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# **Financial Assistance Award Data Collection (FAADC) Data Validation Document**

Prepared for:  
**General Services Administration  
GSA**



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Version	Date Modified	Author	Description of Changes
1.0	01/02/2019	IBM	This document contains the Validation Rules for FAADC Module.
2.0	03/28/2019	IBM	Changed the FAADC from Federal Assistance Award Data Collection to Financial Assistance Award Data Collection
3.0	04/24/2019	IBM	<p>Added new rules, deleted rules and changed verbiage in rule. See below:</p> <p>New Rules:</p> <ol style="list-style-type: none"> <li>1) The sum of the "Face Value of Direct Loan or Loan Guarantee" for all awards with the same "FAIN" must be greater than or equal to "\$0.00".</li> <li>2) The sum of the "Original Loan Subsidy Cost" for all awards with the same "FAIN" must be greater than or equal to "\$0.00".</li> <li>3) The sum of the "Federal Action Obligation" for all awards with the same "FAIN" must be greater than or equal to "\$0.00".</li> <li>4) The sum of the "Non-Federal Funding Amount" for all awards with the same "FAIN" must be greater than or equal to "\$0.00".</li> <li>5) The sum of the "Total Federal Award Value" for all awards with the same "FAIN" must be greater than or equal to "\$0.00".</li> <li>6)The sum of "Federal Action Obligation Dollars" for all actions with the same "FAIN" must be less than or equal to the sum of the "Total Federal Award Value" for all actions with the same "FAIN" (Needs logic update.)</li> </ol> <p>Delete below rules:</p> <ol style="list-style-type: none"> <li>1) The sum of "Federal and Non-Federal Total Dollars" for all actions with the same "FAIN" must be less than or equal to the sum of the "Total Award Value" for all actions with the same "FAIN".</li> <li>2) The sum of the "Federal and Non-Federal Total Dollars" for all awards with the same "FAIN" must be greater than or equal to "\$0.00".</li> <li>3) "Federal and Non-Federal Total Dollars" must be less than or equal to the "Total Award Value" on the base document.</li> <li>4) The sum of the "Federal Action Obligation" and "Non-Federal Funding Amount" must be equal to the "Total Federal and Non-Federal Total Dollars".</li> </ol> <p>Verbiage updates:</p> <ol style="list-style-type: none"> <li>1) When "Action Type" = "NEW" or "CONTINUATION" on a Base Award, "Total Federal Award Value" must be greater than zero "\$0.00".</li> <li>2) Total Federal Award Value "&lt;value&gt;" is not a valid amount.</li> <li>3) When the "Action Type" is "NEW" or "CONTINUATION" on a Base award, "Federal Action Obligation" must be greater than or equal to \$0.00.</li> <li>4) When the "Action Type" is "NEW" or "CONTINUATION" on a Base award, "Non-Federal Funding Amount" must be greater than or equal to \$0.00.</li> <li>5) When "Action Type" = "NEW" or "CONTINUATION" on a Base Award, "Original Loan Subsidy Cost Value" cannot be less than "\$0.00".</li> <li>6) When "Action Type" = "NEW" or "CONTINUATION" on a Base Award, "Face Value" cannot be less than "\$0.00".</li> </ol>

4.0	6/28/2019	IBM	Deleted 2C3
5.0	02/25/2020	IBM	Split Validation Rule 6A02 into three rules for clarity and accuracy. 6A02: At least one of the FABS Business Types must be selected for an Aggregate record. 6A04: FABS Business Types must be “Individual” for a Non-Aggregate Individual Record Type. 6A06: At least one of the SAM Business Types must be selected for a Non-Aggregate record in order to populate the FABS Business Types.
6.0	06/10/2020	IBM	Deleted 6E2. Added new validation rules: 8I2: If the record type is Non-aggregate and Principal Place of Performance is Native American Reservation, then the Principal Place of Performance State code and City name must be a valid combination. 8I3: If the record type is Non-aggregate and Principal Place of Performance Type is Native American Reservation then the state and city for the Principal Place of Performance code must be present. 8I4: If the record type is Non-aggregate and Principal Place of Performance Type is Native American Reservation then the Principal Place Of Performance State code must be valid.

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## I. Overview of Validations

This document provides all validations pertaining to FAADC Module in FPDS-NG.

FPDS-NG will validate the data submitted to the Financial Assistance Module based on these validations. Types of validations include:

- Formatting such as verifying that dates are valid.
- Adherence to defined conventions such as the format for the Financial Assistance Identification Number (FAIN) for DoD.
- Code validation (e.g., verifying Contracting Agency Code is a valid code).
- Validating the Catalogue of Financial Domestic Assistance Program Number (CFDA) entered in the records exists in CFDA.
- Ensure that the Program Source Code is valid.
- Use-case specific (e.g., for Modifications, the entered PIID must match a PIID for an award that already exists in FPDS-NG).

Validations specified here are for data reported in FPDS-NG for the Financial Assistance Module.

