

FSA Compliance Review System User Documentation

Purpose

The purpose of the Food Security Act (FSA) Compliance Reviews Database System is to:

- 1) provide a nationally uniform means of collecting and maintaining FSA Compliance Review data at the field, State, and national levels,
- 2) apply established business rules and data validation to improve basic data quality, quantity, and integrity, and
- 3) provide a user-friendly and efficient mechanism to analyze and report Compliance Review information at the end of the year.

Background

In 2000, the FSA Compliance Review data collection process was revamped. A Microsoft Access97 database application was developed to provide a uniform means of collecting, maintaining, analyzing, and reporting Compliance Review data. The application has built-in data quality checks, including data type and length, and forces the user to select from standardized lists, where possible. These steps were taken to improve the overall data quality and integrity of the data and analyses.

A screen print of the database menus is included on Pages 8 – 13 of this documentation. You may want to print only pages 1–7 of this documentation for a user guide.

Database application questions are handled by LeRoy Hall, Operations Management and Oversight Division, at (202) 720-0040. Technical compliance review questions are handled by Beth Schuler, Conservation Operations Division, at (615) 646-9741.

Basic Instructions – Before You Start

The application has been sent to you as a zipped file (FSAReview2003XX.zip). Save the zipped file to your hard drive, and then double-click on the file. A pop-up window will be displayed and will ask where to unzip the file. Select the directory location where the database will reside, click on the extract button to unzip the files and be ready to go. The zipped file is NOT password-protected. If you experience problems unzipping the file, contact LeRoy Hall (LeRoy.Hall@usda.gov) at NHQ who will transmit the unzipped version to you. Two copies are being furnished to the State Office; one is the Design Master and the other is the Database Replicate. State offices should retain the Design Master and distribute copies of the Database Replicate to each county that has compliance review tracts pre-selected or has the potential of state- or locally-selected tracts.

What are Replicated Databases?

Replicated databases are every bit a real database as standard databases. They have tables, queries, and reports that **cannot** be modified in design, but tables can be queried, data can be displayed in forms and modified, data can be saved to tables, and reports can be generated, just like regular databases. The replicated database being sent to the field offices is identical to the Design Master database maintained at the State.

What is Design Master Database?

Design Master Database is the primary database of a series of replicated databases. Only the Design Master database allows for the modification of database design. They are basically like a regular database, but are slightly bigger than their standard database equivalent. They do have replicated tables, queries, forms, and reports, but are capable of aggregating data from each of the replicated databases. When databases are transmitted from county (or field) offices, the State office will synchronize the replicated database with the Design Master. If any changes have

been made to the data in either the Design Master or the Replicated Database, the two databases will be brought into agreement. This allows any number of replicated databases to provide updated records to the Design Master.

Basic Instructions – Getting Started – State Office

Only basic knowledge of Microsoft Access97 is required to run this application. Two databases were sent to you. The database to be used at the State office is the Design Master file (FSAReview2003XX.mdb where XX is your state 2-character abbreviation). The database to be used by the field offices is the Replicated Database file (FSAReview2003XXrep.mdb where XX is your state 2-character abbreviation and rep stands for replicated database).

Upon receiving your Design Master Database and your Replicated Database, save them to your local computer system. Then transmit a copy of the Replicated Database to field offices or locations where FSA Compliance Reviews are going to be conducted and information collected.

The application is started by opening the database file (FSAReview2003XX.mdb where XX is your state 2-character abbreviation), the Main Menu screen will automatically appear. The application is built around a series of screens, data entry forms, data quality check reports, and general reports. Basic screen navigation is through buttons and tabs. Data entry is through direct text entry in text boxes, radio button clicks, or pull-down selection lists. **Data entry at the State office will only be necessary if a field office cannot run this database application.**

The State office should print a list of tracts by County to preview the number of tracts being sent to each field office. To get this printout, select the 'Getting Started' button on the opening screen, and then select 'Pre-Selected Tracts by County Report'. The State office should also complete the form on the Getting Started Menu by clicking on the button, 'Enter State Contact Information'.

Basic Instructions – Getting Started – Field Office

Only basic knowledge of Microsoft Access97 is required to run this application. One replicated database was sent to you. The Replicated Database file (FSAReview2003XXrep.mdb where XX is your state 2-character abbreviation and rep stands for replicated database) contains all tables, queries, forms, reports, macros, and reports that the Design Master Database contains. It also contains **all** pre-selected tracts within your state.

