



Child Care and Development Fund Procedures for Electronically Transmitting ACF-801 Data Files

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I. INTRODUCTION

The purpose of this bulletin is to provide States and Territories instructions for establishing the procedures necessary to electronically transmit the CCDF ACF-801 data file that contains the monthly case-level reports. The data files are transmitted directly to the National Institutes of Health (NIH) mainframe, and then transferred to the Administration for Children and Families (ACF) Office of Child Care Information System (OCCIS). In 2015, several changes were introduced into the electronic transmission process, including the discontinuation of support for the use of CONNECT:Direct software. The Office of Child Care (OCC) currently approves two methods of electronic transmission:

- TIBCO (CyberFusion) Managed File Transfer (MFT) Software, and
- Secure File Transfer Protocol (SFTP) software.

Each State/Territory grantee can be provided a license to use the TIBCO MFT software if they do not already have it.

Regardless of which method a lead agency chooses to use, a direct connection to NIH must be established.

Each of these methods complies with **Federal Information Security Management Act (FISMA)** standards. FISMA defines a framework for managing information security that must be followed for all information systems used or operated by a U.S. Federal government agency or by a contractor or other organization on behalf of a Federal agency. This framework is further defined by the standards and guidelines developed by the National Institute of Standards and Technology (NIST) as Federal Information Processing Standards (FIPS) publications and the NIST Special Publications SP-800-series. FIPS Publication 140-2 provides computer security and encryption standards. Additional information may be found on the Computer Security Division website at NIST: <http://csrc.nist.gov/>.

Comprehensive instructions for establishing and using the two ACF-801 data transmission methods are detailed in Section II of this Bulletin. The final section provides contact information for obtaining additional assistance. Required certification and registration forms for TIBCO MFT and Secure FTP are included in the Appendix, along with a request form for the MFT software.

II. TRANSMISSION INSTRUCTIONS

CCDF grantees need to be aware of the following as they decide which method to use:

TIBCO Managed File Transfer (MFT) formerly known as CyberFusion

Managed File Transfer is a secure file transfer software that allows integration of data across different computing systems.

ACF has purchased licenses for TIBCO MFT – for each State/Territory. ACF’s licenses allow grantees to transmit their data files for ACF program office systems (Child Care, AFCARS, NYTD, and TANF) to the National Institutes of Health (NIH) data center. If moving to MFT to transmit files, Child Care programs may have to coordinate with the agency that holds the MFT software in their State to establish a transmission connection for submitting ACF-801 data files directly to NIH. CCDF grantees also may choose to operate independently, set up their own child care specific connection to the NIH server, and transmit their required data files directly.

Secure File Transfer Protocol (SFTP)

When securely transmitting ACF-801 data using Secure FTP, lead agencies must use software that meets FISMA security requirements and is FIPS 140-2 certified with the FIPS mode enabled. This will allow for the encryption of the data and secure transmission of confidential information. A list of Secure FTP software that is FIPS 140-2 certified is available at: <http://csrc.nist.gov/groups/STM/cmvp/documents/140-1/1401vend.htm>.

It is the responsibility of each grantee to ensure that the installed version of the Secure FTP software is configured correctly to meet the security requirements. The lead agency must certify that the Secure FTP software utilized and configured by the State meets FISMA FIPS 140-2 security requirements.

The required Certification Form (see Appendix) must be completed and returned to the National Center on Child Care Data and Technology (NCDT), and the proposed software must be approved by the Office of Information Systems (OIS) during the process of setting up the Secure FTP connection. Periodically, OCC will ask each grantee to confirm that the software version they are using has not changed. If the State/Territory wishes to change the SFTP software version that they are using, the new version must be approved prior to making any changes.

Regardless of the method that a grantee uses, there are five steps to follow for ensuring a smooth data transmission process:

1. Notify the NCDT which transmission method will be used for future data submission.
2. Establish effective internal information flow procedures.
3. Establish the Dataset Naming Convention.
4. Establish the connection with NIH.
5. Perform the Data Transmission Connection and Processing Tests.

Once these five steps are completed, and the connection with NIH has been established and tested, the State/Territory may begin submitting actual monthly ACF-801 data files.

1. Notify NCDT

NCDT has been tasked by the OCC to track and support grantee ACF-801 data transmission activities and if a grantee decides to change the method of transmission, it must contact NCDT to inform them of that change (see contact information in Section III). Documents that grantees must complete and return before a submission test can be scheduled are included in the Appendix.