## II. Guide to Validation Specification

The format of each validation entry includes Validation Reference Number, Data Elements (or Other Information Required for the Validation), and Validation Requirement.

Validation rules are organized by the data dictionary grouping and then by the data dictionary item:

- a) If the data dictionary group is not reportable then none of the validation rules apply to that group.
- b) If an item within that group is not reportable then validation rules for that particular item does not apply.
- c) If an item within that group is reportable then validation rules for that particular item do apply.

If the data element is not reportable as shown in the Use Case Summary, the validation rule does not apply for that data element. If a cross validation (validation dependent on two or more data elements) includes an element that is not reportable, the validation is not performed.

The Use Case Summary (in the Data Dictionary) defines which data elements are required for each use case. The Use Case Summary also defines data elements that are optional and not applicable.

Since this is a new module in FPDS-NG, there is only V1.0 Validation Rules

Version Number	Description
1.0	Effective for Versions 1.0



### III Agency-Specific Validations

DoD has a specific format for their Financial Award Identified Number (FAIN).

### IV Validations for Data Elements

#### 1 AWARD IDENTIFICATION INFORMATION

##### 1A Agency Code

Serial Number	Element/ Characteristics	Rule	Service Version
1A1	Agency Code	The user does not belong to the hierarchy of the Agency Code in the Assistance. Please change the Agency Code on the assistance.	1.0
1A2	Look-up Table	The Agency Code is not valid.	1.0
1A3	Agency Code	Agency Code must be an agency/sub-tier agency that is authorized to submit Assistance Awards.  Assistance Record Type ( 1.Aggregate, 2.Non-Aggregate, 3.Non-Aggregate Individuals) Required for all Record Types.	1.0
1A4	Required	The Agency ID is missing.	1.0
1A5	DOD Agency Code	For all Assistance Award documents received from DoD, Agency ID must equal to '9700'.	1.0
1A6	Agency Code	URI/FAIN agency code must be same as the logged in users agency code or department code.	1.0
1A9	Record Type	Assistance Record Type (1.Aggregate, 2.Non-Aggregate, 3.Non-Aggregate Individuals) Required for all Record Types.	

**1B Financial Assistance Identification Number (FAIN)**

Serial Number	Element/ Characteristics	Rule	Service Version
1B1	Financial Assistance Identification Number	Financial Assistance Identification Number (FAIN) can be maximum of 30 characters.	1.0
1B2	Format	FAIN must be upper case alphanumeric only. It cannot have embedded spaces or special characters. Software converts lowercase letters to uppercase, removes leading or trailing blank spaces, and removes hyphens before validation. All other non-alphanumeric characters return an error message to the user.	1.0
1B3	Award Type and Report Type	The Financial Assistance Identification Number (FAIN) must be unique when Award is a new assistance award, and the report is Non-Aggregate or Non Aggregate Individual.	1.0
1B4	Agency Code, Amendment Number and URI	The combination of Agency Code, FAIN and Amendment Number, and URI must be unique.	1.0
1B5	FAIN	Once an agency assigns a FAIN and reports it to USAspending.gov, the Federal agency may not change the FAIN during the life of the award. Further, once a Federal agency assigns a FAIN, that Federal agency must ensure that the FAIN is clearly identified in all Federal award documents. As a term and condition of the award, Federal agencies must require that all recipients document the assigned FAIN on each subaward under the Federal award.	1.0
1B6	Record Type	The FAIN is missing.	1.0
1B7	Amendment Number, URI, Sub-Tier Agency Code and CFDA Number	The combination of FAIN, Award Modification Amendment Number, URI, Awarding Sub-Tier Agency Code, and CDFA Number must be unique when compared to USAPENDING.gov, unless the record is a correction or deletion in which the Correction Delete Indicator must be C or D.	1.0
1B8	DOD FAIN	Financial Assistance Identification Number (FAIN) must be 13 characters long.	1.0

1B9	Awarding Office Code	Positions 1 to 6 of the Financial Assistance Identification Number (FAIN) must be a valid DODAAC.	1.0
1B10	Action Date	Action Date must be in the same fiscal year representing the position 7 and 8 of the Financial Assistance Identification Number (FAIN).	1.0
1B11	Assistance Type	Position 9 of the Financial Assistance Identification Number (FAIN) must be numeric and value of 1 when type of Assistance is Block Grant or Formula Grant or Project Grant.	1.0
1B12	Assistance Type	Position 9 of the Financial Assistance Identification Number (FAIN) must be numeric and value of 2 when type of Assistance is Cooperative Agreements including technology investments that are cooperative agreements.	1.0
1B13	Assistance Type	Position 9 of the Financial Assistance Identification Number (FAIN) must be numeric and value of 3 when type of Assistance is Direct Payment, Direct Loan, Guaranteed/Insured Loan, Insurance, Direct Payment with unrestricted use , Other financial assistance.'	1.0
1B14	Awarding Office Code	Awarding office code must match with the first 6 characters of the Financial Assistance Identification Number (FAIN).	1.0
1B15	Format	Positions 7 to 8 of the Financial Assistance Identification Number (FAIN) must be numeric.	1.0
1B16	FABS Report	This FAIN cannot be used to create the Assistance award, it needs to be submitted and published in FABS before reusing it.	1.0