Save the database to your local computer system.

The application is started by opening the database file (FSAReview2003XX.mdb where XX is your state 2-character abbreviation), the Main Menu screen will automatically appear. The application is built around a series of screens, data entry forms, data quality check reports, and general reports. Basic screen navigation is through buttons and tabs. Data entry is through direct text entry in text boxes, radio button clicks, or pull-down selection lists.

The rest of these instructions provide a description of the menu screens that drive the application. Each of the screen options will be defined briefly to provide the user the expected result of pressing each of the menu options.

Main Menu Choice Options

- Getting Started
- Data Entry/Edit Menu
- Review Compliance Review Results
- State Office Use Reports
- Exit

When starting the application, the first screen is the Main Menu. The options on this menu are: 1) **Getting Started** – prints sample tracts and records FSA Contact person information, 2) **Data Entry/Edit** - FSA Compliance Review tract data, 3) **Review Compliance Review** - run a series of quality assurance and checking reports, and other assorted reports, 4) **State Office Use** - provides some additional reports for States to examine the completeness of the compliance review data, and 5) **Exit** - exit the application.

Basic Instructions – Tract Lists to Counties

- Step 1: Select Getting Started.
- Step 2: Select menu item ‘Pre-Selected Tracts by User-selected County Report
- Step 3: Print a list of county tracts that are subject to compliance review.
- Step 4: Enter county name at pop-up screen.
- Step 5: Examine list to ensure that all tracts for review are listed.
- Step 6: Missing tracts may be added through the Data Entry/Edit Menu, at the Main Menu option.

The tract list is available in two reports, “**Pre-selected Tracts by County Report**” and “**Pre-selected Tracts by User-selected County Report**”. These reports display all pre-selected compliance review tracts by county. The “Pre-selected Tracts by County Report” displays all tracts for a state, with each county’s tracts on a separate page(s). “Pre-selected Tracts by User-selected County Report” displays the pre-selected tracts for only the county indicated by the user. The user will be prompted for the county name prior to generating this report. These reports are intended to serve as a means of providing a quick list of tracts within a county.

Getting Started Menu Options

- Pre-selected Tracts by County Report
- Pre-selected Tracts by User-selected County Report
- Enter State Contact Information
- Return to Main Menu

“Pre-selected Tracts by County Report” option generates a report of all tracts within a state, on a county basis. **Each county’s tracts are displayed on separate pages.**

“Pre-selected Tracts by User-selected County Report” option generates a report of all tracts within a county within a state, for whatever county is entered by the user at the prompt.

“State Contact Information” option records basic information about the State office and the field offices primary FSA Compliance Review Contacts. Data requested include first and last name, title, office type, telephone and fax numbers, and e-mail address. This is important information to require in the event of data questions. Completion of this information is **NOT** optional.

“Return to Main Menu” option closes the current menu and returns the user to the Main Menu.

Data Entry/Edit Menu

- Enter/Edit Pre-selected FSA Compliance Review Tracts
- Enter/Edit State-selected FSA Compliance Review Tracts
- Return to Main Menu

Once determinations have been completed, the information should be entered through the data entry forms, available under the “Data Entry/Edit Menu” option on the Main Menu. On the “Data Entry/Edit Menu” screen, select “**Enter/Edit Pre-Selected Compliance Review Tracts**” to enter and edit information about the state’s **pre-selected** FSA Compliance Review tracts sent from NHQ and “**Enter/Edit State-Selected Compliance Review Tracts**” to enter and edit information about **additional** tracts added at the state or local level (referrals, variances, multiple tract splits).

The “Return to Main Menu” option closes the current menu and returns the user to the Main Menu.

Remember, **Pre-selected** refers to tracts that have been sent to the States from NHQ as part of the yearly sample of tracts being reviewed in the current year. Compliance Review data for these tracts must be entered through the “Pre-selected Tracts” menu.

State-Selected tracts are additional reviews on tracts identified by the State or field offices. This review information must be entered through the “State-Selected Tracts” menu.

→ IMPORTANT NOTE: NEW TRACT NUMBERS

For tracts in the pre-selected list that are now multiple tracts, use the following procedure for recording information.

