)			Yes	
Original Funding Start Date	Date (YYYY-MM-DD)			Yes	
Original Funding End Date	Date (YYYY-MM-DD)			No	
Grant Type	Text	1	"F" – Block/Formula Grant "P" – Project Grant "E" – Entitlement Grant "D" – Discretionary Grant "C" – Cooperative Agreement	Yes	

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Grant Document Number	Text	50		Yes	
Grant Status	Text	2	"A1" – Anticipated Award "A2" – Approved Award "IP" – Inactive Pending Property Action "IR" – Inactive for Ongoing Reporting "CL" – Closed	Yes	
Agency Grant Manager Name	Text	31		Yes	
Agency Grant Manager Phone Number	Text (8504132230)	10		No	
Agency Grant Manager's e-mail address	Text	50		No	
Agency Grant Fiscal Contact Name	Text	31		No	
Agency Grant Fiscal Contact Phone Number	Text (8504132230)	10		No	
Agency Grant Fiscal Contact e-mail address	Text	50		No	
Grant Federal Contact Name	Text	31		No	
Grant Federal Contact Phone Number	Text (85034132230)	10		No	
Grant Federal Contact e-mail address	Text	50		No	
Eligible for Indirect Cost	Text	1	"Y" – Yes "N" – No	No	Defaults to "N"

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Indirect Cost Sources - Salary, Wages & Fringe	Text	2	"Y" – Yes "N" – No "NA" – Not Applicable	Conditionally required	Defaults to "NA", however if the 'Eligible for Indirect Cost' field = "Y", at least one "Y" must be provided for the three Indirect Cost Sources fields
Indirect Cost Sources - Payment to Sub-Recipient	Text	2	"Y" – Yes "N" – No "NA" – Not Applicable	Conditionally required	Defaults to "NA", however if the 'Eligible for Indirect Cost' field = "Y", at least one "Y" must be provided for the three Indirect Cost Sources fields
Indirect Cost Sources - Direct Cost	Text	2	"Y" – Yes "N" – No "NA" – Not Applicable	Conditionally required	Defaults to "NA", however if the 'Eligible for Indirect Cost' field = "Y", at least one "Y" must be provided for the three Indirect Cost Sources fields
Indirect Cost - Comment	Text	2000		No	
Revised Funding Ending Date	Date (YYYY-MM-DD)			Optional	To record the Grand Awards "Revised Funding Ending Date" on the Main Record.

"AMND" Grant Award Amendment Information Record

Provide only the records that need to be added or updated. For example if a Grant Award has three Amendments, and there is an update in the second Grant Award Amendment then the record for that Amendment only needs to be provided.

For any updates, the Agency Amendment Reference must exist for the Grant Award. Agency Amendment Reference must be unique for amendments of a Grant Award.

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Grant Award Record Type	Text	4	"AMND"	Yes	Always pass this value for Grant Award Amendment Information

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Action	Text	3	"ADD" – Adding a new Grant Award Amendment "UPD" – Updating an existing Grant Award Amendment	Yes	
Agency Amendment Reference	Text	8		Yes	
Amendment Effective Date	Date (YYYY-MM-DD)			Yes	
Amendment Amount	Numeric	13.2		No	Can be a zero, positive or negative amount Defaults to zero
Revised Funding Start Date	Date (YYYY-MM-DD)			No	
Revised Funding End Date	Date (YYYY-MM-DD)			No	
Change Description	Text	60		No	
Amendment Order	Numeric	8		No	

"GNTR" Grant Award Grantor Information Record

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Grant Award Record Type	Text	4	"GNTR"	Yes	Always pass this value for Grant Award Grantor Information.
Grant Award's Grantor Id	Text	21		Yes	*This should be a valid FLAIR code on FLAIR's vendor or account description file. This will be validated.*

Department of Financial Services
FACTS Grant Award Agency FTP Batch Transmission User Guide

"LOCR" Grant Award Letter of Credit Information Record

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Grant Award Record Type	Text	4	"LOCR"	Yes	Always pass this value for Grant Award Letter of Credit Information
Letter of Credit Number	Text	15		Yes	
Sub Account Number	Text	15		No	

"CTSH" Grant Award Additional Cost Sharing Information Record

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Grant Award Record Type	Text	4	"CTSH"	Yes	Always pass this value for Grant Award Additional Cost Sharing Information
Cost Sharing Source	Text	1	"F" - Federal Government "L" - Local Governments "S" - State of Florida "P" - Private (profit and non-profit) "O" - Other State Government(s)	Yes	
Maintenance of Effort	Text	1	"Y" – Yes "N" – No	No	Defaults to "No"
Matching	Text	1	"Y" – Yes "N" – No	No	Defaults to "No"
In-Kind	Text	1	"Y" – Yes "N" – No	No	Defaults to "No"
Additional Cost Sharing Comments	Text	2000		No	

"CSFA" Grant Award CSFA Information Record

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Grant Award Record Type	Text	4	"CSFA"	Yes	Always pass this value for Grant Award CSFA Information
Grant Award's CSFA Code	Text	6	Please see the validation tables for FACTS for code details.	Yes	*This should be a valid FLAIR CSFA code. This will be validated.*

"CFDA" Grant Award CFDA Information Record

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Grant Award Record Type	Text	4	"CFDA"	Yes	Always pass this value for Grant Award CFDA Information
Grant Award's CFDA Code	Text	6	Please see the validation tables for FACTS for code details.	Yes	*This should be a valid FLAIR CFDA code. This will be validated.*

"AGMT" Grant Award Associated Agreement Information Record

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Grant Award Record Type	Text	4	"AGMT"	Yes	Always pass this value for Grant Award's Associated Agreement Information
Associated Agreement Type	Text	2	"CN" – Contract/Grant Disbursement "GA" - Grant Award	Yes	
FLAIR Agency Identifier (OLO)	Text	6		Yes	

Data Element Name/Detail	Type	Size	Allowed values (in case of code values)	Required	Comments
Agreement ID (Contract ID or Grant ID)	Text	5		Yes	Either Contract ID or Grant ID must be provided. The Contract ID must exist in FACTS The Grant ID must exist in FACTS

Error File Information

Uploaded files will be processed nightly. The results will be returned via an error log available either via FTP or the Web interface.

Records that did not contain an error will not be placed into the file. Records that resulted in an error will be placed into the file in their entirety with the exception of Manager information which will be blanked out.

Error logs will use the following naming convention:

FilenameRecieved_YYYYMMDD_HHMMSS_GrantAwards_Log.txt

The resulting error record will be formatted as:

Error: Error Description | Delimited record received

In cases where the "Main" record results in an error child, records for that "Main" record will not be processed and will be put into the error file with the error description that their "Main" grant award record had errors.

FACTS Code Validation Tables

Reference the FACTS Validation Tables for details.

Revision Control

Name	Action	Date
Vivek Natani	Initial Draft	1/3/2014
Bill DuBose	Revised format	1/15/14
Bill DuBose	Verified with current format	2/3/14
Bill DuBose	Include Revised Funding Ending Date on the Main Record and Amendment Order on the Grant Award Amendment Information Record	6/12/14