2. Establish Internal Information Flow Procedures

If a grantee is sharing data submission responsibilities with other programs via a central IT Center, it is essential first to establish effective information flow procedures between the child care program and the IT site. Grantees are encouraged to develop a procedure for transmitting the ACF-801 data to the State/Territory IT center that ensures that child care data files are sent to the appropriate individual at the State/Territory IT site for on-time transmittal to OCCIS. Similar quality and review procedures are required regardless of whether the child care program sends required reports through an IT center or directly.

Once the data file has been sent to NIH and the data are processed by OCCIS, a Summary Assessment Report (SAR) is generated and sent via e-mail to the designated personnel at the grantee site. The State Administrator should identify those individuals that are to receive the SAR and should provide NCDT the e-mail addresses of these individuals.

The SAR that is sent to grantees via e-mail after data have been submitted, received, and processed by OCCIS, serves as an important tool for assessing the quality of the data. The latest version of Technical Bulletin # 9: *Using the ACF-801 Data Assessment Reports* (available online at: <http://www.acf.hhs.gov/programs/occ/resource/current-technical-bulletins>) provides guidance on the interpretation and application of these reports.

Established information flow procedures will help grantees move forward more easily to implement their chosen data transmission method.

3. Establish the Dataset Naming Convention

You must use the following dataset naming convention for the file being transmitted to OCCIS. If you do not follow this exact naming convention, OCCIS will not be able to process your ACF-801 data file:

VVG1IWI.PCCIS.NDM.xx.HUB.Yyyy.Dmdd.Thmm

where *xx* is the two-letter postal code abbreviation for your State/Territory, and *yyyy*, *mmdd* and *hhmm* respectively, are the four-digit year, the two-digit month and day, and the military time (based on a 24-hour clock) of the transmission.

For example, if you are submitting a data file for Alabama's ACF-801 data on July 15, 2016 at 1:15 pm then the dataset name should be:

VVG1IWL.PCCIS.NDM.AL.HUB.Y2016.D0715.T1315

4. Establish the Connection with NIH

The State/Territory Network Systems Administrators will need to work with OIS/NIH personnel to establish a connection to NIH. NCDT will help facilitate this process by providing technical information and OIS/NIH contact information.

5. Perform the Data Transmission Connection and Processing Tests

You generally must perform two separate tests on your data transmission process before you can begin using the process routinely.

- **Test data file transmission connection (Step 1 of 2):** The first test verifies that there is a file transmission connection between the State/Territory and NIH. This test involves transmitting the test data file from your site to NIH. Successful completion of this test confirms that your site connects and transmits the file.

NOTE: Use the following dataset name for the test data file:

VVG1IWL.PCCIS.NDM.xx.HUB.Tyyyy.Dmmdd.Thhmm

Notice that there is a "T" instead of a "Y" that indicates the year. The "T" indicates that this is a data file to test the connection between the State/Territory's data transmission site and NIH and should not be processed.

- **Submit Production File (Step 2 of 2):** Once you have confirmed that the connection is in place, the second test is to submit a production file. Inform NCDT of the name of the file that you are transmitting, and when you have transferred the file. NCDT staff will review the file to be sure that it arrives, that it meets all of the formatting requirements, and that it can be successfully processed in OCCIS. In addition, this also will ensure that the Summary Assessment Report (SAR) is successfully sent back via e-mail to the designated grantee staff.

Once both aspects of the testing are successfully completed, you may begin using the new connection for your routine data submissions.

III. RESOURCES FOR ASSISTANCE

The National Center for Child Care Data and Technology (NCDT) is your primary initial point of contact as you move forward to initiate or change the transmission method of the ACF-801 report. NCDT staff will provide basic information and refer you to other resources as needed. In addition, if you have general questions, contact NCDT:

Toll free: 1-877-249-9117,
E-mail at: ncdt@childcaredata.org.

Technical Assistance Specialists are available Monday-Friday from 9:00 am to 5:00 pm prevailing Eastern Time.

APPENDIX
Required CCDF Data Transmission Forms

Managed File Transfer Registration Form
SFTP Certification Form
Request for MFT Software

Managed File Transfer Registration Form

If NOT using VPN complete items 1-8.

If using VPN complete items 1-14. **NOTE:** It takes about 2 weeks to set up the VPN tunnel. You will be contacted when VPN set up is complete to test connection.