1. For pre-selected tracts that have been subdivided into multiple tracts, record one "New Tract No." information within the appropriate record on the "Enter/Edit Pre-selected Compliance Review Tracts" form.
2. Enter complete review information on the other new tract(s) on the "Enter/Edit State-selected Compliance Review Tracts" form. Enter the existing tract number in the "Tract No." box of each record, but record the new tract number in the "New Tract No." box. Each subdivided tract will have an individual record in the "Enter/Edit State-selected Compliance Review Tracts" form, but will have the same original "Tract No."

Points of emphasis on entering compliance review data

- **Tract is invalid or Not Found** --- Mark the invalid or not found data box and complete the pop-up form.
- Comments should be added to any record to clarify determination.
- Make sure all fields are completed when using the State-selected data input screen.
- Do not use the State-selected data entry screen to enter data on tracts sent to States from NHQ (pre-selected). This action creates duplicate records.
- Mark the Wetlands present on tract field as 'Yes' if a wetlands conditions are observed as part of the review. A 'Yes' will bring up a pop-up form for recording further wetlands information.
- All tracts must have the field's "time", "acres", and "determination" completed unless it is marked **Invalid or Not Found**.
- Addition information will be collected for any 'NN' or 'NC' determinations on a pop-up form.
- State Office coordinators should run all the reports after consolidating the review data. Duplicate records should be removed before sending data to NHQ.

Review Compliance Review Results Menu

Use all the menu items on this screen before you transmit this database to the State Office. The reports generated on these reports should be blank if all the fields on the compliance reviews have been completed. County FIPS codes should not show up in the reports.

- All Valid Tracts without Acreages
Identifies all tracts that did not have the acreage field completed.
- All Valid Tracts without a Compliance Determination
Identifies all tracts with a blank compliance determination field.
- All Valid Tracts without Wetlands Violation Designation
Identifies all tracts with a blank wetlands violation designation field.
- Duplicate Tracts Report
Identifies tract numbers that are duplicated which may indicate that the sample tract was entered into the State selected form. Tracts with multiple new tract numbers should be listed in this report.
- Print Findings for Compliance Tracts in County
User enters the county fips code and gets a printout of all determinations on tracts in that county. Replaces the CPA-18 form for the field office records.
- Return to Main Menu

Reports Menu List

Note: Any report that contains an error message “#error” means this calculation or count is based on a query that resulted in no answers. This message should be equated to the number zero.

- General Tract Information Reports (menu)
- Compliance Violations Reports (menu)
- Wetlands Violations Reports (menu)
- State Summary of Compliance Reviews
- Determination Summary
- Return to Main Menu

General Tract Information Reports Menu

- All FSA Compliance Review Tracts by State
- All FSA Compliance Review Tracts by County
The above two reports show findings of reviews for all counties or one county.
- Pre-selected FSA Compliance Review Tracts
Provides report of findings on tracts in State that were in the sample tracts.
- State-selected FSA Compliance Review Tracts
Provides report of findings on tracts added to the compliance review by State.
- Return to Reports Menu
- Return to Main Menu

Compliance Violations Reports Menu

- All Tracts – Compliance Violations Report
- All Tracts by County – Compliance Violations Report.
Provides report by State or one County with review determinations of NA or PV.
- Pre-selected Tracts with Compliance Violations Report
Provides report of determinations of NA or PV on sample tracts.
- State-selected Tracts with Compliance Violations Report
Provides report of determinations of NA or PV on tracts added by State.
- Return to Reports Menu
- Return to Main Menu

Wetlands Violations Reports Menu

- All Tracts – Wetlands Violations Report
- All Tracts by County - Wetlands Violations Report
Provides report on all tracts by State or one county that have wetlands present on tract.
- Pre-selected Tracts with Wetlands Violations Report
Provides report of sample tracts that were found to have wetlands present.
- State-selected Tracts with Wetlands Violations Report
Provides report of tracts added by State that were found to have wetlands present.
- Return to Reports Menu

The following reports should be run by the State after synchronizing the databases from all the field offices. They will provide the data in a format that permits States to analyze their own data.

- State Summary of Compliance Reviews
- Determinations Summary
These two reports summarize the time spent and the number of acres on the tracts that were reviewed this year.

Final Step for State Office Menu

This menu is new for 2002. It will generate additional reports for State office use for conducting its own analysis of the Compliance Review data in the State. This should be run after the synchronization process.