**1C Amendment Number**

Serial Number	Element/ Characteristics	Rule	Service Version
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1C1	Format	"Amendment Number" can not have special characters, only valid values are A-Z (a-z) or 0-9.	1.0
1C2	Format	Amendment Number must not be "AWARD", "BASIC", "ORIGINAL", "ORIG", "NA" or "N/A".	1.0
1C3	Use Case	For a given FAIN, if Amendment Number, URI, Awarding Sub-Tier Agency Code, and CDFA does not already exist, then Correction Delete Indicator must be a blank or NULL which result in a request to add the current transaction.	1.0
1C4	Use Case	There is no base document in final status with the same Financial Assistance Identification Number (FAIN) and Amendment number zero.	1.0
1C5	Action Type	On a new award, if the amendment number is "0" (zero) then the "Action Type" must be "NEW" or "CONTINUATION".	1.0
1C6	Action Type	If "Action Type" is "NEW", "Amendment Number" must be "0" (zero).	1.0
1C7	Action Type	For DOD, if "Action Type" is other than "NEW", "Amendment Number" must be six characters in length.	1.0
1C8	Format	"Amendment Number" must be 25 characters or less.	1.0
1C9	Format	The "Amendment Number" contains non-alphanumeric characters and cannot be saved.	1.0
1C10	Amendment Number	The Amendment Number is missing. Period of Performance Start Date cannot be later than "Period of	1.0

1C11	Amendment Number	Amendment number of the Financial Assistance Identification Number (FAIN) must begin with P or A.	1.0
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**1D Unique Record Identifier (URI)**

Serial Number	Element/ Characteristics	Rule	Service Version
1D1	Record Type	The URI is missing.	1.0
1D2	URI	The URI must be unique when Award is a new assistance award, and the report is Aggregate.	1.0
1D3	Record Type	This URI cannot be used to create the Assistance award, it needs to be submitted and published in FABS before reusing it.	1.0
1D4	URI	URI is invalid. Allowed characters are alphanumeric, hyphen (-), colon (:), and tilde (~)	1.0

**1E Funding Opportunity Number**

Serial Number	Element/ Characteristics	Rule	Service Version
1E1	Funding Opportunity Number	"Funding Opportunity Number" must be 40 characters or less.	1.0
1E2	Format	"Funding Opportunity Number" can only have valid values A-Z (a-z) or 0 to 9, cannot have special characters or spaces.	1.0

**1F Record Type**

Serial Number	Element/ Characteristics	Rule	Service Version

**1G Action Type**

Serial Number	Element/ Characteristics	Rule	Service Version
1G1	Action Type	Mandatory element: "actionType" is missing for the Financial Assistance.	1.0

**1H Assistance Type**

Serial Number	Element/ Characteristics	Rule	Service Version

**1I Assistance Description**

Serial Number	Element/ Characteristics	Rule	Service Version
1I2	Assistance Description	Assistance Description must not contain Non-printable ASCII characters.	

**2 DATES****2A Fiscal Year**

Serial Number	Element/ Characteristics	Rule	Service Version

**2B Action Date**

Serial Number	Element/ Characteristics	Rule	Service Version
2B1	Format	The "Action Date" is not a valid date.	1.0
2B2	Today's Date	"Action Date" cannot be later than today's date.	1.0
2B3	Action Date	"Action Date" on the amendment cannot be earlier than the "Action Date" on the base document.	1.0
2B4	Action Date	"Action Date" must be between "10/1/1999" and "12/31/2099"	1.0

**2C Period of Performance Start Date**

Serial Number	Element/ Characteristics	Rule	Service Version

2C1	Format	The "Period of Performance Start Date" is not a valid date.	1.0
2C1,b	Format	"Period of Performance Start Date" must be a valid date.	1.0
2C2	Period of Performance Start Date	Period of Performance Start Date must be between "10/1/1999" and "12/31/2099".	1.0
2C4	Period of Performance Start Date	"Period of Performance Start Date" on the amendment cannot be earlier than the "Action Date" on the base document.	1.0
2C5	Period of Performance Start Date	"Period of Performance Start Date" on the amendment cannot be earlier than "Period of Performance Start Date" on the base document.	1.0

**2D Period of Performance End Date**

Serial Number	Element/ Characteristics	Rule	Service Version
2D1	Format	"Period of Performance End Date" must be a valid date.	1.0
2D1,b		The "Period of Performance End Date" is not a valid date.	
2D2	Period of Performance Start Date	The "Period of Performance End Date" must be the same as or later than the "Period of Performance Start Date."	1.0
2D3	Period of Performance End Date	"Period of Performance End Date" cannot be earlier than the "Action Date"	1.0
2D4	Action Date	"Period of Performance End Date" on the amendment cannot be earlier than the "Action Date" on the base document.	1.0
2D5	Period of Performance End Date	"Period of Performance end Date" must be between 10/1/1999 and 12/31/2099.	1.0