1. State/Territory name or abbreviation	
2. Name, Phone, and Email Address of state system technical point of contact	Name: Phone: Email:
3. Name, Phone, and Email Address of state network technical point of contact	Name: Phone: Email:
4. Production or Test State System	
5. File Transfer Method (TIBCO (MFT), SFTP using PC-based client (PC-SFTP), SFTP using host system utility (SSH-SFTP))	
6. File types transferred with ACF using this file transfer method and this state system & IP address (AFCARS, NYTD, TANF, <u>Child Care</u>)	
7. System Type (HPUX, SUN/SOLARIS, AIX, LINUX, WINDOWS, AS/400, OS/390, z/OS, Other)	
8. State Remote Host IP Address and Subnet Mask	ACF/OIS will contact state poc listed in item 2 and/or 3.
VPN STATES	
9. State VPN Device Brand [Router, FW]	
10. State VPN endpoint IP Address and Subnet Mask	ACF/OIS will contact state poc listed in item 2 and/or 3.
11. Encapsulation AES 256 or AES 128	
12. Hash Code HMAC (MD5, SHA1, SHA2)	
13. Transport or Tunnel Mode	
14. Agree on a pre-shared key	

Please return your completed form to the National Center on Data and Technology (NCDT) via email at NCDT@childcaredata.org or via fax at 301-816-8640.

**ACF-801 STATE/TERRITORY CERTIFICATION FORM FOR FILE TRANSMISSION USING
SECURE FILE TRANSFER PROTOCOL (SFTP)**

When securely transmitting ACF-801 data via Secure FTP, lead agencies must certify that they are using software that meets FISMA security requirements and is FIPS 140-2 certified with the FIPS mode enabled. This will allow for the encryption of the data and secure transmission of confidential information. A list of Secure FTP software that is FIPS 140-2 certified is available at:

<http://csrc.nist.gov/groups/STM/cmvp/documents/140-1/1401vend.htm>

Complete and return this certification form to the Office of Child Care, in care of the National Center on Child Care Data and Technology (NCDT):

Mail: NCDT
C/O GDIT
2600 Tower Oaks Boulevard, Suite 600
Rockville, MD 20852

E-mail: ncdt@childcaredata.org

Fax: 301-816-8640

Secure FTP Transmission Security Certification

(STATE/TERRITORY NAME) _____ has elected to use the following Secure FTP software _____ to transmit the required monthly ACF-801 data files to the NIH computer center, Office of Child Care Information System (OCCIS). We certify that the Secure FTP software we are using is configured correctly to meet FISMA FIPS 140-2 security requirements and has the FIPS mode enabled.

ADMINISTRATOR NAME (Please print) _____

ADMINISTRATOR ADDRESS _____

PHONE _____

E-MAIL _____

SFTP CONTACT NAME (Individual who manages the SFTP access/transmission process)

SFTP CONTACT PHONE _____

SFTP CONTACT E-MAIL _____

ADMINISTRATOR SIGNATURE _____

DATE: _____

NOTE: If you need additional information please contact NCDT at 1-877-249-9117

**State/Territory/Tribe Request Form for
Cyberfusion software from ACF**

ACF has a contract with TIBCO, Cyberfusion vendor, which allows ACF to provide Cyberfusion software to states, territories and tribes for data file transmissions to ACF program offices Federal systems. Currently the following ACF offices use Cyberfusion for file transmissions to their systems:

- Children's Bureau (CB) - Adoption and Foster Care Analysis and Reporting System (AFCARS), National Youth in Transmission Database (NYTD),
- Office of Child Care (OCC) - Child Care Information System
- Office of Family Assistance (OFA) - State and Tribal Temporary Assistance for Needy Families (TANF).

ACF Federal program office manager(s) approve the request and provide the signed form to the Office of Information Services (OIS). OIS contacts and coordinates with states, territories and tribes to provide the Cyberfusion software.

State/Territory/Tribe Information and System:

State/Territory/Tribe name/abbr. and for what system data file transmission(s) (AFCARS, NYTD, OCC, TANF):

State/Territory/Tribe IT POC manager and POC who will install/configure software: (name, email)

IT Mgr. POC:	Email:
Install POC:	Email:

State/Territory/Tribe: Cyberfusion platform: (check one)

☐ Unix ☐ Linux ☐ Windows ☐ Mainframe Other: _____

ACF USE ONLY:

ACF Program Office Federal manager: _____

Date: _____

Please return your completed form to the National Center on Data and Technology (NCDT) via email at NCDT@childcaredata.org or via fax at 301-816-8640.