- All Invalid Tracts
Identifies all tracts that are no longer subject to a compliance review.
- Missing Data Reports
Sends user to the Quality Assurance Check menu
- All Tracts Designated - Plan Not Needed
Summary report on all tracts with this determination.
- Summary of Determinations
Summary report on reviews sorted by the compliance determination.
- Non-Compliance Report
Summary report on all tracts with a determination of NA or PV.

Additional Reports will be added to this menu as the needs are identified.

Basic Instructions Returning Replicated Databases

Once replicated databases have been populated completely, transmit this database back to State office. The FSA Compliance Review contact in the State office will update or “synchronize” the replicated databases with the State office Design Master. At the time that the databases are synchronized, all changes made to either the Design Master or the Replicated Database will incorporate the changes.

How do I Synchronize my Databases?

Once a field office has completed recording compliance review information about its tracts in the database, the database should be transmitted from the field office to the State office. At the State office, the database will be synchronized with the Design Master in the following way. **Only the State Office synchronizes the databases.**

Save the replicated database to a directory on your local State office system.

- open up your State’s Design Master Database (FSARReview2003XX.mdb),
- click on the “Tools” menu option on the main Access97 toolbar,
- on the dropdown menu, click on the “Replication” option and “Synchronize Now” option.

The process will then begin and should be completed in just a few minutes. Once completed, both the Design Master and the Replicated Database will contain identical data.

Transmission of Database to National Headquarters

Once the database has been populated with complete information about all individual Compliance Review Tracts, **zip the database**, using WinZip, and transmit the zipped file to LeRoy Hall at LeRoy.Hall@usda.gov with a note indicating its completion. If you experience any problems during the transmission, send LeRoy an e-mail to that effect and alternative means to transmitting the database will be made available on an individual basis.