**2E Created Date**

Serial Number	Element/ Characteristics	Rule	Service Version

**2F Created By**

Serial Number	Element/ Characteristics	Rule	Service Version

**2G Approved Date**

Serial Number	Element/ Characteristics	Rule	Service Version

**2H Approved By**

Serial Number	Element/ Characteristics	Rule	Service Version

**2I Last Modified Date**

Serial Number	Element/ Characteristics	Rule	Service Version

**2J Last Modified By**

Serial Number	Element/ Characteristics	Rule	Service Version

**2K Correction Delete Indicator**

Serial Number	Element/ Characteristics	Rule	Service Version

**2L Correction Delete Indicator Description**

Serial Number	Element/ Characteristics	Rule	Service Version

**2M FABS Sent Date**

Serial Number	Element/ Characteristics	Rule	Service Version



### 3 GOVERNMENT INFORMATION

#### 3A Awarding Department Code

Serial Number	Element/ Characteristics	Rule	Service Version

#### 3B Awarding Department Name

Serial Number	Element/ Characteristics	Rule	Service Version

#### 3C Awarding Sub-Tier Agency Code

Serial Number	Element/ Characteristics	Rule	Service Version
3C2	Look-up Table	The value "<value>." for Data Element "Awarding Sub-Tier Agency Code" is invalid	1.0
3C3	Awarding Sub-Tier Agency Code	The Awarding Agency Code does not belong to the hierarchy of the Agency assigned in the user profile. Please update the Awarding Agency Code	1.0
3C4	Awarding Sub-Tier Agency Code	Awarding Sub-Tier Agency Code must be an agency that is authorized to submit Assistance Awards.	1.0

#### 3D Awarding Sub-Tier Agency Name

Serial Number	Element/ Characteristics	Rule	Service Version

#### 3E Awarding Office Code

Serial Number	Element/ Characteristics	Rule	Service Version
3E1	Awarding Office Code	Awarding office code must match with the first 6 characters of the Financial Assistance Identification Number (FAIN).	1.0
3E2	DoD Format	Mandatory element: "awardingOfficeCode" is missing for the Financial Assistance.	1.0
3E3	Awarding Office Code	The value "<value>" for Data Element "Awarding Office Code" is invalid	1.0
3E4	Awarding Sub Tier Agency Code	The combination of data elements "Awarding Sub-Tier Agency Code" with value "<value>" and "Awarding Office Code" with value "<value>" is invalid	1.0

Serial Number	Element/ Characteristics	Rule	Service Version
		Awarding Office Code must be an awarding office that is authorized to submit Assistance Awards.	
3E5		The Awarding Agency Code does not belong to the hierarchy of the Agency assigned in the user profile. Please update the Awarding Agency Code.	1.0
3E6		The Awarding Office code must be a valid DODAAC.	1.0

**3F Awarding Office Name**

Serial Number	Element/ Characteristics	Rule	Service Version

**3G Funding Department Code**

Serial Number	Element/ Characteristics	Rule	Service Version

**3H Funding Department Name**

Serial Number	Element/ Characteristics	Rule	Service Version

**3I Funding Sub-Tier Agency Code**

Serial Number	Element/ Characteristics	Rule	Service Version
3I2	Funding Sub Tier Agency Code	The value "<value>" for Data Element "Funding Sub-Tier Agency Code" is invalid	1.0

**3J Funding Sub-Tier Agency Name**

Serial Number	Element/ Characteristics	Rule	Service Version

**3K Funding Office Code**

Serial Number	Element/ Characteristics	Rule	Service Version
3K2	Funding Office Code	The value "<value>" for Data Element "Funding Office Code" is invalid	1.0
3K3	Funding Sub Tier Agency Code	The combination of data elements "Funding Sub-Tier Agency Code" with value "<value>" and "Funding Office Code" with value "<value>" is invalid.	1.0

**3L Funding Office Name**

Serial Number	Element/ Characteristics	Rule	Service Version

**4 DOLLAR VALUES****4A Federal Action Obligation**

Serial Number	Element/ Characteristics	Rule	Service Version
4A2	Federal Action Obligation	When the "Action Type" is "NEW" or "CONTINUATION" on a Base award, "Federal Action Obligation" must be greater than or equal to \$0.00.	1.0
4A4	Federal Action Obligation	The sum of "Federal Action Obligation Dollars" for all actions with the same "FAIN" must be less than or equal to the sum of the "Total Federal Award Value" for all actions with the same "FAIN"	1.0

**4F Total Award Value**

Serial Number	Element/ Characteristics	Rule	Service Version
4F1	Total Award Value	When "Action Type" = "NEW", "Total Award Value" must be greater than zero "\$0.00".	1.0
4F2	Total Award Value	2) Total Federal Award Value "<value>" is not a valid amount.	1.0
		1) When "Action Type" = "NEW" or "CONTINUATION" on a Base Award, "Total Federal Award Value" must be greater than zero "\$0.00".	

Serial Number	Element/ Characteristics	Rule	Service Version
		The sum of the "Total Federal Award Value" for all awards with the same "FAIN" must be greater than or equal to "\$0.00".	

**4B Non-Federal Funding Amount**

Serial Number	Element/ Characteristics	Rule	Service Version
4B2	Non-Federal Funding Amount	When the "Action Type" is "NEW" or "CONTINUATION" on a Base award, "Non-Federal Funding Amount" must be greater than or equal to \$0.00.	1.0
4B4	Non-Federal Funding Amount	The sum of the "Non-Federal Funding Amount" for all awards with the same "FAIN" must be less than or equal to the sum of the Total Federal Award Value for all the actions with the same FAIN	

**4D Face Value of Direct Loan or Loan Guarantee**

Serial Number	Element/ Characteristics	Rule	Service Version
4D1	Face Value Direct Loan or Loan Guarantee	When "Action Type" = "NEW" or 'CONTINUATION" on a Base Award, "Face Value" cannot be less than "\$0.00".	1.0

**4E Original Loan Subsidy Cost**

Serial Number	Element/ Characteristics	Rule	Service Version
4E1	Original Loan Subsidy Cost	When "Action Type" = "NEW" or 'CONTINUATION" on a Base Award, "Original Loan Subsidy Cost Value" must be greater than "\$0.00".	1.0

**4F Total Award Value**

Serial Number	Element/ Characteristics	Rule	Service Version
4F1	Total Award Value	When "Action Type" = "NEW" or "CONTINUATION" on a Base Award, "Total Federal Award Value" must be greater than zero "\$0.00".	1.0

**5 BUSINESS FUND INDICATOR****5A Business Fund Indicator**

Serial Number	Element/ Characteristics	Rule	Service Version
5A1	Business Funds Indicator	Mandatory element: "businessFundsIndicator" is missing for the Federal Assistance.	1.0

**6 RECIPIENT DATA****6A FABS Business Types Code**

Serial Number	Element/ Characteristics	Rule	Service Version
6A1	Business Type	When "Recipient Country Code" is "USA", "Business Type" cannot be "NON-DOMESTIC (NON-US) ENTITY(W)".	1.0
6A2	FABS Business Types Code	At least one of the FABS Business Types must be selected for an Aggregate record.	1.0
6A4	FABS Business Types Code	FABS Business Types must be "Individual" for a Non-Aggregate Individual Record Type.	1.0
6A6	FABS Business Types Code	At least one of the SAM Business Types must be selected for a Non-Aggregate record in order to populate the FABS Business Types.	1.0

**6B FABS Business Types Description**

Serial Number	Element/ Characteristics	Rule	Service Version

**6C SAI Number**

Serial Number	Element/ Characteristics	Rule	Service Version
6C1	Format	"SAI Number" cannot have any special characters, only valid values are A-Z (a-z) or 0-9.	1.0

**6D SAM Exception**

Serial Number	Element/ Characteristics	Rule	Service Version
6D1	Format	Mandatory element: "SAMException" is missing for the Federal Assistance	1.0

**6E DUNS Number**

Serial Number	Element/ Characteristics	Rule	Service Version
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6E1	DUNS Number	"DUNS Number" must be 9 digits.	1.0
6E3	DUNS Number	The DUNS Number entered does not exist in SAM.	1.0
6E5	DUNS Number	Unable to find a record in SAM with the provided "DUNS Number".	1.0

**6F Recipient Congressional District**

Serial Number	Element/ Characteristics	Rule	Service Version

**6G Individual Recipient Indicator**

Serial Number	Element/ Characteristics	Rule	Service Version

**6H Small Business Indicator**

Serial Number	Element/ Characteristics	Rule	Service Version

**6I CAGE Code**

Serial Number	Element/ Characteristics	Rule	Service Version

**6J Recipient Name**

Serial Number	Element/ Characteristics	Rule	Service Version

**6K Recipient Doing As Business Name**

Serial Number	Element/ Characteristics	Rule	Service Version

**6L Recipient Address Line 1**

Serial Number	Element/ Characteristics	Rule	Service Version

**6M Recipient Address Line 2**

Serial Number	Element/ Characteristics	Rule	Service Version

**6N Recipient Address Line 3**

Serial Number	Element/ Characteristics	Rule	Service Version

**6O Recipient Address City**

Serial Number	Element/ Characteristics	Rule	Service Version
6O1	Recipient Country Code	When Record Type is 'Non-aggregate – Individual' and Recipient Country Code is other than USA, City is Required and must be a free-form text.	1.0

**6P Recipient Address State**

Serial Number	Element/ Characteristics	Rule	Service Version

**6Q Recipient Zip Code**

Serial Number	Element/ Characteristics	Rule	Service Version
6Q1	Recipient Zip Code	If the record type is Non-aggregate Individuals and Country is USA, then the Zip code must be present.	1.0
6Q2	Record Type	Recipient zip code length must be valid when the record type is 'Non-aggregate Individuals' and Recipient country code is 'USA'.	1.0
6Q3	Record Type	Recipient zip code must be valid when the record type is 'Non-aggregate Individuals' and Recipient country code is 'USA'.	1.0
6Q4	Recipient Zip Code	The last four digits of the Recipient ZIP code cannot be "0000".	1.0