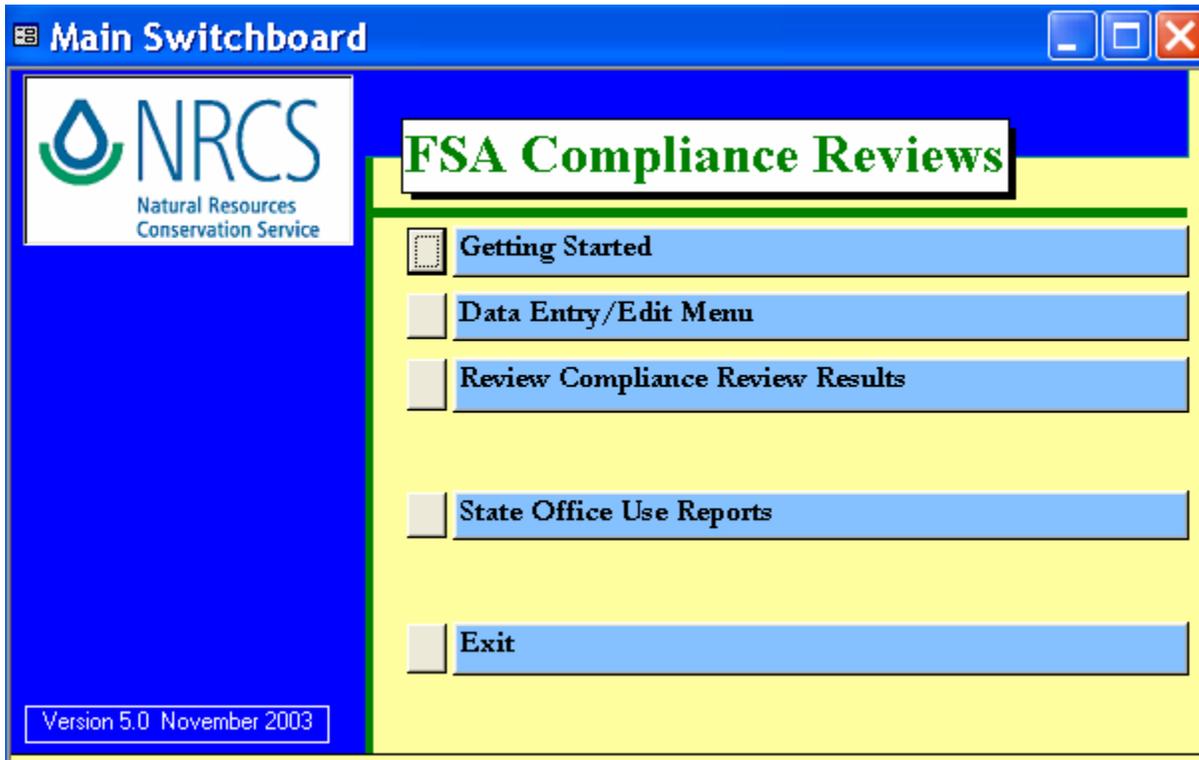
COMPLIANCE REVIEW DETERMINATION CODES AND DEFINITIONS

- AA – Actively applying an approved conservation plan – An approved conservation plan is being applied on all HEL fields on the tract, or an approved conservation plan is being applied on some HEL fields on the tract, and the previously treated HEL field(s) is/are using an approved conservation system, or systems.
- AC – Variance because of severe and unusual conditions - Applying an approved conservation plan, or using an approved conservation system with a temporary variance. The temporary variance should be due to special conditions, including severe weather, pests, or disease which prohibited or changed the application of the required scheduled conservation practices.
- AE – Variance because of economic hardship – Applying an approved conservation plan or using an approved conservation system with an exemption based on economic hardship as determined by the FSA County Committee and approved by the State Committee.
- AG – Exemption based on a Good Faith Determination – Applying an approved conservation system with an exemption based on a good faith determination by the FSA County Committee.
- AH – Variance because of extreme personal hardship – Applying an approved conservation plan or using an approved conservation system with a variance because of a special problem, technical error, incorrect plan, or unusual occurrence prohibited the application of the required scheduled practices(s).
- AM – Variance with a minimal or technical effect – Applying an approved or an approved conservation system with a variance based on failure which is technical and minor in nature.
- CA – Conditionally applying an approved conservation plan or system.
- EX – Exemption(s) used for tract(s) where review is limited to a specific field, either from a prior year variance or agency referral.
- NA – Not actively applying an approved conservation plan or using an approved conservation system.
- ~~NA/ER – Conditionally applying a conservation system that meets the HELC requirements with a request for Equitable Relief. A request for Equitable Relief has been made by the USDA participant. The request has been based upon either of the following criteria:~~
- ~~• The USDA participant has violated the WC provisions, but has made a good faith attempt to comply.~~
 - ~~• The USDA participant has violated the WC provisions based on an error by a USDA employee.~~
 - ~~• The USDA participant has violated the WC provisions based on reliance upon USDA technical advice.~~
- Removed. Do not use.
- NN – No conservation plan is required. There are no HEL fields on the tract, or the tract is not planted to an agricultural commodity, or the tract is not in agriculture use
- PV – Potential/suspected wetland violation in the field/tract.
- ~~PV/ER – Potential wetland violation with a request for Equitable Relief. A request for Equitable Relief has been made by the USDA participant. The request has been based upon either of the following criteria:~~
- ~~• The USDA participant has violated the WC provisions, but has made a good faith attempt to comply.~~
 - ~~• The USDA participant has violated the WC provisions based on an error by a USDA employee.~~
 - ~~• The USDA participant has violated the WC provisions based on reliance upon USDA technical advice.~~
- Removed. Do not use.
- TA – Exemption(s) used for tract(s) when deficiencies are found while providing technical assistance.