**6R Recipient Country Code**

Serial Number	Element/ Characteristics	Rule	Service Version
6R2	Record Type	Recipient Country code is not valid for 'Aggregates' and 'Non-aggregate Individuals'.	1.0
6R3	Record Type	Recipient Country code length is not valid for 'Aggregates' and 'Non-aggregate Individuals'.	1.0

**6S Recipient Country Name**

Serial Number	Element/ Characteristics	Rule	Service Version

**6T Recipient Phone Number**

Serial Number	Element/ Characteristics	Rule	Service Version

**6U Recipient Fax Number**

Serial Number	Element/ Characteristics	Rule	Service Version

**7 Catalog of Federal Domestic Assistance (CFDA) Program Information**

**7A Catalog of Federal Domestic Assistance Number (CFDA)**

Serial Number	Element/ Characteristics	Rule	Service Version
7A2	CFDA Number	"CFDA value" must be in the format of XX.XXX where X is a digit	1.0
7A3	CFDA Number	"Catalog of Federal Domestic Assistance Number (CFDA)" must be valid value.	1.0

**7B CFDA Program Title**

Serial Number	Element/ Characteristics	Rule	Service Version



**8 PRINCIPAL PLACE OF PERFORMANCE INFORMATION****8A Principal Place of Performance Country Code**

Serial Number	Element/ Characteristics	Rule	Service Version
8A1	Principal Place of Performance Country Code	Principal Place of Performance Country Code must be valid.	1.0
8A2	Principal Place of Performance Country Code	Principal Place of Performance Country Code length is not valid.	1.0
8A4	Place of Performance Code	If the record type is Aggregate or Non-aggregate and Principal Place of Performance Type is Foreign, then the Principal Place of Performance Code must not be US or US Territories.	1.0

**8B Principal Place of Performance Country Name**

Serial Number	Element/ Characteristics	Rule	Service Version

**8C Principal Place of Performance Zip Code**

Serial Number	Element/ Characteristics	Rule	Service Version
8C1	Record Type	If the record type is Aggregate or Non-aggregate and Principal Place of Performance Type is Countywide, then the Principal Place Of Performance County name or Zip code must be present.	1.0
8C2	Record Type	If the record type is Aggregate or Non-aggregate and Principal Place of Performance Type is City or single zipcode, then the Principal Place of Performance zip code must be present.	1.0
8C3	Format	Principal Place of Performance ZIP code length is not valid.	1.0
8C4	Principal Place of Performance Zip Code	Principal Place of Performance ZIP code is not valid.	1.0
8C5	Principal Place of Performance Zip Code	The last four digits of the Principal Place of Performance ZIP code cannot be "0000".	1.0

**8D Principal Place of Performance City Name**

Serial Number	Element/ Characteristics	Rule	Service Version

**8E Principal Place of Performance State Name**

Serial Number	Element/ Characteristics	Rule	Service Version
8E1	Principal Place of Performance State Name	Value must be a valid choice on look-up table (derived by Zip+4 when Zip+4 is provided)	1.0

**8F Principal Place of Performance County Name**

Serial Number	Element/ Characteristics	Rule	Service Version

**8G Principal Place of Performance Congressional District**

Serial Number	Element/ Characteristics	Rule	Service Version

**8H Principal Place of Performance Foreign Location Description**

Serial Number	Element/ Characteristics	Rule	Service Version
8H1	Principal Place of Performance Code	If the record type is Aggregate or Non-aggregate and Principal Place of Performance Type is Foreign, then the Principal Place of Performance Foreign Location Description must be present.	1.0

**8I Principal Place of Performance Code**

Serial Number	Element/ Characteristics	Rule	Service Version
8I1	Principal Place of Performance Country Code	Principal Place of Performance Type must be Foreign when Principal Place of performance Country Code is not USA, and must not be Foreign otherwise.	
8I2	Record Type, Principal Place of Performance Code	If the record type is Non-aggregate and Principal Place of Performance is Native American Reservation, then the Principal Place of Performance State code and City name must be a valid combination.	6.0
8I3	Record Type, Principal Place of Performance Code	If the record type is Non-aggregate and Principal Place of Performance Type is Native American Reservation then the state and city for the Principal Place of Performance code must be present.	6.0
8I4	Record Type, Principal Place of Performance Code	If the record type is Non-aggregate and Principal Place of Performance Type is Native American Reservation then the Principal Place Of Performance State code must be valid.	6.0

**8J Principal Place of Performance Description**

Serial Number	Element/ Characteristics	Rule	Service Version

**8K PPOP State ISO2 Code**

Serial Number	Element/ Characteristics	Rule	Service Version
8K1		Principal Place of Performance State ISO2 code length is not valid.	1.0
8K2	Record Type	If the record type is Aggregate or Non-aggregate and Principal Place of Performance Type is Statewide, then the Principal Place Of Performance State code must be valid.	1.0
8K3		If the record type is Aggregate or Non-aggregate and Principal Place of Performance Type is Statewide, then the state for the Principal Place of Performance code must be present.	