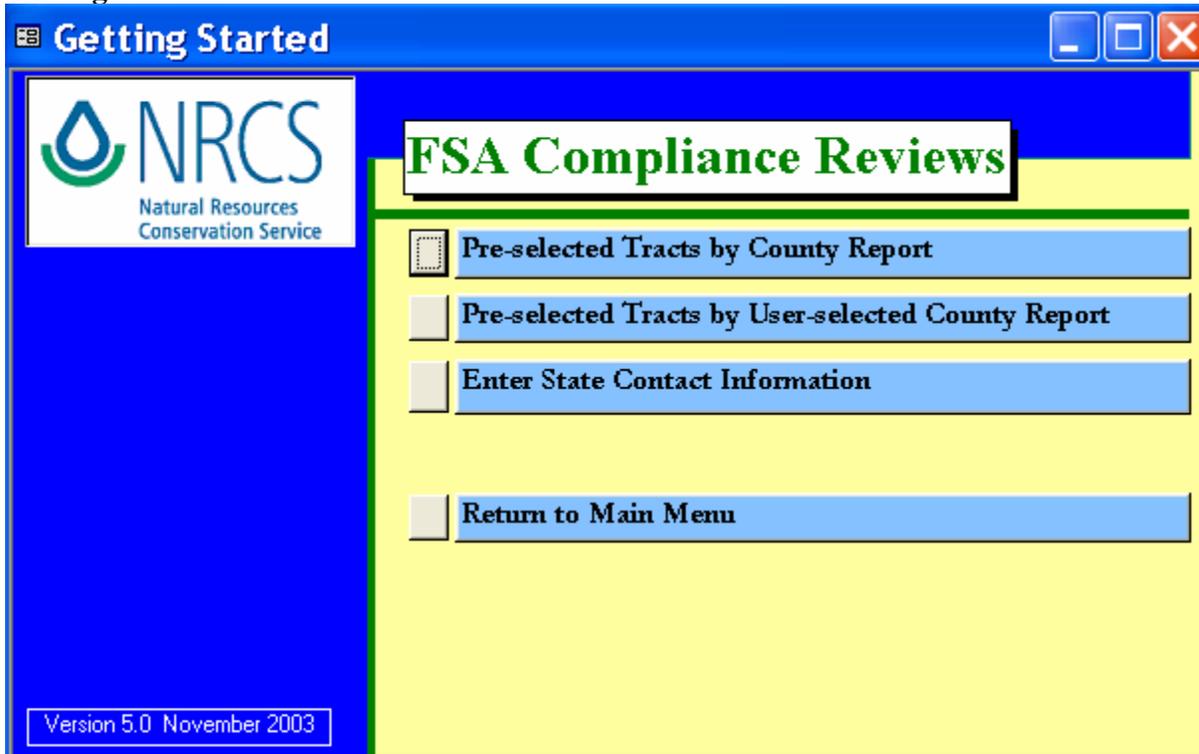
UA – All of the conservation plan practices, or the approved conservation systems are being maintained to the required specifications and standards

Copies of Menu System for FSA Compliance Review Database Application

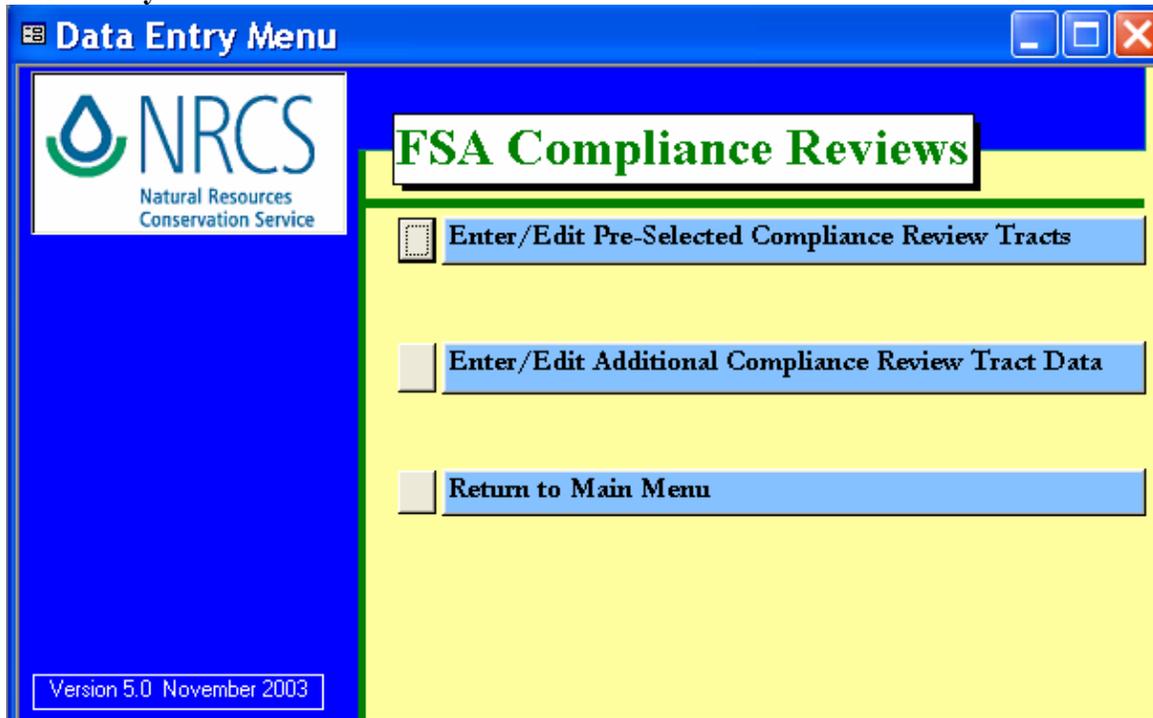
Main Menu:



Getting Started:



Pre-Selected means the tracts were sent to the States as part of the sample tracts for the current year.

Data Entry:

Fips codes, tract numbers, county name, and category are already supplied in sample tracts.

Data Entry Form
_ □ ×

FSA Compliance Review - 2003 Pre-selected Tracts

← Find Record →
Return to Main Menu

Tennessee

Administrative FIPS	47003	Bedford	<div style="border: 1px solid black; padding: 5px;"> Valid Tract Check <input type="radio"/> Valid Tract <input checked="" type="radio"/> Not a Valid Tract <input type="radio"/> Tract Not Found </div>
Location FIPS	47003	Bedford	
Tract No.	1599	New Tract No. 	
Category	R - Random (HEL)		
Crop Year	2003		

Review Type	<input type="radio"/> Full Review <input checked="" type="radio"/> Limited Review	Is This Review Part of a Quality Assurance Plan?	<input type="radio"/> Yes <input checked="" type="radio"/> No
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Time Spent (hr.)	2.00	Wetlands Present on Tract (Y/N)?	No
Total Acres of Evaluated Tract	 		

Compliance Rev Determination Code PV / ER - Potential wetland violation with a request for equitable relief

Comments

Record: 1 of 11

Additional Compliance review tracts means the State adds tracts that received variances, Farm Credit borrower tracts, employee owned farm tracts, whistleblower complaints, etc.

When tracts are entered by States, all information needs to be completed.

New in 2003: Additional information is being collected on valid tract check, Wetland violation, and determination codes 'NN' and 'NC'.

Additional tract information screen:

Additional wetlands violation data collection:

Wetlands Conditions Update

Location: 47005 Tract Number: 5

Is there an existing "certified" wetlands determination for this area? Yes No

Is there any potential wetlands violation on tract? Yes No

Please explain possible violation.

Return to Previous Screen

Record: 1 of 1 (Filtered)

Additional data collected on determination codes 'NN' or 'NC':