**8L PPOP State FIPS Code**

Serial Number	Element/ Characteristics	Rule	Service Version
			1.0

**8M PPOP County FIPS Code**

Serial Number	Element/ Characteristics	Rule	Service Version
			1.0

**8N PPOP County Name**

Serial Number	Element/ Characteristics	Rule	Service Version
			1.0

**8O PPOP City FIPS Code**

Serial Number	Element/ Characteristics	Rule	Service Version
			1.0

**8P PPOP City Name**

Serial Number	Element/ Characteristics	Rule	Service Version

**8Q PPOP Type of Area**

Serial Number	Element/ Characteristics	Rule	Service Version

## 9 NATIONAL SCIENCE FOUNDATION

### 9A Federal Interagency Committee on Education (FICE) Codes

Serial Number	Element/ Characteristics	Rule	Service Version
9A1	Record Type	"Federal Interagency Committee on Education (FICE) Codes" is Required when Record Type is "Non-aggregate", and Recipient is Educational or Non-Profit Institution.	1.0
9A2	Record Type	FICE code must be blank when Record Type is 'Non-aggregate' and Recipient is not Educational nor non-Profit Institution.	1.0
9A3	Record Type	"Federal Interagency Committee on Education (FICE) Code" must be valid value	1.0
9A4	Record Type	FICE code must be blank when Record Type is 'Non-aggregate' and if recipient is non-domestic.	1.0

### 9B Research and Development Amount

Serial Number	Element/ Characteristics	Rule	Service Version
9B1	Research and Development Amount	ResearchAndDevelopmentAmount "<value>" is not a valid amount.	1.0

### 9C Fellowships/Traineeships Amount

Serial Number	Element/ Characteristics	Rule	Service Version
9C1	Fellowships/Traineeships Amount	FellowshipsAndTraineeshipsAmount "<value>" is not a valid amount.	1.0

### 9D R&D Plant Amount

Serial Number	Element/ Characteristics	Rule	Service Version
9D1	R&D Plant Amount	ResearchAndDevelopmentPlantAmount "<value>" is not a valid amount.	1.0

### 9E Facilities & Equipment for Instruction in Science & Engineering Amount

Serial Number	Element/ Characteristics	Rule	Service Version
9E1	Facilities & Equipment for Instruction in	FacilitiesAndEquipmentForInstructionAmount "<value>" is not a valid amount.	1.0

	Science & Engineering Amount		
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**9F General Support for Science & Engineering Amount**

Serial Number	Element/ Characteristics	Rule	Service Version
9F1	General Support for Science & Engineering Amount	GeneralSupportForScienceAndEngineeringAmount "<value>" is not a valid amount.	1.0

**9G Other Activities Related to Science & Engineering Amount**

Serial Number	Element/ Characteristics	Rule	Service Version
9G1	Other Activities Related to Science & Engineering Amount	OtherActivitiesRelatedToScienceAndEngineeringAmount "<value>" is not a valid amount.	1.0

**9H All Other Activities Not Related to Science & Engineering Amount**

Serial Number	Element/ Characteristics	Rule	Service Version
9H1	All Other Activities Not Related to Science & Engineering Amount	AllOtherActivitiesNotRelatedToScienceAndEngineeringAmount "<value>" is not a valid amount.	1.0

**9I Research and Development Funds Indicator**

Serial Number	Element/ Characteristics	Rule	Service Version
9I1	Type of R&D Funds Code	"If "Type of R and D Funds Code" is "NOT APPLICABLE" then "Research and Development Funds Indicator" must be "NO R and D Funds"	1.0

**9J Type of R&DFunds Code**

Serial Number	Element/ Characteristics	Rule	Service Version

**9K Type of R&D Funds Description**

Serial Number	Element/ Characteristics	Rule	Service Version

9J2	Type of R&D Funds Code	If the Research and Development Funds Indicator is “R and D funds”, then the Type of R and D funds code cannot be “Not Applicable”.	1.0
9J3	Type of R&D Funds Code	If the Research and Development Funds Indicator is “No R and D funds”, then the Type of R and D funds code must be “Not Applicable”.	1.0

## 10 COMPETITION INFORMATION

### 10A Competed Opportunity

Serial Number	Element/ Characteristics	Rule	Service Version
10A1	Competed Opportunity	Mandatory element: "competedOpportunity" is missing for the Financial Assistance.	1.0

### 10B Number of Proposals or Applications

Serial Number	Element/ Characteristics	Rule	Service Version
10B1	Number of Proposals or Applications	"Number Of Proposals/Applications" must be a positive number greater than 0.	1.0

**11 SAM RECIPIENT BUSINESS TYPES**

**11A U.S. Local Government**

Serial Number	Element/ Characteristics	Rule	Service Version

**11B City Local Government**

Serial Number	Element/ Characteristics	Rule	Service Version

**11C County Local Government**

Serial Number	Element/ Characteristics	Rule	Service Version

**11D Inter-Municipal Local Government**

Serial Number	Element/ Characteristics	Rule	Service Version

**11E Local Government Owned**

Serial Number	Element/ Characteristics	Rule	Service Version

**11F Municipality Local Government**

Serial Number	Element/ Characteristics	Rule	Service Version

**11G School District Local Government**

Serial Number	Element/ Characteristics	Rule	Service Version

**11H Township Local Government**

Serial Number	Element/ Characteristics	Rule	Service Version

**11I U.S. State Government**

Serial Number	Element/ Characteristics	Rule	Service Version

**11J U.S. Federal Government**

Serial Number	Element/ Characteristics	Rule	Service Version

**11K Federal Agency**

Serial Number	Element/ Characteristics	Rule	Service Version

**11L Federally Funded Research and Development Corp**

Serial Number	Element/ Characteristics	Rule	Service Version

**11M U.S. Tribal Government**

Serial Number	Element/ Characteristics	Rule	Service Version

**11N Foreign Government**

Serial Number	Element/ Characteristics	Rule	Service Version



**11O Community Developed Corporation Owned Firm**

Serial Number	Element/ Characteristics	Rule	Service Version

**11P Labor Surplus Area Firm**

Serial Number	Element/ Characteristics	Rule	Service Version

**11Q Corporate entity, Not Tax Exempt**

Serial Number	Element/ Characteristics	Rule	Service Version

**11R Corporate Entity, Tax Exempt**

Serial Number	Element/ Characteristics	Rule	Service Version

**11S Partnership or Limited Liability Partnership**

Serial Number	Element/ Characteristics	Rule	Service Version

**11T Sole Proprietorship**

Serial Number	Element/ Characteristics	Rule	Service Version

**11U Small Agricultural Cooperative**

Serial Number	Element/ Characteristics	Rule	Service Version

**11V International Organization**

Serial Number	Element/ Characteristics	Rule	Service Version

**11W U.S. Government Entity**

Serial Number	Element/ Characteristics	Rule	Service Version

**11X Emerging Small Business ----RESERVED (No longer provided by SAM)**

**11Y 8(a) Program Participant**

Serial Number	Element/ Characteristics	Rule	Service Version

**11Z SBA Certified 8(a) Joint Venture**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AA DoT Certified Disadvantaged Business Enterprise**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AB Self-Certified Small Disadvantaged Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AC Historically Underutilized Business Zone (HUBZone) Firm**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AD Small Disadvantaged Business ----RESERVED (No longer provided by SAM)**

**11AE The AbilityOne Program**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AF Historically Black College or University**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AG 1862 Land Grant College**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AH 1890 Land Grand College**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AI 1994 Land Grant College**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AJ Minority Institution**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AK Private University or College**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AL School of Forestry**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AM State Controlled Institution of Higher Learning**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AN Tribal College**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AO Veterinary College**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AP Educational Institution**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AQ Alaskan Native Servicing Institution**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AR Community Development Corporation**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AS Native Hawaiian Servicing Institution**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AT Domestic Shelter**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AU Manufacturer of Goods**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AV Hospital**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AW Veterinary Hospital**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AX Hispanic Servicing Institution**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AY Foundation**

Serial Number	Element/ Characteristics	Rule	Service Version

**11AZ Women Owned Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BA Minority Owned Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BB Women Owned Small Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BC Economically Disadvantaged Women Owned Small Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BD Joint Venture Women Owned Small Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BE Joint Venture Economically Disadvantaged Women Owned Small Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BF Veteran Owned Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BG Service Disabled Veteran Owned Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BH Contracts**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BI Federal Assistance Awards**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BJ All Awards**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BK Airport Authority**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BL Council of Governments**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BM Housing Authorities Public/Tribal**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BN Interstate Entity**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BO Planning Commission**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BP Port Authority**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BQ Transit Authority**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BR Subchapter S Corporation**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BS Limited Liability Corporation**

Serial Number	Element/ Characteristics	Rule	Service Version



**11BT Foreign Owned**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BU American Indian Owned Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BV Alaskan Native Corporation Owned Firm**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BW Indian Tribe (Federally Recognized)**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BX Native Hawaiian Organization Owned Firm**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BY Tribally Owned Firm**

Serial Number	Element/ Characteristics	Rule	Service Version

**11BZ Asian-Pacific American Owned Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11CA Black American Owned Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11CB Hispanic American Owned Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11CC Native American Owned Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11CD Subcontinent Asian (Asian- Indian) American Owned Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11CE Other Minority Owned Business**

Serial Number	Element/ Characteristics	Rule	Service Version

**11CF For Profit Organization**

Serial Number	Element/ Characteristics	Rule	Service Version

**11CG Nonprofit Organization**

Serial Number	Element/ Characteristics	Rule	Service Version

**11CH Other Not For Profit Organization**

Serial Number	Element/ Characteristics	Rule	Service Version

**11CI HUBZone Joint Venture**

Serial Number	Element/ Characteristics	Rule	Service Version