Condition

Location: 47005 Tract Number: 5

Explain the selection of 'NN' or 'NC' determination

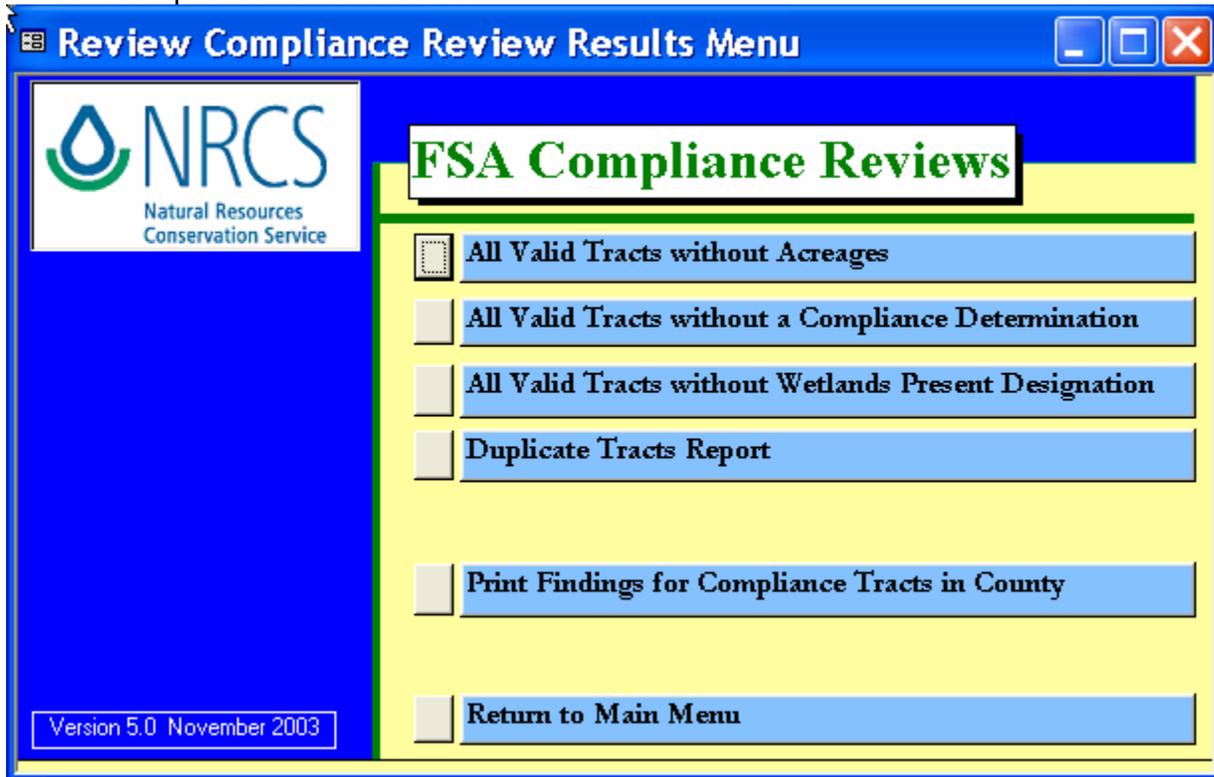
Return to Previous Screen

Record: 1 of 1 (Filtered)

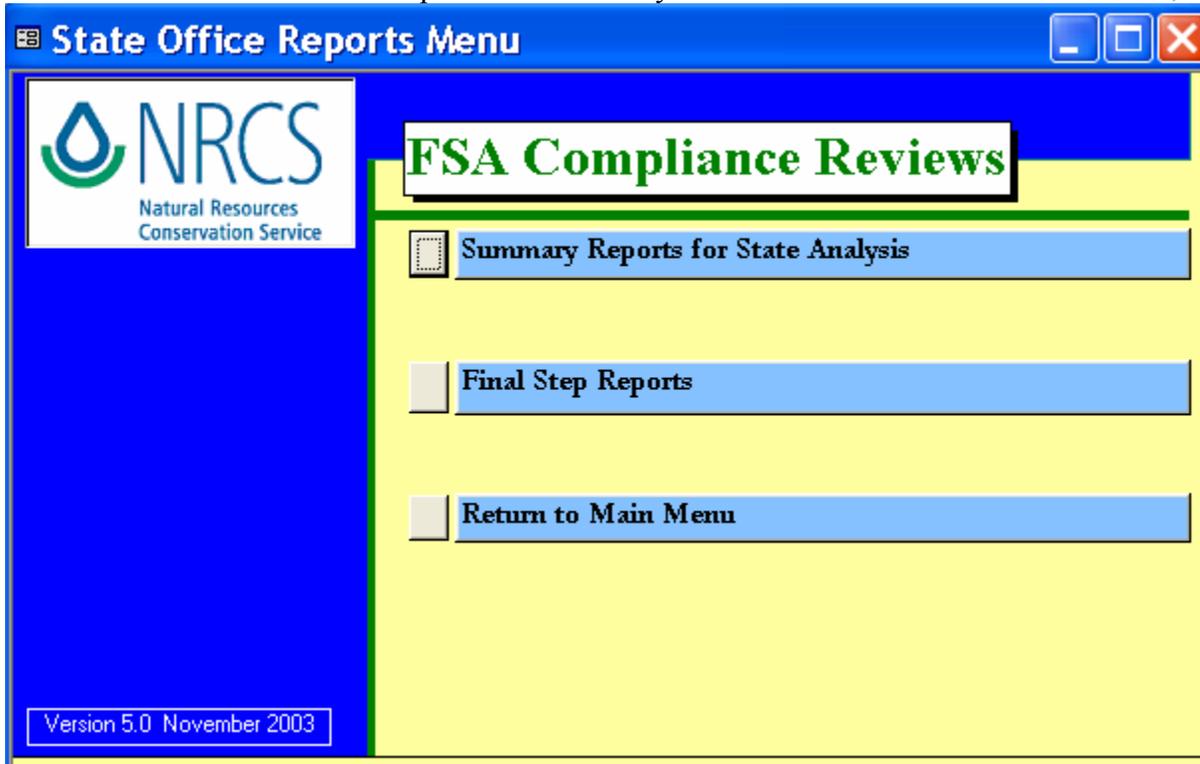
Field Office should use before sending to State.

New this year: Print Findings for Compliance Tracts in County.

Review Compliance Review Results:



This menu should be used after all the field office databases have been synchronized.
State Office Final Steps Menu:



Summary Reports for State Office after all data has been synchronized.



State Office final steps menu to identify any missing data and summary reports.

